

## **2024 Dam Safety, Flood Prevention, and Protection Assistance Fund Grant Manual**

### **§ 10.1-603.18. Administration of the Fund.**

The Authority shall administer and manage the Fund, and establish the interest rates and the repayment terms of such loans as provided in this article, in accordance with a memorandum of agreement with the Director. The Director shall, after consultation with all interested parties, develop a guidance document governing project eligibility and project priority criteria, and the Director, upon approval from the Virginia Soil and Water Conservation Board, shall direct the distribution of loans and grants from the Fund to local governments and private entities. In order to carry out the administration and management of the Fund, the Authority may employ officers, employees, agents, advisers and consultants, including without limitation, attorneys, financial advisors, engineers, and other technical advisors and public accountants, and determine their duties and compensation without the approval of any other agency or instrumentality. The Authority may disburse from the Fund reasonable costs and expenses incurred in the administration and management of the Fund and may establish and collect a reasonable fee for its management services. However, any such fee shall not exceed one-eighth of one percent of any bond par, loan or grant amount.

### **§ 2.2-4002.1. Guidance documents.**

A. Guidance documents shall be exempt from the provisions of this chapter, pursuant to this section. Guidance documents do not include agency (i) rulings and advisory opinions, (ii) forms and instructions, (iii) bulletins and legislative summaries, (iv) studies and reports, and (v) internal manuals and memoranda.

B. The agency that develops a guidance document shall certify that the document conforms to the definition of a guidance document in §2.2-4101. The guidance document shall be subject to a 30-day public comment period, to include public comment through the Virginia Regulatory Town Hall website, after publication in the Virginia Register of Regulations and prior to its effective date. The agency shall provide notice of the opportunity for public comment to interested parties as identified under §2.2-4007.02 prior to the start of the 30-day public comment period.

*The draft grant manual was published in the Virginia Register of Regulations on September 11, 2023; the public comment period ended on October 11, 2023. Four comments were received.*

### **Background:**

Four comments were received during the public comment period. Comments and the recommended Board responses are attached. Changes that were made to the draft manual in response to comments have been highlighted.

Highlights of the proposed 2024 manual include:

1. Revisions were made to the changes in the amounts and funding sources available for this grant round. Funding varies each year. These pages also broadly cover which projects will be funded from which funding source. (Pages 4-5)
2. Many of the general application requirements and criteria remain the same as last year. (Pages 7-10)
3. The project categories and the eligible activities under each category are discussed in greater detail this year. Most of the revisions to the manual occurred in this section. The revisions more accurately reflect the priorities and activities undertaken by the Department and the Board to increase compliance with the Dam Safety Act and regulations. (Pages 15-18)
4. Revision to the scoring criteria form in the manual reflect the revisions made earlier in the project categories.

Recommended Motion:

The Virginia Soil and Water Conservation Board approves the 2024 Dam Safety, Flood Prevention, and Protection Assistance Fund Grant Manual as presented by the Department.

Motion made by:

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Motion seconded by:

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Action:

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Charles Newton

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Matthew S. Wells

Chair

Director

2024 Dam Safety, Flood Prevention, and Protection Assistance Draft Grant Manual

Response to public comments received

Commenter	Comment	Agency response
West Leigh II Property Owners Association; Stratford Harbour Property Owners Association	Expand the eligibility for Project Type 3 (dam safety repairs, modifications, or removal) to include significant hazard dams; these dams might cause loss of life or appreciable economic damage. The risk justifies the eligibility ...to receive grant funding...	<p>Up to \$2,000,000 is available for local government-owned and privately owned dams with a known hazard potential classification.</p> <p>The remaining \$7,632,520 is only available for high hazard dams, as this funding is limited by the 2023 Special Session 1 Appropriation Act. Item 486 A.2.f.7 states “\$10,000,000 in the first year to the Department of Conservation and Recreation (199) for improvements to identified high hazard water impounding structures consistent with the provisions of the Dam Safety, Flood Prevention, and Protection Assistance Fund established pursuant to § 10.1-603.17, Code of Virginia.”</p> <p>As the Board has no discretion to change this provision, no changes have been made to the document.</p>
Virginia Department of Emergency Management (VDEM)	If applicant is awarded funds to install monitoring equipment, it is requested that applicant share this information with the Virginia Department of Emergency Management’s Flood Intel Unit...to enhance coordination of statewide flood monitoring initiatives. It is also recommended that the applicant strongly consider a vendor who provides the capability to auto-share the monitoring equipment’s data with the National Weather Service.	<p>The Board recognizes the value of sharing data and enhancing cooperation across agencies and organizations, including federal partners, working to address flood responses and initiatives. The Board, through the Department, will notify attendees of the ability to share data with the National Weather Service (NWS).</p> <p>In response to this comment, a revision has been made to the scoring criteria for these types of projects. Instrumentation that shares data with NWS will gain an additional 5 points on the scoring criteria above remote monitoring system projects that do not.</p>
Virginia Municipal Stormwater Association (VAMSA)	At pages 6 and 8 of the 2024 Draft Manual, DCR states that projects that are “substantially completed before” the beginning of the grant application period (November 1, 2023) are not eligible to apply for grants. This appears to be inconsistent with the statement that “Each application submitted must be for a discrete project that commences on or after the beginning of the application period and ends not later than 24 months of an executed agreement.” (2024	In response to this comment, the Board has removed reference to “substantially completed. Projects will now be considered eligible if work began after July 1, 2023.

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Response to public comments received

	Draft Manual, p. 8, emphasis added). VAMSA requests that DCR clarify whether projects started before the grant application period are eligible for funding.	
Virginia Municipal Stormwater Association (VAMSA)	There is a typographical error in the citation to State regulations (4VAC5-20-10) on page 14 of the 2024 Draft Manual.	The Board concurs. This change has been made in the document.
Virginia Municipal Stormwater Association (VAMSA)	The 2024 Draft Manual states that indirect costs are not allowable, however, there is not a definition of costs, indirect or otherwise. (2024 Draft Manual, p. 19). VAMSA suggests that there is an easy fix here—DCR could adopt the definition of “cost” from the Draft 2023 Resilient Virginia Revolving Fund Funding Manual: <i>“Cost,” as applied to any project financed under the provisions of this article, means the total of all costs incurred as reasonable and necessary for carrying out all works and undertakings necessary or incident to the accomplishment of any project. “Cost” includes, without limitation, all necessary developmental, planning, and feasibility studies, surveys, plans and specifications, architectural, engineering, financial, legal, or other special services, the cost of acquisition of land and any buildings and improvements thereon, including the discharge of any obligations of the sellers of such land, buildings, or improvements, site preparation and development, including demolition or removal of existing structures, construction and reconstruction, labor, materials, machinery and equipment, the reasonable costs of financing incurred in the course of the development of the project, carrying charges incurred before placing the project in</i>	The Board agrees that a definition of “cost” should be included in the grant manual. Section 10.1-603.16 of the <i>Code of Virginia</i> defines “cost” for the Dam Safety, Flood Prevention and Protection Assistance fund. The Board has included the statutory definition of “cost” in response to this comment.

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Response to public comments received

	<i>service, interest on funds borrowed to finance the project to a date subsequent to the estimated date the project is to be placed in service, necessary expenses incurred in connection with placing the project in service, the funding of accounts and reserves that the Authority may require, and the cost of other items that the Authority determines to be reasonable and necessary. "Cost" does not include costs related to existing staff.</i>	
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# COMMONWEALTH OF VIRGINIA

## ~~2023~~2024 Grant Manual for the Virginia Dam Safety, Flood Prevention and Protection Assistance Fund

~~2023~~2024 Grant Funding

*Applications due: 4:00 p.m., EST, March 15, 2024*

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



~~November 1~~December 6, 20222023

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# Part I: Introduction and Overview

## Purpose of this Manual

The purpose of this manual is to provide guidance regarding the policies, criteria, conditions, and procedures for determining project eligibility and awarding grants from the Virginia Dam Safety, Flood Prevention and Protection Assistance 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](#).

