Federal Emergency Management Agency

PUBLIC ASSISTANCE

Standard Operating Procedure

Project Formulation

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September 1999

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PROJECT FORMULATION

Standard Operating Procedure

This Standard Operating Procedure (SOP) has been written for FEMA's Public Assistance Program for use at the Disaster Field Office (DFO) during the recovery phase of operations.

Purpose

The purpose of this SOP is to explain the process to be used to formulate damage sites into work projects and to provide instructions for the applicant, the Applicant Liaison, the Public Assistance Coordinator (PAC), the Project Officer (PO), and technical Specialists.

Scope

This SOP covers the procedures used for developing and submitting *Project Worksheets (PWs)* for small projects completed by an applicant or Specialist and *PWs* for large projects completed by a PO. It also describes necessary backup documentation and the record keeping requirements of the applicant. It does not cover specific details on the Cost Estimating Format (CEF).

Tools needed for Project Formulation

- Applicant's list of damage sites

- *Project Worksheet* (FEMA Form 90-91)
  - *Project Worksheet - Damage Description and Scope of Work Continuation Sheet* (FEMA Form 90-91A)
  - *Project Worksheet - Cost Estimate Continuation Sheet* (FEMA Form 90-91B)
  - *Project Worksheet - Maps and Sketches Sheet* (FEMA Form 90-91C)
  - *Project Worksheet - Photo Sheet* (FEMA Form 90-91D)
  - *Special Considerations Questions* (FEMA Form 90-120)
  - Time / Equipment records
    - *Force Account Labor Summary Record* (FEMA Form 90-123)
    - *Force Account Equipment Summary Record* (FEMA Form 90-127)
    - *Material Summary Record* (FEMA Form 90-124)
    - *Rented Equipment Summary Record* (FEMA Form 90-125)
    - *Contract Work Summary Record* (FEMA Form 90-126)
    - *Fringe Benefit Rate Sheet* (FEMA Form 90-128)
  - Cost Estimating Format - Large Project Report
  - Cost Estimating Format Spreadsheet

- Public Assistance Job Aids
  - Eligibility
  - Immediate Needs Funding
  - Kickoff Meeting

  - Project Formulation
  - Small Project Validation

- Public Assistance Standard Operating Procedures
  - Kickoff Meeting
  - Case Management File
  - Small Project Validation
  - Cost Estimating Format
  - Special Considerations

- Reference Documents
  - Robert T. Stafford Disaster Relief and Emergency Assistance Act, P.L. 93-288 as amended
  - 44 Code of Federal Regulations
  - *Public Assistance Guide* (FEMA 286, to be replaced by FEMA 322)
  - *Public Assistance Policy Digest* (FEMA 321)
  - *Public Assistance Eligibility* – CD ROM
  - *Applicant Handbook* (FEMA 323)

- Applicant's Backup Documentation
  - Project location maps
  - Damage and repair sketches
  - Photographs of damage
  - Insurance policies
  - Applicable codes and standards
  - Facility maintenance records or pre-disaster condition surveys
  - Photographs of damage
  - Contracts or Contractor Bids
  - Rental Agreements
  - Receipts
  - Time / Equipment records (if applicable)
    - *Force Account Labor Summary Record*
    - *Force Account Equipment Summary Record*
    - *Material Summary Record*
    - *Rented Equipment Summary Record*
    - *Contract Work Summary Record*
    - *Fringe Benefit Rate Sheet*

OVERVIEW

This Standard Operating Procedure describes the actions taken by the applicant to formulate and submit small projects, the steps taken by the Applicant Liaison and the Public Assistance Coordinator (PAC) to ensure applicant understanding of eligibility requirements, and the procedures used by the Project Officer in developing large projects.

Project formulation is the process of documenting the eligible facility, the eligible work and the eligible cost for damaged projects. Formulation allows the consolidation of similar work items into projects to expedite approval and funding and to facilitate project management. More than one damage site may be combined in a project. This offers flexibility in organizing and managing the work around the applicant's needs. The applicant is responsible for identifying all damages and determining how work projects will be formed.

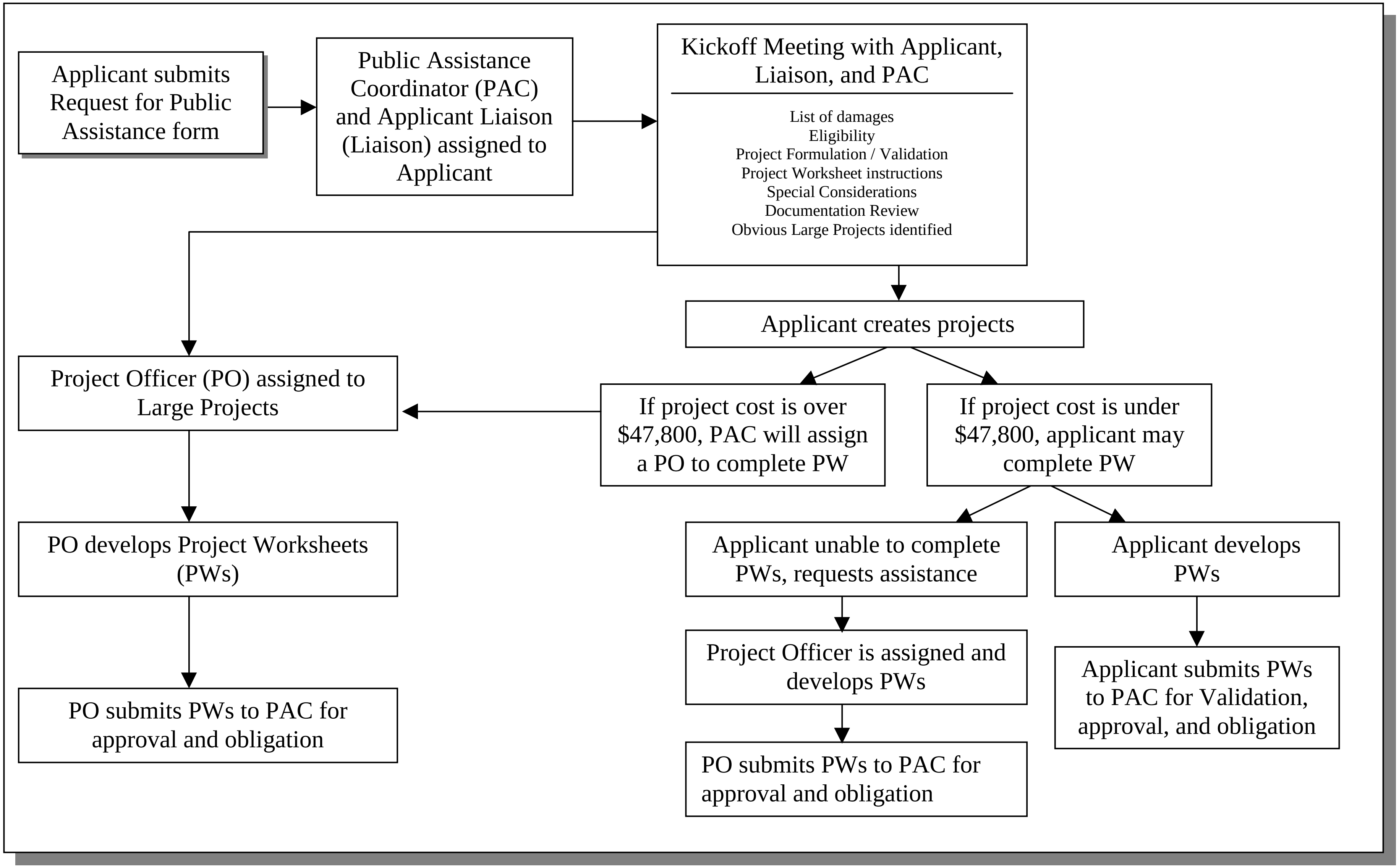
A *Project Worksheet (PW)* is the form used to document the scope of work and cost estimate for a project. This form supplies FEMA with the information necessary to approve the scope of work and itemized cost estimate prior to funding. Each project is documented on a separate *PW*. The approved *PW* then becomes the basis for funding under the Public Assistance Program.

To facilitate review, approval, and funding, work projects are divided by dollar amount into small and large categories. In most disasters, the majority of work consists of small projects. A small project is any eligible work, either emergency or permanent, costing from $1,000 to $47,800 ($47,800 for Federal fiscal year 1999 and adjusted annually). The applicant is responsible for providing the scopes of work and cost estimates for small projects whenever possible. Assistance will be provided for any applicant unable to develop his/her own small project *PWs*. Funding for small projects is based on the Federal share of the approved estimate of eligible work. The Federal share for small projects will be no less than 75% of the approved eligible work estimate.

A large project is any eligible work with damage costs over $47,800 (fiscal year 1999). Large projects will be formulated as a team effort with FEMA, State and a local representative as partners. Funding for large projects is based on the Federal share of the actual costs to complete the eligible scope of work. The funding for each large project will be adjusted after all work is complete. The Federal share of large projects will be no less than 75% of the actual cost to repair the eligible damage.

All documentation pertaining to a project will be filed together with the corresponding *PW* and maintained by the applicant as the permanent record of the project. The applicant must maintain this supporting documentation for three years from the date the State closes the applicant's grant.

Project Formulation Process Flow Chart



THE PROCESS

Background

- The Public Assistance process is initiated when an applicant submits a *Request for Public Assistance (Request)***.** Typically, the *Request* form can be submitted at the Applicants' Briefing, but may be submitted up to 30 days after the designation of a county for public assistance.

- As *Requests* are submitted, the State appoints an Applicant Liaison (Liaison) to work closely with the applicant to ensure that all State procedures and documentation needs are adhered to. The Liaison will work closely with the applicant and FEMA throughout the recovery process.

- Once the *Request* has been forwarded to FEMA, the applicant is assigned to a program expert called the Public Assistance Coordinator (PAC) who will serve as their customer service representative on Public Assistance Program matters and who will manage the processing of the applicant's recovery projects. The PAC, in coordination with the Liaison, will personally:

  - Work with the applicant to identify needs, problems and potential funding issues
  - Secure the appropriate resources to assist the applicant in completing the *PWs*
  - Track the applicant's projects as they are processed
  - Ensure consistent, equitable, efficient and effective delivery of the program

  The PAC has the authority to approve projects up to $100,000, and will recommend approval on all other projects. This eliminates the need for multiple reviews, and expedites grant processing.

- Within one week of FEMA's receipt of the *Request*, the PAC, in conjunction with the Liaison, will contact the applicant to set up a Kickoff Meeting.

The Kickoff Meeting

At the Kickoff Meeting, the PAC provides a detailed review of the program as it applies to a specific applicant. It is the first meeting of the applicant, Applicant Liaison (Liaison), and the Public Assistance Coordinator (PAC). It is at this meeting that the applicant's damages are discussed, needs assessed, and a plan of action put into place. The PAC and Liaison explain what is expected of the applicant, and provide detailed instructions on what to do and how to do it. Refer to the *Kickoff Meeting Job Aid* included as Appendix A.

During the Kickoff Meeting, the PAC and Liaison also address issues, such as insurance, environmental protection, historic preservation, and hazard mitigation opportunities that may potentially affect the type and amount of assistance available and the documentation needed.

- The PAC, Liaison, and applicant review the applicant's list of damage sites to evaluate the magnitude of damages sustained and the amount of work to be done.

- The applicant explains how they normally plan and manage their capital improvement and maintenance projects.

  - This provides the PAC with the background needed to advise the applicant on various grouping techniques that might be best utilized under these specific circumstances.

- The PAC explains the four types of projects and the advantages/disadvantages associated with each.

  - Small Projects
  - Large Projects
  - Improved Projects
  - Alternate Projects

- The PAC explains the work and cost eligibility requirements and describes the seven work categories that the applicant will need to be familiar with. Refer to Appendix B - *Eligibility Job Aid*.

- The PAC provides the applicant with *PW* (Appendix C) to be completed for all small projects. Other forms and job aids, along with a copy of the *Applicant Handbook,* are also distributed to the applicant to serve as reference material.

- The PAC explains in detail how to develop a good Scope of Work (SOW) and cost estimate for small projects.

  - The PAC goes over this material to ensure that the applicant understands the process and feels comfortable about completing the forms.

  - If the applicant has never participated to this extent in the recovery process before, the PAC may assign a Specialist to the applicant to provide guidance and technical assistance until the applicant feels comfortable in completing their own paperwork.

  - If the applicant does not have the capability to complete the *PW,* for whatever reason, a trained Public Assistance Specialist is assigned to develop the *PWs* for the applicant.

- The PAC and applicant discuss any known large projects identified on the list of damages supplied by the applicant.

- Since large projects are more complex in nature, all identified large projects will be assigned to a Project Officer who will be responsible for working with the applicant and the State to develop the scope of work and cost estimate.

- The Liaison will provide the applicant with guidance on State procedures and documentation requirements.

- The PAC and applicant will discuss any known Special Considerations issues.

Documenting the Damage

- The applicant will identify all damage sites.
- The applicant may combine damage sites into work projects.
- Any projects with costs estimated over $47,800 (fiscal year 1999) will be considered large projects and a Project Officer will be assigned to complete the *PWs*.
- Applicants may complete their own small project *PWs*. The *Applicant Handbook* and the *Public Assistance Guide* provide guidance and eligibility requirements. (Also see Appendices A, B and D).
- Once small project *PWs* are completed, the applicant submits them to the PAC.
    - ➢ The deadline for submission of any damages that were not previously identified is 60 days from the date of the Kickoff Meeting.
- The PAC checks the *PWs* for completeness of scope of work and potential Special Consideration issues, obtaining additional information from the applicant when necessary.
    - ➢ Once all, or a significant portion of the small project *PWs* have been submitted, the applicant will request validation to take place. A 20% sampling of all small projects completed by the applicant is validated to ensure program compliance prior to the PACs approval and obligation.
        - – *PWs* submitted within 30 days of Kickoff Meeting are eligible for an expedited 20% sampling validation process.
        - – *PWs* submitted more than 30 days past the Kickoff Meeting may be subject to 100% validation.
- For applicants not developing their own *PWs*, a trained Specialist will be assigned to complete the *PWs*.
    - ➢ The Specialist will view the damage site and review all associated records to establish a complete scope of work and cost estimate.
    - ➢ Once completed, the Specialist's will submit the *PWs* to the PAC for approval and obligation. No validation process is necessary on these *PWs* since the Specialist has already visited the site and reviewed the documentation.

CREATING A PROJECT

A project is a logical method of performing work required as a result of the declared event. Projects may consist of one damage site or may be made up of several sites. This offers flexibility in organizing and managing work around the applicant's needs.

- The applicant, in coordination with the PAC, will combine various recovery efforts into work projects. The projects should be formulated to meet the recovery needs of the applicant.
- Multiple damage sites and eligible work may be combined into a single project for a variety of justifiable reasons. Any reasonable method of managing the projects may be selected. (Refer to Appendix D *Project Formulation Job Aid.)*

  Applicants may use, but are not limited to, the following examples:

  - **Specific Site –** all work at a specific site may be a project, such as a single road washout site. This method is used often if the site has Special Considerations.
  - **Specific Facility –** all work on a bridge may be a project or restoration of a building and its contents may be a project. This method is used most often for large projects.
  - **Type of Damage –** all work under a specific category may be a project such as debris removal (category A) or all work at certain types of facilities may be a project, such as all gravel roads on one project and all paved roads on another.
  - **System –** all work to a system may be a single project, for example, repairs to the water distribution system including multiple waterline breaks may be one project.
  - **Jurisdiction –** all work within a specific area such as a park may be a project or all work within an administrative department of an applicant, such as the city police, fire, and public works departments, may each be a project.
  - **Method of Work –** a project may be grouped around how the work will be completed. For example, all work completed under a single contract may be a project. Or, all work that is undertaken by a force account work crew may be a project.
  - **Complex –** for extensive damage to several facilities at a complex, for example, a high school. All damage at the school could be combined into one project, or separated into several projects, such as all roof repair, or all work done by a single contractor, or all repairs done by force account.
  - **Special Considerations –** a project may be grouped by special issues that might take longer to resolve, such as environmental or historic concerns, or hazard mitigation proposals.

- Emergency Work and Permanent Work are the two major types of work used to classify a project.

- Emergency Work Categories:

  - A - Debris Removal
  - B - Emergency Protective Measures

- Permanent Work Categories:

  - C – Road System
  - D – Water Control Facilities
  - E – Public Building and Equipment
  - F – Public Facilities
  - G – Parks, Recreational, and Other

More than one category of work may be combined in a single project if the combination is practical and within the emergency or permanent work categories. Emergency work may be combined with permanent work only when the emergency work is incidental to the permanent repair.

- The applicant is encouraged to provide the scopes of work and cost estimates for small projects whenever possible. Assistance will be provided for any applicant unable to develop his/her own *PWs*.

- The applicant should not breakdown a logical large project into several small projects solely for the purpose of receiving funding based on estimate.

