



*Federal  
Emergency  
Management  
Agency*

# Public Assistance Program

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**Standard Operating  
Procedure**

# **Kickoff Meeting**

9570.4 SOP  
September 1999



*Federal Emergency Management Agency*

# Kickoff Meeting

Standard Operating Procedure

September 1999

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# CONTENTS

<b>KICKOFF MEETING</b> .....	<b>1</b>
Purpose.....	1
Scope.....	1
Tools necessary for the Kickoff Meeting .....	1
<b>OVERVIEW</b> .....	<b>2</b>
The Kickoff Meeting.....	2
Who schedules the meeting?.....	2
When is it held?.....	2
Who should attend?.....	2
<b>KICKOFF MEETING FLOWCHART</b> .....	<b>3</b>
<b>THE PROCESS</b> .....	<b>4</b>
Preparing for the meeting.....	4
During the meeting.....	4
<b>THE APPLICANT’S ROLE AND RESPONSIBILITIES</b> .....	<b>6</b>
What do I do first?.....	6
What happens then? .....	6
What happens at the Kickoff Meeting?.....	6
Who should attend the Kickoff Meeting? .....	7
What happens when the meeting is over? .....	7
<b>THE APPLICANT LIAISON’S ROLE AND RESPONSIBILITIES</b> .....	<b>8</b>
What happens first?.....	8
How will I find out about the Kickoff Meeting?.....	8
What do I do at the Kickoff Meeting? .....	8
<b>THE PAC’S ROLE AND RESPONSIBILITIES</b> .....	<b>10</b>
How do I prepare for the Kickoff Meeting?.....	10
I’m at the meeting, now what?.....	10
What happens after the meeting? .....	11
<b>APPENDIX A - PAC KICKOFF MEETING JOB AID</b> .....	<b>13</b>
<b>APPENDIX B - SPECIAL CONSIDERATIONS QUESTIONS</b> .....	<b>19</b>
<b>APPENDIX C - PROJECT FORMULATION JOB AID</b> .....	<b>21</b>
<b>APPENDIX D - PROJECT WORKSHEET</b> .....	<b>25</b>
<b>APPENDIX E - ELIGIBILITY JOB AID</b> .....	<b>27</b>



# KICKOFF MEETING

## Standard Operating Procedure

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

### Purpose

The purpose of this SOP is to explain the process to follow to conduct a successful Kickoff Meeting and to provide specific instructions to the Public Assistance Coordinator (PAC), the Applicant Liaison (Liaison) and the applicant on their roles and responsibilities in the meeting.

### Scope

This SOP provides an overview of the Kickoff Meeting and its purpose, outlines the process that those involved should follow and provides step-by-step instructions on what to do for each of the primary participants involved in the meeting.

### Tools necessary for the Kickoff Meeting (see appendixes)

#### For use by PAC:

- *PAC Kickoff Meeting Job Aid*
- Disaster Fact Sheet obtained from Public Assistance Officer (PAO) at DFO.
- Information related to applicant obtained from PAO at DFO:
  - Preliminary Damage Assessment (PDA) information
  - Immediate Needs Funding (INF) information
  - Eligibility Job Aid
- *Special Considerations Questions* (FEMA Form 90-120)
- Applicant's *Request for Public Assistance* (FEMA Form 90-49)
- Applicant's completed *Project Worksheets* (FEMA Form 90-91), if submitted

#### Handouts for applicant:

- *Project Formulation Job Aid*
- Blank *Project Worksheets*
- Sample *Project Worksheet*
- FEMA Cost Code Listing obtained from DFO
- Applicant Record Keeping Forms & Instructions
- *Applicant Handbook* (FEMA 323)
- *Public Assistance Guide* (FEMA 286, to be replaced by FEMA 322)

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## OVERVIEW

### The Kickoff Meeting

The Kickoff Meeting allows the applicant, the Liaison and the PAC to become acquainted and affords the PAC and the Liaison the opportunity to provide the applicant with information necessary to start the Public Assistance process.

At this meeting, the applicant's individual needs are assessed, damages discussed and a plan of action to repair the damaged facilities put in place. The PAC and Liaison will discuss with the applicant what will be expected and provide detailed instructions on what the applicant needs to do.

The applicant has the opportunity to have any questions or concerns answered about how the Public Assistance process works and his/her role in it. The PAC explains procedures for determining eligibility, project formulation, cost estimating and validation, and explains to the applicant Special Considerations review and the appeal and audit processes. The PAC and Liaison review the applicant's prepared list of damages to help the applicant determine what technical assistance may be needed. They also discuss the documentation and reporting requirements of FEMA and the State.

### Who schedules the meeting?

The PAC in consultation with the Liaison schedules the Kickoff Meeting.