## Dam Safety, Flood Prevention and Protection Assistance Fund (Fund) Overview and Authority

The Fund was established to:

1. Provide matching grants to local governments (including Soil and Water Conservation Districts) and to private entities owning existing regulated dams to improve dam safety. This includes matching grants to local governments for orphan dams that are within their jurisdiction. 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. Provide matching grants to any local government for the purpose of assisting the local government with improvements to flood prevention or protection. [\*Applicants interested in pursuing this category of the grant should now pursue funding from the Community Flood Preparedness Fund \(CFPF\). Additional information can be found here.\*](#)

The Fund consists of monies 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). [Section 10.1-603.19 F of the Code of Virginia](#) specifies that *“[t]he total amount of expenditures for grants in any fiscal year shall not exceed 50 percent of the total non-interest or income deposits made to the Fund during the previous fiscal year, together with the total amount collected in interest or income from the investment of monies in the Fund from the previous fiscal year as determined at the beginning of the fiscal year.”* Subsection G states that “[a]ny grants made from the Fund shall require [a minimum of] a 50 percent project match by the applicant. Any loans made from the Fund shall require a minimum of a 10 percent project match by the applicant.”

The Director of [the](#) Department of Conservation and Recreation (DCR) is authorized to make this grant available to communities, as outlined in §10.1-603.19:

§10.1-603.19 A. The Director may make 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, or for flood prevention or protection studies.

§10.1-603.19 C. The Director may, in order to protect public safety and welfare, make ...  
(ii) grants to local governments and private entities for the determination of the hazard classification for impounding structures (dams), dam break analysis, the mapping and digitization of dam break inundation zones, incremental damage analysis, and other engineering requirements such as emergency action plan development.

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 grant assistance. The Director is authorized to make expenditures in accordance with [§10.1-603.16 et seq. of the Code of Virginia](#) and the terms of this ~~Guidance Document~~[grant manual](#) following approval of ~~Department~~ funding recommendations by the Virginia Soil and Water Conservation Board (Board). *While flood prevention and protection is eligible, no funding is allocated in the ~~2023~~2024 Grant Manual for this purpose. Interested applicants may seek funding under the Community Flood Preparedness Fund (CFPF) for flood prevention and protection activities. Additional information can be found [here](#). The Resilient Virginia Revolving Loan Fund (RVRLF) also has funding available for flood prevention and protection activities.*

## **Limitations of Funding Sources**

**A total of ~~\$10,000,000~~ \$10,632,500 is available for grants during this grant cycle.** Funding available during this grant cycle consists of the following:

**Dam Safety, Flood Prevention and Protection Assistance Fund (Fund)**~~prior year eligible deposits: \$1):~~ \$3,000,000. Per Section 10.1-603.19 F of the *Code of Virginia*, “[t]he total amount of expenditures for grants in any fiscal year shall not exceed 50 percent of the total non-interest or income deposits made to the Fund during the previous fiscal year, together with the total amount collected in interest or income from the investment of monies in the Fund from the previous fiscal year as determined at the beginning of the fiscal year.” ~~While \$10~~Up to \$1,000,000 will be ~~deposited into the Fund the during SFY2023, funds will not be eligible for award until SFY2024. These funds will be used~~available to continue ~~addressto assist~~ the more than 1,800 owners of dams of regulatory size without a current hazard classification. An additional \$2,000,000 will be available for locally or privately owned dams across the Commonwealth with known hazard classifications.

○ Up to \$1,000,000 is available for dams of regulatory size with an undetermined hazard classification, including:

- Private or local government-owned dams of unknown hazard classification
- Project Type 1: Unknown Hazard Dams

- Up to \$2,000,000 is available for dams of regulatory size, including:
  - Private or local government-owned dams
  - Project Type 2: Plans, Specifications, Engineering Studies, and Instrumentation
  - Project Type 3: Repairs, Safety Modifications and Removal
  - High Hazard Dams will receive priority for funding.

*Note: After the grant application deadline expires and pending Board approval, funding may be shifted between these two funding categories to adapt to the funding demands of the grant applications received.*

**American Rescue Plan Act Funds:** ~~\$107,000,000. Chapter 2 of the~~ Per 2022 Special Session ~~41 of the Virginia General Assembly~~ Acts of Assembly, Item 486 (~~Disaster Planning and Operations~~) ~~A.f.7: provides:~~

~~\$10,000,000 in the first year to the Department of Conservation and Recreation (199) for improvements to identified high-hazard water impounding structures consistent with the provisions of the Dam Safety, Flood Prevention, and Protection Assistance Fund established pursuant to § 10.1-603.17. These funds will be used for improvements to privately-owned high-hazard dams across the Commonwealth. §10.1-603.17 of the Code of Virginia.~~

~~Due to potential greater availability of non-state funding during the SFY2024 application period, some funds will be reserved to maximize the Commonwealth's ability to match and leverage future federal funds, including Infrastructure Improvement and Jobs Act funding.~~

- Up to ~~\$7,000,000~~ \$7,632,520 is available for dams of regulatory size, including:
  - Privately owned, High-Hazard Dams
  - Project Type 2: Plans, Specifications, Engineering Studies, and Instrumentation
  - Project Type 3: Repairs, Safety Modifications and Removal. Only one application per dam with a maximum request of up to \$1,000,000.

## Definitions

Some of the terms used in this grant manual and in §10.1-603 of the *Code of Virginia* have specific meanings that may vary from other contexts. For the purposes of this manual and the Fund:

- “Cost” means the total of all costs incurred by the local government or private entity as reasonable and necessary for carrying out all works and undertakings necessary or incident to the accomplishment of any project. It includes, without limitation, all necessary developmental, planning and feasibility studies, surveys, plans and specifications; hydrologic and hydraulic studies and analyses; architectural, engineering, financial, legal or other special services; mapping; the cost of acquisition of flood-prone land and any buildings and improvements thereon, including the discharge of any obligations of the sellers of such land, buildings or improvements; site preparation and development, including demolition or removal of existing structures; construction and reconstruction; labor; materials, machinery and equipment; the reasonable costs of financing incurred by the local government or private entity in the course of the development of the project;

carrying charges incurred before placing the project in service; necessary expenses incurred in connection with placing the project in service; the funding of accounts and reserves that the Authority may require; and the cost of other items that the Authority determines to be reasonable and necessary.

- “Local government” or “Locality” 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. This additionally includes, but is not limited to, homeowners’ associations, planned unit developments as defined in §15.2-2201 of the Code of Virginia, and common interest communities as defined in §54.1-2345 of the Code of Virginia when recognized as dam owners.
- “Project” for the Dam Safety program means the design, repair, and safety modifications of a dam or impounding structure, as defined in §10.1-604, and identified in dam safety reports generated pursuant to §10.1-607 or §10.1-609; or the mapping and digitization of dam break inundation zones. The term includes, without limitation, the construction, modification, or repair of dams, levees, flood walls, channel improvements, or diversions.
- “Maintenance” means routine activities conducted by the dam owner for preventive maintenance, such as removal of woody plants and trees, addressing rodent holes, etc.; replacement of parts, systems, or components; and other activities needed to preserve or maintain the dam that do not require an alteration permit.

## Virginia Dam Safety Program

Provisions of the Virginia Dam Safety Act, (Act) (§10.1-604 et seq. of the *Code of Virginia*) and its attendant regulations (4 VAC 50-20-10 et seq.) promulgated by the Virginia Soil and Water Conservation Board and administered on behalf of the Board by DCR’s Division of Dam Safety and Floodplain Management, promote the proper and safe design, construction, operation, and maintenance of dams in the Commonwealth. 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 a maximum impoundment capacity of fifty acre-feet or greater. Exceptions are 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 §45.1-222 or 225.1 §45.2-618 or §45.2-1301 of the Code of Virginia (mining or quarry dams permitted by Department of Mines, Minerals, and Energy), and obstructions in a canal used to raise or lower water. The Virginia Dam Safety Program’s goal is to enhance public safety and the protection of property by ensuring that dams meet mandatory regulatory requirements and assisting dam owners and their licensed engineers in the proper construction, maintenance, and operations of their dams.

