

PUBLIC ASSISTANCE PROGRAM

(Public Assistance, Emergency, Fire Suppression)

DCA/DEM/BRM Recovery Office

STANDARD OPERATING GUIDLINES

MISSION STATEMENT

To administer and manage the State's Public Assistance, Emergency, and Fire Suppression Programs for disasters and Federally Declared Events on behalf of the State, its local governments, and other eligible grant recipients, as outlined by Title IV of the Robert T. Stafford Disaster and Emergency Relief Act.

Revised March 20, 2002

Disaster Incident

Any condition which meets the definition of major disaster, emergency, or fire suppression as set forth in the Federal Emergency Management Agency (FEMA) Regulations in 44 CFR, which causes damage or hardship that may result in a Presidential Declaration for Federal assistance.

Governor's Executive Order

The directive by the State's chief executive, in accordance with Florida Statutes, that declares a state of emergency to fully mobilize State Agencies for disaster assistance and recovery under the Comprehensive Emergency Management Plan (CEMP). This is preliminary or concurrent with the Governor's request for a Presidential Declaration.

Presidential Declaration

The determination that the event (Disaster/Emergency/Fire Suppression) is of such severity that response and recovery is beyond the capability of state and local government.

TABLE OF CONTENTS

PUBLIC ASSISTANCE RECOVERY PROGRAM	5
Declared Events	5
Overview of State's Recovery Program.....	6
Establishing DFO Operations	6
Public Assistance Coordinators.....	6
Small Project Validation Process	7
Project Cost Estimates.....	8
APPLICANT INFORMATION	9
Kick-off Meeting.....	9
Processing Request for Public Assistance (RPA)	10
Execution & Routing of Disaster Assistance Funding Agreement	14
PROJECT WORKSHEETS (PWs)	14
Pre-Inspection Preparation.....	14
Initial Inspection	15
PW Development.....	17
PW Review	17
Environmental Review.....	18
Historic Preservation.....	22
Procurement and Contracts	24
Hazard Mitigation.....	27
Insurance	29
GENERAL	31
Reading a PW after it is Approved (PAPed).....	31
COMMUNICATIONS	32
Meetings	32
Correspondence	33
Suspense	34
Internal Memoranda.....	34
Files	35
Contact Log.....	35
Communication with the Media/Sunshine Law.....	36
COMPUTER INFORMATION	36
Using the NEMIS System and NEMIS Reports.....	39

PAYMENTS..... 37

- Quarterly Progress Reports 39
- Time Extensions..... 40
- Improved Projects 42
- Alternate Projects 43
- Conducting an Audit to Closeout Grants 44
- Single Audit Reports..... 45
- Final Inspection Procedures 46
- Appeals 49
- Project Closeouts 50

GLOSSARY OF ACRONYMS AND ABBREVIATIONS..... 52

WEBSITE INFORMATION 55

PUBLIC ASSISTANCE RECOVERY PROGRAM

Declared Event

1. The Florida Public Assistance Recovery Program to administer FEMA/State assistance to eligible Applicants is immediately initiated for each Declared Event (Major Disaster, Emergency, or Fire Suppression).
2. The activation of the State's Recovery Program for each Declared Event is preceded by Property Damage Assessment, Emergency cost estimation, or Wildfire emergency conditions, as applicable, to justify the Declaration. The State's Recovery personnel participate in the Declaration process as necessary.

Overview of State's Recovery Program

1. The State's Recovery Program for each Declared Event will start with the establishment of a Disaster Field Office (discussed below) for the purpose of directing and coordinating the disaster relief process in writing the initial disaster relief grants to eligible Applicants.
2. After the closing of Disaster Field Office (DFO) Operations, the State's Recovery Program will continue in administration of the grants for necessary adjustments in the grant projects, and the final closure of the disaster relief grants.
3. The State's disaster relief Recovery Program is staffed by a core of Recovery Engineers to write Project Worksheets (discussed below) by: 1) conducting initial grant inspections; 2) conducting interim inspections for grant adjustments; 3) conducting final inspections for closure of the grant projects; and, 4) performing other duties related to the determination of grant eligibility of Applicants.
4. Other grant administrative matters, including payment of grant funds to eligible Applicants, are the responsibility of a core of Grants Managers (Grant Specialists) who work in coordination with the Recovery Engineers in providing FEMA/State assistance to eligible Applicants.
5. The Recovery Engineers and Grants Managers are assisted as necessary, by FEMA Public Assistance Personnel, by other State Agency Engineers, and by other necessary supporting administrative functions within the Department of Community Affairs during the DFO Operations and thereafter.

6. The State's Recovery Program staff will be concurrently administering the disaster relief assistance for all open Declared Events. There will be balanced emphasis of meeting the needs of Applicants in newly Declared Events as well as in the closure of previous Disaster Events in accordance with priorities established by Recovery Program management.

Establishing Disaster Field Operations (DFO)

1. A DFO will be established as necessary by the State and/or by FEMA for the coordination and support of the initial grant process in providing disaster relief for eligible emergency work and/or restoration of damaged facilities as applicable to the Declared Event.
2. The DFO site will be located in Tallahassee, with one or more satellite DFOs, as necessary, within or near specific damaged areas for timely, effective, and efficient delivery of the initial grant writing process.
3. The DFO will be staffed by the State Recovery personnel and, by FEMA personnel, and personnel from other State Agencies, as necessary, to write the initial disaster relief grants.

Public Assistance Coordinators (PACs)

1. The Recovery Program Engineer Supervisor will designate Area PACs to be responsible for the writing of Project Worksheets (PWs), as discussed below, for FEMA/State grant assistance to specifically assigned Applicants within designated geographic areas.
2. The State Agency PAC will be responsible for PW development for State Agencies and Statewide Public Nonprofit Organizations primarily for emergency work costs. However the State Agency PAC will obtain listings of damaged sites from the various Statewide agencies to assign, as necessary, to the Area PACs for development of PWs for restoration projects; and thereafter monitor and follow up on PW development and closure of Projects for the Statewide Agencies.
3. The Area PACs will be responsible for PW development for Applicants within their assigned geographic area, and for the assigned projects for the Statewide agencies within their geographic area; and thereafter be responsible for grant modification and closure activities as assigned.

4. The State Agency PAC, and Area PACs will supervise and/or coordinate the activities of other temporarily assigned Recovery Engineers from FEMA and other State Agencies, as Project Officers or Specialists, to complete the initial PW development for the Declared Event during the DFO Operations.
5. The PACs will obtain, from the eligible Applicants, a complete listing of projects for emergency work and restoration of damaged facilities within 30 days of the Declared Event as applicable.
6. The PACs will provide guidance, and otherwise encourage eligible Applicants in Kick-Off Meetings (discussed below), to develop their own PWs for Small Projects to be validated and approved in the Small Project Validation process.

The Project Worksheet (PW)

1. The PW is the primary form used to document the scope of work and cost estimate for an Applicant's emergency work or a restoration work project. The PW also includes the project location and the damage description/dimensions for which the scope of work is written for the project.
2. The Applicant is responsible for preparing PWs for Small Projects, for which the threshold limitation in cost is established by FEMA, for submission to the assigned PAC. All Small Projects are to be submitted within 60 days of the Kick-Off Meeting. Upon the Applicant's request, the PAC may assign a Project Officer or Specialist to provide technical assistance for the writing of Small Project PWs.
3. For Large Projects in excess of the Small Project cost limitation, a Project Officer will be assigned by the PAC to work with the Applicants to prepare Large Project PWs. The Project Officer may lead a team that includes representatives or Specialists from FEMA or the State, depending on the type and complexity of the project.
4. The Applicant, in coordination with the PAC, may combine work items into projects. In this manner, the projects may be organized around an Applicant's needs, such as work performed by a single contractor, covered by the same insurance policy, by system-wide type of work.