TYPES OF PROJECTS

Formulated projects will result in one of four (4) types of projects with different funding restrictions. The four types of projects are:

Small Projects

A small project is eligible work, either emergency or permanent, which has a cost estimate less than the current threshold for large / small projects. This threshold changes every October 1st, based on the consumer price index. For Federal fiscal year 1999 the threshold is $47,800. Note that if numerous individual sites are combined in such a way that the cost estimate exceeds the small project threshold, the project will be considered a large project. This is true even if all individual sites within the project are damaged less than the large project threshold amount.

Funding for small projects is based on the approved estimate to complete the scope of work. If the applicant discovers a significant cost overrun related to the actual cost to complete all estimated small projects, then an appeal may be submitted for the additional funds within 60 days of completing the last small project.

Advantages

- Small projects are funded on estimates instead of incurred costs. This allows for faster funding since the project can be funded prior to completion of the actual work.
- If the applicant is able to complete a small project under budget, the applicant may retain the excess funds.
- Applicants may develop and complete their own *PWs* for small projects. This empowers the applicant and should ensure that all eligible work and costs are listed to the applicant's work specifications.

Disadvantages

- Since funding of small projects is by estimate, if the applicant underestimates the cost, the applicant is not funded for the total cost.
    - The only way to receive additional funding for a small project, is for the applicant to substantiate an over-run situation on all small projects, including any under-runs that may have been realized.
- If an applicant wants to complete the *PWs* on their small projects, but are short-handed, it may place a burden on the applicant's resources.

Small Project with Special Considerations Issues

The decision to write separate *PWs* for Special Considerations (SC) issues or to combine them with like work must also be considered when formulating small projects.

Advantage

- Combining Special Considerations with other work allows the applicant to maintain normal records without having to separate parts of a work project.

Disadvantage

- If an individual site listed on the *PW* requires more detailed review, it may hold up the review and approval process for the other sites, delaying funding. Depending on the issue, Special Considerations review could result in a delay of a few days (in most cases) or a few months.

Large Projects

A large project is any eligible work with damage costs over $47,800 (fiscal year 1999). Large projects are not only more costly but also typically more complex to manage than small ones. The key to successful large project formulation is the Project Officer (PO), an individual trained in developing the scope of work for a large project. A PO will be assigned to work with the applicant and Liaison on each large project, helping to identify and evaluate all the work activities associated with the project(s).

To facilitate the oversight of large projects, the PO will be able to call upon Specialists, with expertise in a particular type of damage and repair, to assist when necessary. This specialized expertise will expedite the development of the *PW*, review and approval process. Review of Special Considerations items and project validation processes are built into the formulation process for all large projects and are handled by the PO.

Large project funding is based on the Federal share of eligible costs. The applicant is reimbursed for actual eligible expenses incurred. A cost-estimating tool, based on construction industry estimating standards, may be used on large projects to prepare accurate estimates of repair costs for permanent work, providing better budgeting of funds and improved project management.

Cost Estimating Format - The Cost Estimating Format (CEF) is a key tool used to estimate the cost of large permanent work projects. The CEF is a forward-pricing methodology developed by FEMA to more accurately estimate total project costs based on construction industry standards. Eligible costs are reimbursed for actual incurred expenses and final costs are reconciled based upon the under-run or over-run realized. By providing better up-front estimates for work that has not been substantially completed, use of the CEF will minimize the possibility of significant variances and allow you to budget project costs with greater confidence. The PO is responsible for application of the CEF. (Refer to Appendix E *CEF Standard Operating Procedure.*

Large Project Funding - Large Projects are funded using a final accounting of actual costs. The steps for processing a large project are described below:

1. An eligible scope of work and an initial estimate is prepared. FEMA approves funding using the estimate and obligates the Federal share of the funds to the State.

2. As the project proceeds, the applicant may periodically request funds from the State to meet expenses that have been incurred or that are expected to occur in the near future. In anticipating the need for payments to contractors, the applicant should be aware of, and take into account the time that the State process requires for approval of requests and disbursement.

3. When the project is complete, the State determines the final cost of completing the work, often performing inspections or audits to do so. The State then submits a report on the completed project to FEMA, certifying that the applicant's costs were incurred in the completion of eligible work.

4. After reviewing the State's report, FEMA may adjust (obligate/de-obligate) the amount of the grant to reflect the actual cost of the work.

Advantages:

- Sites formulated into large projects are funded at actual cost to applicant, eliminating the problem of over and under-runs.
- Several sites formulated to create a large project can reduce paperwork. This is especially true when an applicant, such as a Department of Transportation, who might have hundred of sites, can combine work by road, district, or type of repair, allowing them to maintain just one bookkeeping file, and creating just one *PW*.
- The CEF tool, utilized only on large projects, provides more accurate project cost estimates, reducing additional funding requests.

Disadvantages:

- Applicants can not receive the entire cost estimate on large projects prior to work being completed. Applicants must submit actual costs to the State to receive payment.
- Applicants are required to submit progress reports to the State on large projects until the project is complete, causing additional paperwork for the applicant.

Improved Projects

An improved project is any permanent restoration project (large or small) where the applicant chooses to make improvements (not required by any applicable code, standard or hazard mitigation measure) to the facility while making disaster repairs. Funding for improved projects is limited to the approved Federal estimate to complete the eligible scope of work. The State may approve an improved project, however FEMA must review the project for compliance with the National Environmental Policy Act and other Special Considerations that apply. An example of an improved project would be if a gravel road was damaged by a flood event and the applicant decided to lay asphalt in lieu of gravel. In this example, FEMA funding would be limited to the costs associated with placement of gravel. Additional costs associated with the improvement (placement of asphalt) would be the responsibility of the applicant.

Advantage:

- An applicant may use other sources of funding to perform improvements to a facility, while still receiving FEMA funds for the eligible work to restore the facility to its pre-disaster design.

Disadvantages:

- If the improved portion of the project includes Special Considerations issues, particularly environmental or historic issues, the entire project must undergo Special Considerations review. Funding approval may be delayed pending review.
- If the improved project involves a new facility, Section 406 Hazard Mitigation funding may not be applied to the project.

Alternate Projects

An alternate project is any permanent restoration project (large or small) where the applicant chooses to abandon the facility rather than make disaster repairs. Possible alternate projects include repair or expansion of other public facilities, construction of new public facilities, purchase of capital equipment, and funding of hazard mitigation measures. Alternate projects are eligible for 90% of the Federal share of the costs that would be associated with repairing the damaged facility to its pre-disaster design, or the actual costs of completing the alternate project, whichever is less. FEMA must approve all alternate projects.

Advantage:

- Provides the flexibility to use funds for public benefits to work on another facility when the function of the damaged facility is no longer needed.

Disadvantages:

- Eligible funding is reduced to 90% of the Federal share.
- 406 Hazard Mitigation funds cannot be applied to an alternate project.
- The applicant must abandon the function of the original site.

COMPLETING A PROJECT WORKSHEET

General

A *PW* is the form used by FEMA and the applicant to document a work project. This form supplies FEMA with the information necessary to approve the scope of work and itemized cost estimate prior to funding. Each project must be documented on a separate *PW.* The approved *PW* will then be the basis for funding under the Public Assistance Program.

A project is a logical grouping of work required as a result of the declared event. More than one damage site may be included in a project, however, only one project may be listed on a *PW.*

A copy of the *PW* is included in this section. The reverse side of the worksheet, also included in this section, provides general instructions for completing the form. Additional forms used for worksheet continuation sheets, maps and sketches, and photographs are provided in Appendix E. All *PW* forms are available through the FEMA Web site located at: http://www.fema.gov/r-n-r/appfrm1.htm.

Declaration Number

Indicate the disaster declaration number as established by FEMA. For example, FEMA-1136-DR-TN.

Project Number

Indicate the project designation number established to track the project. The applicant may number their small projects in sequential order. When a *PW* is input into the FEMA database system (NEMIS), a new number may be assigned to the project. The FEMA Public Assistance Coordinator will provide the applicant with a listing of the FEMA generated numbering system relative to the numbering identified by the applicant.

FIPS Number

Indicate the applicant's Federal Identification Processing System (FIPS) number.

Date

Indicate the date the *PW* was prepared.

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Category

Indicate the category of the project according to the FEMA specified work categories. If a project includes work within more than one category, the primary work category should be used.

Applicant

Name of the governmental or other legal entity to which the funds will be awarded.

County

Name of the county where the damage is located. If located in multiple counties, indicate Multi-County. Additional backup documentation should be maintained by the applicant to specifically identify the individual counties.

Project Description

The Project Description section of the *PW* describes the facility, location, its pre-disaster function and condition, and the disaster-related damage. From that information, the scope of work is developed describing in detail the work necessary to return the facility to its pre-disaster design. The damage description and scope of work should be listed in the areas provided on the *PW*. For a complete, accurate and itemized damage description and scope of work, the applicant or Specialist will need to:

- Describe the pre-disaster facility, function, and location (including Latitude/Longitude when known).
- Describe the disaster-related damage to the facility.
- Describe the repairs necessary to repair the facility to its pre-disaster design (scope of work).
- Describe any Special Considerations.
- Describe any change in the pre-disaster design of the facility that is required by codes and standards.
- In the case of multiple sites being combined to form one project, location, dimension, damage description, and scope of work are needed for each site.

Project Location

The exact location of the damaged facility must be described. This information should be specific enough to enable field personnel to easily locate the facility if a site visit is necessary. Providing latitude/longitude coordinates will facilitate locating and mapping of projects and should be included whenever possible.

When a project combines several damage sites, the *PW* should provide sufficient information to identify specific locations for each individual site.

The following are examples of possible location descriptions for different types of facilities:

Building(s)

- Provide the address to include street name and community (e.g., 1235 Ashnut Lane, Reston, VA)
- For a group of buildings within a complex, identify the name and primary address of the complex/campus and individual buildings or damage sites (e.g., Administration Building, Gymnasium, Entrance Road at Clark High School, 22 Main Street, Middleburg, VT).

Street, road or bridge

- Name the intersecting street boundaries, where applicable (e.g., Main Street between Elm and Third Streets)
- When combining damage sites, specific individual site locations should be documented on the *PW* and maintained with the applicant's records.
- Provide other information that documents the exact location of the facility (e.g., Miller Avenue Bridge, 1/3 mile north of City limit, mile marker #24)
- A rural road should be identified by township, range, section and road number (e.g., T7S, R14W, Sec. 28, TR 108)

Water or sewer line

- Identify the closest street address along with the proximity of the line to that location (e.g., Sewer - 201 N. Cedar Street, on West side of street at alley)

Description of Damage (including dimensions and quantities)

The damage must be described in terms of the facility, features, or items requiring repair. When multiple sites are included on one *PW*, specific quantities of each damage site must be provided.

Note the differences in the damage descriptions in the examples below:

Example 1:

Incomplete: Two classroom buildings sustained water damage.

Complete: Floodwater inundated two classroom buildings to a depth of two feet, damaging drywall, tile flooring, and books in all rooms.

Example 2:

Incomplete: Floodwaters caused damage to the entrance road.

Complete: Floodwaters undermined a 20 ft. X 10 ft. section of the entrance road. This caused the asphalt surface and gravel sub-base to settle over a 200 sq. ft. area, resulting in broken asphalt and compromised sub-base requiring complete replacement.

For multiple sites: Floodwaters undermined six sections of campus roadway. This caused the asphalt surface and gravel sub-base to settle over a total 842 sq. ft. area (Site 1 – 132 sq. ft.; Site 2 – 184 sq. ft.; Site 3 – 156 sq. ft., Site 4 – 170 sq. ft., Site 5 - 116 sq. ft., Site 6 – 84 sq. ft.), resulting in broken asphalt and compromised sub-base requiring complete replacement.

All damaged elements of a facility must be clearly defined in quantitative terms with physical dimensions (i.e., 800'L x 16'W x 4"H, aggregate surface). Without appropriate dimensions, proper estimates of material quantities and costs cannot be developed. Note the differences in the dimensions defined in the examples below:

Example 1:

Incomplete: High winds and hail destroyed a wooden storage shed.

Complete: High winds and hail destroyed a 20'L x 20'W x 14'H wooden storage shed.

Example 2:

Incomplete: Floodwaters washed away a 20-foot section of earthen road embankment.

Complete: Floodwaters washed away a 20'L x 5'W x 10'H section of earthen road embankment.

Cause of Damage

The specific cause of damage must relate to the incident for which the disaster was declared. It is important to completely describe the cause of damage because it can impact eligibility determinations. For instance, damage from wind-driven rain may be covered by a general insurance policy, but damage from floodwaters may require a flood insurance policy. The difference could impact the insurance coverage reduction applied to the grant.

Damaged conditions must have been caused directly by the disaster. Widespread alligator cracking is not normally eligible for repair because it generally indicates a lack of maintenance, and thus represents a pre-disaster condition. However, cracking in specific areas due to settlement from soils saturated by floodwaters is eligible for repair.

Description of Eligible Work

The scope of work necessary to repair the damage must be completely described and correspond directly to the cause of damage. The work should be specified with quantifiable (length, width, height, depth, capacity) and be in descriptive (brick, wood, asphalt, timber deck bridge) terms. The scope of work should not be described only as "restore to pre-disaster design." If part of the work is completed prior to project approval, the actual work that was performed should be distinguished from the work remaining. See the examples below:

Example 1:

> **Incomplete**: 100'L x 75'W section of gym floor sustained water damage when facility was inundated with 6' of floodwater. Restore to pre-disaster design.
>
> **Complete**: 100'L x 75'W section of gym floor sustained water damage when the facility was inundated with 6' of floodwater. Sand and refinish 100'L x 75'W x 0.75"D damaged area; re-paint lines for basketball court (100 sq. ft. of surface area).

Example 2:

> **Incomplete**: High winds toppled and destroyed six 40'H power poles and one transformer. Connecting wires were knocked down along a 0.25-mile stretch of River Road, but were not broken. Replace the damaged parts in the system.
>
> **Complete**: High winds toppled and destroyed six 40'H power poles and one (12 KVa) transformer. Connecting wires were knocked down along a 0.25-mile stretch of River Road, but were not broken. Remove and dispose destroyed power poles and transformer. Replace six 40'H power poles and one (12 KVa) transformer. Restring all connecting wires.

Special Issues

FEMA uses the term Special Considerations to describe issues other than program eligibility that could affect the scope of work and funding for a project. These issues include insurance, hazard mitigation measures, and compliance with other Federal laws and regulations, such as those pertaining to protection of the environment and historic preservation. The key to expedited project review and approval is early identification of these issues.

The *Special Considerations Questions* as provided on the next page, aids the applicant and FEMA in identifying Special Considerations. Any identified Special Considerations issues associated with each project should be noted and included on the *PW*. A copy of this completed form should be kept with the other documentation on a project to show that these regulatory issues were considered. It is not necessary for the applicant to perform extensive research in order to answer these questions. It is more important that any considerations simply be noted on the *PW*, thus alerting the PAC early on in the process.

In addition to the *Special Considerations Questions*, the *PW* includes four basic questions intended to alert FEMA that a project requires further review. These questions, listed below, must be answered as yes or no.

- Does the Scope of Work change the pre-disaster conditions of the site?
- Special Considerations issues included?
- Hazard Mitigation proposal included?
- Is there insurance coverage on this facility?

- Projects with identified Special Considerations concerns should be submitted as soon as possible, since these projects will need to be reviewed by Specialists prior to project approval and funding.
- Any other information that is pertinent to the scope of work, including upgrades due to codes and standards or pre-disaster damage or maintenance problems should be documented.
- A separate paragraph within the scope of work should be used to describe any proposed changes to the pre-disaster design of the facility. Hazard mitigation, an improved project, an alternate project, or applicable codes and standards may result in a change to the pre-disaster design of the facility.

Special Considerations Form

FEDERAL EMERGENCY MANAGEMENT AGENCY

SPECIAL CONSIDERATIONS QUESTIONS

APPLICANT		PA ID NO.	DATE
PROJECT NAME	PROJECT NO.	LOCATION	

Form must be filled out - for each project.

1. Does the damaged facility or item of work have insurance and/or is it an insurable risk? *(e.g., buildings, equipment, vehicles, etc.)*

☐ Yes ☐ No ☐ Unsure Comments ____________________

2. Is the damaged facility located within a floodplain or coastal high hazard area/or does it have an impact on a floodplain or wetland?

☐ Yes ☐ No ☐ Unsure Comments ____________________

3. Is the damaged facility or item of work located within or adjacent to a Coastal Barrier Resource System Unit or an Otherwise Protected Area?

☐ Yes ☐ No ☐ Unsure Comments ____________________

4. Will the proposed facility repairs/reconstruction change the pre-disaster condition? *(e.g., footprint, material, location, capacity, use or function)*

☐ Yes ☐ No ☐ Unsure Comments ____________________

5. Does the applicant have a hazard mitigation proposal or would the applicant like technical assistance for a hazard mitigation proposal?

☐ Yes ☐ No ☐ Unsure Comments ____________________

6. Is the damaged facility on the National Register of Historic Places or the state historic listing? Is it older than 50 years? Are there other, similar buildings near the site?