### When is it held?

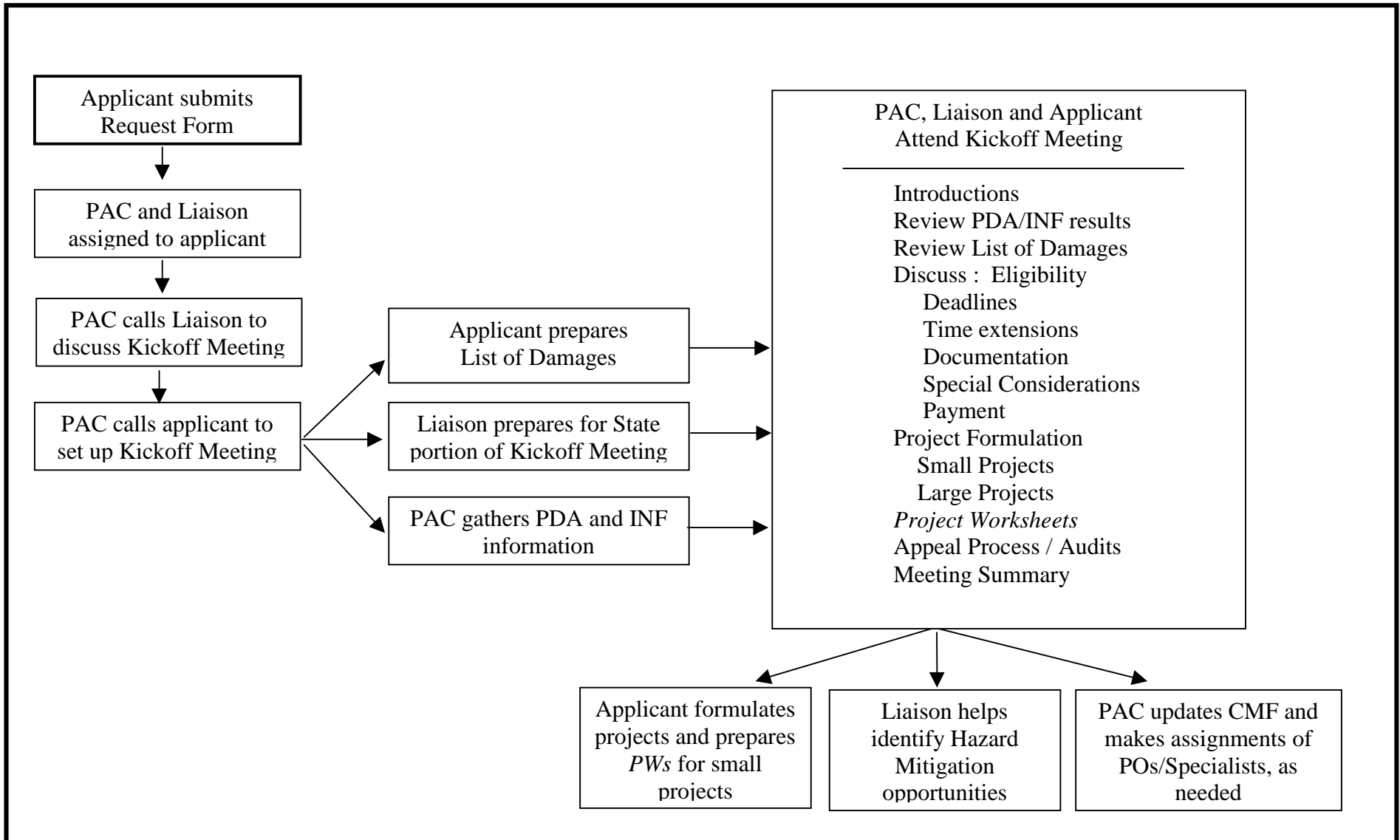
The Kickoff Meeting is scheduled within one week of FEMA's receipt of the applicant's *Request for Public Assistance*.

### Who should attend?

The PAC, Liaison and applicant are the primary individuals who should attend; however, the Liaison's attendance is determined by the State and is optional. The applicant may find it helpful to have the record keeper, insurance adjuster, public works officials and/or others with working knowledge of the repairs needed at the meeting to answer questions and become familiar with the details involved in project development.



### Kickoff Meeting Flowchart



## THE PROCESS

Once FEMA's PAO has verified applicant eligibility, each applicant will be assigned to a PAC and a Liaison.

### Preparing for the meeting

When the applicant has been assigned, the PAC notifies the Liaison that he/she is ready to arrange a Kickoff Meeting with the applicant and asks whether the Liaison can attend.

If the Liaison can attend, the PAC discusses the agenda for the Kickoff Meeting and determines with the Liaison what information the Liaison should be prepared to provide at the meeting concerning State requirements.

If the Liaison cannot attend, the PAC advises the Liaison on what will be accomplished at the meeting and asks if the Liaison would like anything else discussed.

The PAC calls the applicant to schedule a time and place for the meeting. The PAC assesses the applicant's level of understanding of the Public Assistance process and discusses how the applicant should prepare for the meeting.

The applicant is advised to bring a list of all damages and any insurance policies on damaged facilities. The applicant is also advised on what personnel they might want to attend the meeting.

### During the meeting

The PAC and Liaison explain their roles in the applicant's recovery process.

The PAC refers to information acquired from the PDA and explains how Immediate Needs Funding (INF) will be reconciled with actual claims, if the applicant is eligible.

The PAC and Liaison discuss project work deadlines with the applicant and explain how deadline extensions are requested.

The PAC discusses eligibility criteria for emergency and permanent work.