Applicant Small Project Validation Process

1. For an Applicant's Small Projects that are submitted within 30 days of the Kick-Off Meeting, the assigned PAC shall assure that an Applicant's proposed Small Projects will be Validated by a random sampling of 20% of the Applicant's proposed Small Projects for review and independent development of cost estimates.
2. If the Applicants estimated total costs of the random 20% sampling of the Small Project PWs is within 20% of the assigned Recovery Engineer's estimate for the same projects, then all of the Applicant's Small Projects are to be recommended for approval. If the first Validation sampling does not qualify for approval, a second random sampling may be taken for the Small Project Validation Process.
3. If the Applicant is unable to submit their Small Projects PWs timely within 30 days of the Kick-off Meeting, then the PACs shall cause review for recommended approval of the Small Projects on a 100% Validation basis.
4. Small Project PWs for completed emergency or restoration work with actual cost documentation may be separated from the Small Project Validation Process and recommended directly for approval on the basis of actual cost documentation review.

Project Cost Estimates

1. Estimated costs for completion of Projects may be accomplished through the use of FEMA Cost Codes for anticipated line items of work. This method of project cost estimation does not typically include all types of work necessary for project completion; nor is it necessarily current or representative in the unit costs for the line items of work quantities anticipated. The FEMA Cost Codes were developed by FEMA to make cost estimates by Category of Restoration Work and is not generally applicable to Emergency Work. Categories of Restoration Work C-G were devised by FEMA for the purpose of easing the project cost estimation process. Under the New PA Program, it is no longer necessary to restrict work of one category to a project worksheet. However, the FEMA Cost Codes by Category are still useful, in the absence of one of the following better methods, for project cost estimation.
2. An Applicant may have an established project cost estimation program or procedure for the purposes of budgeting project costs. If the Applicant has such an established method for project cost estimation, such project cost estimates are permissible for use for the writing of PWs.
3. Bids, Quotations, or Proposals by contractors or vendors for project completion are also acceptable for project cost estimation if such costs are reasonable and there has been an

attempt to obtain cost estimates for a project for two or more contractors or vendors.

4. For significant Large Projects of complexity, the FEMA Cost Estimating Format (CEF) may be used for better estimation of project costs. The CEF requires a clear definition of the project scope of work for estimating the base costs, incidental construction costs, construction cost contingencies, contractor's overhead and profit, cost escalations over the life of the project, fees for necessary reviews and permits, a reserve for eligible change orders and unforeseen conditions, project management, and project engineering and design costs. The CEF does not limit the cost eligibility for the project as the project grant will be adjusted to actual costs at Final Inspection. The CEF may be expected to provide a higher and more accurate project cost estimate as it allows for consideration of project-related costs that are not normally considered in the use of FEMA Cost Codes.

APPLICANT INFORMATION

Kick-off Meeting

- I. The first meeting with potential applicants to inform them of the availability of Federal assistance is the applicant Kick-off Meeting. The assigned State Public Assistance Coordinator (PAC), with or without a FEMA PAC, will conduct a joint briefing as necessary, in the affected areas of the Declared Event.
- II. The Department of Community Affairs (Division of Emergency Management) (Grantee) notifies eligible applicants in the declared area, of the time and place at which the briefing will be held.

NOTE: A separate briefing for State Agencies is usually held in the Tallahassee area.
- III. The local Emergency Management Agency arranges for the meeting place and schedules the meeting in conjunction with the Grantee.
- IV. Items to be discussed and documents to be provided are covered in the State Public Assistance Administrative Plan, Paragraph IV.C.4. Briefing packages include the

following:

- A. Fact Sheet
- B. New Public Assistance Program, Emergency Program, or Fire Suppression Program Guidance, as applicable
- C. Reimbursement Documentation Information
- D. Request for Public Assistance form (RPA) with PNP Eligibility Checklist. (attachment 1)
- E. Hazard Mitigation Handout.
- F. Eligibility Criteria.
- G. Project Worksheet (PW) Flow Chart.

Processing Request for Public Assistance

- I. A Request for Public Assistance (RPA) Form must be completed for each applicant requesting assistance within 30 days following the date of Disaster Declaration for the affected areas. The 30-day deadline may be extended by FEMA when justified and requested in writing by the Grantee (FEMA Regulation 44 CFR 206.202(f)(2)).
- II. Eligible Applicants:
 - A. State Agencies (only; for Fire Suppression Program)
 - B. Local Governments and other Political Subdivisions of the State
 - C. Qualifying Private Non-Profits Organizations (PNPs)

D. Indian Tribes or Authorized Tribal Governmental Organizations

III. Grants Manager Responsibilities:

A. Provides technical assistance to potential applicants relating to applicant eligibility, in accordance with FEMA 44 CFR Regulations.

B. Reviews the RPA for completeness, prior to transmitting to FEMA.

C. Prepare form letter used to transmit the RPA and supporting documents to FEMA with the appropriate recommendation.

D. Notifies applicant of the eligibility determination in writing, informing them of their rights of appeal if determined ineligible.

IV. FEMA's Responsibilities:

A. Review the applicant RPA.

B. Make the eligibility determination.

1. RPAs approved will be assigned Federal Information Processing Standards Number (FIPS No.) and returned to the State.

2. RPAs not approved will be returned to the State with an explanation for the ineligibility determination.

I. Grants Manager schedules an appointment with the applicant to execute the Funding Agreement. In the alternative, the Grants Manager may forward the Funding Agreement by Mail for return by Applicant after execution of agreement if the Applicant is familiar with disaster relief funding agreements. The applicant is requested to provide:

A. A representative with documented authority to sign the Agreement.

B. A copy of the signature authority document, if necessary.

C. Federal employee identification (EIN) number.

II. Grants Manager and/or other assigned personnel arrange to meet with applicants, as

necessary to brief and familiarize the applicant with the Disaster Assistance Funding Agreement, emphasizing adherence to regulations and fully discuss requirements and responsibilities. To expedite delivery and minimize inconvenience to the applicant, the meeting should be held at the applicant's location or the Grant Manager may arrange to meet with small groups of applicants at the Disaster Field Office (DFO) or at a central location within the County, i.e., the County's EOC.

- A. Verifies that the correct legal title of the organization is printed on the first page of the Agreement.
- B. Explains that "eligible disaster relief activities" are described in the Code of Federal Regulations (CFR), Title 44, Part 206, and reviews specific sections (i.e., 206. 203, 204, 205, and 206.)
- C. Explains the differences between large and small projects; Project Worksheet (PW) developments, and terms such as "~~master~~ PW Versions" and "funding packages."
- D. Explains that "pre-disaster design" includes bringing the damaged facility up to current codes and standards, as applicable, eligible hazard mitigation improvements in facility restoration, alternate projects, and project relocation.
- E. Provides a copy of the FEMA Disaster Assistance Programs, Grants Management and Audit Requirements Manual, Applicant's Handbook (DAP-1), and the DCA Financial Management Manual. Informs applicant of this basis for record keeping and eligibility as referenced in 44 CFR, Parts 13, 14 and 206.
- F. Advises that scope of work as described and approved on the PW is eligible for funding.
- G. Provides a copy of the Insurance Commitment Handout and requirements for its use, explains the concurrence requirements, in accordance with 44 CFR 206, Subpart I, and obtains a signed Insured's Authorization to Release Insurance Information Form (attachment 2).
- H. Environmental regulations and permitting requirements must be complied with as a PW condition for receiving assistance.
- I. Required documentation is emphasized:

1. Cost documentation must be maintained and filed by PW.
 2. Daily Activity Reports should be completed by the applicant's workforce to include all labor, materials, and equipment costs claimed (attachment 4).
 3. Summary of Documentation and Request for Reimbursement is required for payments, interim, and final inspections for Large projects (attachments 5 & 6).
- J. Work completion and cost documentation:
1. Subgrantee is required to submit a request for final inspection including necessary supporting documentation.
 2. State and/or FEMA representatives will conduct a final inspection on large projects (see Final Inspections). Large project PWs for Emergency Work or for Restoration Projects that were 95% completed when prepared and supported by actual cost documents, will be reviewed in-house, as expedient.
 3. Small projects require certification that the work was completed in accordance with the Agreement. However, final inspections for insurance recoveries and completion of projects may be conducted at the discretion of the GAR.
- K. Small projects are paid the Federal Share (75% in most disasters) and the State share upon approval by FEMA.
- L. Large projects are paid the Federal and State shares on a cost reimbursable basis, and require the submittal of a signed Request for Reimbursement with Summary of Documentation and a letter certifying the costs were incurred in performance of eligible work.
- M. Advances are paid based on:
1. Subgrantee submits written request for justification of need for advance, in accordance with the Disaster Relief Funding Agreement (attachment 7).
 2. Maximum amount specified in the Agreement.
- N. Improved projects require the approval of the GAR, and are reimbursed based on estimated costs identified on the approved PW. However, if the Subgrantee

has a means to separate the costs for the PW scope of work from any improvements or other combined projects, the reimbursements may be based on the approved project costs.