☐ Yes ☐ No ☐ Unsure Comments ____________________

7. Are there any pristine or undisturbed areas on, or near, the project site? Are there large tracts of forestland?

☐ Yes ☐ No ☐ Unsure Comments ____________________

8. Are there any hazardous materials at or adjacent to the damaged facility and/or item of work?

☐ Yes ☐ No ☐ Unsure Comments ____________________

9. Are there any other environmental or controversial issues associated with the damaged facility and/or item of work?

☐ Yes ☐ No ☐ Unsure Comments ____________________

FEMA Form 90-120, NOV 98

Example **of a completed Project Description**:

Damaged Facility - Township Road 415 is an 18-foot wide gravel road with a uniform surface course consisting of 2 inches of crushed limestone aggregate.

Work Complete as of 02/17/98: 10%

Location – The road was damaged at the crossing of Mill Creek approximately 2.5 miles south of the intersection of Township Road 415 and State Route 5 in Jones Township, Wayne County.

Latitude 26° 75.21 **Longitude** 95° 20.09

Damage Description & Dimensions – Floodwaters from Mill Creek destroyed a 24' section of 48" ϕ CMP culvert and rock slope protection around both ends of the culvert. Floodwaters also washed out the road around the culvert for a distance of 20 LF across the entire width of the road for a width of 20 LF. These damages include the 8-foot high road embankment, 6-inches of aggregate base course, and 2 inches of limestone aggregate surface course. Site clean up and closure of the road work activities have been completed at this site.

Scope of Work – Restore washout site by placing 24' of 48" ϕ CMP culvert, 197 tons of compacted unclassified fill, 12 tons of aggregate base course and 4 tons of crushed limestone aggregate surface course. Place 7 tons of rock slope protection around the culvert at the upstream and downstream road embankment, for a total of 14 tons.

Hazard mitigation: Replace the destroyed 48" ϕ CMP culvert with a 60" ϕ CMP culvert to increase the capacity of the culvert.

COST ESTIMATE

The Cost Estimate is the estimated cost of repair for the damages described in the Project Description. For work that has already been completed at the time of project formulation, actual costs will be used.

There are many methods of estimating uncompleted work, from professional estimating guides such as R.S. Means, to time and materials estimation of a local force account crew. It is very important to have the applicant use a method of estimating that they are familiar with and understand. **The applicant's normal method of estimating maintenance and capital improvement projects should be used whenever possible.**

Common methods of estimating projects

- **Time and materials estimate for the local force account work.** This method may be used on projects that will be completed by the applicant's employees, using their own (or rented) equipment and material purchased by the applicant (or from their stock on hand). This method breaks costs down into labor, equipment and materials. Costs must be thoroughly documented by payroll information, equipment logs or usage records, and other records, such as materials invoices, receipts, payment vouchers, warrants, or work orders.

  FEMA publishes a listing of equipment rates based on national data. These rates are included with the FEMA cost code listing. FEMA equipment rates, however, do not include operator costs. These costs will have to be computed separately. FEMA rates do not apply to contracted or rental equipment, unless the equipment is rented from another public entity. If the applicant has their own equipment rates approved under State guidelines, such rates are eligible up to a rate of $75 per hour. Labor hours should be carefully matched with equipment use hours to ensure consistency. Remember that equipment not in use is not an eligible expense even if it is on-site.

  FEMA provides an administrative allowance for subgrantee direct and indirect costs incurred in requesting, obtaining, and administering public assistance. Funding of these costs is based on a percentage of eligible disaster work funding (total project cost) and is automatically processed when *PWs* are approved. These costs are not otherwise eligible as a line item on the *PW*.

- **Competitively bid contracts are used to summarize costs for work that the applicant has obtained from an outside source.** In general, contract costs are for work already completed, but in some cases may outline work that is just beginning or still underway. If work has not yet begun on a project, but a contract has been bid or let for the eligible work, then the contract price can be used. Contracts may be:

  Unit price - Contract for work done on an itemized basis with prices broken out per unit.

  Lump sum -Contract for work within a prescribed boundary with a clearly defined scope and a total price.

Cost-Plus-Fixed-Fee – Contract for work done on a lump sum or unit price contract with a fixed contractor fee added into the price.

Time and materials contracts should be avoided. They are sometimes used immediately after the disaster incident has occurred when a clear scope of work cannot be developed. Careful documentation of contractor expenses, and a cost ceiling or "not to exceed" provision should be included in the contract.

For example, Time-and-material contracts for debris should be limited to a maximum of 70 hours of actual debris clearance work and should be used only after all available local, tribal and State government equipment has been committed. These contracts should be terminated once the designated dollar ceiling or not-to-exceed number of hours is reached. On occasion, they may be extended for a short period when absolutely necessary, for example, until Unit Price contracts have been prepared and executed. If a time and materials contract has been used, the applicant should contact the State to ensure proper guidelines are followed.

Cost Plus a Percentage of Cost and Percentage of Construction Cost Contracts – These methods may not be used. **Cost plus a percentage of cost contracts, percentage of construction cost methods of contracting and contracts that are contingent upon Federal assistance (called contingency contracts) is *not* eligible.**

Project Worksheet

FEDERAL EMERGENCY MANAGEMENT AGENCY

PROJECT WORKSHEET

O.M.B. No. 3067-0151
Expires April 30, 2001

PAPERWORK BURDEN DISCLOSURE NOTICE

Public reporting burden for this form is estimated to average 30 minutes. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the needed data, and completing and submitting the forms. You are not required to respond to this collection of information unless a valid OMB control number is displayed in the upper right corner of the forms. Send comments regarding the accuracy of the burden estimate and any suggestions for reducing the burden to: Information Collections Management, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472, Paperwork Reduction Project (3067- 0151). **NOTE:** Do not send your completed form to this address.

DISASTER FEMA-________ -DR-____	PROJECT NO.	PA ID NO.	DATE	CATEGORY

DAMAGED FACILITY	WORK COMPLETE AS OF ________ : ________ %

APPLICANT	COUNTY

LOCATION	LATITUDE	LONGITUDE

DAMAGE DESCRIPTION AND DIMENSIONS

SCOPE OF WORK

Does the Scope of Work change the pre-disaster conditions at the site? ☐ Yes ☐ No

Special Considerations issues included? ☐ Yes ☐ No Hazard Mitigation proposal included? ☐ Yes ☐ No

Is there insurance coverage on this facility? ☐ Yes ☐ No

PROJECT COST

ITEM	CODE	NARRATIVE	QUANTITY/UNIT	UNIT PRICE	COST
				TOTAL COST ▶	

PREPARED BY:	TITLE:

FEMA Form 90-91, SEP 98 **REPLACES ALL PREVIOUS EDITIONS.**

DOCUMENTATION

Documentation is the process of establishing and maintaining accurate records of events and expenditures related to disaster recovery work. The applicant is responsible for maintaining all documentation for a given project to the level necessary to support the eligibility for each item of work reported on the *PW*.

The importance of the applicant maintaining a complete and accurate set of records for each project cannot be overemphasized. Good record keeping facilitates the validation, approval, and funding processes for all projects, as well as any potential State or Federal audits, or other Federal program reviews. All documentation pertaining to a project should be filed together with the corresponding *PW* and maintained by the applicant as the permanent record of the project. These records become the basis for verification of the accuracy of claims in the validation process and are used as source documents for appeals or audits.

An applicant may use his/her normal record system for documenting project costs, provided that pertinent information can be readily assembled for validation or other reviews. Summary record forms have been prepared by FEMA to aid an applicant in record keeping. Copies of these forms are included in Appendix F, and are available from the FEMA Web site located at: http://www.FEMA.gov/r-n-r/appfrm1.htm . Available forms include:

- Force Account Labor Summary Record
- Force Account Equipment Summary Record
- Material Summary Record
- Rented Equipment Summary Record
- Contract Work Summary Record
- Fringe Benefit Rate Sheet

In general, proper documentation includes the information necessary to confirm the damage location, disaster-related damages, the requested scope of work, and all associated costs, as well as documentation to support that any environmental or other Special Consideration issues have been properly identified and reviewed. The following is a list of records applicable to typical projects.

- Facility location, including applicable maps
- Facility description, pre-disaster design and condition
- Damage description and scope of work
- Completed *Special Considerations Questions* form
- Estimated and actual costs
- Contracts or contractor bids
- Force account labor
- Force account equipment
- Rented equipment
- Materials and purchases
- Photographs of damage, work underway, work completed

- Insurance information
- Environmental and/or historic alternatives considered for large, improved or alternate projects
- Codes and Standards
- Maintenance records or pre-disaster condition surveys, where applicable

DEADLINES AND TIMELINES

- The applicant submits the *Request for Public Assistance (Request)* at the Applicants' Briefing or up to 30 days after the designation of a county for public assistance.
- As *Requests* are submitted, the State appoints an Applicant Liaison (Liaison).
- Once the *Request* has been forwarded to FEMA, the Public Assistance Coordinator (PAC) is assigned to the applicant.
- Within one week of FEMA's receipt of the *Request* form, the PAC, in conjunction with the Liaison, will contact the applicant to set up a Kickoff Meeting.
- The applicant must submit a list of damage sites at the Kickoff Meeting.
- The applicant must submit all *PWs* within 60 days of the Kickoff Meeting. *PWs* received within the first 30 days will undergo an expedited validation process. All *PWs* received after 30 days may be subject to 100% validation.
- The deadline for submission of any damages that were not previously identified is 60 days from the date of the Kickoff Meeting.
- The deadline for completion of emergency work projects is 6 months from the date of declaration. Time extensions may be granted by the State based on extenuating circumstances or if unusual project conditions exist. The State has the authority to extend the time frame for completion of emergency work projects by 6 months. Extensions beyond this time frame may be requested from FEMA.
- The deadline for completion of permanent work projects is 18 months from the date of declaration. Time extensions may be granted by the State based on extenuating circumstances or if unusual project conditions exist. The State has the authority to extend the time frame for completion of permanent work projects by 30 months. Extensions beyond this time frame may be requested from FEMA.
- FEMA requires progress reports from the State, who may in turn impose reporting requirements on the applicant for large projects. If progress reports are required, the State will determine the format for submittal.

THE APPLICANT'S ROLE AND RESPONSIBILITIES

The applicant plays an active role throughout the disaster recovery process. It is our belief that you, as the applicant, are in the best position to identify and prioritize local needs and that FEMA, in concert with the State, can better serve you by providing technical and financial assistance to meet those needs.

To participate fully, you must be able to develop accurate and complete scopes of work and cost estimates. Assistance in this effort will be provided by FEMA and/or the State to the extent necessary. You also need to understand what technical assistance is available and how to obtain this assistance throughout the recovery process.

What happens first?

- Compile a list of all your damages. Take that list with you to the Kickoff Meeting.
- The PAC and Liaison will review the list with you to evaluate the magnitude of damages sustained and the amount of work to be done.
- At the Kickoff Meeting your PAC will discuss options for combining sites into projects to help you develop work projects.
- You will be shown how to prepare detailed descriptions and summaries of your repair projects. By the end of the meeting, you will have received the information you need to proceed with disaster recovery and will understand what to expect.
- Identify any circumstances that require special review, such as insurance coverage, environmental safeguards, and historic preservation. The earlier these conditions are known, the faster they can be addressed, and they must be addressed before funding can be approved. Work on projects with environmental and/or historic preservation issues should not begin prior to FEMA review of these issues
- While at the Kickoff Meeting, identify any known large projects to the PAC. The PAC in turn will assign a Project Officer (PO) with experience and training in the management of large and complex repair projects to work with you and who will be responsible for the completion and submittal of the *Project Worksheets* (*PWs*).
    - You will need to work with the PO, Liaison, and any Specialist in the development of the work project.
    - Take the team for an inspection of the damage site.
    - Supply copies of contracts and/or estimates that you have obtained for the project work.
    - Supply the PO with access to equipment and personnel records when necessary.

- ➢ Supply the PO with copies of applicable codes and standards, environmental or historic review documents, insurance certificates, Hazard Mitigation proposals, and other permits or documents which may influence eligibility.
- ➢ The PO will be responsible for the actual completion of the *PW*.

- Request clarification of anything you do not understand and ask questions about things with which you do not agree. Full discussion and regular interaction with your recovery team will help to resolve differences as they arise and expedite approval of your projects.

How do I create projects?

A project is a logical method of performing work required as a result of the declared event. Projects may consist of one damage site or may be made up of several sites. This offers flexibility in organizing and managing work around your needs.

- Using your list of damages, combine your damage sites into work units as you would normally manage or contract your work and maintain your records. The work involved to repair eligible damage is considered a project.

- You may combine multiple damage sites and eligible work into a single project. Any reasonable method of managing projects may be selected. Some grouping examples are:

  - ➢ Specific Site
  - ➢ Specific Facility
  - ➢ Type of Damage
  - ➢ System
  - ➢ Jurisdiction
  - ➢ Method of Work
  - ➢ Complex
  - ➢ Special Considerations

- Refer to the *Applicant Handbook* (FEMA publication 323) for more details on combining projects.

Are all projects handled in the same way?

- Your formulated project will result in one of four (4) types of projects with different funding restrictions. The four types of projects are:

  1. Small Project
     - Under $47,800 (fiscal year 1999)
     - Funded on the approved estimate to complete approved scope of work
     - Applicant may complete *PW*

- Specialist may be provided to assist applicant in preparation of *PW,* if requested

2. Large Project
    - Over $47,800 (fiscal year 1999)
    - Funded on actual costs to complete eligible scope of work
    - Project Officer assigned to complete *PW*

3. Improved Project.
    - May be large or small project
    - Applicant chooses to make improvements to pre-disaster design
    - State may approve, but FEMA must review for environmental considerations
    - Funding limited to the approved Federal estimate to complete the eligible scope of work

4. Alternate Project
    - May be large or small project
    - Permanent restoration project that applicant chooses to abandon rather than repair
    - FEMA must approve
    - Funding limited to approved Federal estimate to complete eligible scope of work of damaged facility
    - Funds may be used at another facility
    - FEMA funds reduced by 10% for all alternate projects

- Identify any newly formed large projects (over $47,800) to your PAC so that a PO may be assigned to work with you on it.
    - ➢ You will need to work with the PO, Liaison, and any Specialist in the development of the work project.
    - ➢ Take the team for an inspection of the damage site.
    - ➢ Supply copies of contracts and/or estimates that you have obtained for the project work.
    - ➢ Supply the PO with access to equipment and personnel records when necessary.
    - ➢ The PO will be responsible for the actual completion of the *PW*.

- The deadline for submission of any damages that were not previously identified is 60 days from the date of the Kickoff Meeting. If extreme circumstances, such as wide spread catastrophic damage, prohibit adherence to deadlines, notify your PAC as soon as possible.

How do I complete the Project Worksheet for small projects?

- You are encouraged to participate fully in managing your repair projects, particularly small projects of less than $47,800 (fiscal year 1999).

- If you plan to develop your own *PWs* on small projects, review the *Applicant's Handbook* (FEMA publication 323), and any handouts you received at the Kickoff Meeting for details on eligibility and guidelines on how to complete the form.

  - Describe the pre-disaster facility, function and location (including Latitude/Longitude when known).

  - Describe the disaster-related damage to the facility.

  - Describe the repairs necessary to repair the facility to its' pre-disaster design (scope of work).

  - Describe any Special Considerations issues that may affect the project.
    - Insurance, hazard mitigation opportunities, environmental concerns, and historic facilities over 50 years old, etc.
    - When describing any Special Considerations issue, discuss the item with the PAC who will explain how to clearly document the issue and expedite resolution.
    - You may want to submit projects with identified Special Considerations concerns as soon as possible, since these projects will need to be reviewed by specialists prior to project approval and funding.

  - Refer to the *Special Considerations Questions* for each project.
    - You will want to keep a copy of this completed form with the other documentation on the project to show that these regulatory issues were considered. It is not necessary for you to perform extensive research in order to answer these questions. It is more important that any considerations simply be noted on your *PW*, thus alerting the PAC early on in the process.

  - Describe any change in the pre-disaster design of the facility that is required.
    - Use a separate paragraph within the scope of work to describe any proposed changes to the pre-disaster design of the facility. Hazard mitigation, an improved project, an alternate project, or applicable codes and standards may result in a change to the pre-disaster design of the facility.

  - Describe any other information that is pertinent to the scope of work, including upgrades due to codes and standards, or pre-disaster damage or maintenance problems should be documented.

  - Develop the estimated cost of repair for the damages described in the Project Description.

What do I do with the completed PWs?

- Contact the PAC to obtain approval for any alternate or improved projects.

- Submit completed *PWs* to the PAC as you finish them. This continual submittal of projects will get any Special Considerations issues routed to the appropriate reviewers immediately, ensuring expeditious resolution of any problems that may be found.
  - The PAC will check each *PW* that you submit to ensure that the Scope of Work is described accurately and in detail.
  - The PAC will contact you for further information if additional data is required to establish an eligible scope of work.
- Notify the PAC that you are ready for validation to begin. This can be done once all small project *PWs*, or all emergency work *PWs*, or a large batch of *PWs* have been submitted.

Do I have to complete the PWs?