The PAC and Liaison discuss documentation requirements and the record keeping procedures the applicant should follow.

The applicant is asked to assist in identifying circumstances that require special review such as insurance coverage, environmental and historic considerations as well as opportunities for hazard mitigation on all the sites included in the applicant's list of damages.

The PAC and Liaison inform the applicant how payments are handled for small and large projects.

The PAC and Liaison review the list of damages with the applicant and provide guidance in simplifying the applicant's management of repair work. The PAC provides the applicant with the tools necessary to formulate small projects (see Tools, pg. 1) and explains how the applicant is to use each tool to accurately complete the *Project Worksheets (PWs)*.

The PAC explains that a Project Officer will be assigned to develop the scope of work and cost estimates for each of the applicant's large projects (over \$47,800 for Federal fiscal year 1999 and adjusted annually) identified on the list of damages. The applicant is advised to submit *PWs* on any other large projects that may be discovered during formulation.

The PAC explains how the applicant should detail the repairs necessary for small projects on the *PWs*.

The PAC explains the validation process and what happens when validation results are satisfactory and unsatisfactory.

The PAC and Liaison explain the applicant's right to appeal and provide guidelines on how such an appeal can be made. The PAC also explains that regular consultation with the PAC and Liaison is designed to reduce the need for appeals.

The PAC and Liaison discuss the possibility of audits and advise the applicant on timeframes for maintaining documentation on project work.

The PAC and Liaison summarize the key points of the discussion and indicate the next steps the applicant is to take. Following the meeting, the PAC updates the Case Management File with information obtained during the meeting.

If the Liaison was not at the meeting, the PAC will call the Liaison to discuss any special issues that may have been identified, otherwise the Liaison will have access to the Case Management file where all pertinent information on the meeting will be stored.

## THE APPLICANT'S ROLE and RESPONSIBILITIES

An applicant is a State agency, local government or eligible Private Non-Profit organization, which submits a request to the grantee for disaster assistance under the State's grant.

### What do I do first?

Complete and submit the *Request for Public Assistance (Request)* form. You have 30 days from the date your county is designated to submit the form to your State Public Assistance Officer. The form can be obtained and submitted at the Applicants' Briefing, by mail, fax and eventually, via the Internet.

### What happens then?

The Public Assistance Coordinator (PAC), your principal liaison within FEMA, will call you to arrange the Kickoff Meeting. To prepare for the meeting, the PAC will ask you to prepare a list of all your damages and bring it to the meeting. You will also be advised to bring along any insurance policies related to your damaged facilities.

Expect to be contacted by your PAC within one (1) week after you submit your *Request*. If you have not heard from your PAC within two (2) weeks, contact your State Public Assistance Officer.

The PAC and the Applicant Liaison (Liaison), your principal point of contact in State government, are your main points of contact during the recovery process. Be sure to keep their phone numbers handy in case you need assistance later.

### What happens at the Kickoff Meeting?

Your PAC will show you how to prepare detailed descriptions and summaries of your repair projects. By the end of the Kickoff Meeting, you will have received the information you need to proceed with your repair work and will understand what to expect.

If you feel you need assistance developing your projects, discuss this with the PAC who will assign a Specialist to assist you in project formulation and in completing your *Project Worksheets*.

You will be asked to identify circumstances that require special review, such as insurance coverage, mitigation opportunities, 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.

You are encouraged to participate fully in planning and managing your repair projects, particularly small projects costing less than \$47,800 (FY 99).

Your PAC will provide a detailed list of required records and can recommend ways of organizing your documentation so you are prepared for the possibility of an audit at a later time.

Request clarification of anything you do not understand and raise points on which you do not agree. Full discussion and regular interaction with your PAC and Liaison will help to resolve differences as they arise and expedite approval of your projects.

### **Who should attend the Kickoff Meeting?**

Any personnel such as department heads and accounting personnel who may have responsibility for managing aspects of your project work.

### **What happens when the meeting is over?**

- Contact your PAC whenever you have questions or need assistance.
- You are responsible for maintaining records of completed work and work to be completed.

## The APPLICANT LIAISON'S ROLE and RESPONSIBILITIES

The Applicant Liaison (Liaison) is a State customer service representative assigned to interface with applicants and the Public Assistance Coordinator (PAC) to expedite the applicant's receipt of Public Assistance funding.

### What happens first?

The State will receive the applicants' *Request for Public Assistance* forms and forward them to FEMA. If necessary, the State will submit to FEMA requests for time extensions on the applicants' behalf.

The State will make recommendations to FEMA on Private Non-Profit eligibility.

The State will request Immediate Needs Funding (INF) on behalf of the applicants, when applicable.

The State will consult with FEMA on any questionable issues of eligibility and notify applicants whose requests are determined to be ineligible.

### How will I find out about the Kickoff Meeting?

The PAC will call you to arrange the Kickoff Meeting and to discuss your role in the meeting.

### What do I do at the Kickoff Meeting?

Participate with FEMA in the Kickoff Meetings with applicants and explain the Liaison role and the requirements of the State related to Public Assistance.

Discuss with the applicant how requests for extending deadlines are to be made.