# Part II: General DCR Grant Eligibility Criteria and Application Procedures

## DCR Conditions and Limitations for Making Grants

- ~~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 are contained in Appendix B.~~
- ~~There is no limitation on the number of applications to the fund where a Letter of Engagement has been received, however in all cases limitations in funding may make it necessary to reduce the requested grant amounts.~~
- ~~Applications for repairs, safety modifications or removal are limited to one per dam and a maximum amount of \$500,000.~~
- Per §10.1-603.19 G of the *Code of Virginia*, any grants made from the Fund shall require a minimum of a 50 percent match. This match may be [from](#) a combination of funding sources, including federal dollars, so long as the Fund does not contribute more than 50 percent of total costs.
- **Projects commencing after July 1, 2023, are eligible:**
  - Owners pursuing projects prior to grant approval do so at their own risk. There is no guarantee of matching funds prior to grant approval by the Soil and Water Conservation Board. Matching funds are subject to limitations of the total funding amount, funding source purpose as designated by law, and grant application competitiveness based on the scoring criteria.
- 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 eligibility criteria set out in the project category descriptions. The scoring criteria values for each project category are contained in Appendix B.
- Grant funds will be disbursed on a reimbursement basis and only after the completion of the approved project.
- For dams ~~where a Letter of Engagement has been received~~ applying under Project Section 1: Unknown Hazard Dams, the dam must be operating under a Regular or Conditional Operation and Maintenance Certificate ~~prior to disbursement. The Certificate application may be submitted at the time of reimbursement request.~~ As an alternative, the Regular or Conditional Operation and Maintenance Certificate Application and associated fee may be submitted at the time of reimbursement request.
- For dams seeking funding for Project Type 2: Plans and Specifications or Engineering (DCR-VSWCB-018) (~~11/22~~22/23)

Studies, ~~a current~~ and Instrumentation, the dam owner(s) must have submitted a Regular or Conditional Operation and Maintenance Certificate ~~and a~~ Application and associated fee no later than the grant application deadline. A current professional engineer's inspection must be ~~approved by DCR prior to reimbursement.~~ The Certificate on file with DCR at the time of the grant application and inspection may be submitted at the time of reimbursement request submittal.

- For dams seeking funding for Project Type 3: Repairs, Safety Modifications, or Removal, a current Regular or Conditional Operation and Maintenance Certificate, as well as plans and specifications and alteration permit, must be approved by DCR prior to the application deadline. Dam removal projects may propose a design-build approach and be exempt from the requirements to have approved plans and specifications and a hazard classification on file with DCR at the time of application. However, a construction emergency preparedness plan must be approved by DCR prior to starting construction activities.
- No analysis or study will be approved if the methodology used to conduct any analysis or study fails to meet applicable Dam Safety Regulations.
- Dam owners having or pursuing an Agricultural Exemption are not eligible for grants in this program. If the dam is to be repurposed as a non-agricultural dam, it would be eligible.
- Dam owners ultimately claiming size-exempt status are not eligible for grants in this program.
- ***All dam safety applications and supporting documentation must be submitted through the online Dam Safety Inventory System (DSIS). DSIS forms and data are located at <https://www.dcr.virginia.gov/dam-safety-and-floodplains/ds-dsis>. New users to DSIS are required to register through DSIS prior to application. It is recommended that dam owners sign up for DSIS access no later than December 31, 2023, in order to familiarize themselves with the system and avoid last-minute delays resulting in an unsuccessful submission.***
- ~~***All dam safety grant deliverables and documents must be submitted through the online Dam Safety Inventory System (DSIS).***~~
- ~~***A total of approximately \$5,000,000 is available for grants during this grant cycle.***~~
  - ~~Up to \$1,000,000 is available for Letter of Engagement recipients.~~
  - ~~Up to \$4,000,000 is available for “private entity” owned High Hazard Dams for~~
    - ~~Plans, Specifications and Engineering Studies~~
    - ~~Repairs, Safety Modifications and Removal. Only one application per dam with maximum request of up to \$500,000.00~~



~~○ Maximum grant amounts will be determined based on scoring, amounts requested from eligible projects, and available funds.~~

- **All successful “private entity” applicants will be required to provide identifying tax information (SSN/EIN) at the time of acceptance of award. All grant reimbursements are taxable and reportable to the IRS. DCR does not ~~give~~provide advice regarding the tax implications of grants; the grantee should seek any necessary guidance from a tax professional.**
- Each application submitted must be for a discrete project that **commenced on or after July 1, 2023** and ends not later than **24 months** of an executed agreement ~~or extension date approved by the Department~~. These specified dates constitute the required “project completion date.” Reimbursement requests must be submitted within 90 days following the project completion date. **Projects completed prior to July 1, 2023 ARE NOT eligible for funding.**
- ~~Projects commencing prior to November 1, 2022 ARE NOT be eligible for funding.~~
- No project or portion thereof identified in a previously awarded and reimbursed application is eligible for funding. For Dam Safety projects, this does not prohibit grant awards to a dam owner for an eligible, separate, and discrete project on the same dam.
- DCR, VRA, and the Board, ~~in~~at their discretion, reserve the right to provide funding at a level less than requested by the applicant, or to refuse to fund an applicant’s request. Reasons for such determinations include, but are not limited to, incomplete applications, project ranking, the attainability of the proposal, ~~credit worthiness~~creditworthiness of the applicant, total funding determined to be necessary to complete the project, failure to complete the project by the specified completion date, and total available funding.
- Should ownership of the dam change during the lifespan of the grant, the grant does not transfer. This does not include legal name changes where the new name remains clearly tied to the grant recipient.
- **Applications will be accepted beginning December 15, 20222023, and ending at 4:00 p.m. (EST) on March 28, 2023, March 15, 2024.**
- In order for a grant to be authorized, an eligible project shall satisfy the following general conditions:
- ~~A complete application meeting the requirements set forth in this manual has been submitted~~ to DCR within the specified application period.
  - 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 or a statement indicating that a resolution will be proposed, and once approved, will be forwarded to DCR **prior to the close of the application period**. Resolutions not received prior to the close of the application period will cause the



- application to be disqualified.
- The applicant has provided satisfactory assurances of funding availability to **fully** fund the project through completion ~~in order to qualify for cash matching funds.~~ This must include signed, written verification as outlined in the requirements for the Dam Safety Budget Narrative.
  - Project maintenance and management plans are required when applying for funding for Repairs or Safety Modifications. A maintenance plan for repair and safety modification projects must be provided, demonstrating how the dam will be maintained for the expected lifetime of the impounding structure or at least 50 years. No maintenance plan is required for dam removals.
  - **All legal dam owners must sign the grant application. If only one owner applies, the applicant owner must submit proof of signatory authority signed by all legal dam owners. In cases where known owners refuse to sign the application, A, a written request for authorization to apply without all signatures must be included with the application submission as a separate document. The request must provide an explanation and justification for the request. Approval will be at the sole discretion of the Director of DCR agency head.**
  - If a grant 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. A copy of the agreement must be submitted with the application.

## Application and Selection Process

### 1. General Submittal Information and Deadline

A complete electronic application file with all required attachments **must be submitted through DSIS.**

Files should be saved as follows:

- Dam Safety projects: Dam inventory number.pdf (example: 190054. pdf). If multiple applications are for the same inventory number, then please use 190054-1.pdf.

If electronic submittal through DSIS is not possible, approval to submit outside of DSIS may be considered under extenuating circumstances. A written justification must be submitted to ~~dam@dcr.virginia.gov at least 30 days prior to application close or January 30, 2023.~~ by January 30, 2024. If approval is granted, the applicant will be required to submit the completed application along with all attachments and supporting documentation to dam@dcr.virginia.gov. If email submission is not possible, submit 3three complete copies of each application (including one originally-signed copy), together with all attachments and supporting documentation, to the Virginia Department of Conservation and Recreation at the address below:

Virginia Department of Conservation and Recreation  
 Attention: Dam Safety, Flood Prevention and Protection Assistance Fund  
 Division of Dam Safety ~~and Floodplain Management~~  
 600 East Main Street, 24<sup>th</sup> Floor

Richmond, Virginia 23219

It is important that applications be printed on one-sided pages. All pages must be sized to 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 a quality suitable for reproduction by photocopier. It is not necessary to submit ~~3~~three sets of original images, but all reproduced images must be clear and discernable. Images and photos will not be returned.