- O. Alternate projects require a recommendation by the GAR and the approval of the RD. The Subgrantee submits the request for approval, through the GAR, as soon as it's determined that an alternate project is preferable, and in accordance with 44 CFR Section 206.203.
- P. Financial reviews and audits may be performed to verify eligibility of the projects and to determine that the funds were expended, in accordance with the regulations. 44 CFR Part 13 and Part 14. Subgrantee should be advised of the Single Audit Act and referred to Office of Management and Budget (OMB) Circular A-128 (governmental agencies) or OMB circular A-133 (private non-profits). Other guidance for determining eligibility of direct costs in the accomplishment of the grant objective, if not superseded by the FEMA Regulation 44 CFR 206.228 (e.g. force account regular time labor costs for emergency work, equipment costs, Statutory Administrative Costs, and indirect costs), are contained in OMB Circular A-87 (Cost Accounting Principles for State and Local Governments) and Circular A-122 (Private Non-Profits

Q. Project performance/completion dates:

<u>Eligibility Period</u>	<u>Completion Deadlines</u>
1. Debris Clearance	6 months (Category A)
2. Emergency Protective Measures	6 months (Category B)
3. Permanent Work	18 months (Categories C through G)
4. Extension Requirements – FEMA Regulation 44 CFR 206.204	

- R. Quarterly Reports are required, unless suspended, three months after the date of execution of the Agreement, or as negotiated for the first report with reports due quarterly thereafter. If an advance is received, a financial statement and interest earned on the advance is required in the Quarterly Reports.
- S. Contractors and subcontractors are subject to the terms of the Funding Agreement, and should be provided a copy of the Agreement.

T. All correspondence should be addressed to the GAR, as listed on the Funding Agreement.

Execution & Routing of Disaster Assistance Funding Agreement

Grants Manager:

- I. Obtains the Subgrantee authorized agent's signature and dates the Agreement in triplicate.
- II. Conducts a Review of the Agreement to assure:
 1. Properly authorized Subgrantee signature, documentation regarding delegation of authority if required.
 2. No changes to agreement. Any revisions, strike-throughs or other attempts to revise the DRFA terms must be approved by the OGC.
 3. Original signatures by Subgrantee (no facsimiles).
 4. All blanks are filled in or marked not applicable.
 5. All pages are included and in order.
- III. Processes the Agreement for Execution
 1. Delivers to the Review Coordinator, or Legal Reviewer, as necessary, for any problem.
 2. Obtains the GAR's Signatures on all three original copies.
 3. Sends one original copy to the Subgrantee with a cover letter.
 4. Sends one original copy to DCA Finance with first payment request (see Payments) including a completed DCA Contract/Grant Information Sheet.
 5. Files one original copy in the Subgrantee's master file.

PROJECT WORKSHEETS **Pre-Inspection Preparation**

Purpose: To properly conduct inspections with the most efficient use of time by federal, state, and Subgrantee representatives.

- I. Initial inspections are arranged with the Subgrantee by the State Public Assistance Officer (PAO).
- II. The PAO assigns the Subgrantees to a State Public Assistance Coordinator (PAC) for assignment to inspectors according to the types of damages, as necessary.

- III. An insurance adjuster may be assigned to conduct initial or subsequent inspections where insurance coverage may be available for the PW Scope of Work.
- IV. Correspondence from the Subgrantee is reviewed, and/or the Subgrantee is interviewed, to determine if there are special considerations or purposes which may be identified prior to inspections, such as Historic Registry, Floodplain, or Hazard Mitigation issues.
- V. For subsequent inspections or inspections which are the result of request letters the assigned Inspector will consult with the Grants Manager in preparation for the inspection. Newly assigned Engineers should consult with the previous Engineers(s) and in all cases with the Grants Manager on relevant issues before meeting with the Subgrantee.
- VI. Assigned Inspectors should take all relevant documents pertaining to the inspection site, i.e., copies of PWs, memorandums and documents requiring clarification.
- VII. The Subgrantee, and assigned Inspector, should be provided at least a five-day notice prior to the scheduled inspections. A list of the required documents should be mailed or faxed to Subgrantee to facilitate the inspection.

Initial Inspection

- I. State PAO:
 - A. Receives the RPA from FEMA:
 - B. Assigns the RPA to a PAC to form an inspection team.
- II. The assigned Inspector:
 - A. Contacts the Subgrantee for names of technical (site) representatives.
 - B. Contacts the technical representatives to schedule a Kick-off meeting to discuss Large Project inspections, to explain the Small Project Validation Process, and to verify the list of locations and damages.
 - C. Contacts FEMA counterpart and arranges joint inspection, as needed.

- III. The FEMA/State/Local Inspection team:
- A. Conducts on-site inspections; for Large Projects, and validates 20% of the proposed Small Projects submitted by Subgrantee.
 - 1. Evaluates damages related to each category of damage;
 - 2. Make sketches and measurements as needed;
 - 3. Takes notes on specific damages and conditions;
 - 4. Takes photographs adequate to document specific damages;
 - 5. Collects any other information and documents that may be necessary to facilitate development of the Project Worksheet (PW).
 - 6. Identifies possible Hazard Mitigation improvements in the restoration of damaged facilities.
 - 7. Assures that a copy of all documentation provided is retained by the State.

 - B. Prepares a PW for each category of damage using:
 - 1. FEMA guidelines on PW development;
 - 2. State Engineers Manual and other standard references;
 - 3. Available local codes and standards.

 - C. Reviews the completed PW, to assure mutual understanding and completeness of its contents, including insurance issues.

 - D. Sign the original PW, adding any necessary supporting documentation;

 - E. Arrange for the completed PW to be reviewed and signed by the local inspector, leaving a copy;

 - F. Submits the PW for PAO review and NEMIS entry.

Project Worksheet Development

- I. PWs are the funding mechanism for project grants and are generated as follows:
 - A. Initial inspections for all categories of damage.
 - B. Subsequent (interim) inspections to fund:
 - 1. Essential changes in project scope of work;
 - 2. Contract change orders related to the scope of work;
 - 3. Corrections to cost estimates;
 - 4. Errors of omission or calculations in the project estimate;
 - C. Pre-final inspections to review documentation.
 - D. Final inspections.
 - E. Small Project Closeout Inspections for requested net overruns.
 - F. Appeal determination.
- II. State Inspector:
 - A. Represents the State in joint PW development, writes Large Project PWs, and validates Subgrantee's submitted Small Project proposals.
 - B. Assures that the PW is written according to:
 - 1. The FEMA "Inspector's Handbook";
 - 2. All applicable policies and regulations.
 - C. Assures that the Subgrantee:
 - 1. Understands the completed PW as written or reviewed.
 - 2. Signs the PW.

PW Review

- I. PWs are reviewed for accuracy and eligibility. The review is accomplished through the use of a PW Review Checklist.
 - A. PW is checked to ensure all applicable entries on the PW are complete/correct.
 1. Ensure each page is annotated with the PW number and page number.
 2. Verify Category and project number matches the scope of work.
 3. Ensure State and local participation in the PW development.
 - B. Backup documentation that supports the PW and cost estimates.
 1. PW expense summary sheets reflects the supporting documentation.
 2. Costs are reasonable and justified.
 3. Math computations are correct.
 4. Map and/or other pertinent information is attached.
 5. PW and all documentation should be clear and legible before submission to FEMA for data entry.
 - C. Ensure the computer generated PW printout matches the original PW and its supporting documentation.
 1. Changes or corrections from the original are annotated on the printout with an explanation in the “Damage Description” or “Scope of Work” block with any discrepancies discussed with the FEMA reviewer and the PW writer for any necessary clarifications.
 - D. The State Reviewer Action Sheet is attached to the PW with the appropriate comments as applicable.
 - E. A new PW Version is returned to FEMA for any necessary corrections.
- II. Any Changes to the PW project, after the State has returned the PW to FEMA, will cause the State review cycle to be repeated.