Consult with appropriate State authorities on circumstances that require special review such as insurance coverage, environmental and historic considerations.

Discuss the importance of taking advantage of hazard mitigation opportunities.

Advise FEMA on any specific State requirements related to the validation of projects.

Inform the applicant how the State will handle payment for small and large projects.

Provide the applicant with phone numbers in case they need assistance.

Advise the applicant of the documentation that will be required by the State and the record keeping procedures the applicant should follow.

Advise the applicant about the possibility of State audits and the recommended timeframes for maintaining documentation on projects.

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

## 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.

### How do I prepare for the Kickoff Meeting?

As the PAC, you should compile a tabbed binder containing information and documents concerning the applicant as well as the tools indicated in this SOP for use at the Kickoff Meeting (see Tools, pg. 1.)

Thoroughly review the information. The *PAC Kickoff Meeting Job Aid* provides step by step instructions on the actions you are to take to prepare for and conduct the meeting.

Notify the Applicant Liaison (Liaison) when you are ready to arrange a Kickoff Meeting with an applicant. Invite the Liaison to explain the requirements of the State related to Public Assistance. Arrange a mutually agreeable date, time and location for the Kickoff Meeting.

Make telephone contact with the applicant to assess how much the applicant knows about the Public Assistance process and gather additional information to help shape the agenda for the Kickoff Meeting.

Request that the applicant develop a list of all damages and bring it to the Kickoff Meeting.

If the applicant submitted an incomplete *Request for Public Assistance* form, ask the applicant to provide the required information when contacted about the Kick Meeting.

Provide the applicant and Liaison with your telephone and pager numbers to facilitate communication.

### I'm at the meeting, now what?

Begin by asking everyone at the meeting to introduce themselves and make notes of all the names and titles for the Case Management File.

Invite the Liaison, if present, to explain his/her role in the Public Assistance process.

Next, follow the steps outlined in the *PAC Kickoff Meeting Job Aid* to be sure that you cover all topics to be discussed at the meeting.

While showing the applicant how to prepare detailed descriptions and summaries of repair projects, obtain from the applicant, if possible, the projected number of small and large



projects and an estimated dollar value for each. Input this information into the Case Management File following the meeting.

As issues or questions arise that require an explanation of State requirements, allow the Liaison to respond.

When all the action items listed in the job aid are completed, ask if the applicant has questions before adjourning the meeting.

### **What happens after the meeting?**

Update the Case Management File with information gathered at the meeting.

Perform follow-up, as required, on any actions noted from the meeting such as the assignment of Specialists to provide technical assistance.



## 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	<ul style="list-style-type: none"> <li><input type="checkbox"/> Review PAC material as required prior to meeting.</li> <li><input type="checkbox"/> The PAC should have a tabbed binder containing information and documents concerning the applicant.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> <i>Applicant Handbook</i></li> <li><input type="checkbox"/> <i>Disaster Fact Sheet</i></li> <li><input type="checkbox"/> <i>Project Formulation Chart—Handout</i></li> <li><input type="checkbox"/> PDA information</li> <li><input type="checkbox"/> INF information</li> <li><input type="checkbox"/> <i>Applicant’s Request for Public Assistance</i></li> <li><input type="checkbox"/> <i>Project Worksheets (PWs)</i></li> <li><input type="checkbox"/> <i>Project Worksheet—Handout</i></li> <li><input type="checkbox"/> Applicant’s completed <i>PW</i>, if submitted</li> <li><input type="checkbox"/> Blank <i>PWs—Handout</i></li> <li><input type="checkbox"/> <i>Special Considerations Questions</i></li> <li><input type="checkbox"/> Force Account Forms—Handout</li> <li><input type="checkbox"/> <i>Public Assistance Guide—Handout</i></li> <li><input type="checkbox"/> <i>FEMA Cost Codes—Handout</i></li> <li><input type="checkbox"/> <i>Work Eligibility Job Aid</i></li> <li><input type="checkbox"/> <i>Emergency Work Job Aid</i></li> <li><input type="checkbox"/> <i>Special Considerations Review Job Aid</i></li> </ul>
	Initial Contact with applicant	<ul style="list-style-type: none"> <li><input type="checkbox"/> Make telephone contact with applicant.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Introduce yourself.</li> <li><input type="checkbox"/> Did applicant attend Applicant Briefing?</li> <li><input type="checkbox"/> Have you ever participated in a declared event?</li> <li><input type="checkbox"/> Inquire about damage not seen in PDA.</li> <li><input type="checkbox"/> Inquire about Special Considerations issues.</li> <li><input type="checkbox"/> Review what will be covered at Kickoff Meeting.</li> <li><input type="checkbox"/> Set up initial meeting arrangements.</li> <li><input type="checkbox"/> Have applicant prepare a list of damages to bring to the meeting.</li> <li><input type="checkbox"/> Identify who and what applicant will need at Kickoff Meeting                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Insurance policies</li> <li><input type="checkbox"/> Department heads</li> <li><input type="checkbox"/> Accounting personnel</li> </ul> </li> </ul>