Please ensure signature pages are completed prior to submitting electronically or mailing. Applications without signatures will be considered incomplete and will be removed from funding consideration. Applications will be accepted beginning on ~~November 1, 2022~~ December 15, 2023. **All applications must be RECEIVED by 4:00 p.m. eastern time(EST) on ~~February 28, 2023~~ March 15, 2024.** Applications received after this deadline **will not be considered.**

Applications will be scored, ranked, and funded based on scoring criteria in Appendix B for Dam Safety and the availability of funds.

***General Application Inquiries:*** For any questions regarding the application process, please contact the Department of Conservation and Recreation, Division of Dam Safety ~~and Floodplain Management~~ at (804) 371-6095 or via email at [dam@dcr.virginia.gov](mailto:dam@dcr.virginia.gov).

## 2. Project Application Contents

### ***Organizational Information***

The Application Form (Appendix A) contains general organizational information, including the title, category, and location of the project, the amount of grant funds requested, and contact information for the applicant or the applicant's designated contact person.

### ***Scope of Work Narrative (as an attachment to the Application Form)***

The requirements for the project's Scope of Work Narrative are outlined in Part III of this manual. A completed scoring criteria sheet must also be included to support the Scope of Work Narrative.

### ***Budget Narrative (as an attachment to the Application Form)***

The Budget Narrative establishes the proposed budget for the project. It should include evidence of the source of funds available to fully fund the project to qualify for cash-matching funds. A description of the Budget Narrative is outlined in Part III of this manual.

## 3. 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 reviewed by DCR's Division of Dam Safety ~~and Floodplain Management~~ for completeness in accordance with the eligible grant categories and application requirements.

Division staff will additionally review and rank each complete application to determine its merits in accordance with the criteria set out in this manual pursuant to the scoring criteria contained in [the appropriate Appendix B for that project type](#).

#### ***Virginia Soil and Water Conservation Board Review***

~~The Director of~~ 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 the execution of a grant agreement and funding. [For those projects funded with American Rescue Plan Act funds, DCR will execute a grant agreement and funding following the Board's approval.](#)

### **4. 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 can~~ start on or after the beginning of the application period and not later than twenty-four (24) months following the issuance of a signed agreement between the applicant and VRA on behalf of DCR; [or between the applicant and DCR](#). If a project does not commence in a timely fashion to allow completion within the agreement period, funding will be withdrawn from the project and ~~they may be redistributed to other qualifying projects at the discretion of the Board~~. [The applicant may reapply during the next funding round, should funds be available provided the proposed project activity remains eligible.](#) Such funds may be redistributed to other qualifying projects at the discretion of the Board.

~~A one-year extension may be granted at the discretion of DCR; however, all extension requests (Appendix D) must be received not later than 120 days prior to the expiration of the original agreement, and the approved project must have commenced within the first twelve (12) months of the original agreement period.~~

[All projects are eligible for a 1-year period of performance extension except those funded by the American Rescue Plan Act \(ARPA\). All projects funded through ARPA funds must be completed, and reimbursement must be requested no later than October 31, 2026.](#)

### **5. Reporting and Close-Out Guidelines for Grant Recipients**

Where applicable, DCR will conduct project inspections as necessary to ensure conformance to 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 approved by the Department DCR.** *All materials shall be provided digitally to DCR through the Dam Safety Inventory System (DSIS) as a requirement for receipt of this grant.* Although not required, printed materials may also be submitted to DCR in addition to the DSIS submittal. Printed material may not substitute for DSIS submittal.

- All documents must be provided in PDF and/or a Microsoft Word-compatible format, including any embedded maps or other figures/illustrations.
- All engineering files (including hydrologic and hydraulic studies) and assumptions necessary to replicate various analyses or other calculations ~~need to~~must be provided in a format compatible with the software used to perform those calculations; likewise, all output files are also required.
- All tabular information not included in the engineering files above, whether ~~or not~~ contained within any report or appendix, which was used as the basis for any calculation, shall be provided in a Microsoft Excel compatible format or Microsoft Access compatible format.
- All map data shall be delivered as a geodatabase or individual shapefiles. Additionally, maps shall be provided in a PDF format if not already included embedded within the report(s).
  - If derived from CAD or another non-GIS workflow, data must be converted into a GIS format.
  - See the Virginia Soil and Water Conservation Board's Guidance Document for specific requirements and direction for mapping - [Dam Break Inundation Zone Modeling and Mapping Procedures](#) (PDF) (Revised June 28, 2018, and Sept. 27, 2018)

## 6. Grant Award and Administration

- After approval by the Virginia Soil and Water Conservation Board at the meeting tentatively scheduled for May ~~2023~~2024, a letter will be sent from DCR to the applicants, and notice of awards will be posted on the DCR Dam Safety and Floodplain Management Grants web page at <http://www.dcr.virginia.gov/dam-safety-and-floodplains/dsfpm-grants>.
- VRA ~~or DCR~~ will email ~~Grant Agreements~~grant agreements to recipients using the email address provided in the original application. If no email address is provided, the ~~Grant Agreements~~grant agreements will be sent via U.S. mail. Recipients shall return the signed Grant Agreement within 90 days of receipt to: ~~Peter D'Alama~~

[Peter D'Alama](#)

Virginia Resources Authority

1111 E. Main Street, Suite 1920

Richmond, VA 23219 [kadams@virginiareources.org](mailto:kadams@virginiareources.org)

[PDAlama@virginiareources.org](mailto:PDAlama@virginiareources.org)

(804) 616-~~3449~~3446

**Grant agreements not signed and returned to VRA or DCR, as appropriate, within 90 days as required, will have grant funds rescinded.**

- Within 30 days after the dam safety project is completed, the applicant shall submit digital copies of the completed engineering work to the Regional Dam Safety Engineer for approval. Exhibit D Form of Requisition along with the Certificate of the Consulting Engineer Form, both included in the grant agreement, must be included with the dam safety

project submittal to the Regional Engineer. Electronic submittals shall be made to [dam@dcr.virginia.gov](mailto:dam@dcr.virginia.gov). Names and mailing addresses of DCR's Regional Dam Safety Engineers are available online at <http://www.dcr.virginia.gov/dam-safety-and-floodplains/dsfpmcontx>.

- D. Submit reimbursement requests within 90 days following the passage of the authorized project completion date, including completed and signed Exhibit E Reimbursement Request Form, signed Exhibit D Form of Requisition along with the Certificate of the Consulting Engineer Form, all located in the ~~Grant Agreement~~grant agreement, proof of payment (~~cancelled~~canceled checks, bank statements, accounting system reports, etc.) and invoices to [dam@dcr.virginia.gov](mailto:dam@dcr.virginia.gov) or:

Virginia Department of Conservation and Recreation  
Attention: Dam Safety, Flood Prevention and Protection Assistance Fund  
Division of Dam Safety ~~and Floodplain Management~~  
600 East Main Street, 24<sup>th</sup> Floor  
Richmond, Virginia 23219

Invoices must be detailed and specific to the project awarded and provide sufficient detail to determine the work and hours ~~actually~~genuinely completed related to the approved project.

If the project was awarded for Dam-break Inundation Zone Study (DBIZ) Analysis, Mapping, and Digitization, or for EAP Development, evidence must be provided that the map has been additionally filed with the local planning department and the EAP with the local emergency management coordinator and the Virginia Department of Emergency Management prior to reimbursement approval.