Environmental Review

- I. Environmental reviews are required and governed by:
 - A. The National Environmental Policy Act (NEPA) of 1969;
 - B. Robert T. Stafford Disaster Relief and Emergency Assistance Act;
 - C. 44 CFR, Parts 9 and 10;
 - D. Guidelines established in DR&R-6, Environmental Review Handbook Pursuant to PL 93-288; and
 - E. By other environmental laws and regulations cited later in this section.

- II. GAR responsibilities:
 - A. Coordinates environmental activities of Subgrantees to assure compliance.
 - B. Provides technical assistance to Subgrantees for the preparation of data for FEMA environmental assessments.

- III. Environmental review determines:
 - A. Project "categorically exclusion"; or
 - B. Environmental assessment requirement.

- IV. Categorical exclusions:
 - A. Statutory Categorical Exclusions:
 - 1. Action taken or assistance provided under Sections 305, 306 or 403 of the Stafford Act.
 - 2. Action taken or assistance provided under Sections 402 or 419 of the Stafford Act that has the effect of restoring facilities as they existed prior to a major disaster.

B. Other Categorical Exclusions:

1. Preparation of regulations, manuals, etc.
2. Procurement activities.
3. Emergency debris removal.
4. Emergency communications.
5. Emergency transportation.
6. Fire suppression assistance.
7. Studies that involve no commitment of resources other than manpower or funding.
8. Community disaster loans.

C. Categorically excluded projects may require environmental assessment under extraordinary circumstances, such as:

1. The project is greater in scope or size than normal.
2. The project is in a highly populated or congested area.
3. The potential for environmental degradation exists.
4. The project involves unproven technology.
5. The presence of endangered species, archaeological remains or other protected conditions.
6. The project incorporates the use of hazardous or toxic substances.
7. The project is located in a flood plain or wetlands.
8. The project is on a barrier island.

V. Environmental Assessment or Field Report Requirements:

- A. Improved project.
- B. Alternate project.
- C. Non pre-approved Hazard mitigation projects.
- D. Project affecting any property on or eligible for the National Register of Historic Places.
- E. Project which may jeopardize the existence of an endangered species or adversely effect its critical habitat.
- F. Project which may adversely effect a "wild or scenic river" or could have an adverse effect on the natural, cultural or recreational values of a river segment.
- G. Categorically excluded project under extraordinary circumstances. (IV.C.)

VI. An Environmental Assessment/Preparation/Determinations:

- A. Prepared by FEMA, State or local environmental specialists.
- B. Can be combined with a floodplain management plan and/or a historical review.
- C. Determinations:
 1. Findings of "no significant impact" shall be prepared and approved by FEMA.
 2. An environment impact statement, which may be done by the State, is eligible for FEMA funding.
 3. The proposed action could be rejected or modified.

VII. Special Considerations:

- A. Emergencies:
 1. In the event of an emergency, where immediate action may have significant environmental impact, the Council on Environmental Quality should be notified.

2. In no event shall an emergency action, necessary to preserve human life, be delayed for the purposes of compliance.
- B. Mitigation in floodplain or wetlands:
1. Mitigation measures to avoid or minimize environmental harm within floodplain and wetlands should be considered.
 2. Mitigation and other considerations established in an Environmental Impact Statement shall be implemented by FEMA
 3. Funding for mitigation, required by an environmental assessment or impact statement, may be the responsibility of FEMA or the Subgrantee.
 4. Non-compliance with required mitigation may result in the suspension or withdrawal of FEMA project funding.
- C. Historic Properties:
1. Environmental assessment required for any project effecting property listed on, or eligible for, the National Register of Historic Places.
 2. Assessment should be coordinated with the historical review required by 36 CFR, Part 800.
- D. Floodplain and Wetlands: Any action taken in a floodplain or wetlands, the provisions of 44 CFR, Part 10 are supplemental to Executive Order 11988, Floodplain Management and Executive Order 11990, Protection of Wetlands.
- E. Other environmental laws which may impact recovery projects:
1. Endangered Species Act and 50 CFR, Part 402.
 2. The National Historic Preservation Act and 36 CFR, Part 60, 61, 65, 68, 79 and 800 and 48 FR 190, Part IV.
 3. The Archeological and Historic Preservation Act.
 4. The Wild and Scenic Rivers Act and 36 CFR Part 297, Subpart A

5. The Fish and Wildlife Coordination Act.
6. Coastal Zone Management Act and 15 CFR, Parts 923 and 930.
7. Coastal Barriers Resources Act and 44 CFR 206, Subpart J.

Historic Preservation Review

- I. Identify historic properties:
 - A. Listed on the National Register of Historic Places.
 - B. Eligible for the National Register the criteria cited in 36 CFR, Section 60.4.
 - C. Declared a historic site by state or local government.
 - D. Identify structures with historicity; photograph and forward with written history to SHPO for a determination.
 - E. State Historic Preservation Officer (SHPO) (Florida Department of State, Division of Historical Resources) should provide a list of A, B, and C, which are located in the declared disaster area, and assist with determinations, identified in D.

- II. Assess potential effects of project relative to historic authenticity:
 - A. Assessing agencies:
 1. Federal - Advisory Council on Historic Preservation.
 2. State - State Historic Preservation Officer.
 - B. Assessment rulings and actions:
 1. No adverse effect.
 - a. Parties are notified; or

- b. Changes are proposed.
- 2. Adverse effect.
 - a. A Memorandum of Agreement is issued; or
 - b. With no agreement, appeal process in effect.

III. Impact of assessment ruling on the PW:

A. Laws and regulations:

- 1. FEMA regulations.
 - a. 44 CFR 206.203 (d) funding options for improved projects.
 - b. 44 CFR 206.226 (d) repair vs. replace.
- 2. Department of the Interior regulations.
 - a. 36 CFR, Section 800 "Protection of Historic Properties".
 - b. Section 106 National Historic Preservation Act of 1966 (Public Law 89-665) 16 USC 470f.
- 3. State and local laws as applicable.

B. Recommendation to demolish and replace:

- 1. Apply Historic American Building Survey (HABS) documentation levels I through IV; and
- 2. Florida Bureau of Historic Preservation Standards for Architectural Documentation Standards I through IV, (i.e., Content, Quality, Materials and Presentation).

Recommendation to repair or restore: Apply the Secretary of the Interior's "Standards for Rehabilitation and Guidelines for Rehabilitating Historic Buildings".

Procurement Requirements and Contracts

I. Bid Procedures:

A. Bidding:

1. Project must be competitively bid;
2. If selective bidding is used, a minimum of three bids or quotes must be solicited;
3. Contractor was pre-selected by competitive bid;
4. Special approval must be obtained from FEMA if there is a deviation from 1 or 2 above, (e.g., sole source bid, etc.).
5. Emergency contracts (and exceptions to the bidding process) will be as provided for in the local code.

B. Rules and Regulations on Contracts and Manuals:

1. All applicable local, state and federal laws (including but not limited to State Statutes, Chapter 252 and 44 CFR, Part 13.36) must be adhered to, and cited in the documents and specifications of project manuals and contracts.
2. Contractors and subcontractors are subject to the terms of the Funding Agreement.
3. All required permits must be obtained by the Subgrantee. If the contractor is responsible for obtaining permits, it must be stated in the specifications or project manual (contract).
4. Comply with Americans with Disabilities Act (ADA).
5. Cost-plus contracts are prohibited.
6. Disbarred or unlicensed contractors are prohibited.
7. Copy of the final contract should be provided to the GAR for review, monitoring and submission to FEMA.

8. Architect and Engineering fees should be eligible, if not included in the bid package, they should be addressed in a separate PW or a new PW Version.
 - a. Contract Management fees should be added to the project.
 - b. Required inspection services, not included in the bid package need to be documented and included in a PW Version.