✓	Action	Steps	Details
	Kickoff Meeting Introduction	<ul style="list-style-type: none"> <li><input type="checkbox"/> General Introductions</li> <li><input type="checkbox"/> Liaison Introduction</li> <li><input type="checkbox"/> Explain PAC's role to applicant.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Allow everyone to introduce themselves</li> <li><input type="checkbox"/> Allow Liaison to state what his role is</li> <li><input type="checkbox"/> The PAC is the primary FEMA representative who maintains contact with the applicant.</li> <li><input type="checkbox"/> Provides an individual focus on an applicant's specific needs.</li> <li><input type="checkbox"/> Incorporates duties and responsibilities that were once fragmented.</li> <li><input type="checkbox"/> Will provide increased opportunities for a "one-stop" source of information for the applicant.</li> <li><input type="checkbox"/> Will also reduce the time it will take to obligate funds to the applicant since the 2-step review process has been eliminated.</li> </ul>
	Review Immediate Needs Funding	<ul style="list-style-type: none"> <li><input type="checkbox"/> Refer to Chapter 1 in the <i>Applicant Handbook</i></li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Explain the purpose for INF.</li> <li><input type="checkbox"/> Inform the applicant of their amount, if eligible.</li> <li><input type="checkbox"/> Explain the reconciliation process.</li> </ul>
	Review Project Work-- deadlines, time extensions, eligibility, documentation, Special Considerations, and payment	<ul style="list-style-type: none"> <li><input type="checkbox"/> Refer to Chapter 4 in the <i>Applicant Handbook</i></li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Review list of damages at Kickoff Meeting.</li> <li><input type="checkbox"/> Obtain projected number and cost of small and large projects for CMF and Management Reports</li> <li><input type="checkbox"/> All <i>Project Worksheets</i> 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.</li> <li><input type="checkbox"/> A time extension for submittal of <i>Project Worksheets</i> may be approved by FEMA under extenuating circumstances only.</li> <li><input type="checkbox"/> Emergency Work is to be completed within 6 months.</li> <li><input type="checkbox"/> The State may, under exceptional circumstances, grant extensions of up to 1 year to complete Emergency Work.</li> <li><input type="checkbox"/> Permanent Work is to be completed within 18 months.</li> <li><input type="checkbox"/> The State may, under exceptional circumstances, grant an extension of up to 30 months to complete Permanent Work.</li> </ul>

✓	Action	Steps	Details
		<ul style="list-style-type: none"> <li><input type="checkbox"/> Refer to Appendix B in the <i>Applicant Handbook</i></li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Discuss eligibility criteria.</li> <li><input type="checkbox"/> Discuss debris removal work eligibility.</li> <li><input type="checkbox"/> Discuss protective measures work eligibility.</li> <li><input type="checkbox"/> Discuss Permanent Work eligibility.</li> <li><input type="checkbox"/> Contact PAC on any questionable work eligibility.</li> <li><input type="checkbox"/> Discuss Emergency Work eligibility.</li> <li><input type="checkbox"/> Discuss Permanent Work cost eligibility.</li> </ul>
		<ul style="list-style-type: none"> <li><input type="checkbox"/> Refer to Chapter 4 in the <i>Applicant Handbook</i></li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Discuss and hand out applicant’s <i>Project Worksheets</i>.</li> <li><input type="checkbox"/> Discuss and hand out Force Account records.</li> <li><input type="checkbox"/> Discuss back-up information requirements.</li> <li><input type="checkbox"/> Discuss supporting documentation.</li> </ul>
		<ul style="list-style-type: none"> <li><input type="checkbox"/> Refer to <i>Special Considerations Questions</i></li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Discuss Special Considerations issues.                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Insurance</li> <li><input type="checkbox"/> Floodplain/wetland/coastal high hazard areas</li> <li><input type="checkbox"/> CBRA unit</li> <li><input type="checkbox"/> Pre-disaster condition/improved or alternate project</li> <li><input type="checkbox"/> Hazard mitigation—(Emergency work is not eligible)</li> <li><input type="checkbox"/> Historic</li> <li><input type="checkbox"/> Environmentally sensitive areas</li> <li><input type="checkbox"/> Hazardous materials</li> <li><input type="checkbox"/> Controversial issues</li> </ul> </li> </ul>
		<ul style="list-style-type: none"> <li><input type="checkbox"/> Payment of small projects (under \$47,800)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Based on actual costs if work completed; cost estimate if work not completed.</li> <li><input type="checkbox"/> If the applicant incurs a significant cost overrun after completing all small projects, a project reconciliation appeal for additional funds can be made.</li> </ul>
		<ul style="list-style-type: none"> <li><input type="checkbox"/> Payment of large projects (over \$47,800)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Explain that large project work will be formulated based on cost estimates but reimbursable on a dollar-for-dollar basis.</li> </ul>