## 7. Virginia Resources Authority Disbursement of Grant Funds

Grant funds shall be disbursed on a reimbursement basis only. All requests for disbursement shall be delivered to DCR for approval according to the reimbursement terms of the grant manual and ~~Grant Agreement~~grant agreement. DCR shall forward the approved request to VRA for payment to the applicant: for projects not funded through ARPA monies. Neither DCR nor VRA will ~~not~~ disburse funds prior to receipt of a fully executed ~~Grant Agreement~~grant agreement signed by the grant recipient and subsequently signed by VRA's Executive Director or signed by the grant recipient and subsequently signed by DCR's Director. Where applicable, DCR will conduct site visits and inspections to monitor project compliance. A checklist for reimbursement will be included as Exhibit E in the Grant Agreement.

## Part III: Eligible Dam Safety Projects

### Dam Safety Project Descriptions and Eligible Activities

The purpose of this category is to assist dam owners in bringing their regulated dams into compliance with the Dam Safety Act (§10.1-604 et seq. of the *Code of Virginia*) and the Virginia Impounding Structure Regulations (4VAC50-20-10 et seq.) or to remove unsafe dams. Funding is available under three categories. [Previously funded activities are ineligible for additional funding.](#)

#### Project Type 1: ~~Letters~~[Unknown Hazard Dams](#)

[Total Pool](#) of ~~Engagement~~[Matching Funds](#) Available: \$1,000,000

##### Criteria

1. [Dam is a local government or privately owned dam.](#)
2. [Must have received](#) be a dam with an undetermined hazard classification.
- ~~1-3.~~ [Dam owners who did not receive](#) a Letter of Engagement ~~from DCR~~[must notify their Dam Safety Regional Engineer of their intent to apply for a grant\(s\) under this project type by January 15th.](#)
- ~~2.~~ [A copy of the Letter of Engagement must be submitted with the application](#)
- ~~3-4.~~ Only one project type may be selected per application; multiple applications may be submitted.
- ~~4.~~ [Previously funded activities are ineligible](#)

##### Eligible Activities

1. Dam Break Inundation Zone Analysis, Mapping, and Digitization
2. Emergency Plan Development (EAP Emergency Action Plan)
3. Professional Engineer Inspection Project

#### Project Type 2: Plans, Specifications~~and,~~ Engineering Studies~~———, and~~ [Instrumentation](#)

[Total Pool of Matching Funds Available: \\$9,632,520 \(allocation shared between Projects Type 2 & 3\)](#)

- [Up to \\$2,000,000 for local government-owned dams or privately owned dams](#)
- [Up to \\$7,632,520 for privately owned High-Hazard dams](#)

##### Criteria

1. ~~Is a High Hazard dam~~[Dam is regulated by DCRthe Dam Safety Act.](#)
2. ~~Is a Privately~~[Dam is a local government or privately owned High Hazard dam.](#)
3. Only one project type may be selected per application; multiple applications may be submitted.
- ~~4. Has an approved and active Conditional Operation and Maintenance Certificate on file with DCR at the time of application~~

##### ~~Eligible Activities~~

- ~~5. —~~
- ~~1. Dam Break Inundation Zone Analysis, Mapping, and Digitization with Hazard Classification~~
- ~~2-1. Emergency Plan Development (EAP Emergency Action Plan or EPP Emergency Preparedness Plan)~~
- ~~3. Spillway Capacity or Overtopping Analysis~~



4. ~~Alternatives Analysis for Spillway Capacity and Stability~~
5. ~~Geotechnical Investigation and/or Structural Analysis for Dam/Spillway Stability~~
  - ❑ ~~Engineering and Design for one of the following:~~
    - ~~Dam Embankment Wave Run-up or Wave Berm Construction and Reconstruction Analysis and Plan~~
    - ~~Dam Graded Filter Drains, Toe Drains, Drainpipes and/or /Underdrain Analysis and Plan~~
    - ~~Principal and/or Emergency Spillway and Repair/Replacement Plan~~
    - ~~Trash Rack and/or Anti-Vortex Device Analysis and Repair/Replacement Plan~~
    - ~~Dam Embankment Culvert or Pipe Analyses and Repair/Replacement Plan (Hydraulic or Structural)~~
    - ~~Outlet/Stilling Basin Analysis and Repair/Replacement Plan~~
  - a. ~~Dam Primary Mechanical Flow Control Evaluation and Repair Plan (Valves, Siphons, etc.)~~ ~~Dam or Lake Drain/Low Level Outlet Analysis and Repair Plan~~
  - b.a. ~~Analyses and Repair/Replacement of Erosion or Deteriorated Appurtenant Structures~~
6. ~~Final plans and specifications suitable for dam rehabilitation~~

### ~~Project Type 3: Dam Repair, Safety Modifications or Removal~~

#### ~~Criteria~~

1. ~~Is a High Hazard dam regulated by DCR~~
2. ~~Is a Privately owned High Hazard dam~~
3. ~~A Regular Operation and Maintenance Certificate application must be submitted prior to or with reimbursement request~~
- 6.4. ~~Has an approved and active Conditional Operation and Maintenance Certificate on file with DCR at the time of application, and, As an alternative, applicants may submit an application for an Operations and Maintenance Certificate by the grant application deadline.~~
5. ~~An Alteration Permit application and Record Report must be submitted and approved by DCR during the project performance period and prior to reimbursement request for eligible activity #7 (Installation of a remote monitoring system).~~
6. ~~High Hazard Dams are given priority.~~

#### Eligible Activities

1. Dam Break Inundation Zone Analysis, Mapping, and Digitization with Hazard Classification
2. Emergency Plan Development (EAP Emergency Action Plan or EPP Emergency Preparedness Plan)
3. Spillway Capacity, Integrity, and/or Overtopping Analysis
4. Geotechnical Investigation with Slope Stability Analysis, including Static, Seismic, and Spillway and Dam Stability
5. Engineering and Design for one of the following:
  - a. Dam Embankment Wave Run-up or Wave Berm Construction and Reconstruction Analysis and Plan
  - b. Dam-Graded Filter Drains, Toe Drains, Drainpipes, and/or /Underdrain Analysis and Plan
  - c. Principal and/or Emergency Spillway and Repair/Replacement Plan
  - d. Trash Rack and/or Anti-Vortex Device Analysis and Repair/Replacement Plan
  - e. Dam Embankment Culvert or Pipe Analyses and Repair/Replacement Plan (Hydraulic or Structural)
  - f. Outlet/Stilling Basin Analysis and Repair/Replacement Plan
  - g. Dam Primary Mechanical Flow Control Evaluation and Repair Plan (Valves, Siphons, etc.)

- Dam or Lake Drain/Low-Level Outlet Analysis and Repair Plan
- h. Analyses and Repair/Replacement of Erosion or Deteriorated Appurtenant Structures
6. Final plans and specifications suitable for dam rehabilitation (May include final report incorporating multiple elements (i.e., #1-4) to consolidate into one grant application)
7. Installation of remote monitoring system instrumentation for the purposes of monitoring rainfall, water level, flow, and/or conditions at the dam, including but not limited to:
- a. Cameras, float switches, rainfall gauge, depth sensor/pressure transducer, telemetry system
  - ~~a.b.~~ Integration of a notification system that issue alerts to primary contacts when EAP stage thresholds are reached based on data observations
  - c. Data transmission service costs (e.g. cellular service) for up to 4 years after installation

### **Project Type 3: Dam Repair, Safety Modifications or Removal**

Total Pool of Matching Funds Available: \$9,632,520 (allocation shared between Projects Type 2 & 3)

- Up to \$2,000,000 for local government-owned or privately-owned dams with a known hazard classification
- Up to \$7,632,520 for privately owned High-Hazard dams

50% Project Cost Share with the following **per project** cost-share maximums based on ownership type, hazard classification, and the anticipated resulting Operation and Maintenance Certificate type upon project completion:

<u>Owner Type</u>	<u>Resulting O&amp;M Certificate on Project Completion</u>	<u>Hazard Classification</u>		
		<u>High</u>	<u>Significant</u>	<u>Low</u>
<u>Private</u>	<u>Approved Regular O&amp;M</u>	<u>\$1,000,000</u>	<u>\$500,000</u>	<u>\$250,000</u>
	<u>Remains Conditional O&amp;M</u>	<u>\$500,000</u>	<u>\$250,000</u>	<u>\$125,000</u>
<u>Local Government</u>	<u>Approved Regular O&amp;M</u>	<u>\$500,000</u>	<u>\$250,000</u>	<u>\$125,000</u>
	<u>Remains Conditional O&amp;M</u>	<u>\$250,000</u>	<u>\$125,000</u>	<u>\$62,500</u>

*Table 1. Per-Project/Dam Grant Request Cost-Share Maximums*

### **Criteria**

1. Dam is regulated by the Dam Safety Act
2. Dam is a local government or privately owned dam.
3. Limited to one application per dam.
4. Has an approved and active Operation and Maintenance Certificate (Conditional or Regular) on file with DCR at the time of application.
5. Has an approved Inundation Study, including hazard classification, on file with DCR at the time of application.
- ~~4-6.~~ Has approved plans and specifications for any construction project along with the approved alteration permit on file with DCR at the time of application.
7. ~~Proposed~~ After completion of construction activities, a record report is submitted to DCR before or when requesting reimbursement.
8. Total project maximum is based on project scope as determined by the resulting Operation and Maintenance Certificate:
  - a. For the maximum eligible cost-share amount, the project must bring the dam into full compliance with Dam Safety Act and its attendant Regulations ~~and the application for a. A~~



Regular Operation and Maintenance Certificate application must ~~accompany~~ be submitted prior to or with the reimbursement request. If unanticipated field conditions or other force majeure events delay the project beyond the performance period, the applicant may request a waiver from the Director for the issuance of a Conditional Certificate in lieu of a Regular Certificate.

- b. For the lower cost-share amount, the project must complete at least one major project as sanctioned in an approved alteration permit to address a known deficiency. The dam may remain under a Conditional Operation and Maintenance Certificate after construction completion.

~~2-9.~~ Deferred maintenance ~~is~~ projects are not eligible for funding.

~~4.—One application per dam with maximum funding not to exceed \$500,000~~

10. Dam removal projects may propose a design-build approach and be exempt from the requirements to have approved plans and specifications and a hazard classification on file with DCR at the time of application. However, a construction emergency preparedness plan must be approved by DCR prior to starting construction activities. Dam removal projects are eligible for the maximum funding based on ownership type and hazard classification, irrespective of the resulting Operations and Maintenance Certificate on completion. On or prior to the reimbursement request, the owner's engineer must provide certification (see 4VAC50-20-80) the dam was removed in accordance with the alteration permit.

## Eligible Activities

1. Repair and/or Safety Modifications to address any of the following:
  - a. Static failure mode:
    - i. Fails to meet stability criteria
    - ii. Settlement, cracking, depressions/sinkholes, slumps/sloughs
    - iii. Seepage
    - iv. Instrumentation readings are indicative of a problem
    - v. Known design and/or construction issues
    - vi. Non-routine operational issues
  - b. Hydrologic failure mode:
    - i. Deficiency of spillway design flood
    - ii. No spillway redundancy
    - iii. Spillway condition is in poor or unsatisfactory condition
    - iv. Non-routine operational issues
  - c. Seismic failure mode:
    - i. Does not meet state-required seismic stability criteria
    - ii. Embankment or foundation comprised of liquefiable materials
  - d. Other repairs or safety modifications required by the Conditional Operation and Maintenance Certificate ~~—Does not include; however,~~ maintenance activities are ineligible for funding.
2. Removal of an unsafe dam where no new impounding structure will be rebuilt.

## Part IV: Dam Safety Scope of Work Narrative

All applications must include a Scope of Work Narrative that is an attachment to the application document. The Scope of Work Narrative shall include a detailed description of the need for assistance and the work to be conducted to address that need. Appendix B must be included in the submission. The Scope must also describe how the project meets the criteria in Appendix C, identify risk reduction benefits to be achieved from the project, goals and objectives, the approach, milestones and deliverables of the project, a maintenance plan, if applicable, and any alternatives considered for each grant application. Additional details for each category are listed below.

1. ***Need for Assistance:*** Identify and describe any relevant issues or problems to be addressed by the project and the proposed activity to be accomplished by the grant program.
  - TheFor Project Type 2, the applicant must submit a Regular or Conditional Operation and Maintenance Certificate Application and associated fee no later than the grant application deadline. A current professional engineer's inspection must be on file with DCR at the time of the grant application submittal.
  - For Project Type 3, the applicant must attach a copy of a current Conditional or Regular Operation and Maintenance Certificate or Letter of Engagement.
2. ***Scoring Criteria:*** Describe how the project meets each of the applicable scoring criteria contained in Appendix B; and provide documentation where necessary. Documentation can be incorporated into the Scope of Work Narrative or included as attachments to the application. At a minimum, an applicant must identify if the project impacts any of the following: Majormajor public street or road; secondary public street or road; privatepublic street or road; limited use public street or road; private road or driveway; service or access road; public water or sewer treatment; public water system; public sewer system; public pump or lift station; electric; gas; cable; communications; business structures; industrial structures; public structures (school, library, fire, police, etc.) Appendix B must be completed and submitted with the application.
3. ***Risk Reduction Benefits Expected:*** Briefly discuss the expected results and **risk reduction benefits** of the project. The proposal should describe how the project is part of a complete approach to addressing dam deficiencies, such as those required in the Conditional Operation and Maintenance Certificate, where applicable, or flood impacts.
4. ***Goals and Objectives:*** Identify and describe the goals and objectives of the project. Include a description of the expected results of the completed project and explain the expected benefits of the project. This may include financial benefits, increased awareness, decreased risk, etc.

5. ***Approach, Milestones and Deliverables:*** Outline a plan of action laying out the scope and detail of how the proposed work will be accomplished with a timeline identifying expected completion dates. Determine milestones for the project that will be used to track progress. Explain what deliverables can be expected at each milestone, and identify the final project deliverables. 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.
  - ***Please note no analysis or study will be approved for reimbursement if the methodology used to conduct the analysis or study does not meet Dam Safety Regulations and Floodplain Management standards.***
6. ***Maintenance Plan:*** Applications for Repair and Safety Modification projects must ~~be~~ provide a maintenance plan demonstrating how the dam will be maintained for the expected lifespan of the project, or at least 50 years. Ongoing operation and maintenance will be the financial responsibility of the applicant and will not be eligible for monies from the Fund.
7. ***Alternatives:*** Applications for Repair and Safety Modifications must briefly describe any alternatives to the proposed activity that have been considered and the reason the project was selected. One alternative should be doing nothing, and one alternative should be another project type that could reasonably address the issues identified. Explain these alternatives and the reason the proposed project was selected. Include how the two alternatives differ from the proposed activity, and how the cost and benefit of the alternatives ~~compares~~compare to the proposed activity.

## Part V: Dam Safety Budget and Budget Narrative

Each application must include a detailed Budget and Budget Narrative explaining all proposed expenditures. The budget narrative is applicable to requests for all grant requests in this manual. The following items must be included in the Budget Narrative:

- ***Estimated total project cost and amounts requested from the fund:*** This must reflect the total cost of bringing the project to completion and reflect the amount of funds requested from the Fund. ~~Estimates~~ Estimates for all work to be completed by third parties (engineers, contractors, etc.) on the specified project should be included. Include a detailed breakdown of how this funding is proposed to be allocated between the applicant and the ~~fund~~Fund. At a minimum, the budget and budget narrative should include a breakdown of salaries, fringe benefits, travel, equipment, supplies, construction, contracts, and other direct costs. The amount allocated to the Fund cannot exceed 50 percent of estimated total project costs ~~or~~and cannot exceed \$1,000,000 in Project Type 3. Indirect costs are not allowable.
- ***Amount of cash funds available:*** The applicant must demonstrate the ability to pay the full cost (100%) of the project prior to reimbursement. 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.
- ***Resolution authorizing the request for funding:*** Localities seeking funding shall attach a resolution or other authorizing documentation approving the request for funding.