C. Bid Line Items:

1. Lump sum contracts are preferred. The selected bidder should provide a schedule of values within 30 days of the bid award.
2. Required equipment should be fully described in the bid form, (e.g., size, capacity, etc.).
3. All line items on the bid form must:
 - a. Cross-reference the appropriate PW number; or
 - b. Identify a disaster related item as requiring a PW or addition to an existing PW; or
 - c. Identify non-eligible improvements to be completed simultaneously but funded by the Subgrantee.

II. Bid Document Reviews:

A. Compare bid documents with PW:

1. Match PW scope of work with the specifications in the bid form.
2. Compare project costs.
3. Reference all PWs included on the bid form and appropriate to the project.

B. Compare bid form line items with PW line items as follows:

1. Required equipment types and sizes.

2. Units of measure.
3. Materials specified.
4. Material quantities and costs.

C. Identify items included:

1. On the bid form, but not on the PW.
2. On the PW, but not on the bid form and determine why.

D. Correcting inconsistencies between bid and PW:

1. Add additional eligible items in an updated PW Version.
2. Prepare an updated PW Version to include eligible items not on the original PW.
3. Adjust PW line item costs in accordance with bid item costs or schedule of values in an updated PW Version.

III. Monitoring:

A. Inspections:

1. Schedule work-in-progress inspections at as necessary, the number of which will be determined by the size and complexity of the project.
2. Special inspections are to be held if major change orders are required, or unforeseen difficulties occur.

B. Change orders:

1. Change orders may be required due to oversight, previously undiscovered eligible damage, or because specified materials or equipment is unavailable.
2. Minor change orders should be recommended for approval by the inspectors by written memorandum to the Grant Manager and local Contract Project Manager, with copies to the PW file. Adjustments should be made at final

inspection. Change orders will be reviewed for eligibility by the grant manager in conjunction with the assigned state engineer.

3. Major change orders should be by written memorandum as above, with adjustments at final inspection, or by an updated PW version.

Hazard Mitigation(Section 406)

- I. In accordance with 44 CFR 206.226 approving grant assistance for restoration of facilities, the Regional Director may require cost effective hazard mitigation measures not required by applicable standards. The cost of any requirements for hazard mitigation placed on restoration projects by FEMA will be an eligible cost for FEMA assistance.
- II. The State's objective is to initiate and encourage the Subgrantees to take meaningful actions to reduce or eliminate the long-term risk to human life and property from natural hazards.
- III. Sources of Hazard Mitigation Proposals:
 - A. FEMA/State Inspection Team
 1. Identify and note possible Hazard Mitigation projects while writing initial PWs. Look for a better way to rebuild, to eliminate or substantially reduce damages in the future.
 2. Fully utilize opportunities to include pre-approved hazard mitigation work in the PW.
 - B. Grants Manager:
 1. Provides program information to Subgrantees to increase awareness of 406 hazard mitigation. Obtain the name of an administrative and technical contact for mitigation.
 2. Assists the Hazard Mitigation Engineering Coordinator in scheduling inspections.
 - C. State Engineer:

1. Analyzes all PWs for potential HM measures during the PW review and inspection process and fully promotes, to the extent feasible, hazard mitigation (FEMA pre-approved hazard mitigation improvements within 100% of the damage costs).

NOTE: Depending on the size of the disaster and staffing, a Hazard Mitigation Project Manager and Hazard Mitigation Engineers may be needed. If staffing does not include these positions, the Grant Manager and Engineer must work together to accomplish the following tasks.

State Engineer assigned to Hazard Mitigation projects:

1. Assists in evaluating potential mitigation alternatives.
2. Assists in preparing narrative summary as part of site report.
3. Assists in reviewing mitigation measures versus repetitive damage cycle.
4. Assists in analyzing the protected facility/materials and estimated value.
5. Assists in collecting and preparing data to demonstrate and/or support development of a cost benefit ratio.
6. Assists in verifying the feasibility.

D. Hazard Mitigation Project Officer:

1. Documents all hazard mitigation unit activities conducted in the field.
2. Analyzes the proposal completeness.
 - a. Forwards hazard mitigation proposals unrelated to a damaged facility and PW to 404 Hazard Mitigation Grant Program.
 - b. Reviews similar hazard mitigation opportunities.
3. Assists in obtaining initial information to support proposal such as:

- a. Prior history/comparison of damages and alternatives, (e.g., Why would restoration to pre-disaster conditions not be sufficient to alleviate future damages? Relevant information regarding net social benefit?)
 - b. Cost of potential losses, previous losses or historic restoration.
4. Coordinates with State Engineers, as required.

Insurance

I. Pertinent Information:

The Stafford Act encourages applicants to carry property insurance for those facilities and equipment that are readily insurable.

The Grants Manager, and assigned Engineer, should be familiar with the applicant's insurance policies, in coordination with the State Insurance Specialist. The Grants Manager, and assigned Engineer, should be aware that FEMA funding eligibility is sometimes different than property insurance eligibility. The Grants Manager and assigned Engineer shall work with the Insurance Specialist to ensure insurance coverage is not duplicated.

Copies of policies may be obtained, or an authorization for insurance information signed, at the time the funding agreement is reviewed and signed.

II. Process:

The insurance specialist or appropriate designee shall:

1. Cause the creation of an applicant insurance section in the applicant's master file.
2. Obtain signed "Authorization(s) To Release Insurance Information" (attachment 2), as necessary.
3. Obtain copies of the declaration page of necessary documents, i.e. policy(ies) in force, all endorsements, any special Florida exclusions limiting coverage, notice of loss, proof of loss, and Statement(s) of Loss, upon full insurance recovery, from the Subgrantee, or the insurer for the use by the Engineer in PW inspections when such documentation becomes available.
4. Reviews PW Summary Report (D.1) to determine whether damaged facilities are listed on the insurance coverage property schedule for the Engineer's consideration in further PW Versions.
5. Contact the Subgrantee after review of the PWs, policy and statement of loss to discuss PW scope of work and insurance proceeds. Request

from the subgrantee or insurance representative all relevant expense documentation for the project.

6. Separate PWs, or eligible damages not covered by insurance; attach supporting documentation, (i.e., exclusions, letters from insurer, property schedule) for recommendation of approval.
7. Identify and deobligate PWs, or damages contained within PWs, that were PAPed eligible and were covered by insurance.
8. Compare the statement of loss against the scope of work for PWs covered by insurance; this can be done line-by-line or lump sum, as necessary.
9. Requests the applicant submit actual cost documentation for PW estimates, if available.
10. Reviews PW to identify deviations from the insurance adjustment that were anticipated.
11. Advise applicant of scope of work that should have been paid by the insurer based on the following review criteria:
 - a. Reinspects site/documents. Encourage applicant to bring forth records and/or photos of pre- and post-storm condition.
 - b. Call and write insurer, requesting reinspection to reconcile differences.
 - c. Advise Subgrantee to submit actual replacement costs to the insurer rather than PW estimates. If work is not completed, advise Subgrantee of bid procurement procedures and discuss reparation with applicant and low-bid contractor.
 - d. Assist applicant in negotiations for supplemental payment by insurer. Such payment should be deducted from the PW before being PAPed.
12. Pro-rate the deductible per each line item on the Statement of Loss. This will provide a line-by-line reconciliation and allow applicant to recoup out-of-pocket expense.
13. Cause a PW Version for the Project to be written reconciling actual eligible costs offset by insurance recovery for the scope of work (for both

Large and Small Projects).

14. Notify Grant Manager of recommendation and provide copies of all correspondence and contact logs for master file.
15. Apply insurance commitment to any PW line item reflecting an insurable scope of work in excess of \$5,000. If applicable, review for accuracy and sign as State Inspector at the bottom.
16. Contact applicant's insurance agent in cases where the premium quoted is cost prohibitive or when the scope of work is not normally insured or insurable; and obtain letter from agent so stating for review by the State Insurance Commissioner.

GENERAL

Reviewing a PW After it is PAPed

- I. When a PW is included in a Project Application Package and signed by the Public Assistance (Infrastructure) Officer and Federal Coordinating Officer for FEMA, the PW is considered "PAPed" and in its final state.
 - A. Before the PW is "PAPed" it is malleable unless it has already been entered into NEMIS.
 - B. After a PW is PAPed, or entered into NEMIS, it cannot be changed. Corrections will have to be submitted in an updated PW Version.
 - C. In reviewing the PAPed PW, the Grant Manager should check for the following:
 1. Is the Subgrantee name correct?
 2. Is the Declaration number and FIPS number correct?
 3. Is the PW a new Version?
 4. What is the project title?
 5. Does the scope of work match the category?