- If you are unable to or do not wish to develop your own small *PWs*, notify the PAC of your intentions and a Specialist will be assigned to develop *PWs* on all the work projects that you have identified.
  - You will need to show the Specialist the damage sites.
  - You will need to supply all the backup documentation and calculations you have for the work that has been or will be done for each project, to the Specialist for their *PW* development.
  - Be ready to supply any additional information that the Specialist might need.
  - Once the *PWs* are completed, the Specialist will go over the *PWs* with you, and you will have the opportunity to ask questions or voice any concerns. Any concerns that cannot be resolved during this discussion should be addressed with the PAC for resolution.

What documentation or record keeping is required?

- Maintain a complete and accurate set of records for each project to facilitate the validation, approval, and funding processes.
  - The information required for your documentation basically describes the "who, what, when, where, why, and how much" for each item of disaster recovery work.
- Designate a person to coordinate the accumulation of records.
- Establish a file for each project where work has been or will be performed.
- Maintain accurate disbursement and accounting records to document the work performed and the costs incurred.
- Refer to the *Applicant Handbook* and the *Public Assistance Guide* for specific documentation requirements and associated deadlines.

- Contact your PAC whenever you have questions or need assistance.
- You are responsible for maintaining records of completed work and work to be completed. Your PAC and Liaison will provide a detailed list of required records and can recommend ways of organizing them.

THE APPLICANT LIAISION'S ROLE and RESPONSIBILITIES

Under the Public Assistance Program, applicants are responsible for identifying all damage sites, may develop their own small projects, and provide information necessary for Project Officers to prepare *Project Worksheets* (*PWs)* for large projects. The State is responsible for ensuring that the applicant is aware of eligibility issues, project formulation and documentation requirements, and deadline requirements.

The positions that State personnel may be manning during Project Formulation are: applicant (subgrantee), Applicant Liaison (Liaison), Project Officer, Specialist or Grantee. This SOP will discuss the State's role as Applicant Liaison.

What happens prior to project formulation?

- At the Applicants' Briefing, the State presents the procedures and forms applicants will need to apply for Public Assistance.
- As the Liaison, you may attend the Kickoff meeting and aid the PAC in explaining eligibility issues, project development and project documentation requirements.
- You will explain to the applicant the Liaison role and the requirements of the State related to Public Assistance.
- You will inform the applicant of how the State will handle payment for small and large projects.
- You will provide the applicant with phone numbers in case they need to contact you.

How can I help with project formulation?

- Ensure that the applicant is aware of and adheres to deadlines for reporting damage sites. Discuss with the applicant how requests for extending deadlines through the State are made.
- Provide assistance with preparation of small project *PWs*, if requested by the applicant.
- Provide technical assistance for assessment of specific damage repair for small or large projects, if requested by the applicant.
- Discuss with the applicant the importance of identifying any sites with Special Considerations issues.
- Discuss with the applicant the importance of taking full advantage of Hazard Mitigation opportunities.
- Advise the applicant of the documentation that will be required by the State and the record keeping procedures the applicant should follow.

- Explain the State's procedures for submitting progress reports for uncompleted large projects.

What happens when all Project Worksheets have been submitted?

- Contact the applicant to see if there are any issues or concerns regarding the project formulation process that they would like to discuss.
- Coordinate the small project validation process with the PAC.

THE PAC'S ROLE and RESPONSIBILITIES

The Public Assistance Coordinator (PAC) functions as the applicant's primary representative within FEMA, providing accurate and consistent information concerning FEMA policies and procedures. The PAC will work with the applicant to identify their special needs in formulating their projects, and will be the primary FEMA individual who maintains contact with the applicant throughout the process of requesting and obtaining Public Assistance. The PAC has the authority to approve projects up to $100,000, and will recommend approval on all other projects. This eliminates the need for multiple reviews and expedites grant.

How do I prepare for project formulation?

- Review information from the applicant's PDA to assess the extent of damages and potential Special Considerations issues.
- If the applicant has identified specific projects that may require the assistance of a Project Officer (large projects) or a Specialist (projects with specific technical or Special Considerations issues), you may request a Project Officer and/or Specialist, as needed, from the Resource Coordinator (RC). The Project Officer and/or Specialist may attend the Kickoff Meeting with the applicant.
- Review resolution of Special Considerations issues resulting from scoping meetings, as may be relevant to the applicant.
- Collect project formulation forms, job aids, *Applicant Handbook*, regulations and policies, and other documents to aid the applicant in evaluating project eligibility and Special Consideration issues, and for preparing *Project Worksheets (PWs).*
- Collect pertinent documents and tools specific to the applicant's needs, such as FIRM and other available maps.
- Review the *PAC Kickoff Meeting Job Aid, Special Considerations Review Job Aid*, and *Project Formulation Job Aid*.
- Begin or update Case Management File

How do I prepare the applicant for project formulation?

- Within one week of receiving the applicant's *Request for Public Assistance* form, contact the applicant and the Liaison to arrange for the Kickoff Meeting. Assess the applicant's knowledge of the Public Assistance process and gather additional information to help shape the agenda for the Kickoff Meeting.
- At the Kickoff Meeting, explain to the applicant the PAC's role in the project formulation and overall disaster assistance process.

- Review the applicant's list of damages and discuss specific needs the applicant may have in formulating their projects and identifying any Special Considerations.
- Discuss with the applicant the importance of identifying any sites with Special Considerations issues.
- Discuss with the applicant the importance of taking full advantage of hazard mitigation opportunities.
- Provide the applicant with guidance on eligibility of work and costs, methodology for preparing the scope of work and associated costs, and necessary documentation.
- Notify applicant that work on projects with environmental and/or historic preservation issues should not begin prior to FEMA review of these issues.
- Define the types of projects, approval process, and funding procedures for each.
  - Small Projects
  - Large Projects
  - Improved Projects
  - Alternate Projects
- Assess the applicant's ability or interest in preparing small project *PWs*.
- Assess the need for Project Officers and Specialists for providing technical assistance in developing small or large project scopes of work and cost estimates.
- Review deadlines for submitting small project *PWs* and for identifying large project sites.
- Review deadlines for completing emergency work and permanent work projects.

What if the applicant does not want to prepare its own small project PWs?

If an applicant chooses not to prepare their own small project *PWs*, for whatever reason, the PAC may assign a Specialist to aid the applicant in the process.

- Identify the reason why the applicant is requesting assistance so as to assign the appropriate level of service.
  - An applicant may choose not to participate in preparation of any of their small projects. In such a case, one or more Specialists may be assigned to prepare the necessary documents. The applicant is still responsible for identifying all damage sites and for providing documentation necessary for the Specialist to accurately identify the eligible scope of work and associated costs.
  - An applicant may request guidance from a Specialist until they are more comfortable with the process and can resume responsibility for preparation of their small project *PWs*.

- Request and assign appropriate personnel to aid the applicant in preparation of *PWs*, to the level requested by the applicant.

How do I request and assign a Specialist or Project Officer?

A Specialist may be requested to aid an applicant in preparation of small project *PWs*, or to provide technical assistance relative to a specific technical issue for a small or large project. A Project Officer will be assigned to prepare *PWs* for all large projects. One or more Specialists and/or Project Officers may be assigned to an applicant, depending on the number and complexity of the applicant's projects.

- Assess the specific needs of the applicant for providing a Specialist and/or Project Officer.
- Request the Specialist and/or Project Officer from the Resource Coordinator (RC) identifying the specific expertise and level of commitment needed.
    - ➢ The RC will select the Specialist and/or Project Officer from the resource pool of FEMA, State, and contract personnel, and assign that person to you to handle whatever needs are required at that time.
    - ➢ Upon completion of the assigned task, and any follow-up applicant work that might be necessary, release the Specialist and/or Project Officer back to the RC and the Resource Pool.
- Give the Specialist and/or Project Officer the applicant's list of small or large projects, as applicable, and review any special issues or concerns that you may want the Specialist and/or Project Officer to consider.
- Ensure that the Specialist and/or Project Officer is familiar with the specific needs of the applicant, and is prepared to effectively aid the applicant in the project formulation process.
- Give the Specialist and/or Project Officer the name of the applicant and all necessary contact numbers.
- Explain to the Specialist and/or Project Officer that you would like to be contacted immediately if any major or unusual issues are found.
- After the Specialist and/or Project Officer has completed the specific assignment, discuss any concerns or issues that might have become apparent to the Specialist and/or Project Officer during the formulation process.
- Contact the RC to make the Specialist's and/or Project Officer's availability known.
- Coordinate these actions with the Applicant Liaison.
- Update the Case Management File, as necessary.

What happens between the Kickoff Meeting and when the Project Worksheets start to come in (about 20 to 30 days)?

The applicant has up to 60 days from the Kickoff Meeting to complete small project *PWs* and to identify all large projects to the PAC. The applicant is encouraged to submit small project *PWs* within 30 days of the Kickoff Meeting to be eligible for the 20 percent validation. Therefore, after the Kickoff Meeting, there may be a period of two to four weeks before an applicant begins to submit *PWs*.

- Continue to review the applicant's available project information to assess specific needs.
- Review any new agreements developed from the ongoing Special Considerations scoping meetings to determine if they are applicable to the applicant's projects.
- Communicate with the Project Officers and Specialists assigned to the applicant to assess progress and special needs. Assign additional assistance if necessary.
- Communicate with the applicant to determine their proposed schedule for submitting *PWs* and to address any other questions or needs as they develop. Notify the applicant if deadlines for submitting information are approaching.
- Communicate with the Applicant Liaison as to the status of the applicant's progress.
- Update the Case Management File, as necessary.

What do I do with the Project Worksheets?

- The applicant, Specialist and/or Project Officer will submit completed *PWs* to you.
- Small Projects
  - ➢ Review small project *PWs* to ensure pertinent data is provided and project information (location, damage description, scope of work) is complete and that all potential Special Considerations issues have been identified. Refer to the *Completing the PW* section of this document for examples of a complete *PW*. The PAC may complete this review before or after entry of the *PW* into the NEMIS system.
    - If items of the *PW* are not complete, contact the applicant to revise worksheets. Notify the Specialist and/or Project Officer who aided in the preparation of the worksheet, if applicable.
    - Update the *PW* and/or Case Management File, as may be necessary.
  - ➢ Forward any *PWs* with Special Considerations to the appropriate review.

  - When the applicant indicates to you that their small projects have been submitted and they are ready, initiate the validation process.
  - Complete the validation process, including revising *PWs* with the applicant, if necessary.
  - Once the validation process is complete, process the eligible *PWs* without Special Considerations issues for funding. Specific queues are provided in the NEMIS system for forwarding *PWs* for funding.
  - *PWs* that contain Special Considerations issues will be forwarded for funding individually once they have completed the Special Considerations review process and have been checked by the PAC.
- Large Projects
  - Review large project *PWs* for completeness, as described above, and general eligibility issues. Because the Project Officer prepares the *PW*, this review should be minimal. The PAC may complete this review before or after entry of the *PW* into the NEMIS system.
    - If items of the *PW* are not complete or ineligible, contact the Project Officer and the applicant to discuss revisions.
    - Update the *PW* and/or Case Management File, as may be necessary.
  - Forward any *PWs* with Special Considerations to the appropriate review.
  - Process the eligible *PWs* for funding (up to $100,000), or forward a recommendation regarding eligibility to the Public Assistance Officer (greater than $100,000). Specific queues are provided in the NEMIS system for forwarding *PWs* to the appropriate level (funding approval or to Public Assistance Officer).
- Coordinate these actions with the Applicant Liaison.
- Update the Case Management File, as necessary.

How do I manage an applicant and the Case Management File?

- Utilize the Case Management File to record and document actions taken for an applicant, and to monitor the progress of an applicant's projects through the review and approval process.
- Effectively communicate with the applicant to identify their specific needs in the project formulation process. Assess specific issues early in the process in order to expedite approval for funding.
- Assign appropriate Specialists and Project Officers as necessary to aid the applicant in preparation of small and large projects.

- Notify the applicant of any necessary modifications to a *PW*. Attempt to resolve disputes regarding eligibility at the lowest level – PAC to applicant. If a solution cannot be found, the PAC will meet with the PAO. The PAO will make a decision on the project and the process will continue.
- Encourage the applicant to identify any projects with Special Considerations early in the process so that the review process may begin in a timely manner. Follow-up with Specialists performing the various reviews to assess the status and any additional information that may be necessary to complete the review. Communicate the status with the applicant, and the Applicant Liaison.
- Monitor the status of the applicant's projects through the Case Management File. Details include, PDA and INF information, project status, unique issues, Special Considerations reviews and listings of all phone calls and meetings.

THE PROJECT OFFICER'S ROLE AND RESPONSIBILITIES

Project Officers are program experts trained in developing the scope of work and cost estimates for large projects. A Project Officer will be assigned to work closely with the applicant and Liaison on each large project, helping to identify and evaluate all the work activities associated with the project(s). The Project Officer will be able to call upon other specialists, as needed, to assist. Review of Special Considerations items and project validation processes are built into the formulation process for all large projects and are handled by the Project Officer and/or a Specialist.

How am I assigned to a project?

- PAC identifies need for Project Officer based on a review of an applicant's large projects, and requests a Project Officer from the Resource Coordinator (RC) identifying the specific expertise and level of commitment needed.
- If the PAC is aware that an applicant will have large projects, the Project Officer may be requested to attend the Kickoff Meeting. During this meeting, the Project Officer will receive preliminary information relative to specific projects, depending on the level of information provided by the applicant.
- If the Project Officer is not present at the Kickoff Meeting, the PAC will meet with the Project Officer to provide him/her with the applicant's list of large projects, and review any special issues or concerns.
- The Project Officer will be provided with the name of the applicant and all necessary contact numbers.

What is my role in project formulation?

- Review the list of large projects.
- Contact the applicant to review the scope of the large projects, inquire about Special Considerations issues, and set up a meeting with the applicant and visit the project sites.
- Based on the types of projects and any Special Considerations identified, assess the need for one or more Specialists to be assigned to the project(s). Make appropriate requests through the PAC.
- Collect references and tools necessary for assessment of project eligibility and preparation of *PWs*. Such tools may include the following:
    - Forms
        - *Project Worksheets* (*PWs*) (FEMA Form 90-91)
        - *Special Considerations Questions* (FEMA Form 90-120)

  - *Project Worksheet Damage Description and Scope of Work Continuation Sheet* (FEMA Form 90-91A)
  - *Project Worksheet Cost Estimate Continuation Sheet* (FEMA Form 90-91B)
  - *Project Worksheet Maps and Sketches Sheet* (FEMA Form 90-91C)
  - *Project Worksheet Photo Sheet* (FEMA Form 90-91D)
  - Project Officer's Report (Large Projects)
  - Time / Equipment records
    - *Force Account Labor Summary Record* (FEMA Form 90-123)
    - *Force Account Equipment Summary Record* (FEMA Form 90-127)
    - *Material Summary Record* (FEMA Form 90-124)
    - *Rented Equipment Summary Record* (FEMA Form 90-125)
    - *Contract Work Summary Record* (FEMA Form 90-126)
    - *Fringe Benefit Rate Sheet* (FEMA Form 90-128)

- ➢ Public Assistance Job Aids and Standard Operating Procedures (SOP)
  - Project Formulation (Job Aid and SOP)
  - Cost Estimating Format (SOP)
  - Kickoff Meeting (Job Aid and SOP)
  - Eligibility (Job Aids)
  - Special Considerations (Job Aids and SOPs)

- ➢ Other Documents
  - Robert T. Stafford Disaster Relief and Emergency Assistance Act, P.L. 93-288 as amended
  - 44 Code of Federal Regulations
  - *Public Assistance Guide* (FEMA 286, to be replaced by FEMA 322)
  - *Public Assistance Policy Digest* (FEMA 321)
  - *Public Assistance Eligibility* – CD ROM
  - *Applicant Handbook* (FEMA 323)

- Review Project Formulation Standard Operating Procedure for guidance on completing a *PW*.

- Meet with the applicant to discuss the project:

  - ➢ Visit the project site with the applicant, Liaison, and Specialist(s), if needed.
  - ➢ Discuss with the applicant what facility was damaged, its location, description of the damage, and scope of work.
  - ➢ In concert with the applicant, develop the damage description, scope of eligible work, schedule, and cost estimate for the project.
  - ➢ Identify hazard mitigation issues.

- Utilize the Cost Estimating Format (CEF), if appropriate, applicant cost estimating methods, FEMA cost codes, and/or industry estimating standards to develop project costs and capture appropriate information.

- Review specific Special Considerations issues for each project site. Request and coordinate appropriate Specialists, if necessary.

- Notify applicant that work on projects with environmental and/or historic preservation issues should not begin prior to FEMA review of these issues

- Record project information on the *PW* and other applicable forms.

- Define documentation requirements with the applicant. Required documentation may include the following:

    - Project location maps
    - Damage and repair sketches
    - Photographs of damage
    - Insurance policies
    - Applicable codes and standards
    - Maintenance records or pre-disaster condition surveys
    - Contracts or Bids
    - Rental agreements
    - Receipts for work completed or materials purchased
    - Force Account Time and Equipment records
    - Environmental and/or historic alternatives considered for large, improved or alternate projects
    - Environmental review documents

- Review the scope of work and cost estimate with the applicant. It is important to ensure that the applicant agrees with the description of damage, the scope of work, and cost estimate. If agreement cannot be achieved, advise the PAC.