✓	Action	Steps	Details
	Applicant Project Formulation	<ul style="list-style-type: none"> <li><input type="checkbox"/> Small projects. Refer to <i>Project Formulation Job Aid</i>.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Damage sites may be formulated into one or many work projects. Project formulation is a management tool, not a funding technique.</li> <li><input type="checkbox"/> Combined small sites with costs over total costs over \$47,800 will be considered large projects.</li> <li><input type="checkbox"/> Explain how small emergency work activities may be formulated into one project.</li> <li><input type="checkbox"/> Explain how small permanent work activities may be formulated into one or many projects.</li> </ul>
		<ul style="list-style-type: none"> <li><input type="checkbox"/> Small projects. Refer to <i>Project Worksheet</i> and instructions.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Applicant to complete the <i>Project Worksheet</i> per instructions.</li> <li><input type="checkbox"/> Applicant to submit the <i>Project Worksheet</i> to FEMA Public Assistance Coordinator.</li> <li><input type="checkbox"/> Applicant to maintain the <i>PW</i> on file for future validation or audits. Also, documentation to support the <i>PW</i> for each project by <i>PW</i> project number supplied by Public Assistance Coordinator.</li> </ul>
		<ul style="list-style-type: none"> <li><input type="checkbox"/> Large projects.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Project Officer (PO) will be assigned to each large project.</li> <li><input type="checkbox"/> The PO may use the Cost Estimating Format (CEF), where appropriate, to estimate the cost.</li> <li><input type="checkbox"/> Applicant to maintain the <i>PW</i> and backup documentation on file for audit purposes.</li> </ul>
		<ul style="list-style-type: none"> <li><input type="checkbox"/> Scope of Work. Refer to Chapter 3 Applicant Handbook</li> </ul>	<p>For a complete scope of work the applicant must:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Describe the pre-disaster facility, function and location (latitude/longitude)</li> <li><input type="checkbox"/> Describe disaster-related damage to the facility</li> <li><input type="checkbox"/> Describe repairs necessary to repair facility to pre-disaster condition</li> <li><input type="checkbox"/> Describe any Special Considerations</li> <li><input type="checkbox"/> Describe any change in the pre-disaster design of the facility</li> </ul>

✓	Action	Steps	Details
		<ul style="list-style-type: none"> <li><input type="checkbox"/> Cost Estimation. Refer to Chapter 3 in the <i>Applicant Handbook</i></li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Cost estimates can be developed from:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> Contractor contracts</li> <li><input type="checkbox"/> Contractor bids</li> <li><input type="checkbox"/> Applicant’s experience in that particular area of repair work</li> <li><input type="checkbox"/> Books such as RS Means</li> <li><input type="checkbox"/> FEMA cost codes</li> </ul> </li> <li><input type="checkbox"/> Inform the applicant that a Specialist can be assigned, if needed, to help applicant with cost estimating.</li> </ul>
	<p>Explain Validation Procedures</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Discuss with applicant the validation process.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> The PO will validate all large projects.</li> <li><input type="checkbox"/> At least 20% of all small project <i>PWs</i> completed by the applicant must go through a validation process.</li> <li><input type="checkbox"/> 100% of those <i>PWs</i> submitted by the applicant later than 30 days after the Kickoff Meeting may be validated.</li> <li><input type="checkbox"/> Satisfactory validation results will expedite approval and funding of the applicant’s projects.</li> <li><input type="checkbox"/> Unsatisfactory validation results will require changes/adjustments and possibly the validation of additional projects.</li> <li><input type="checkbox"/> Project validation ensures that:                             <ul style="list-style-type: none"> <li><input type="checkbox"/> The scopes of work are complete, accurate, and eligible for Federal assistance.</li> <li><input type="checkbox"/> Cost estimates are accurate.</li> <li><input type="checkbox"/> The applicant has overlooked no eligible damage.</li> </ul> </li> </ul>
	<p>Review Appeal Process</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Refer to the <i>Public Assistance Guide</i>.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> 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.</li> <li><input type="checkbox"/> 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.</li> </ul>

✓	Action	Steps	Details
	Discuss Possible Audits	<ul style="list-style-type: none"> <li><input type="checkbox"/> Discuss with applicant the possibility of audits.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> 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.</li> <li><input type="checkbox"/> Advise the applicant to keep all documentation for 3 years from the State closes the applicant's grant. (Refer to Chapter 4 in the <i>Applicant Handbook</i>.)</li> </ul>
	Kickoff Meeting Summary	<ul style="list-style-type: none"> <li><input type="checkbox"/> Summarize the Kickoff Meeting with applicant.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> The PAC is the primary FEMA representative for applicant.</li> <li><input type="checkbox"/> Complete, accurate <i>Project Worksheets</i> must be submitted as soon as possible.</li> <li><input type="checkbox"/> The PAC will assign and coordinate the work of Specialists and POs with applicant.</li> <li><input type="checkbox"/> The applicant should contact the PAC with any concerns and/or questions.</li> <li><input type="checkbox"/> Good documentation of work completed and cost estimates is very important.</li> <li><input type="checkbox"/> The PAC will now update CMF with comments and information obtained during meeting.</li> </ul>