For ~~non-localities~~private entities, a pledge agreement or other authorizing documentation is required for each contribution, signed by the authorized representative of the contributing organization and the applicant organization, if different, which must include the following:

- The name, address, and telephone number of the contributor;
- The name of the applicant organization;
- The title of the project for which the cash contribution is made;
- The source of funding for the cash contribution;
- The dollar amount of the cash contribution; and
- A statement that the contributor will pay the cash contribution during the agreement period.

**In-kind services, indirect costs, loans, or other grant funds awarded from the Fund may NOT be used as match funds. Monies used to match other funding streams are also NOT allowed as a match for this grant program.**

## Part VI: Additional Funding Resources:

### Private Entities:

#### **Virginia Small Business Financing Authority**

(VSBFA) - <https://www.sbsd.virginia.gov/virginia-small-business-financing-authority/>

Contact: Anna Mackley, Chief Credit Officer & Operations Manager

[anna.mackley@sbsd.virginia.gov](mailto:anna.mackley@sbsd.virginia.gov) [anna.mackley@sbsd.virginia.gov](mailto:anna.mackley@sbsd.virginia.gov)

#### **Virginia Community Capital (VCC) - <https://www.vacommunitycapital.org/>**

Contact page for the lending team: <https://www.vacommunitycapital.org/about/staff/lending/>

### Local Governments:

[Inquire with your locality about possible nutrient credit trading program funding or similar programs.](#)

#### **USDA Rural Development Virginia Office - <https://www.rd.usda.gov/va>**

State Director: [Elizabeth Walker Green](#) 804-287-1552

Community Programs: [Janice Stroud-Bickes](#) 804-287-1615

# Appendix A: Application Form for Dam Safety Projects

Virginia Department of Conservation and Recreation

Dam Safety, Flood Prevention and Protection Assistance Fund Grant Program

Type of Applicant (Check one): ☐ Public Government Entity ☐ Private Entity

Dam Name: \_\_\_\_\_

Dam Inventory Number: \_\_\_\_\_

Name of Dam Owner (1): \_\_\_\_\_

Signature of Dam Owner: \_\_\_\_\_

Email Address: \_\_\_\_\_ Phone No: \_\_\_\_\_

Name of Dam Owner (2): \_\_\_\_\_

Signature of Dam Owner: \_\_\_\_\_

Email Address: \_\_\_\_\_ Phone No: \_\_\_\_\_

(If additional dam owners, please see page two of the application)

## APPLICANT INFORMATION

Name of Applicant: \_\_\_\_\_

Signature of Applicant: \_\_\_\_\_

Mailing Address (1): \_\_\_\_\_

Mailing Address (2): \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone Number: (\_\_\_\_) \_\_\_\_\_ Cell Phone Number: (\_\_\_\_) \_\_\_\_\_

Email Address: \_\_\_\_\_

Project Type (select only one project type):

**Project Type 1: Engineering Studies**

- ☐ Dam Break Inundation Zone Analysis, Mapping, and Digitization
- ☐ Emergency Plan Development (EAP Emergency Action Plan)
- ☐ Professional Engineer Inspection

**Project Type 2: Plans, Specifications and Engineering Studies**

- ☐ ~~\_\_\_\_\_~~
- ☐ Dam Break Inundation Zone Analysis, Mapping, and Digitization with Hazard Classification
- ☐ Emergency Plan Development (EAP Emergency Action Plan or EPP Emergency Preparedness Plan)
- ☐ Spillway Capacity, Integrity, or Overtopping Analysis
- ☐ Alternatives Analysis for Spillway Capacity and Stability
- ☐ Geotechnical Investigation and/or Structural with Slope Stability Analysis for Dam, including Static, Seismic, and Spillway Stability
- ☐ Engineering and Design for one of the following:
  - o Dam Embankment Wave Run-up or Wave Berm Construction and Reconstruction Analysis and Plan
  - o Dam Graded Filter Drains, Toe Drains, Drainpipes and/or /Underdrain Analysis and Plan
  - o Principal and/or Emergency Spillway and Repair/Replacement Plan
  - o Trash Rack and/or Anti-Vortex Device Analysis and Repair/Replacement Plan
  - o Dam Embankment Culvert or Pipe Analyses and Repair/Replacement Plan (Hydraulic or Structural)
  - o Outlet/Stilling Basin Analysis and Repair/Replacement Plan

**7.1. Dam Primary Mechanical Flow Control Evaluation and Repair Plan (Valves, Siphons, etc.)**

Engineering and Design for one of the following:

- a. ~~Dam Embankment Wave Run-up or Wave Berm Construction and Reconstruction Analysis and Plan~~
  - o ~~Dam Graded Filter Drains, Toe Drains, Drainpipes and/or /Underdrain Analysis and Plan~~
- b. a. ~~Principal and/or Emergency Spillway and Repair/Replacement Plan~~
- c. a. ~~Trash Rack and/or Anti-Vortex Device Analysis and Repair/Replacement Plan~~
- d. a. ~~Dam Embankment Culvert or Pipe Analyses and Repair/Replacement Plan (Hydraulic or Structural)~~
- e. a. ~~Outlet/Stilling Basin Analysis and Repair/Replacement Plan~~
  - o ~~Dam Primary Mechanical Flow Control Evaluation and Repair Plan (Valves, Siphons, etc.)~~
  - o ~~Dam or Lake Drain/Low-Level Outlet Analysis and Repair Plan~~
  - o Analyses and Repair/Replacement of Erosion or Deteriorated Appurtenant Structures

- ☐ Final plans and specifications suitable for dam rehabilitation
- ☐ (May include final report incorporating multiple elements (i.e., #1-4) to consolidate into one grant application)
- ☐ Installation of remote monitoring system

### **Project Type 3: Repairs, Safety Modifications and Removal**

- ☐ Repairs and/or Safety Modifications to address any of the following:
  - Static failure mode:
    - Fails to meet stability criteria
    - Settlement, cracking, depressions/sinkholes, slumps/sloughs
    - Seepage
    - Instrumentation readings are indicative of a problem
    - Known design and/or construction issues
    - Non-routine operational issues
  - Hydrologic failure mode:
    - Deficiency of spillway design flood
    - No spillway redundancy
    - Spillway condition is in poor or unsatisfactory condition
    - Non-routine operational issues
  - Seismic failure mode:
    - Does not meet state-required seismic stability criteria
    - Embankment or foundation comprised of liquefiable materials
  - Other repairs or safety modifications required by the Conditional Operation and Maintenance Certificate - Does not include maintenance.
- ☐ Removal of an unsafe dam where no new impounding structure will be rebuilt

**Location of Project (Include Maps):** \_\_\_\_\_

**Total Cost of Project:** \_\_\_\_\_

**Total Amount Requested:** (Not more than 50% of total costs) \_\_\_\_\_

#### **Additional Dam Owners**

**Name of Dam Owner (3):** \_\_\_\_\_

**Signature of Dam Owner:** \_\_\_\_\_

**Email Address:** \_\_\_\_\_ **Phone No:** \_\_\_\_\_



**Name of Dam Owner (4):** \_\_\_\_\_

**Signature of Dam Owner:** \_\_\_\_\_

**Email Address:** \_\_\_\_\_ **Phone No:** \_\_\_\_\_

# Appendix B: Scoring Criteria for Dam Safety Projects

Virginia Department of Conservation and Recreation

Dam Safety, Flood Prevention and Protection Assistance Fund Grant Program

Name of Applicant: \_\_\_\_\_

Dam Name: \_\_\_\_\_

Dam Inventory Number: \_\_\_\_\_

<b>Dam Name:</b>		<b>Dam Inventory Number:</b>	
<b>Eligibility Information</b>			
<b>Criterion</b>	<b>Description</b>	<b>Check One</b>	
<b>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, homeowners association, or other nongovernmental entities)?</b>			
Local Government	Eligible for consideration under this category <del>LOE Only</del>		
Private Entity	Eligible for consideration under this category		
Other	Not eligible for consideration under this category		
<b>2. Has this or any portion of this project been included in any application previously funded by Fund? This does not include necessary updates to EAP, DBIZ, <del>etc</del> or other projects required due to updates to dam safety regulations</b>			
Yes	Not eligible for consideration under this category		
No	Eligible for consideration under this category		
<b>3. Has the applicant provided evidence of an ability to provide the required match funds?</b>			
Yes	Eligible for consideration under this category		
No	Not eligible for consideration under this category		
<b>4. Has the applicant maintained proper Certification during the past twelve months or provided sufficient documentation regarding efforts to bring the dam into compliance? (Include copy)</b>			
Yes	Eligible for consideration under this category		
No	Not eligible for consideration under this category		