    - The PAC will work with the Project Officer and the applicant to resolve any disagreements. If a solution cannot be found, the PAC will meet with the PAO. The PAO will make a decision on the project and the process will continue.

- Document all work, including records of meetings and conversations with the applicant, the State and other FEMA personnel, and information requested and received from the applicant and others.
- Provide the completed *PW* to the PAC for review. Discuss any concerns or issues that might have become apparent during the formulation process.
- Upon completion of the assignment, and any follow-up work that might be necessary, contact the RC to make availability known.

THE SPECIALIST'S ROLE and RESPONSIBILITIES

Specialists are program and/or technical experts trained in developing the scope of work and cost estimate for small or large projects related to an area of program or technical specialty. A Specialist will be assigned to work closely with the applicant and Liaison to aid the applicant in developing small *Project Worksheets (PWs)*, or to provide program, technical or regulatory guidance on particular projects, as needed.

How am I assigned to a project?

- A Public Assistance Coordinator (PAC) or Project Officer (PO) reviews the specific needs of an applicant, and requests a Specialist from the Resource Coordinator (RC), identifying the specific expertise and level of commitment needed.
- If the PAC is aware that an applicant will have specific needs, the Specialist may be requested to attend the Kickoff Meeting. During this meeting, the Specialist will receive preliminary information relative to specific projects, depending on the level of information provided by the applicant.
- If the Specialist is not present at the Kickoff Meeting, the PAC and/or the PO will meet with the Specialist to provide him/her with the applicant's identified projects, and review any special needs, issues or concerns.
- The Specialist will be provided with the name of the applicant and all necessary contact numbers.

What is my role in completing small project worksheets?

If an applicant chooses not to prepare their own small project *PWs*, for whatever reason, the PAC may request that the RC assign you to aid the applicant in the process.

- Identify the reason why the applicant is requesting assistance so as to provide the appropriate level of service.
  - An applicant may choose not to participate in preparation of any of their small projects. In such a case, you may be assigned to fully prepare the necessary documents. The applicant is still responsible for identifying all damage sites and for providing documentation necessary for you to accurately identify the eligible scope of work and associated costs.
  - An applicant may request limited assistance or guidance from you until they are more comfortable with the process and can resume responsibility for preparation of their small project *PWs*.

- Contact the applicant to review the scope of the small projects, inquire about Special Considerations issues, and set up a meeting to meet with the applicant and visit the project sites.

- Collect references and tools necessary for assessment of project eligibility, preparation of *PW*, and reporting of necessary documentation (to be maintained by the applicant). Such tools may include the following:

  - ➢ Forms
    - *Project Worksheets* (FEMA Form 90-91)
    - *Special Considerations Questions* (FEMA Form 90-120)
    - *Project Worksheet Damage Description and Scope of Work Continuation Sheet* (FEMA Form 90-91A)
    - *Project Worksheet Cost Estimate Continuation Sheet* (FEMA Form 90-91B)
    - *Project Worksheet Maps and Sketches Sheet* (FEMA Form 90-91C)
    - *Project Worksheet Photo Sheet* (FEMA Form 90-91D)
    - Time / Equipment records
      - *Force Account Labor Summary Record* (FEMA Form 90-123)
      - *Force Account Equipment Summary Record* (FEMA Form 90-127)
      - *Material Summary Record* (FEMA Form 90-124)
      - *Rented Equipment Summary Record* (FEMA Form 90-125)
      - *Contract Work Summary Record* (FEMA Form 90-126)
      - *Fringe Benefit Rate Sheet* (FEMA Form 90-128)

  - ➢ Public Assistance Job Aids and Standard Operating Procedures (SOP)
    - Project Formulation (Job Aid and SOP)
    - Eligibility (Job Aids)
    - Special Considerations (Job Aid and SOP)

  - ➢ Other Documents
    - Robert T. Stafford Disaster Relief and Emergency Assistance Act, P.L. 93-288 as amended
    - 44 Code of Federal Regulations
    - *Public Assistance Guide* (FEMA 286, to be replaced by FEMA 322)
    - *Public Assistance Policy Digest* (FEMA 321)
    - *Public Assistance Eligibility* – CD ROM
    - *Applicant Handbook* (FEMA 323)

- Review Project Formulation Standard Operating Procedure for guidance on completing a *PW*.

- Meet with the applicant to discuss the project:

  - ➢ Visit the project site with the applicant, Liaison, and Specialist(s), if needed.

  - ➢ Discuss with the applicant what facility was damaged, its location, description of the damage, and scope of work.

  - To the extent requested by the applicant, develop the damage description, scope of eligible work, schedule, and cost estimate for the project.

  - Identify hazard mitigation issues.

  - Utilize the applicant cost estimating methods, FEMA cost codes, and/or industry estimating standards to develop project costs and capture appropriate information.

  - Review specific Special Considerations issues for each project site. Request and coordinate additional appropriate Specialists, if necessary.

  - Record project information on the *PW* and other applicable forms.

  - Define documentation requirements with the applicant. Required documentation may include the following:

    - Project location maps
    - Damage and repair sketches
    - Photographs of damage
    - Insurance policies
    - Applicable codes and standards
    - Maintenance records or pre-disaster condition surveys
    - Contracts or Bids
    - Rental agreements
    - Receipts for work completed or materials purchased
    - Force Account Time and Equipment records
    - Environmental and/or historic alternatives considered for large, improved or alternate projects
    - Environmental review documents

- Review the scope of work and cost estimate with the applicant. It is important to ensure that the applicant agrees with the description of damage, the scope of work, and cost estimate. If agreement cannot be achieved, advise the PAC.

  - The PAC will work with the Specialist and the applicant to resolve any disagreements. If a solution cannot be found, the PAC will meet with the PAO. The PAO will make a decision on the project and the process will continue.

- Document all work, including records of meetings and conversations with the applicant, the State and other FEMA personnel, and information requested and received from the applicant and others.

- Provide the completed *PW*(s) to the PAC for review. Discuss any concerns or issues that might have become apparent during the formulation process.

- Upon completion of the assignment, and any follow-up work that might be necessary, contact the RC to make availability known.

What is my role in providing technical guidance for large or small projects?

A Specialist will be assigned to work closely with the Project Officer, applicant and Liaison to provide technical guidance (program, technical or regulatory) on particular projects, as needed.

- Review the list of specific project issues identified by the PAC, PO, and/or applicant. Discuss any special concerns with the PAC and/or PO.
- Contact the applicant to review the scope of the identified project(s), inquire about Special Considerations and other technical issues, and set up a meeting to meet with the applicant and visit the project sites.
- Collect references and tools necessary for resolution of specific technical issues and other project eligibility issues. Refer to listing above of types of tools and references available for general project formulation. The need for other technical references to accomplish the assigned task should be assessed and collected.
- Meet with the applicant to discuss the project(s):
    - Visit the project site with the applicant, Liaison, Project Officer and other Specialist(s), if needed.
    - Discuss with the applicant what facility was damaged, its location, description of the damage, and scope of work.
    - Discuss with the applicant the specific technical issues assigned.
    - Define documentation requirements with the applicant regarding the specific issue. Specific documentation may include the following:
        - Insurance policies
        - Applicable codes and standards
        - Maintenance records or pre-disaster condition surveys
        - Telephone or conversation records from discussions with applicable regulatory or permitting agencies
        - Written correspondence from applicable regulatory or permitting agencies
        - Regulatory Permits
        - Environmental and/or historic alternatives considered for large, improved or alternate projects
        - Environmental review documents
- Assess technical issues of project, as assigned. Document resolution of issues.
- Document any other eligibility or Special Considerations issues identified during the site meeting or through discussions with the applicant. Notify the applicant, PO and PAC of such issues. Resolve issues, if applicable.

- Review the resolution of technical issues with the applicant and any associated scopes of work and/or cost estimates. It is important to ensure that the applicant agrees with and understands the resolutions. If agreement cannot be achieved, advise the PAC.
    - The PAC will work with the Project Officer, Specialist and the applicant to resolve any disagreements. If a solution cannot be found, the PAC will meet with the PAO. The PAO will make a decision on the project and the process will continue.
- Document all work, including records of meetings and conversations with the applicant, the State and other FEMA personnel, and information requested and received from the applicant and others.
- Provide the completed relevant documents to the PAC and/or PO for review. Discuss any concerns or issues that might have become apparent during the process.
- Upon completion of the assignment, and any follow-up work that might be necessary, contact the RC to make availability known.

APPENDIX A

Public Assistance Coordinator Kickoff Meeting Job Aid

Instructions: This document is designed to assist the Public Assistance Coordinator (PAC) in executing a successful Kickoff Meeting with the applicant.

✓	Action	Steps	Details
❑	Preparation for applicant Kickoff Meeting	❑ Review PAC material as required prior to meeting. ❑ The PAC should have a tabbed binder containing information and documents concerning the applicant.	❑ *Applicant Handbook* ❑ *Disaster Fact Sheet* ❑ *Project Formulation Chart*—Handout ❑ PDA information ❑ INF information ❑ Applicant's *Request for Public Assistance* ❑ *Project Worksheets (PWs)* ❑ *PW*—Handout ❑ Applicant's completed *PW*, if submitted ❑ Blank *PWs*—Handout ❑ *Special Considerations Questions* ❑ Force Account Forms—Handout ❑ *Public Assistance Guide*—Handout ❑ *FEMA Cost Codes*—Handout ❑ *Work Eligibility Job Aid* ❑ *Emergency Work Job Aid* ❑ *Special Considerations Review Job Aid*

❑	Initial Contact with applicant	❑ Make telephone contact with applicant.	❑ Introduce yourself.
			❑ Did applicant attend Applicants' Briefing?
			❑ Have you ever participated in a declared event?
			❑ Inquire about damage not seen in PDA.
			❑ Inquire about Special Considerations issues.
			❑ Review what will be covered at Kickoff Meeting.
			❑ Set up initial meeting arrangements.
			❑ Have applicant prepare a list of damages to bring to the meeting.
			❑ Identify who and what applicant will need at Kickoff Meeting
			    ❑ Insurance policies
			    ❑ Department heads
			    ❑ Accounting personnel

✓	Action	Steps	Details
❑	Kickoff Meeting Introduction	❑ Explain PAC role to applicant.	❑ The PAC is the primary FEMA representative who maintains contact with the applicant. ❑ Provides an individual focus on an applicant's specific needs. ❑ Incorporates duties and responsibilities that were once fragmented. ❑ Will provide increased opportunities for a "one-stop" source of information for the applicant. ❑ Will also reduce the time it will take to obligate funds to the applicant since the 2-step review process has been eliminated.
❑	Review Immediate Needs Funding	❑ Refer to Chapter 1 in the *Applicant Handbook*	❑ Explain the purpose for INF. ❑ Inform the applicant of their amount, if eligible. ❑ Explain the reconciliation process.
❑	Review Project Work—deadlines, time extensions, eligibility, documentation, Special Considerations, and payment	❑ Refer to Chapter 4 in the *Applicant Handbook*	❑ Review list of damages at Kickoff Meeting. ❑ All *PWs* to be submitted no later than 60 days after the Kickoff Meeting date. However, all projects submitted after 30 days may be subject to 100% validation. ❑ A time extension for submittal of *PWs* may be approved by FEMA under extenuating circumstances only. ❑ Emergency Work is to be completed within 6 months. ❑ The State may, under exceptional circumstances, grant extensions of up to 1 year to complete Emergency Work. ❑ Permanent Work is to be completed within 18 months. ❑ The State may, under exceptional circumstances, grant an extension of up to 30 months to complete Permanent Work.
		❑ Refer to Appendix B in the *Applicant Handbook*	❑ Discuss eligibility criteria. ❑ Discuss debris removal work eligibility. ❑ Discuss protective measures work eligibility. ❑ Discuss Permanent Work eligibility. ❑ Contact PAC on any questionable work eligibility. ❑ Discuss Emergency Work eligibility. ❑ Discuss Permanent Work cost eligibility.

✓	Action	Steps	Details
		❑ Refer to Chapter 4 in the *Applicant Handbook*	❑ Discuss and hand out applicant's *PWs.* ❑ Discuss and hand out Force Account records. ❑ Discuss back-up information requirements. ❑ Discuss supporting documentation.
		❑ Refer to *Special Considerations Questions*	❑ Discuss Special Considerations issues. ❑ Insurance ❑ Floodplain/wetland/coastal high hazard areas ❑ CBRA unit ❑ Pre-disaster design/improved or alternate project ❑ Hazard mitigation—(Emergency work is not eligible) ❑ Historic ❑ Environmentally sensitive areas ❑ Hazardous materials ❑ Controversial issues
		❑ Payment of small projects (under $47,800)	❑ Based on actual costs if work completed; cost estimate if work not completed. ❑ If the applicant incurs a significant cost overrun after completing all small projects, a project reconciliation appeal for additional funds can be made.
		❑ Payment of large projects (over $47,800)	❑ Explain that large project work will be formulated based on cost estimates but reimbursable on a dollar-for-dollar basis.
❑	Applicant Project Formulation	❑ Small projects. Refer to *Project Formulation Job Aid.*	❑ Damage sites may be formulated into one or many work projects. Project formulation is a management tool, not a funding technique. ❑ Combined small sites with total costs over $47,800 will be considered large projects. ❑ Explain how small emergency work activities may be formulated into one project or many projects. ❑ Explain how small permanent work activities may be formulated into one or many projects.

✓	Action	Steps	Details
		❑ Small projects. Refer to *PW* and instructions.	❑ Applicant to complete the *PW* per instructions. ❑ Applicant to submit the *PW* to FEMA Public Assistance Coordinator. ❑ Applicant to maintain the *PW* on file for future validation or audits. Also, documentation to support the *PW* for each project by *PW* project number supplied by Public Assistance Coordinator.
		❑ Large projects.	❑ Project Officer (PO) will be assigned to each large project. ❑ The PO may use the Cost Estimating Format (CEF), where appropriate, to estimate the cost. ❑ Applicant to maintain the *PW* and backup documentation on file for audit purposes.
		Scope of Work. Refer to Chapter 3 Applicant Handbook	For a complete scope of work the applicant must: ❑ Describe the pre-disaster facility, function and location (latitude/longitude) ❑ Describe disaster-related damage to the facility ❑ Describe repairs necessary to repair facility to pre-disaster design ❑ Describe any Special Considerations ❑ Describe any change in the pre-disaster design of the facility
❑		Cost Estimation. Refer to Chapter 3 in the *Applicant Handbook*	❑ Cost estimates can be developed from: ❑ Contractor contracts ❑ Contractor bids ❑ Applicant's experience in that particular area of repair work ❑ Books such as RS Means ❑ FEMA cost codes ❑ Inform the applicant that a Specialist can be assigned, if needed, to help applicant with cost estimating.

✓	Action	Steps	Details

❑	Explain Validation Procedures	❑ Discuss with applicant the validation process.	❑ The PO will validate all large projects.
			❑ At least 20% of all small projects must go through a validation process.
			❑ 100% of those projects submitted later than 30 days after the Kickoff Meeting will be validated.
			❑ Satisfactory validation results will expedite approval and funding of the applicant's projects.
			❑ Unsatisfactory validation results will require changes/adjustments and possibly the validation of additional projects.
			❑ Project validation ensures that:
			  ❑ The scopes of work are complete, accurate, and eligible for Federal assistance.
			  ❑ Cost estimates are accurate.
			  ❑ No eligible damage has been overlooked by the applicant.

❑	Review Appeal Process	❑ Refer to the *Public Assistance Guide* (FEMA 286, to be replaced by 322).	❑ Applicant has the right to appeal any aspect of a small or large project within 60 days from the date on which the proposed settlement is presented. ❑ Explain that major differences are expected to be identified and resolved prior to the settlement offer because the applicant will have determined eligibility, scope of work, and cost estimates for small projects based upon FEMA guidelines and in regular consultation with the PAC.
❑	Discuss Possible Audits	❑ Discuss with applicant the possibility of audits.	❑ Inform the applicant that under the "Single Audit Act" there is always the possibility of an audit by State auditors and/or the FEMA Office of Inspector General. ❑ Advise the applicant to keep all documentation for 3 years from the project completion date. (Refer to Chapter 4 in the *Applicant Handbook.)*

✓	Action	Steps	Details
❑	Kickoff Meeting Summary	❑ Summarize the Kickoff Meeting with applicant.	❑ The PAC is the primary FEMA representative for applicant. ❑ Complete, accurate *PWs* must be submitted as soon as possible. ❑ The PAC will assign and coordinate the work of Specialists and POs with applicant. ❑ The applicant should contact the PAC with any concerns and/or questions. ❑ Good documentation of work completed and costs estimated, is very important. ❑ The PAC will now update CMF with comments and information obtained during meeting.

APPENDIX B

Eligibility Job Aid

What Work Is Eligible?