6. What is the percent of completion for the project?
7. Does the eligibility on the PW match the P.2 report?
8. Is the approval action on the PAPed PW the same as recommended? (If not, confer with assigned Engineer concerning necessary correction or appeal.)
9. Is there an insurance commitment required?
10. Is this a Large or Small project?
11. Does the scope of work line items match the category, or do the line items belong to other categories of work?
12. Are there any special considerations indicated?
13. In comparing the final printout sheet with the original field copy, have any changes been made in the Subgrantee data, damage description, scope of work, Line Items in unit of measure, quantity columns, or costs? If so, confer with the assigned Engineer concerning necessary corrections or appeals of discrepancies.
14. If a new PW Version, is there a copy of the previous PW Versions attached?
15. Are there any State attachments listed on the field copy, and if so, are these attached?
16. If there are State attachments - read them.
17. Is there a letter attached, and if so, does this PW answer the letter?
18. Does the PW reflect the statements and documentation of its attachments?
19. Is there sufficient documentation attached to the PW to satisfy payment, or is additional documentation required, especially for large projects?

III. If there are questions remaining as the result of this review, (for example, why were changes made?) be sure to follow through with answers that can be passed on to

the Subgrantee. Make note of any problems uncovered and take appropriate action.

COMMUNICATIONS

Meetings with applicants

- I. Grants Manager and/or State Engineer:
 - A. Prepares and distributes agenda if necessary
 - B. Prepares a report of the meeting, either a memorandum for file or an after action report to document important items discussed.
 - 1. This will be accomplished as soon as possible after the meeting.
 - 2. Provide a copy of the report to the appropriate staff, i.e., supervisor, engineering staff and Subgrantee's master file.

Correspondence and the Suspense System

- I. Incoming correspondence:
 - A. Correspondence designated for tracking is logged into the computer system, assigned a suspense number, and cover sheet with instructions designated to the appropriate Grants Manager by the administrative support staff.
 - B. Suspense/correspondence is forwarded to the PAO/grant manager for action and distribution for review.
 - C. Correspondence is reviewed, then forwarded to the Grants Manager's supervisor for action and distribution.
 - D. Upon appropriate action, the suspense cover sheet and supporting documentation is returned to the Administrative Assistant.
 - D. The Administrative Assistant will close suspense by entering date and description of action taken.

II. Outgoing Correspondence

- A. Correspondence sent to the Subgrantee will be signed by the Governor's Authorized Representative (GAR). The Grants Manager drafts the correspondence and submits it to the appropriate supervisor for review. Form letters are used for most correspondence to applicants and FEMA. (Attachment 22)
- B. The Administrative Assistant makes corrections and sends the correspondence to the supervisor/DPAO for review.
- C. The draft is reviewed by the supervisor and/or Deputy Public Assistance Officer (DPAO). The DPAO determines if a draft or letterhead version is sent for GAR signature.
- D. The draft or final version is forwarded with enclosures/documentation to the GAR, for review and signature.
- E. The signed version is returned from the GAR to the Administrative Assistant for distribution

The Grants Managers retain copies of all correspondence, always in the applicant's correspondence file and in the PW file, if appropriate. Additionally, the support staff retains copies of correspondence.

Internal Memoranda

II. Internal Memoranda are used to document requests for information and actions, and should be used as follows:

- A. State Engineer:
 - 1. Documents inspections and technical investigations for supervisory review and the Subgrantee's master file. These should be documented in the FERS contact log.
 - 2. Documents meetings attended.
 - 3. Reviews and forwards when applicable to the appropriate staff member(s).
- B. Insurance Specialist:

1. Documents determination on insurance coverage provided to FEMA for the Subgrantee's file.
2. Alerts Grants Managers of inability to obtain necessary data.

C. Grants Manager:

1. Documents discussions with the Subgrantee that are too involved for the contact log.

Alerts State Engineers of discussions with the Subgrantee, when of a technical nature.

Files

I. Grants Manager:

- A. Keeps master Subgrantee file.
- B. Larger files shall have accompanying manila folders with the PWs in numerical order.
- D. The P.2 and payment package, kept in separate sections, will be kept in chronological order, with the most recent on top in the master file.

Contact With Subgrantees

I. Grants Manager:

- A. Contacts the Subgrantee as necessary (preferably monthly) regarding cost overruns, work performance, and other monitoring functions.
- B. All verbal communications will be recorded in the contact log.
- C. Following field contact, Grant Manager files After Action Reports in the master file.
- D. Updates Status Report as necessary.

- E. Documents scope of work change order requests.
- F. Files meeting reports in the master file or as otherwise directed.
- G. Prepares responses to acknowledge receipt of queries from applicants. Requests from Subgrantees that require a policy variance must be brought to the attention of the GAR.

Communication with the Media/Sunshine Law

The State and Subgrantees are required to comply with the provisions outlined under the "Sunshine Law", Chapter 119 Fla. Statutes and with the Public Records Law, Section 9-1.006.

All media inquiries or press information requests should be directed to the Public Information Officer (PIO). If at all possible, only the PIO should make statements to the press, unless directed by the SCO.

The PIO will request the assistance of the appropriate Grants Manager in obtaining the necessary information. The Grants Manager will advise his/her supervisor of any information requests, along with any details involving extensive photocopying or other time-intensive requirements.

The PIO will handle administration of any billing required for information requests involving a substantial amount of photocopying or other printed/published materials.

The PIO will pass on all relevant information and make any necessary statements to media personnel. In addition, the PIO will keep the SCO informed of any media activity.

COMPUTER INFORMATION

Using the NEMIS System and NEMIS Reports

- I. The NEMIS System is used for the following functions:
 - A. To view or print PW s in the present state.
 - B. To print the following reports:
 1. D.1 - PW Summary.
 2. D.2 - Pending PW list.
 3. D.3 - Supplemental PWs.
 4. D.4 - PW s pending approval.
 5. D.5 - Ineligible PWs.
 6. D.6 - PW status by applicant.
 7. D.7 - Work sites.
 8. D.8 - Special considerations.
 9. D.9 - Insurance commitments.
 10. N.2 - RPA summary.
 11. N.3 - Applicant local contact list.
 12. N.4 - RPA file dump.
 13. P.2 - Project application summary.
 14. P.4 - Project certification listing.
 15. P.5 - Obligation report.

16. S.1 - Grant summary.
17. S.2 - Public Assistance management summary.
18. S.3 - Applicant Application status.
19. S.4 - Final voucher scheduling list.
20. S.5 - Summary by Disaster.

PAYMENTS

- I. Approved PWs listed on the signed P.2 are the basis for payment approvals.
- II. The Grants Manager:
 - A. Verifies that the executed funding agreement is on file.
 - B. Reviews P.2 and identifies all large and small projects. (If all small projects, go to F.)
 - C. Reviews Subgrantee's submittal of a "Summary of Documentation" and "Request for Reimbursement" for all large projects.
 - D. Annotates amount approved per PW on Request for Reimbursement.
 1. Request for Reimbursement is required on all large projects supported by a Summary of Documentation. (For PWs written for actual costs, the Summary of Documentation may list the PW Line Items and Costs.)
 2. Request for Reimbursement, used previously to indicate overruns is sufficient for a current payment on a supplemental or final PW.
 - E. Reviews the Subgrantee's request for advance payment. The Agreement and 44 CFR 13.21 (c) and (e) outline the process for preparing documents to receive the maximum advance.
 - F. Reviews small projects listed on P.2 to determine that the scope of work and the amount approved are reasonable.