## APPENDIX B

### Special Considerations Questions

FEDERAL EMERGENCY MANAGEMENT AGENCY <b>SPECIAL CONSIDERATIONS QUESTIONS</b>		
APPLICANT	PA ID NO.	DATE
PROJECT NAME	PROJECT NO.	LOCATION
<b>Form must be filled out - for each project.</b>		
<p>1. Does the damaged facility or item of work have insurance and/or is it an insurable risk? <i>(e.g., buildings, equipment, vehicles, etc.)</i></p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure      Comments _____</p> <p>_____</p>		
<p>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?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure      Comments _____</p> <p>_____</p>		
<p>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?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure      Comments _____</p> <p>_____</p>		
<p>4. Will the proposed facility repairs/reconstruction change the pre-disaster condition? <i>(e.g., footprint, material, location, capacity, use or function)</i></p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure      Comments _____</p> <p>_____</p>		
<p>5. Does the applicant have a hazard mitigation proposal or would the applicant like technical assistance for a hazard mitigation proposal?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure      Comments _____</p> <p>_____</p>		
<p>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?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure      Comments _____</p> <p>_____</p>		
<p>7. Are there any pristine or undisturbed areas on, or near, the project site? Are there large tracts of forestland?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure      Comments _____</p> <p>_____</p>		
<p>8. Are there any hazardous materials at or adjacent to the damaged facility and/or item of work?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure      Comments _____</p> <p>_____</p>		
<p>9. Are there any other environmental or controversial issues associated with the damaged facility and/or item of work?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure      Comments _____</p> <p>_____</p>		

FEMA Form 90-120, NOV 98



## APPENDIX C

### 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 condition 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 project *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.

# APPENDIX D

## Project Worksheet

FEDERAL EMERGENCY MANAGEMENT AGENCY <b>PROJECT WORKSHEET</b>				O.M.B. No. 3067-0151 Expires April 30, 2001	
<b>PAPERWORK BURDEN DISCLOSURE NOTICE</b> 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). <b>NOTE:</b> Do not send your completed form to this address.					
DISASTER	PROJECT NO.	PA ID NO.	DATE	CATEGORY	
FEMA-_____ -DR-____					
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? <input type="checkbox"/> Yes <input type="checkbox"/> No Special Considerations issues included? <input type="checkbox"/> Yes <input type="checkbox"/> No    Hazard Mitigation proposal included? <input type="checkbox"/> Yes <input type="checkbox"/> No Is there insurance coverage on this facility? <input type="checkbox"/> Yes <input type="checkbox"/> No					
<b>PROJECT COST</b>					
ITEM	CODE	NARRATIVE	QUANTITY/UNIT	UNIT PRICE	COST
				<b>TOTAL COST ▶</b>	
PREPARED BY:			TITLE:		





## APPENDIX E

### Eligibility Job Aid

#### What Work Is Eligible?

✓	Status	Eligibility Requirements
<input type="checkbox"/>	Debris Removal	<ul style="list-style-type: none"> <li>• Work must be a direct result of the declared event.</li> <li>• Work must have been performed within designated area.</li> <li>• Work must be the legal responsibility of the applicant.</li> <li>• Work must eliminate immediate threat to public lives, health and safety.</li> <li>• Work must eliminate immediate threat of significant damage to improved public or private property.</li> <li>• Work must ensure economic recovery of the affected community to the benefit of the community at large.</li> <li>• Work must not fall under the responsibility of any Other Federal Agency (OFA).</li> <li>• Salvage value or insurance proceeds must be deducted.</li> </ul>
<input type="checkbox"/>	Emergency Protective Measures	<ul style="list-style-type: none"> <li>• Measure must be a direct result of the declared event.</li> <li>• Measure must have been performed within designated area.</li> <li>• Measure must be the legal responsibility of the applicant.</li> <li>• Measure must eliminate immediate threat to public lives, health and safety.</li> <li>• Measure must eliminate immediate threat of significant damage to improved public or private property.</li> <li>• Measure must ensure economic recovery of the affected community to the benefit of the community at large.</li> <li>• Salvage value or insurance proceeds must be deducted.</li> </ul>
<input type="checkbox"/>	Permanent Restoration	<ul style="list-style-type: none"> <li>• Restoration must be direct result of the declared event.</li> <li>• Restoration must have been performed within designated area.</li> <li>• Restoration must be the legal responsibility of the applicant.</li> <li>• Restored facility must be in active use.</li> <li>• Restoration must not fall under the responsibility of any Other Federal Agencies (OFA).</li> <li>• Salvage value or insurance proceeds must be deducted.</li> </ul>