✓	Status	Eligibility Requirements
❑	Debris Removal	• Work must be a direct result of the declared event. • Work must have been performed within designated area. • Work must be the legal responsibility of the applicant. • Work must eliminate immediate threat to public lives, health and safety. • Work must eliminate immediate threat of significant damage to improved public or private property. • Work must ensure economic recovery of the affected community to the benefit of the community at large. • Work must not fall under the responsibility of any Other Federal Agency (OFA). • Salvage value or insurance proceeds must be deducted.
❑	Emergency Protective Measures	• Measure must be a direct result of the declared event. • Measure must have been performed within designated area. • Measure must be the legal responsibility of the applicant. • Measure must eliminate immediate threat to public lives, health and safety. • Measure must eliminate immediate threat of significant damage to improved public or private property. • Measure must ensure economic recovery of the affected community to the benefit of the community at large. • Salvage value or insurance proceeds must be deducted.
❑	Permanent Restoration	• Restoration must be a direct result of the declared event. • Restoration must have been performed within designated area. • Restoration must be the legal responsibility of the applicant. • Restored facility must be in active use. • Restoration must not fall under the responsibility of any Other Federal Agencies (OFA). • Salvage value or insurance proceeds must be deducted.

What Cost Is Eligible?

✓	Cost Type1	Nature of Cost	Details
❑	Labor[2]	Permanent labor	• Regular time and overtime labor costs are eligible for permanent restoration work. • Only overtime labor costs are eligible for emergency work. • An organization's pre-disaster policy on overtime will determine whether or not the organization is reimbursed for overtime work by salaried employees. • For emergency work, only overtime costs are eligible; regular time labor costs are not eligible for reimbursement. • Fringe benefits associated with disaster-related labor costs are eligible.
		Temporary labor	• Regular and overtime labor costs for temporary staff hired specifically to perform disaster-related work is eligible for reimbursement. • Fringe benefits for temporary labor may vary from permanent labor and will be dependent upon an organization's pre-disaster labor policy.
		Part-time labor	• Excess regular and overtime costs for part-time employees (only for hours worked over their normal work schedule), are eligible for reimbursement. • Fringe benefits associated with disaster-related costs are eligible. • Benefits for part-time labor may vary from permanent labor and will be dependent upon an organization's pre-disaster labor policy.
		Volunteer labor	• Organizations that use volunteer labor may receive credit for that labor to reduce or eliminate the non-Federal cost share. • Volunteer labor will be valued at the prevailing rate for the work being performed.

1 Disaster work will not be funded if payment is contingent on receiving funding from FEMA.

2 Supporting documentation should include a summary report of hours worked by employee for both regular and overtime and the respective fringe benefit costs or rate. Furthermore, this summary should be supported by individual time and attendance records, which differentiate the number of hours worked on disaster-related work and non-disaster related work and detailed description of the work performed.

What Cost Is Eligible?

✓	Cost Type1	Nature of Cost	Details
		• Contract labor	• Contract labor to perform disaster-related work is eligible for reimbursement. Generally, contracts must be competitively bid; an applicant must follow the same policies and procedures it uses for procurements from its non-Federal funds. • Exceptions (with written justification) include instances where emergency work must be completed immediately to reduce the threat to life, public health or safety, or where there exists only a single source to complete the work. • Additionally, for a contract with both emergency and non-emergency work, only the part that relates to the emergency work may be the exception.
❑	Equipment[3]	• Rented/leased	• The cost of the rented/leased equipment is eligible, along with normal equipment operating expenses, such as fuel and supplies. • Maintenance costs are the responsibility of the lessor, unless otherwise Stated in the lease agreement. • The organization should follow its established business practices when renting equipment.
		• Applicant-owned	• Organizations using their own equipment in the response and recovery effort will be reimbursed based on either the FEMA equipment rates or the organization's (pre-disaster) internally-developed equipment usage rates, ***whichever is lower***. Only the time the equipment is ***actually*** in use is eligible. Therefore, the equipment usage must correspond to labor hours claimed for performing eligible work.
		• Purchased	• Equipment purchased to perform disaster-related work will be reimbursed using FEMA equipment rates based on usage. Depending on the cost of the equipment, the usage may be reimbursed based on salvage value.
❑	Materials and Supplies[4]	• Inventory	• Organizations using an existing inventory of materials and supplies to assist in the response and recovery effort will be reimbursed for the reasonable cost of replenishing the inventory to the pre-disaster level.
		• Purchased	• Purchased materials and supplies will be reimbursed for the purchase prices if the organization complies with its pre-disaster procurement regulations and practices.

3 Supporting documentation should include a summary noting whether the equipment is owned or rented and the daily usage

4 Supporting documentation should include an inventory listing or invoices and receipts for purchased items.

How Much Is Eligible?

✓	Item	Eligibility for Reimbursement
❑	Emergency Public Transportation	• Emergency public transportation costs are eligible, provided that public transportation is not the responsibility of another Federal agency (e.g., Federal Highway Administration) and is in accordance with Section 419 of the Stafford Act. Due to the large outlay this could represent, all emergency transportation projects must be pre-approved by the FEMA Public Assistance Officer. • When FEMA does reimburse for emergency public transportation, the cost of capital construction projects to meet emergency needs will be reimbursed only for the emergency period to be defined by FEMA on a project-by-project basis. • The amount reimbursed will be determined based on a depreciation recovery rate.
❑	Employee Hourly Rate	• FEMA will reimburse a reasonable hourly rate based on the type of work performed. For instance, if a subgrantee's employee is a janitor and the employee performed disaster-related clean-up work, then that employee's full hourly rate as a janitor will be reimbursable. However, if a doctor performs the same disaster-related clean-up work, then their hourly rate will be adjusted downward to reflect the typical cost to perform the clean-up function (i.e., that paid to the janitor).
❑	Building Habitability Safety Inspections	• The cost of an initial safety inspection performed to determine the habitability of a structure may be eligible for reimbursement. This will be a disaster-specific determination.
❑	Building Inspection and Permit Processing Costs Directly Related to Waived Building Permit Fees	• When a local government authority waives building permit fees, they may incur a loss of revenue. FEMA does not reimburse for loss of revenue. The existing fee schedule should provide the necessary revenue to support the building permit process.
❑	Mutual Aid Agreements	• Mutual aid agreements usually contain reimbursement provisions for labor, fringe benefits, lodging, meals, travel expenses, equipment, and materials. FEMA will reimburse costs associated with mutual aid policies that were established before the disaster. • If a subgrantee enters into a mutual aid agreement after the disaster occurs, it may affect the amount of funding eligible from FEMA.
❑	Post-Disaster Overtime Costs	• FEMA will reimburse eligible costs that are in accordance with the 44 CFR and OMB Circulars and the subgrantee's pre-disaster policies. • If the subgrantee's pre-disaster policy does not pay employees for overtime, FEMA will not reimburse the cost of overtime. If a pre-disaster local or State provision exists to pay overtime during emergency situations, FEMA will reimburse the cost of overtime.

How Much Is Eligible?

✓	Item	Eligibility for Reimbursement
❑	Contract Labor for Emergency Work (as opposed to using permanent employees)	• Contract labor for emergency work is eligible. However, if the work performed is essentially identical to the organization's normal work functions, then permanent employee labor should be used and any temporary labor needed can be hired with full reimbursement for regular and overtime costs.
❑	Project Management[5]	• Actual costs associated with the management of a FEMA project are reimbursable.
❑	Indirect Costs[6]	• No indirect costs are eligible for reimbursement.
❑	Computer System/Software for Tracking Disaster-Related Costs	• A computer system or new software is considered an administrative cost incurred to administer Federal disaster assistance. Therefore, such costs are reimbursed by the Statutory Administrative Allowance and are not eligible for reimbursement.

5 The term project management may be used to indicate construction project management or management of a FEMA-reimbursed project. Construction project management costs are those direct costs incurred to manage a construction project. Generally, to evidence direct costs, a project manager must keep a log of the tasks and time spent performing those tasks. Some specific project management tasks include review of bids, work site inspections, checking and approving material samples, review of shop drawings and change orders, review of contractor's request for payment, and acting as an owner's representative.

6 Indirect costs are expenses that are not fully and directly attributable to a project. Indirect costs can include labor items such as human resources, finance, systems support and development, legal, payroll, administration and management, and supervisory personnel. Other indirect costs that are often pooled and allocated on a percentage basis include, but are not limited to, phone, copier, rent, facsimile, debt service, facility management, and utility expenses, among others.

How Much Is Eligible?

✓	Item	Eligibility for Reimbursement

❑	Temporary Relocation	• Only those applicants who provide essential community services or schedules are eligible for relocation costs.
		Essential community services protect threats to life, public health and safety, and include:
		• Medical facilities including hospitals, outpatient facility, rehabilitation facility or facility for long-term care as defined by Section 645 of the Public Health Service Act
		• Custodial care facility providing institutional care for persons requiring close supervision and some physical constraints on their daily activities
		• Emergency facilities including fire departments, police departments, search and rescue teams, and ambulances
		• Utility facilities for generation, transmission, distribution and maintenance of electric power, telephone, sewer and water, and gas
		• Homeless shelters.
		• Facilities that provide essential health and safety services of a governmental nature, such as:
		    • Low-income housing
		    • Alcohol and drug rehabilitation
		    • Programs for battered persons
		    • Food programs
		• It is important to note that there are some facilities that provide essential services of a governmental nature and are open to the general public but are not an essential community service. These include:
		• Museums
		• Zoos
		• Community centers
		• Libraries
		• Senior citizen centers
		• Shelter workshops
		FEMA pays for temporary relocation of an essential community service until the applicant's facility is habitable again. Due to the essential service provided by the applicant, it is expected that the repair or reconstruction of the permanent facility will be expedited. Should this not be the case, FEMA will re-examine the temporary relocation period.

How Much Is Eligible?

✓	Item	Eligibility for Reimbursement
❑	Examples of activities not eligible for reimbursement	• Property tax re-assessments • Disaster application centers (DACs) • Housing programs • Consumer task forces

APPENDIX C

Project Formulation Forms

The following forms are available for use in reporting damage site information, and are provided in their entirety, formatted within this text for reproducing, if necessary. These forms can also be accessed through the Internet at www.fema.gov/r-n-r/appfrm1.htm. Each of the forms can be downloaded in Rich Text Format or as a Word Document.

- *Project Worksheet* (FEMA Form 90-91)
- *Project Worksheet Instructions* (FEMA Form 90-91 (BACK))
- *Project Worksheet Damage Description and Scope of Work Continuation Sheet* (FEMA Form 90-91A)
- *Project Worksheet Cost Estimate Continuation Sheet* (FEMA Form 90-91B)
- *Project Worksheet Maps and Sketches Sheet* (FEMA Form 90-91C)
- *Project Worksheet Photo Sheet* (FEMA Form 90-91D)

FEDERAL EMERGENCY MANAGEMENT AGENCY

PROJECT WORKSHEET

O.M.B. No. 3067-0151
Expires April 30, 2001

PAPERWORK BURDEN DISCLOSURE NOTICE

Public reporting burden for this form is estimated to average 30 minutes. The burden estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the needed data, and completing and submitting the forms. You are not required to respond to this collection of information unless a valid OMB control number is displayed in the upper right corner of the forms. Send comments regarding the accuracy of the burden estimate and any suggestions for reducing the burden to: Information Collections Management, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472, Paperwork Reduction Project (3067- 0151). **NOTE:** Do not send your completed form to this address.

DISASTER FEMA-________ -DR-____	PROJECT NO.	PA ID NO.	DATE	CATEGORY

DAMAGED FACILITY

WORK COMPLETE AS OF ____________ : ____________ %

APPLICANT

COUNTY

LOCATION

LATITUDE

LONGITUDE

DAMAGE DESCRIPTION AND DIMENSIONS

SCOPE OF WORK

Does the Scope of Work change the pre-disaster conditions at the site? ☐ Yes ☐ No

Special Considerations issues included? ☐ Yes ☐ No Hazard Mitigation proposal included? ☐ Yes ☐ No

Is there insurance coverage on this facility? ☐ Yes ☐ No

PROJECT COST

ITEM	CODE	NARRATIVE	QUANTITY/UNIT	UNIT PRICE	COST
				TOTAL COST ▶	

PREPARED BY:

TITLE:

FEMA Form 90-91, SEP 98 **REPLACES ALL PREVIOUS EDITIONS.**

PROJECT WORKSHEET
INSTRUCTIONS

The Project Worksheet must be completed for each identified damaged project.

After completing all Project Worksheets, submit the worksheets to your Public Assistance Coordinator.

Identifying Information

Disaster: Indicate the disaster declaration number as established by FEMA (i.e. "FEMA 1136-DR-TN", etc.).
Project No.: Indicate the project designation number you established to track the project in your system (i.e. 1,2,3, etc.).
PA ID No.: Indicate your Public Assistance identification number on this space. This is optional.
Date: Indicate the date the worksheet was prepared in MM/DD/YY format.
Category: Indicate the category of the project according to FEMA specified work categories. This is optional.
Applicant: Name of the government or other legal entity to which the funds will be awarded.
County: Name of the county where the damage is located. If located in multiple counties, indicate "Multi-County."
Damage facility: Identify the facility and describe its basic function.
Work Complete as of: Indicate the date the work was appraised in the format of MM/DD/YY and the percentage of work completed to that date.
Location: This item can range anywhere from an "address," "intersection of...," "1 mile south of...on..." to "county wide." If damages are in different locations or different counties please list each location. Include latitude and longitude of the project if known.
Damage Description and Dimensions: Describe the disaster-related damage to the facility, including the cause of the damage and the area or components affected.
Scope of Work: List work that has been completed, and work to be completed, which, is necessary to repair disaster-related damage. Include items recorded on the preliminary damage assessment.
Does the Scope of Work change the pre-disaster conditions of the site: If the work described under the Scope of Work changes the site conditions (i.e. increases/decreases the size or function of the facility or does not replace damage components in kind with like materials), check (x) yes. If the Scope of Work returns the site to its pre-disaster configuration, capacity and dimensions check (x) no.
Special Considerations: If the project includes insurable work, and/or is affected by environmental (NEPA) or historic concerns, check (x) either the Yes or No box so that appropriate action can be initiated to avoid delays in funding. Refer to Applicant Handbook for further information.
Hazard Mitigation: If the pre-disaster conditions at the site can be changed to prevent the disaster-related damage, check (x) Yes. If no opportunities for hazard mitigation exist check (x) no. Appropriate action will be initiated and avoid delays in funding. Refer to Applicant Handbook for further information.
Is there insurance coverage on this facility: Federal law requires that FEMA be notified of any entitlement for proceeds to repair disaster-related damages, from insurance or any other source. Check (x) yes if any funding or proceeds can be received for the work within the Scope of Work from any source besides FEMA.

Project Cost

Item: Indicate the item number on the column (i.e. 1, 2, 3, etc.). Use additional forms as necessary to include all items.
Code: If using the FEMA cost codes, place the appropriate number here.
Narrative: Indicate the work, material or service that best describes the work (i.e. "force account labor overtime", "42. RCP", "sheet rock replacement", etc.).
Quantity/Unit: List the amount of units and the unit of measure ("48/cy", "32/lf", "6/ea", etc.).
Unit Price: Indicate the price per unit.
Cost: This item can be developed from cost to date, contracts, bids, applicant's experience in that particular repair work, books which lend themselves to work estimates, such as RS Means, or by using cost codes supplied by FEMA.
Total Cost: Record total cost of the project.

Prepared By: Record the name and title of the person completing the Project Worksheet.

Records Requirements

Please review the Applicant Handbook for detailed instructions and examples.
For all completed work, the applicant must keep the following records:

*Force account labor documentation sheets identifying the employee, hours worked, date and location;

*Force account equipment documentation sheets identifying specific equipment, operator, usage by hour/mile and cost used;

*Material documentation sheets identifying the type of material, quantity used and cost;

*Copies of all contracts for work and any lease/rental equipment costs.

For all estimated work, keep calculations, quantity estimates, pricing information, etc. as part of the records to document the "cost/estimate" for which funding is being requested.

FEDERAL EMERGENCY MANAGEMENT AGENCY **PROJECT WORKSHEET - Damage Description and Scope of Work Continuation Sheet**				O.M.B. No. 3067-0151 Expires April 30, 2001
DISASTER FEMA-________ -DR-____	PROJECT NO.	PA ID NO.	DATE	CATEGORY
APPLICANT		COUNTY		
PREPARED BY:			TITLE:	

FEMA Form 90-91A, SEP 98

FEDERAL EMERGENCY MANAGEMENT AGENCY

PROJECT WORKSHEET - Cost Estimate Continuation Sheet

O.M.B. No. 3067-0151
Expires April 30, 2001

DISASTER FEMA-________ -DR-____	PROJECT NO.	PA ID NO.	DATE	CATEGORY
APPLICANT		COUNTY		

PROJECT COST

ITEM	CODE	NARRATIVE	QUANTITY/UNIT	UNIT PRICE	COST
				TOTAL COST ▶	

PREPARED BY:	TITLE:

FEMA Form 90-91B, SEP 98

FEDERAL EMERGENCY MANAGEMENT AGENCY

PROJECT WORKSHEET - Maps and Sketches Sheet

O.M.B. No. 3067-0151
Expires April 30, 2001

DISASTER FEMA-________ -DR-____	PROJECT NO.	PA ID NO.	DATE	CATEGORY
APPLICANT		COUNTY		

FEMA Form 90-91C, SEP 98

FEDERAL EMERGENCY MANAGEMENT AGENCY

PROJECT WORKSHEET - Photo Sheet

O.M.B. No. 3067-0151
Expires April 30, 2001

DISASTER FEMA-________ -DR-____	PROJECT NO.	PA ID NO.	DATE	CATEGORY
APPLICANT		COUNTY		

PHOTO	PHOTO
DESCRIPTION	DESCRIPTION

FEMA Form 90-91D, SEP 98

APPENDIX D

Project Formulation Job Aid

GENERAL

The Public Assistance Program focuses on responding to the needs of the applicant and project formulation is one of the techniques used to implement this concept. Work is organized according to an applicant's recovery needs and is identified on a *Project Worksheet* (*PW*).