- G. Copies the P.2 and circles the correct amount being paid by each PW.
 - H. Uses the FERS to create the Applicant/Subgrantee Work-Up Sheet.
 - I. Enters in the ITEMIZATION OF LARGE PROJECTS section the appropriate amounts, as these are not generated automatically.
 - J. Enters on PW work-up sheet approved PW amounts from the P.2.
 - K. Writes any appropriate notes and an explanation of the exceptions in the "comments" section.
 - L. Reviews and initials the printed Work-Up Sheet and the Request for Payment (FRP).
 - M. Reviews and initials the completed Payment Processing Checklist and forwards the payment package to the supervisor and/or PAO for review and approval.
 - N. Grant Manager makes a copy of the payment package for the file.
- III. After receiving the approved payment package, the support staff:
- A. Makes three copies of the approved payment package and forwards copies to:
 - 1. Payment tracking file
 - 2. Grant Manager, to be filed in Subgrantee master file.
 - 3. Mailed with form letter to applicant.
 - B. Forwards the Request for Payment package to the GAR for signature. When GAR signs RFP, complete original package will then be forwarded to Finance & Accounting for processing.
- IV. DCA Finance:
- A. Processes payment through State Comptroller's office.
 - B. Mails check to the Subgrantee.
 - C. Sends copy of the voucher to the Grants Manager for the Master file.

I. Volunteer Services Credit

- A. Upon Subgrantee's documentation of the fair value of donated resources to accomplish eligible emergency work, a Volunteer Services Credit (VSC) PW may have been written but "zeroed out" until closure of the Emergency Work PWs.
- B. After closure of Emergency Work PWs, a post-closure VSC PW may be written for the amount of the donated resources that would offset the Subgrantee's non-federal share of the emergency work costs.
 - 1. The VSC payment to Subgrantee may not exceed its non-federal share requirement.
 - 2. Post-closure VSC PWs are adjusted for 100% FEMA funding.
 - 3. VSC payment to Subgrantee is limited to the FEMA-funded amount. No State share is to be paid on VSC PWs.
- C. The Grant manager will prepare a memorandum to the Engineer Supervisor requesting a final VSC PW to be written, with attached D.1.

Quarterly Report System

Quarterly Progress Reports are a requirement of the Disaster Assistance Funding Agreement and 44 CFR, Parts 13 and 206.

I. Grants Manager:

- A. Notes the percentage of work completed by project and enters the information into the reporting system.
- B. Reviews and describes problems or circumstances effecting completion.
- C. Determines delays and time extensions needed.
- D. Notifies Subgrantee to request project overruns and project closures as appropriate.

- E. Assists in scheduling interim and final inspections.
- II. Engineering Coordinator:
- A. Assists in establishing staffing standards and workload.
 - B. Assists in scheduling interim and final inspections.

Time Extensions

The completion deadlines, from date of Declaration, are defined in 44 CFR 206.204 as:

Debris Clearance	6 Months	(Category A)
Emergency Work	6 Months	(Category B)
Permanent Work	18 Months	(Category C through G)

- I. Grant Manager should emphasize:
 - A. Projects should be completed within periods of eligibility.
 - B. Project costs incurred beyond the approved completion date will be ineligible for reimbursement.
 - C. Document any circumstances resulting in delays.
 - D. Submit written requests for time extensions prior to the deadline.
 - E. Blanket extensions will not be approved for permanent work.

- II. Grants Manager responsibilities when the Subgrantee requests a time extension:
 - A. Reviews the Subgrantee's request for a detailed justification, potential reasons for delay:
 1. Permits
 - a. Local (including completion)
 - b. State
 - c. Special Environmental
 2. Funding Inadequacy
 - a. Insufficient amount on the PW
 - b. Other grants correlation
 - c. Final insurance settlement pending
 - d. Other
 3. Related Work/Construction

- a. Part of Improved or Alternate Project
 - b. Impacted by other capital budget requirements
 - c. Utility or road construction interference
 - d. Corps of Engineers related work
 - e. Undetected damages discovered during construction, supplement(s) required.
 - f. Interference in work completion by subsequent disasters.
4. Recent determination of eligibility (appeals) or delay in project approvals.
- a. Hazard mitigation supplements recently approved
5. Work involved requires legal (court) decision(s).
- a. Commission or public hearings required.
 - b. Interrupted bid process from protests.
6. Inability to obtain sufficiently skilled personnel, materials or organizations to do the work.
7. Unique type of work requires added time.
8. Need hazard mitigation determination before completing work.
9. Relocation of facilities required.
10. Best interests of community to finish work.
11. Other special considerations not listed above.
- B. Prepares a recommendation with (including attached time extension request form from the subgrantee) pertinent details in memo form, requesting State Engineer's concurrence/non-concurrence and recommendation.

III. State Engineer:

- A. Reviews the extension request and supporting justification, reviewing the following, as applicable:
 - 1. Previous Extensions

- a. Time allowed, including specific dates of previous time extensions.
- b. Reasons extension approved, including specific provisions and/or limitations of previous time extensions.
- c. Accomplishments to date, these are to be detailed to demonstrate Subgrantee is diligently pursuing completion of the work.

2. Time Required to Complete Work

- a. Length of time requested and projected completion date.
 - b. Proposed time line for completion of work (provide dates by which the phases will be complete) as shown on the time extension request form.
- B. Prepares recommendation concurring or not concurring and forwards recommendation to the Grants Manager, including:
1. Recommended length of time, provisions and limitations, if different from those requested by the Subgrantee.
 2. Technical feasibility of completing the work within the proposed timeliness.

IV. Grants Manager:

- A. Prepares a form letter approving or denying request for extension for GAR's signature, or to FEMA Regional Director (RD) recommending extension.
- B. Enters the extension date into the FERS database.
- C. Files copy of approved extension letter in correspondence file and with relevant PW.
- D. A copy of the determination letter shall be sent to the subgrantee as provided in IV.A. (above). The letter shall be filed as provided in section IV.C.

Improved Projects

44 CFR, 206.203: If a Subgrantee desires to make improvements, but still restore the pre-disaster function of a damaged facility, the GAR's approval must be obtained. Federal funding for such improved projects should be limited to the federal share of the approved estimate of eligible cost.

I. Grants Manager:

- A. Receives and reviews the Request for Improved/Alternate Project form (attachment 17); and
 - 1. Identifies all PWs that are included in the project.
 - 2. Ascertains whether hazard mitigation and/or alternate projects may apply.
 - 3. Forwards to State Engineer for recommendation with a copy of the PW.

II. State Engineer:

- A. Reviews the improved project and verifies that the improvements are not part of an independent combined project.
- B. Determines that the improvement is not required to meet current codes and standards.
- C. Verifies that it is not an alternate project or hazard mitigation.
- D. Determines environmental, wetlands, floodplain management or insurance impacts.
- F. Ascertains whether PW scope of work costs can be readily separated from the improvement costs.
- F. Makes a recommendation for approval or disapproval.

III. Grants Manager:

- A. Prepares a package consisting of the PW, and any clarifying documentation, and form letters to FEMA and the applicant for the GAR's approval.
- B. Files original Improved Project approval request form in the master file.

- C. Transmits a copy to the Subgrantee.
- E. Files a copy with the relevant PW.

Alternate Projects

44 CFR 206.203: If a Subgrantee determines that the public welfare would not be best served by restoring a damaged public facility or the function of that facility, the Subgrantee may request, through the GAR, that the RD approve an alternate project.

I. Grants Manager:

- A. Reviews the Request for Alternate Project and pertinent information for technical matters.
 - 1. Verifies that only permanent restorative work is included in the PWs.
 - 2. Determines that the intended use of the funds complies with 44 CFR 206.203.
 - 3. Forwards pertinent information to State Engineer assigned to the project.

II. State Engineer:

- A. Reviews the proposal for potential special considerations including, but not limited to floodplain management, environmental assessment, hazard mitigation, protection of wetlands.
- B. Recommends to the GAR whether to approve/disapprove by specific comments (memorandum).

III. Grants Manager:

- A. Prepares the letter for transmittal to FEMA through the GAR, with the recommendation.
- B. Prepares and copies all relevant documentation in support of the alternate project.

- C. Forwards the package to the Administrative Assistant for the GAR's signature.
 - D. Files the original package appropriately.
- IV. Response from FEMA shall be handled routinely.

Conducting An Audit To Closeout Grants

State or FEMA may request an audit be conducted in lieu of a final inspection.