<b>Dam Name:</b>		<b>Dam Inventory Number:</b>	
<b>Scoring Information</b>			
<b>Criterion</b>		<b>Point Value</b>	<b>Points Awarded</b>
<b>5. What is the hazard classification or size of the dam? (select one))*</b>			
High	Confirmed spillway deficiency	30 pts	
Significant	Confirmed spillway deficiency	15 pts	
Low	Confirmed spillway deficiency	8 pts	
Large Dam (Top Capacity ≥ 50,000 Ac-Ft or Height ≥ 100 Ft)	No hazard class determination	20 pts	
Medium (Top Capacity ≥ 1,000 & < 50,000 Ac-Ft or Height ≥ 40 & < 100 Ft)	No hazard class determination	10 pts	
Small (Top Capacity ≥ 15 & < 1,000 Ac-Ft or Height ≥ 6 & < 40 Ft)	No hazard class determination	4 pts	
High	Adequate spillway capacity	10 pts	
Significant	Adequate spillway capacity	5 pts	
Low	Adequate spillway capacity	2 pts	
<b>6. Number of residential units within the probable dam break inundation zone of the dam**</b>			
101 or more		20 pts	
21-100		15 pts	
11-20		10 pts	
1-10		5 pts	
0 (or undetermined)		0 pts	
<b>7. Will public roadways, public utilities, and/or commercial structures be impacted within the dam's probable dam break inundation zone**</b>			
Public Roadways, public utilities, and commercial structures		10 pts	
Any two of the above		7 pts	
One of the above		4 pts	
None of the above		0 pts	
Unknown		0 pts	

<b>8. What is the most common land use downstream within the likely dam break inundation zone?</b>		
Residential/Commercial/Industrial or equivalent	5 pts	
Agricultural or equivalent	3 pts	
Other	1 pts	
Unknown	0 pts	
<b>9. What is the public use of the impoundment created by the dam?</b>		
Public water supply, public water treatment, and public recreation access (Does not include private or restricted access communities)	5 pts	
Public water supply or public water treatment only	3 pts	
Public recreational access only (Does not include private or restricted access communities)	2 pts	
No public access or use (Includes private or restricted access communities)	0 pts	
<b>10. Eligible Projects (Select only one)</b>		
<b>Project Type 1: <del>Letters of Engagement Only</del>Unknown Hazard Dams</b>		
Dam Break Inundation Zone Analysis, Mapping, and Digitization	50 pts	
Emergency Plan Development (EAP Emergency Action Plan)	50 pts	
Professional Engineer Inspection	40 pts	
<b>Project Type 2: <del>Repairs, Safety Modifications</del>Plans, Specifications, Engineering Studies, and RemovalInstrumentation</b>		
Dam Break Inundation Zone Analysis, Mapping, and Digitization	50 pts	
Emergency Plan Development (EAP/EPP)	50 pts	
Spillway Capacity, Integrity, or Overtopping Analysis	30 pts	
<del>— Alternatives Analysis for Spillway Capacity and Stability</del>	<del>20 pts</del>	
Geotechnical Investigation and/or Structural Analysis for Dam/Spillway Stability	35 pts	
Engineering and Design	25 pts	
Final plans and specifications suitable for rehabilitation	45 pts	
<b>Project Type 3: <del>Repairs, Safety Modifications and Removal</del> Installation of remote monitoring system</b>	<u>25 pts</u>	

- <u>Installation of remote monitoring system</u> that transmits data to NWS	30 pts	
<b><u>Project Type 3: Repairs, Safety Modifications and Removal (Construction)</u></b>		
Repair or Safety Modification		
Addresses Failure Modes (Static/Hydrologic/Seismic)	50 pts	
Other Repairs or Safety Modifications	25 pts	
Removal of Unsafe Dam - No New Dam Rebuilt	30 pts	
<b>Total Points</b>		

## Appendix C: Documentation Checklist for Dam Safety Applications

Virginia Department of Conservation and Recreation

Dam Safety, Flood Prevention and Protection Assistance Fund Grant Program

Name of Applicant: \_\_\_\_\_

Scope of Work Narrative	
Required Components	Included
Need for Assistance Narrative	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Operation and Maintenance Certificate <del>or Letter of Engagement</del>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Application Appendix A	<input type="checkbox"/> Yes <input type="checkbox"/> No
Scope of Work Narrative	
Need for Assistance	<input type="checkbox"/> Yes <input type="checkbox"/> No
Completed Scoring Criteria Sheet in Appendix B	<input type="checkbox"/> Yes <input type="checkbox"/> No
Risk Reduction Benefits Expected	<input type="checkbox"/> Yes <input type="checkbox"/> No
Goals and Objectives	<input type="checkbox"/> Yes <input type="checkbox"/> No
Approach, Milestones and Deliverables	<input type="checkbox"/> Yes <input type="checkbox"/> No
Maintenance Plan	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Alternatives	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Budget Narrative	
Supporting Documentation	Included
Locality Applicants: Resolution or other documentation authorizing the request for funding <del>(LOE Only)</del>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Non-locality Applicants: Signed pledge agreement(s) or other authorizing documentation from each contributing organization	<input type="checkbox"/> Yes <input type="checkbox"/> No
Detailed budget and narrative of how funding is to be allocated	<input type="checkbox"/> Yes <input type="checkbox"/> No
Proof / Evidence of ability to fund <u>the</u> total cost (100%) of <u>the</u> project prior to Reimbursement	<input type="checkbox"/> Yes <input type="checkbox"/> No

## Appendix D: Extension Request Form

Virginia Department of Conservation and Recreation

Dam Safety, Flood Prevention and Protection Assistance Fund Grant Program

### *Request to Amend Contract between Virginia Resources Authority and Grant Recipient of the ~~2023~~ 2024 Dam Safety, Flood Prevention and Protection Assistance Fund Grant*

All projects are required to commence and to be completed within the twenty-four (24) months following the issuance of a signed agreement between the applicant and VRA on behalf of DCR. A one-year extension may be granted at the discretion of DCR, provided such request is **received not later than 120 days prior to the expiration of the original agreement**. Requests should be emailed to [dam@dcv.virginia.gov](mailto:dam@dcv.virginia.gov). If email is not available, please mail to:

Virginia Department of Conservation and Recreation  
Attention: Dam Safety, Flood Prevention and Protection Assistance Fund  
Division of Dam Safety ~~and Floodplain Management~~  
600 East Main Street, 24<sup>th</sup> Floor  
Richmond, Virginia 23219

Grant Recipient: \_\_\_\_\_

Contact Name: \_\_\_\_\_

Mailing Address (1): \_\_\_\_\_

Mailing Address (2): \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

*Is this a new address?*   ☐ Yes   ☐ No   *Has the Contact Name changed?*   ☐ Yes   ☐ No

Telephone Number: (\_\_\_\_) \_\_\_\_\_ Cell Phone Number: (\_\_\_\_) \_\_\_\_\_

Email Address: \_\_\_\_\_

Grant Number: \_\_\_\_\_

Type of Project (Check one):   ☐ Dam Safety   ☐ Flood Prevention and Protection





**DCR Use Only**

Virginia Department of Conservation and Recreation	Date Approved	Date Denied
Printed Name	Title	
<div></div>		

**VRA Use Only**

Virginia Resources Authority	Date Received	Date Grant Modified
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