The Public Assistance Coordinator (PAC) and applicant discuss project formulation at the Kickoff Meeting.

Projects can be formulated in various ways and combinations depending upon an applicant's needs and desires. Emergency work and permanent work can only be combined when the emergency work is incidental to the permanent work.

Projects with Special Considerations may be formulated separately, if desired, and submitted to the PAC to immediately begin to resolve the special consideration issue.

Project formulation cannot be used to avoid complying with eligibility requirements.

- ❑ Example: Repair of damage that is routine maintenance or is required due to pre-disaster design cannot be included in a project for eligible work.

The applicant may do the actual project formulation after discussion with the PAC on the various grouping options.

Note: Project formulation may create large projects under certain conditions. See the discussion below.

PROJECT FORMULATION METHODS

There are several ways to formulate projects. The following are just some of the ways work may be associated. Remember that project formulation must involve reasonably associated work.

Type of Damage

This will probably be one of the most common methods as discussed in Solution 1 to the situation discussed below. It can be applied very effectively to most damages.

System

An electrical, water, sewerage or other utility may have suffered extensive damages. All eligible damages to the system could be formulated into one project.

Boundaries

An applicant may have divided a utility system into sectors or its road department into division.

- Damages in each sector or division could be formulated into one project.
- Damages could be grouped by type of damage within a sector.

Method of Work Completion

A county could have extensive damages to its road system that are being repaired by contract or a combination of contract and force account.

- Each contract could be a project.
- A group of contracts let to one contractor could be a project.
- Damages repaired by force account could be formulated into one or more projects.

Complex

A school board could have extensive damages to several facilities at a complex, e.g., high school campus.

- All of the damages to the school could be formulated into one project.
- Some projects could be formulated by type of damages such as all roof repairs.
- All repairs done by a single contractor could be formulated into one project.
- All repairs done by force account could be one project.

CAN PROJECT FORMULATION CREATE A LARGE PROJECT? YES!

At least five different solutions can be applied to the same situation described below. Four solutions result in large projects.

Situation

A county road traversing the length of the applicant's county has six eligible damage sites each under $47,800.

Solution 1

The applicant has repaired the damages using force account and kept separate records for each damage site. The applicant will complete a *PW* for each site. There will be six small *PWs*.

Solution 2

The applicant has repaired the damages using force account and kept separate records for each damage site. The applicant decides to group these six sites into one project. The total amount of the eligible repair costs is $72,546.00. Formulation has created a large project.

Solution 3

The applicant has repaired the damages using force account, but only one site was documented separately. The applicant decides to create *PWs* as his documentation exists so he has one large project (representing 5 sites) and one small project.

Solution 4

The applicant tells the PAC that they have let a contract to a single contractor to do all the repairs. The contract cost is $78,885.00. The applicant determines that this is a large project since the cost is over the $47,800 threshold. The decision is based on the contract amount, even though the bid may have been by separate site. The PAC will request the Resource Coordinator to assign a Project Officer. Processing of this project will follow large project procedures.

Solution 5

The applicant tells the PAC that they will repair the damages using force account. The applicant will not keep separate records for each damage site. There will be no way to determine how much was spent at each site. The applicant’s estimate to do the work is $75,000.00. The applicant determines that this is a large project. The PAC will request the Resource Coordinator to assign a Project Officer. Processing of this project will follow large project procedures.

Project Formulation Job Aid (continued)

This chart outlines methods to formulate projects. Keep in mind that emergency work and permanent work can only be combined when the emergency work is incidental to the permanent work.

✓	Method	Example	Possible Projects
❑	Type of Damage	Debris removal, roads and bridges, public buildings and utilities	Can be applied very effectively to most damages.
❑	System	Electrical, water, sewerage or other utility	All damage to system could be formulated into one project.
❑	Boundaries	A utility system could have been divided into sectors. A road department could have been divided into divisions.	Damages in each sector or division could be formulated into one project. Damages of the same type within a sector could be formulated into one project.
❑	Method of Work Completion	Work is being done by contract or a combination of contract and force account.	Each contract could be a project. Contracts let to one contractor could be a project. Damages repaired by force account could be formulated into one or more projects.
❑	Complex	A school board could have extensive damages to several facilities (which are covered by the same insurance policy).	All of the damages to the school could be formulated into one project. Some projects could be formulated by type of damage, such as roof repairs at all schools in the same school district. All repairs done by a single contractor could be formulated into one project (cover repairs at multiple schools). All repairs done by force account could be formulated into one project.
❑	Other	Applicant specific	Project formulation is flexible to support the applicant.

The Public Assistance Program

Cost Estimating Format (CEF) for Large Projects November 1998

APPENDIX E
CEF STANDARD OPERATING PROCEDURE

What information exists for the Cost Estimating Format (CEF) for Large Projects and what is it for?

- The CEF Information Update (November 1998) provides an overview on FEMA's cost estimating methodology for large projects.
- The Applicant Handbook (FEMA 323) - Chapter 6, Handling Large Projects describes a subgrantees' large project roles and responsibilities.
- The Cost Estimating Format for Large Projects Instructional Guide, Version 2 (November 1998) provides application guidance to users responsible for developing a large project cost estimate.
- An excel-based template - referred to as the CEF for Large Projects Spreadsheet has been designed to provide more uniformity in estimating costs for large projects, and to make it user friendly and flexible enough to respond to individual project conditions for all types of permanent restorative work.
- The CEF may be revised periodically as data from completed projects becomes available. A standard report has been developed to collect this data. The CEF - Large Project Report is a word-based spreadsheet that is completed by the Public Assistance Officer for each large project that was estimated using the CEF, that is then forwarded to FEMA Headquarters.

This standard operating procedure provides an overview of the CEF for Large Projects and is intended for the users responsible for procuring component factor information, and for developing large projects and their estimate of costs. The procedure also discusses FEMA Headquarters large project reporting requirements.

Which Large Projects will the CEF be used on?

- The CEF should only be used on large projects for which the permanent restorative work (Categories C, D, E, F, and G) is less than 50% complete, or will take four or more months to reach 90% project completion (pre-punch list/contractor retainage stage). Actual eligible costs will be used for large projects that are either greater than 50% complete, or will be 90% complete within four months (do not use CEF). Percent complete is derived from the approved design and/or construction timeline for eligible work, using the start and completion dates of the project to determine project duration. For determining percent completion on improved or alternate projects, reference the CEF for Large Projects Instructional Guide.

What is the process for preparing an estimate for a Large Project using the CEF?

- Project Officers (POs) are responsible for determining which local factors to use in the development of the project cost estimate. Specific items are unit price sources, city cost indices (if applicable), and local costs for plan checks, building permits, or special reviews. This information will be collected and evaluated at the beginning of each disaster and used uniformly for all CEF analyses. Prepare the CEF for large project as follows:

- Determine the eligible scope of work and base costs (Part A of the CEF), including Special Considerations and 406 Hazard Mitigation for large projects that meet the criteria noted in the previous bullet. Part A of the CEF should be completed in accordance with the guidance provided within the Cost Estimating Format for Large Projects Instructional Guide subsequent to normal site inspection procedures. All work activities needed to perform the eligible scope of work will include a detailed - written description of the scope of work, the cost item reference (Construction Specifications Institute [CSI] based), cost code reference (if FEMA cost codes are used), the unit (linear foot-LF, square foot-SF, each-EA, cubic yard-CY, etc. - do not use lump-sum-LS), the quantity (or measurement), the unit cost and the quantity cost. Each line items unit price/subtotal cost will be adjusted to reflect the city cost index where the work will take place.

- Document the eligible scope-of-work on the CEF Fact Sheet. Detailed supporting backup documentation such as site maps (or location plan), photographs, sketches, calculations, measurements, insurance declarations page, determining anticipated insurance settlement or actual insurance settlement, 406 HMP proposal(s), construction permits and clearances, force account (F/A) summary sheets, codes and standards cited within the PO report; and for major construction activities such as water control facilities and large buildings, to include schematic drawings; a set of plans preferably reduced to 11" x 17" containing basic information such as elevations, floor plans, site plan, structural plans and sections, etc., as applicable, are required from the applicant during the large project formulation process. Source documents such as invoices, vouchers, timesheets, purchase orders, item slips, weight slips, plans and specifications, insurance policy, etc. reside with the applicant.

- After the eligible scope of work and its base costs are completed in Part A, the PO will complete Parts B through H (the factors applied to the base cost) of the CEF. Separate summaries will be developed for completed and uncompleted work. Assumptions used in defining factors B through H will be documented in the CEF Fact Sheet.

- The PO will utilize the CEF for large projects estimate in preparation of the *Project Worksheet* (*PW*) and for cost reconciliation (as applicable) using the large project guidelines noted in the Public Assistance Guide (FEMA 286) pages 26-27 and 30-31. Improved projects will be based on the CEF estimate without a post-construction reconciliation of actual costs. Alternate projects will be 90 percent of the Federal share of the approved CEF estimate for the eligible work, without any added mitigation measures and without a post-construction reconciliation of actual costs.

- As large projects are completed and project documentation is submitted to FEMA by the State, actual eligible costs will be reconciled against estimated costs (resulting in an obligation or deobligation of funds for eligible work).

- After the PO completes the CEF and the *PW*, the excel file containing the CEF estimate will be attached to the *PW* in the National Emergency Management Information System (NEMIS) and all applicable supporting back-up documentation noted above will be scanned into the Case Management File (CMF).

- If the PO requires assistance with any part of the CEF, the PO will request a Technical Specialist (SPEC) - a cost estimator or engineer, from the Public Assistance Coordinator (PAC). Reference the CEF for Large Projects Instructional Guide for more detail.

What is the process for preparing an estimate for a Large Project if CEF is not used?

- Prepare the eligible scope-of-work and quantitative estimate for work completed and work-to-be-completed using the standard damage survey and inspection process. Reference the Public Assistance Guide (FEMA 286) pages 17-22 for additional guidance regarding damage surveys, unit prices and scope of work descriptions; for guidance on large projects involving requests for an improved or alternate project reference pages 27-29; and for guidance on large projects and determinations of eligibility, reference Chapter 3, pages 37-77 inclusive.

- The supporting backup documentation and source documentation requirements for large projects formulated without CEF, are the same as for those that are formulated using CEF (see previous question).

- After the PO completes the *PW* and it has been entered in NEMIS, all applicable supporting back-up documentation will be scanned into the CMF.

- If the PO requires assistance with any part of the large project formulation process, the PO will request a Technical Specialist (SPEC) - a cost estimator or engineer, from the Public Assistance Coordinator (PAC).

What are the appropriate references for unit prices in preparing Part A base costs?

- POs will request average weighted unit prices (local costs derived from actual contract history) from the applicant or relevant State/regional agency (Department of Transportation-DOT, etc.) in order to prepare the eligible scope of work with the applicant. The average weighted unit price information should be evaluated for compatibility with the eligible scope of work and consistency over a reasonable time period. Use R.S. Means Cost Data (the most current available) if the applicant does not have appropriate average weighted unit price data. FEMA Cost Codes or other commercial cost-data estimating resources are a last source of reference for unit prices in preparing Part A base costs. One copy each of the following R.S. Means Cost Data books (at a minimum) should be available for reference at the Disaster Field Office (DFO):

  - ADA Pricing Guide
  - Building Construction
  - Concrete and Masonry
  - Electrical
  - Facilities
  - Heavy Construction
  - Mechanical
  - Plumbing
  - Repair and Remodeling
  - Site Work and Landscape
  - Square Foot Costs

  If R.S. Means Cost Data are used in Part A, City Cost indices are to be applied to adjust the R.S. Means unit prices to the nearest City for the declared Counties. The Public Assistance Officer (PAO) or designee, will identify the zip codes included in the declared area, research R.S. Means for the appropriate city cost factors and tabulate them for use by the PO's.

County	Zip Code	City Reference	City Index

How are local costs for Plan Review and Construction Permits (Part F) determined?

- The PAO or designee is responsible for requesting documentation related to Plan Review and Construction Permit costs from the Grantee and for the distribution of the costs in tabular form to the POs for their use (see example below). These costs will be determined directly from the controlling jurisdiction in which the subject project is located for the declared counties (e.g. City Building Department, or Office of State Architect, etc., as appropriate). Key items of information include:

  - How is the plan review or construction permitting cost defined?
  - What cost item (construction cost, total project cost, etc.) serves as the basis for calculation of plan review/construction permit costs?
  - What percentage is applied to the base cost?
  - Are these percentages on a sliding scale?
  - Are these fees ever waived in post-disaster situations?

The PAO or designee is also responsible for checking and resetting the individual factors and ranges (Parts B through H), and to set policies regarding the application of the CEF during the reconstruction. This is especially important with regard to force account efforts, use of contingencies, time frames for escalation, post-disaster inflation adjustments in Part A, and the need for engineering and design, and construction phase services. The type of damage experienced will dictate the need for, and relative range, of many of these factors.

County	**Zip Code**	**Plan Review and Construction Permit Costs**

How are completed costs included when the CEF is used for estimating the total cost of a Large Project that is <u>less</u> than 50% complete, or will take <u>four or more months</u> to reach 90% completion?

- The PO will prepare the estimate using the CEF for Large Projects. The CEF estimate will be prepared for the entire project. It is the responsibility of the PO to separate eligible work from ineligible work when developing the estimate and to modify the estimate as appropriate. In the development of Part A, the PO will consider both the estimated costs for completed work and uncompleted work using either average weighted unit prices or R.S. Means. The PO will consider actual costs submitted for completed work when checking the reasonableness of the CEF estimate. The PO is also responsible for completing Parts B through H, as appropriate, for both the completed and uncompleted work.

What are the CEF large project reporting requirements?

- For every large project estimated by CEF, the PAO (or designee) will prepare a <u>CEF - Large Project Report</u> consisting of:

  - Disaster Number (and preparer's name)
  - Declaration Date (and date prepared)
  - Applicant Name
  - PA ID Number
  - *PW* Number
  - Category of Work
  - CEF Estimated Cost
  - CEF Actual Post-Construction Cost
  - Dollar Amount of Obligation or Deobligation
  - Reason for Cost Reconciliation
  - Primary Function of the Facility

The report is a word-based spreadsheet that is distributed with the CEF excel-based spreadsheet. Both spreadsheets are located on a diskette attached to the inside-back cover of the Cost Estimating Format for Large Projects Instructional Guide, Version 2 (November 1998).

Once all large projects that have been estimated by CEF are completed, and the final costs reconciled, the PAO will forward the CEF - Large Project Report (including the reasons for cost adjustments between estimated and post-construction actual costs, as applicable) to the attention of:

David Duffer, RR-IS
Federal Emergency Management Agency
Federal Center Plaza
500 “C” Street, S.W. - Room 713
Washington, D.C. 20472

APPENDIX F

Applicant Record-Keeping Forms and Instructions

GENERAL

It is essential that applicants accurately document the expenses incurred in disaster response and recovery. Accurate documentation will help to:

- Recover all eligible costs.
- Have the information necessary to develop disaster projects.
- Have the information available, which the State and FEMA will need to see, to validate the accuracy of small projects.
- Be ready for any State or Federal audits or other program or financial reviews.

There are many ways to maintain documentation of records. What's important is that the the necessary information is readily available and that all this information is in a usable format. Records must be compiled under the Project Number as shown on FEMA's *Project Worksheet (PW)*. The PAC will give the Project Number to the applicant.

A set of five summary records has been developed to assist the applicant in organizing project documentation. These forms are optional. If the applicant already has a system they want to use, they may do so, if it shows the information outlined above.

The summary records are:

1. Force Account Labor Summary Record—used to record personnel costs.
2. Force Account Equipment Summary Record—used to record equipment use costs.
3. Materials Summary Record—used to record the supplies and materials taken out of stock or purchased.
4. Rented Equipment Summary Record—used to record the costs of rented or leased equipment.
5. Contract Work Summary Record—used to record the costs or work that was done by contract.

Also included in this section:

- Applicant's Benefits Calculation Worksheet – used to record employees' fringe benefits.