## What Cost Is Eligible?

✓	Cost Type <sup>1</sup>	Nature of Cost	Details
☐	Labor <sup>2</sup>	<ul style="list-style-type: none"> <li>Permanent labor</li> </ul>	<ul style="list-style-type: none"> <li>Regular time and overtime labor costs are eligible for permanent restoration work.</li> <li>Only overtime labor costs are eligible for emergency work.</li> <li>An organization’s pre-disaster policy on overtime will determine whether or not the organization is reimbursed for overtime work by salaried employees.</li> <li>For emergency work, only overtime costs are eligible; regular time labor costs are not eligible for reimbursement.</li> <li>Fringe benefits associated with disaster-related labor costs are eligible.</li> </ul>
		<ul style="list-style-type: none"> <li>Temporary labor</li> </ul>	<ul style="list-style-type: none"> <li>Regular and overtime labor costs for temporary staff hired specifically to perform disaster-related work is eligible for reimbursement.</li> <li>Fringe benefits for temporary labor may vary from permanent labor and will be dependent upon an organization’s pre-disaster labor policy.</li> </ul>
		<ul style="list-style-type: none"> <li>Part-time labor</li> </ul>	<ul style="list-style-type: none"> <li>Excess regular and overtime costs for part-time employees (only for hours worked over their normal work schedule), are eligible for reimbursement.</li> <li>Fringe benefits associated with disaster-related costs are eligible.</li> <li>Benefits for part-time labor may vary from permanent labor and will be dependent upon an organization’s pre-disaster labor policy.</li> </ul>
		<ul style="list-style-type: none"> <li>Volunteer labor</li> </ul>	<ul style="list-style-type: none"> <li>Organizations that use volunteer labor to perform eligible work receive credit for that labor to help them meet the non-Federal portion of the cost share.</li> <li>Volunteer labor will be valued at the prevailing rate for the work being performed.</li> </ul>

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

<sup>2</sup> 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 detailed description of the work performed.

### What Cost is Eligible?

✓	Cost Type	Nature of Cost	Details
		<ul style="list-style-type: none"> <li>Contract labor</li> </ul>	<ul style="list-style-type: none"> <li>Contract labor to perform disaster-related work is eligible for reimbursement.</li> <li>Generally, contracts must be competitively bid; an applicant must follow the same policies and procedures it uses for procurements from its non-Federal funds.</li> <li>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.</li> <li>Additionally, for a contract with both emergency and non-emergency work, only the part that relates to the emergency work may be the exception.</li> </ul>
<input type="checkbox"/>	Equipment <sup>3</sup>	<ul style="list-style-type: none"> <li>Rented/leased</li> </ul>	<ul style="list-style-type: none"> <li>The cost of the rented/leased equipment is eligible, along with normal equipment operating expenses, such as fuel and supplies.</li> <li>Maintenance costs are the responsibility of the lessor, unless otherwise stated in the lease agreement.</li> <li>The organization should follow its established business practices when renting equipment.</li> </ul>
		<ul style="list-style-type: none"> <li>Applicant-owned</li> </ul>	<ul style="list-style-type: none"> <li>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 rate, <b>whichever is lower</b>. Only the time the equipment is <b>actually</b> in use is eligible. Therefore, the equipment usage must correspond to labor hours claimed for performing eligible work.</li> </ul>
		<ul style="list-style-type: none"> <li>Purchased</li> </ul>	<ul style="list-style-type: none"> <li>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.</li> </ul>
<input type="checkbox"/>	Materials and Supplies <sup>4</sup>	<ul style="list-style-type: none"> <li>Inventory</li> </ul>	<ul style="list-style-type: none"> <li>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.</li> </ul>
		<ul style="list-style-type: none"> <li>Purchased</li> </ul>	<ul style="list-style-type: none"> <li>Purchased materials and supplies will be reimbursed for the purchase prices if the organization complies with its pre-disaster procurement regulations and practices.</li> </ul>

<sup>3</sup> Supporting documentation should include a summary noting whether the equipment is owned or rented and the daily usage.

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

✓	Item	Eligibility for Reimbursement
<input type="checkbox"/>	Emergency Public Transportation	<ul style="list-style-type: none"> <li>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.</li> <li>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.</li> <li>The amount reimbursed will be determined based on a depreciation recovery rate.</li> </ul>
<input type="checkbox"/>	Employee Hourly Rate	<ul style="list-style-type: none"> <li>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).</li> </ul>
<input type="checkbox"/>	Building Habitability Safety Inspections	<ul style="list-style-type: none"> <li>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.</li> </ul>
<input type="checkbox"/>	Building Inspection and Permit Processing Costs Directly Related to Waived Building Permit Fees	<ul style="list-style-type: none"> <li>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.</li> </ul>
<input type="checkbox"/>	Mutual Aid Agreements	<ul style="list-style-type: none"> <li>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.</li> <li>If a subgrantee enters into a mutual aid agreement after the disaster occurs, it may affect the amount of funding eligible from FEMA.</li> </ul>
<input type="checkbox"/>	Post-Disaster Overtime Costs	<ul style="list-style-type: none"> <li>FEMA will reimburse eligible costs that are in accordance with the 44 CFR and OMB Circulars and the subgrantee’s pre-disaster policies.</li> <li>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.</li> </ul>



### How Much Is Eligible?

✓	Item	Eligibility for Reimbursement
<input type="checkbox"/>	Temporary Relocation (continued)	<p>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:</p> <ul style="list-style-type: none"> <li>Museums</li> <li>Zoos</li> <li>Community centers</li> <li>Libraries (other than school libraries)</li> <li>Senior citizen centers</li> <li>Rehabilitation facilities</li> <li>Shelter workshops</li> </ul> <p>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.</p>
<input type="checkbox"/>	Examples of activities not eligible for reimbursement	<ul style="list-style-type: none"> <li>Property tax re-assessments</li> <li>Disaster applicant centers (DACs)</li> <li>Housing programs</li> <li>Consumer task forces</li> </ul>