All forms are available for downloading or printing from FEMA's website located at: http://www.fema.gov/r-n-r/appfrm1.htm

FEDERAL EMERGENCY MANAGEMENT AGENCY

FORCE ACCOUNT LABOR SUMMARY RECORD

PAGE ______ OF ______

APPLICANT	PA ID NO.	PROJECT NO.	DISASTER
LOCATION/SITE		CATEGORY	PERIOD COVERING

DESCRIPTION OF WORK PERFORMED

	DATES AND HOURS WORKED EACH WEEK								COSTS				
	DATE								TOTAL HOURS	HOURLY RATE	BENEFIT RATE/HR	TOTAL HOURLY	TOTAL COSTS
NAME	REG.												
JOB TITLE	O. T.												
NAME	REG.												
JOB TITLE	O. T.												
NAME	REG.												
JOB TITLE	O. T.												
NAME	REG.												
JOB TITLE	O. T.												
NAME	REG.												
JOB TITLE	O. T.												
NAME	REG.												
JOB TITLE	O. T.												

TOTAL COST FOR FORCE ACCOUNT LABOR REGULAR TIME → $

TOTAL COST FOR FORCE ACCOUNT LABOR OVERTIME → $

I CERTIFY THAT THE ABOVE INFORMATION WAS OBTAINED FROM PAYROLL RECORDS, INVOICES, OR OTHER DOCUMENTS THAT ARE AVAILABLE FOR AUDIT.

CERTIFIED	TITLE	DATE

FEMA Form 90-123, NOV 98

Force Account Labor Summary Record Instructions

Force account is the term to refer to your own personnel and equipment. Keep the following points in mind when compiling force account labor information:

- Record regular and overtime hours separately.
- Record the benefits separately for regular and overtime hours. Most overtime hours include fewer benefits than regular hours.
- Attach a Applicant's Benefit Calculation Worksheet giving a breakdown of what is included in your benefits, by percentages, e.g., social security—15.2%, worker's compensation—4.3%, insurance—18.5%, etc. You can use an average rate if you have different benefit rates for different employees.

Complete the Record as Follows

1. **Applicant:** Enter your organization's name.
2. **PA ID:** Enter the computer tracking number that FEMA assigns to your organization. Your Public Assistance Coordinator can tell you what it is if you don't know it.
3. **PW #:** Enter the project number that you have assigned to this project. If you know the project number assigned by FEMA, use that number.
4. **Disaster Number:** Enter the declaration number for this disaster here. The Public Assistance Coordinator can tell you what it is if you don't know it.
5. **Location/site:** Enter physical address or location of project.
6. **Category:** Enter category of work, if known.
7. **Period Covering:** Enter time period referenced for the information contained on this sheet.
8. **Description of work performed:** Briefly describe the type of work that was performed.

- **Name:** Enter the names of each employee who worked on the project.
- **Title:** Enter the title or occupation of each employee who worked on the project.
- **REG:** Enter the regular hours that each employee worked on the project.
- **OT:** Enter overtime hours that each employee worked on the project. **REMINDER: Only overtime is eligible for reimbursement for emergency work. Record both regular and overtime hours, so that personnel hours can be compared with equipment use hours, if necessary.**
- **Total HR:** Total the hours for each employee and enter the result in this block.
- **Hourly Rate:** Enter each employee's hourly rate.
- **Benefit Rate/Hr:** Enter each employees hourly benefit rate. There should be different percentages for benefits pertaining to regular and overtime wages.
- **Total Hourly:** Add the employee's hourly rate in the Rate/Hr block and the hourly benefits rate in the Benefits/Hr block and enter the result here.
- **Total Costs:** Multiply the entries in Total Hours and Total Hourly and enter the result here.
- **Total Cost:** Multiply the entries in the Total Hr and Total Rate/Hr blocks and enter the result here.
- **Total Cost for Force Account Labor Regular Time:** Add the entries in the Total Cost, REG block for each employee and enter the results here.

FEDERAL EMERGENCY MANAGEMENT AGENCY

FORCE ACCOUNT EQUIPMENT SUMMARY RECORD

PAGE ______ OF ______

APPLICANT	PA ID NO.	PROJECT NO.	DISASTER
LOCATION/SITE		CATEGORY	PERIOD COVERING
DESCRIPTION OF WORK PERFORMED			

TYPE OF EQUIPMENT		OPERATOR'S NAME	DATES AND HOURS USED EACH DAY								COSTS		
INDICATE SIZE, CAPACITY, HOURSEPOWER, MAKE AND MODEL AS APPROPORIATE	EQUIPMENT CODE NUMBER		DATE								TOTAL HOURS	EQUIPMENT RATE	TOTAL COST
			HOURS										
			HOURS										
			HOURS										
			HOURS										
			HOURS										
			HOURS										
			HOURS										
GRAND TOTALS													

I CERTIFY THAT THE ABOVE INFORMATION WAS OBTAINED FROM PAYROLL RECORDS, INVOICES, OR OTHER DOCUMENTS THAT ARE AVAILABLE FOR AUDIT.

CERTIFIED	TITLE	DATE

FEMA Form 90-127, NOV 98

Force Account Equipment Summary Record Instructions

Force account is the term to refer to your own personnel and equipment. Keep the following points in mind when compiling force account labor information:

Complete the record as follows:

1. **Applicant:** Enter your organization's name.
2. **PA ID:** Enter the computer tracking number that FEMA assigns to your organization. Your Public Assistance Coordinator can tell you what it is if you don't know it.
3. **PW #:** Enter the project number that you have assigned to this project. If you know the project number assigned by FEMA, use that number.
4. **Disaster Number:** Enter the declaration number for this disaster here. The Public Assistance Coordinator can tell you what it is if you don't know it.
5. **Location/site:** Enter physical address or location of project.
6. **Category:** Enter category of work, if known.
7. **Period Covering:** Enter time period referenced for the information contained on this sheet.
8. **Description of work performed:** Briefly describe the type of work that was performed

- **Type of Equipment:** Enter a brief description of the equipment, including the rated horsepower or capacity of the equipment. Be sure to include this information if you also use a trade name or common name to describe the equipment, e.g., Ditch Witch.
- **FEMA Code:** Enter the FEMA cost code for the equipment.
- **Operator's Name:** Enter the equipment operator's name.
- **Date/Hours Used:** Enter the dates and hours the equipment was used on the project.
- **Total Hours:** Enter total hours equipment was in use.
- **Equipment Rate:** Enter the hourly cost to use the equipment.
- **Total Cost:** Multiply the number in the Total Hours block by the number in the Equipment Rate block and enter the result here.
- **Grand Totals:** Add the numbers in the Total Hours blocks and Total Cost blocks enter the results here.

FEDERAL EMERGENCY MANAGEMENT AGENCY

MATERIALS SUMMARY RECORD

PAGE ______ OF ______

APPLICANT	PA ID NO.	PROJECT NO.	DISASTER
LOCATION/SITE		CATEGORY	PERIOD COVERING

DESCRIPTION OF WORK PERFORMED

VENDOR	DESCRIPTION	QUAN.	UNIT PRICE	TOTAL PRICE	DATE PURCHASED	DATE USED	INFO FROM (CHECK ONE)	
							INVOICE	STOCK
GRAND TOTAL →								

I CERTIFY THAT THE ABOVE INFORMATION WAS OBTAINED FROM PAYROLL RECORDS, INVOICES, OR OTHER DOCUMENTS THAT ARE AVAILABLE FOR AUDIT.

CERTIFIED	TITLE	DATE

FEMA Form 90-124, NOV 98

The Materials Record Summary Instructions

This form is used to record the costs of supplies and materials purchased in response to the disaster or used to repair damages caused by the disaster.

Complete the record as follows:

1. **Applicant:** Enter your organization's name.
2. **PA ID:** Enter the computer tracking number that FEMA assigns to your organization. Your Public Assistance Coordinator can tell you what it is if you don't know it.
3. **PW #:** Enter the project number that you have assigned to this project. If you know the project number assigned by FEMA, use that number.
4. **Disaster Number:** Enter the declaration number for this disaster here. The Public Assistance Coordinator can tell you what it is if you don't know it.
5. **Location/site:** Enter physical address or location of project.
6. **Category:** Enter category of work, if known.
7. **Period Covering:** Enter time period referenced for the information contained on this sheet.
8. **Description of work performed:** Briefly describe the type of work that was performed.

- **Vendor:** Enter the name of the supplier if the material was bought specifically as a result of the disaster.
- **Description:** Enter a brief description of the supplies or materials used or purchased.
- **Quantity:** Enter amount of material used. (e.g., number, tonnage, etc.)
- **Date Purchased:** Enter the date on the invoice.
- **Date Used:** Enter date actually used/installed.
- **Info from:** Check whether information entered on the form was obtained from actual invoice or if material was taken from stock on hand.
- **Grand Total:** Add the numbers in the Total Price blocks and enter the result here.

FEDERAL EMERGENCY MANAGEMENT AGENCY

RENTED EQUIPMENT SUMMARY RECORD

PAGE ______ OF ______

APPLICANT	PA ID NO.	PROJECT NO.	DISASTER
LOCATION/SITE		CATEGORY	PERIOD COVERING
DESCRIPTION OF WORK PERFORMED			

TYPE OF EQUIPMENT Indicate size, Capacity, Horsepower, Make and Model as Appropriate	DATES AND HOURS USED	RATE PER HOUR		TOTAL COST	VENDOR	INVOICE NO.	DATE AND AMOUNT PAID	CHECK NO.
		W/OPR	W/OUT OPR					
GRAND TOTAL →								

I CERTIFY THAT THE ABOVE INFORMATION WAS OBTAINED FROM PAYROLL RECORDS, INVOICES, OR OTHER DOCUMENTS THAT ARE AVAILABLE FOR AUDIT.

CERTIFIED	TITLE	DATE

FEMA Form 90-125, NOV 98

The Rented Equipment Summary Record

Instructions

This form is used to record the costs of equipment that you had to rent or lease to respond to the disaster or to be used in making repairs to damages caused by the disaster.

Complete the record as follows:

1. **Applicant:** Enter your organization's name.
2. **PA ID:** Enter the computer tracking number that FEMA assigns to your organization. Your Public Assistance Coordinator can tell you what it is if you don't know it.
3. **PW #:** Enter the project number that you have assigned to this project. If you know the project number assigned by FEMA, use that number.
4. **Disaster Number:** Enter the declaration number for this disaster here. The Public Assistance Coordinator can tell you what it is if you don't know it.
5. **Location/site:** Enter physical address or location of project.
6. **Category:** Enter category of work, if known.
7. **Period Covering:** Enter time period referenced for the information contained on this sheet.
8. **Description of work performed:** Briefly describe the type of work that was performed

- **Type of Equipment:** Enter a brief description of the equipment that you leased or rented, including the rated horsepower or capacity of the equipment. Be sure to include this information if you also use a trade name or common name to describe the equipment, e.g., Ditch Witch.
- **Dates/Hours Used:** Enter the dates and hours the equipment was used on the project.
- **Rate Per Hour:** Enter the hourly rental or lease cost of the equipment. Indicate if the equipment was rented on a daily, weekly, or monthly rate, instead of an hourly rate. List in appropriate column if operator costs were included.
- **Total Cost:** Multiply hours Used by Hourly Rate charged and enter total cost here
- **Vendor:** Enter the name of the company that rented or leased the equipment to you.
- **Invoice No.**: Enter billing invoice number.
- **Date / Amount Paid:** Enter date of payment and amount of check.
- **Check No.**: List check number that was used to pay for equipment rental.
- **Grand Total:** Add the dollar figure from the Amount Paid blocks and enter total here.

FEDERAL EMERGENCY MANAGEMENT AGENCY
CONTRACT WORK SUMMARY RECORD

PAGE ______ OF ______

APPLICANT	PA ID NO.	PROJECT NO.	DISASTER
LOCATION/SITE		CATEGORY	PERIOD COVERING

DESCRIPTION OF WORK PERFORMED

DATES WORKED	CONTRACTOR	BILLING/INVOICE NUMBER	AMOUNT	COMMENTS - SCOPE
		GRAND TOTAL →		

I CERTIFY THAT THE ABOVE INFORMATION WAS OBTAINED FROM PAYROLL RECORDS, INVOICES, OR OTHER DOCUMENTS THAT ARE AVAILABLE FOR AUDIT.

CERTIFIED	TITLE	DATE

FEMA Form 90-126, NOV 98

Contract Work Summary Record

Instructions

This form is used to record the costs of contracts that you awarded to respond to the disaster or to make repairs to damages caused by the disaster.

Complete the record as follows:

1. **Applicant:** Enter your organization's name.
2. **PA ID:** Enter the computer tracking number that FEMA assigns to your organization. Your Public Assistance Coordinator can tell you what it is if you don't know it.
3. **PW #:** Enter the project number that you have assigned to this project. If you know the project number assigned by FEMA, use that number.
4. **Disaster Number:** Enter the declaration number for this disaster here. The Public Assistance Coordinator can tell you what it is if you don't know it.
5. **Location/site:** Enter physical address or location of project.
6. **Category:** Enter category of work, if known.
7. **Period Covering:** Enter time period referenced for the information contained on this sheet.
8. **Description of work performed:** Briefly describe the type of work that was performed

- **Invoice Number:** Enter the invoice number.
- **Dates Worked:** Enter the dates that contractor work on the project.
- **Contractor:** Enter the name of the contractor receiving the contract.
- **Billing/Invoice Number:** Enter invoice or billing number submitted by contractor.
- **Amount:** Enter the total dollar figure listed on the invoice for that project.
- **Comments - Scope:** Enter a brief description of the work the contractor performed and/or other pertinent comments.
- **Grand Total (includes contract labor):** Add the numbers in the Amount column and enter the result here.

FEDERAL EMERGENCY MANAGEMENT AGENCY

APPLICANT'S BENEFITS CALCULATION WORKSHEET

PAGE ________ OF ________

APPLICANT	PA ID NO.

DISASTER	PROJECT NO.

FRINGE BENEFITS (by %)	REGULAR TIME	OVERTIME
HOLIDAYS		
VACATION LEAVE		
SICK LEAVE		
SOCIAL SECURITY		
MEDICARE		
UNEMPLOYMENT		
WORKER'S COMP.		
RETIREMENT		
HEALTH BENEFITS		
LIFE INS. BENEFITS		
OTHER		
TOTAL in % of annual salary		

COMMENTS

I CERTIFY THAT THE INFORMATION ABOVE WAS TRANSCRIBED FROM PAYROLL RECORDS OR OTHER DOCUMENTS WHICH ARE AVAILABLE FOR AUDIT.

CERTIFIED BY	TITLE	DATE

FEMA Form 90-128, NOV 98

APPLICANT'S BENEFIT CALCULATION WORKSHEET

Benefit Calculations

Fringe benefits for force account labor is eligible. Except in extremely unusual cases, fringe benefits for overtime will be significantly less than regular time.

The following steps will assist in calculating the percentage of fringe benefits paid on an employee's salary. Note that items and percentages will vary from one entity to another.

1. The normal year consists of 2080 hours (52 weeks x 5 workdays/week x 8 hours/day). This does not include holidays and vacations.
2. Determine the employee's basic hourly pay rate (annual salary/2080 hours).
3. Fringe benefit percentage for vacation time: Divide the number of hours of annual vacation time provided to the employee by 2080 (80 hours (2 weeks)/2080 = 3.85%).
4. Fringe benefit percentage for paid holidays: Divide the number of paid holiday hours by 2080 (64 hours (8 holidays)/2080 = 3.07%).
5. Retirement pay: Because this measure varies widely, use only the percentage of salary matched by the employer.
6. Social Security and Unemployment Insurance: Both are standard percentages of salary.
7. Insurance: this benefit varies by employee. Divide the amount paid by the city or county by the basic pay rate determined in Step 2.
8. Workman's Compensation: this benefit also varies by employee. Divide the amount paid by the city or county by the basic pay rate determined in Step 2. Use the rate per $100 to determine the correct percentage.

Note: Typically, you should not be charging the same rate for regular time and overtime. Generally, only FICA (Social Security) is eligible for overtime; however, some entities may charge retirement tax on all income.

Sample Rates

Although some rates may differ greatly between organizations due to their particular experiences, the table below provides some general guidelines that can be used as a reasonableness test to review submitted claims. These rates are based on experience in developing fringe rates for several state departments, the default rate is that used for the state of Florida, following Hurricane Andrew (August 1992), and the review of several FEMA claims. The rates presented are determined using the gross wage method applicable to the personnel hourly rate (PHR) method. The net available hours method would result in higher rates.

Paid Fringe Benefits		
HCA Matching	7.65%	(or slightly less)
Retirement – Regular	17.00%	(or less)
Retirement – Special Risk	25.00%	(or slightly more)
Health Insurance	12.00%	(or less)
Life & Disability Insurance	1.00%	(or less)
Worker's Compensation	3.00%	(or less)
Unemployment Insurance	0.25%	(or less)
Leave Fringe Benefits		
Accrued Annual Leave	7.00%	(or less)
Sick Leave	4.00%	(or less)
Administrative Leave	0.50%	(or less)
Holiday Leave	4.00%	(or less)
Compensatory Leave	2.00%	(or less)

Rates outside of these ranges are possible, but should be justified during the validation process.