- I. Grants Manager:
 - A. Must be in receipt of the following documents:
 - 1. Letter from Subgrantee requesting final payment and claim closeout.
 - 2. Summary of Documentation.
 - 3. Signed P.4 with original signature.
 - B. Prepares memoranda from GAR to Director of Audit Services requesting that a project audit be performed
 - 1. Forwards all Subgrantee documents to the DCA Audit Department.
 - 2. Advises FEMA via letter of audit request and scheduled date.
 - C. Advises Subgrantee of DCA audit date and time and any other pertinent information needed for the audit.
 - D. Upon completion and receipt of the auditor's report:
 - 1. Reviews Audit Findings.
 - 2. Forwards a copy to the Subgrantee with pertinent information to assist in responding, if appropriate.
 - 3. Requests a written explanation or further documentation to address audit findings.

E. Subgrantee's Response:

1. If in concurrence
 - a. All monies are paid and closeout procedures are implemented.
2. If non-concurrence
 - a. Advise Subgrantee of appeal process, if appropriate.
 - b. No closeout payments are made until resolution of appeal.
 - c. If no appeal, payments are made in accordance with audit report.

Single Audit Reports

I. Single Audit Reports are made in accordance with Office of Management And Budget (OMB) Circular A-133 and 44 CFR, Parts 13 and 14, and the Disaster Relief Funding Agreement.

A. Subgrantee:

1. Required to submit an annual audit within seven months following the ending of the fiscal year.
3. May be required to undertake additional audits as determined necessary or appropriate to ensure compliance with the funding agreement.

B. Grants Manager upon receipt:

1. Reviews the Audit Report.
2. Forwards original to DCA Audit Department using cover memorandum.

C. DCA Audit Department

1. Reviews Audit Report and sends memorandum detailing reviewer's findings to the Grant Manager.

D. Grant Manager

1. Reviews auditor's findings, initiates any corrective action recommended, and forwards findings to the applicant using cover memorandum, retaining a copy for the applicant master file.

Final Inspection Procedures

I. Grants Manager:

A. Receives the Subgrantee's request for final inspection.

B. Develops a final inspection package consisting of the following items:

1. Subgrantee request for final inspection with supporting Summary of Documentation.
2. Current **NEMIS** hard copy of inclusive PWs.
3. D.1 Report.
4. Final inspection checklist.

C. When a preliminary review is advisable before the final inspection is conducted:

1. Sends memo to Engineer Coordinator to request an Engineer for a preliminary review and inspection, if necessary.
2. Notifies FEMA of the scheduled date and time of the pre-final inspection, if necessary.
3. Coordinates and conducts preliminary review with State Inspector and FEMA, as necessary.

D. Lists any additional documentation which will be needed to complete the final inspection.

E. Transmits checklist to Subgrantee, and advises Subgrantee of any additional documentation required at Final Inspection.

IV. State/FEMA inspection team:

NOTE: It is the State's responsibility to see that final inspections are performed in accordance with the procedures and regulations, with or without FEMA involvement. FEMA may be involved if there is an over-run, or FEMA may request involvement at the pre-final inspection.

A. Reviews documentation with emphasis on the following:

1. Force account summary

a. Labor

- 1) Summary list of employees
- 2) Regular & overtime hours
- 3) Pay rate
- 4) Dates of work
- 5) Fringe benefit rates
- 6) Total cost

b. Equipment

- 1) Summary of equipment
- 2) Hours used
- 3) Dates used
- 4) Type of equipment
- 5) Cost codes (FEMA)
- 6) Total cost

c. Materials

- 1) Summary of material costs
- 2) Review verification documents
- 3) Check mathematical accuracy
- 4) Assess reasonableness & eligibility of cost claimed

2. Contracts account summary

a. Verify proper procurement procedures

- 1) Competitive bid process

- 2) Lump sum contract - limited use
 - 3) Contract levels - subcontracting
 - b. Monitoring of work
 - c. Time period worked
 - d. Architectural & Engineering services
 - e. Payment method
 - 3. Fees and miscellaneous summary, e.g.
 - a. Dump tickets or invoices
 - b. Sample copies of dump tickets
 - 4. Cost overruns and underruns, as needed
 - 5. All outstanding issues not satisfactorily answered, identifying the documentation needed to complete the inspection.
- B. Assures that appropriate expense summaries, and other necessary documentation, are attached to the final PW.
- C. Takes additional photographs as needed to support the final inspection PW.
- D. Collects essential information for the joint Final Inspection Report.
- V. State Engineer/Inspector:
- A. Submits the State Final Inspection Report to FEMA via letter. Attachments include the Final PW prepared by the State Engineer.
 - B. Returns the Final Inspection Request Form to the Grants Manager.

Appeals

In accordance with 44 CFR 206.206 the Subgrantee may appeal any determination previously made related to Federal assistance for a Subgrantee including a time extension determination made by the grantee. The Subgrantee's appeal shall be made in writing within sixty days after receipt of notice of the action that is being appealed.

I. Appeals are submitted to the GAR.

A. Administrative Assistant:

1. Logs appeal into the suspense data base.
2. Distributes copies to Grant Manager and/or Appeals Coordinator (or Hazard Mitigation Project Manager for appeals related to hazard mitigation).

B. Grant Manager or other designated staff member:

1. Records the appeals in the appeals database.
2. Reviews appeal package.
3. Makes such additional investigations as are necessary.
4. Schedules meeting with the Grants Manager, Insurance Specialists and/or State Engineer, as necessary to discuss the initial evaluation and any other findings.
5. Completes the evaluation and recommends submission of a formal appeal or reconsideration.
 - a. Formulates State recommendation.
 - b. Prepares letter to FEMA requesting reconsideration or prepares draft formal appeal letter to RD for GAR's signature.
 - c. Obtains initials from Grants Manager and, if impacted by the appeal, the State Engineer, Insurance Specialist or Hazard Mitigation Engineer.
 - d. Forwards appeal package through the DPAO or Hazard Mitigation

Project Manager to the GAR for approval.

- II. Second level appeals to the Associate Director or Executive Associate Director may be made following the process in accordance with 44 CFR 206.206.
 - A. Designated Appeals Manager prepares draft letter advising the Subgrantee of FEMA's determination with a copy to the appropriate Grants Manager.

Send copies to all parties involved in the appeal.

Project Closeouts

Grants Managers:

- I. Reviews Subgrantee's RPA.
 - A. Runs a D.1 Report - PW Summary by Subgrantee.
 - 1. Checks for unprocessed PW s
 - 2. Verifies with Subgrantee that there were no additional damages.
 - B. Verifies P.4 - Project Listing for completion.
 - 1. Verifies that all PWs are listed on the signed P4 and all have been completed.
 - 2. Checks actual completion date.
 - 3. Enters approved amount on last page.
 - 4. Signature is that of authorized agent.
 - C. Prepares letter from the GAR to the RD verifying all projects have been completed and requesting closure, attaches copies of the following reports for the GAR's approval:
 - 1. D.1 Report.
 - 2. Copy of P.4 with signatures of Subgrantee and GAR.

3. Complete Project Closeout Checklist.
- E. Forwards package to GAR for signature.
 - F. When FEMA sends closeout letter, prepares letter from GAR to the Subgrantee with copy of RD's letter.
 1. Files the following:
 - a. Copy of letter from GAR to FEMA.
 - b. Copy of letter from RD.
 - c. Copy of P.4 signed by Subgrantee and GAR.
 2. Transfers Subgrantee's file to inactive status.
 - G. Sends memorandum with closeout letter from RD to Director of Audit Services.

GLOSSARY OF ACRONYMS AND ABBREVIATIONS

A & E	= Architectural & Engineering (fees)
ADA	= Americans with Disabilities Act
ASCE	= American Society of Civil Engineers
ANSI	= American National Standards Institute
ARC	= American Red Cross
BCCMP	= Bituminous coated corrugated metal pipe
BEF	= Base flood elevation
BTU	= British Thermal Unit
BUR	= Built-up roof
CBRA	= Coastal Barrier Resources Act
CBS	= Concrete block structure
CDC	= Centers for Disease Control, USPHS
CF	= Cubic feet
CFR	= Code of Federal Regulations
CMP	= Corrugated metal pipe
CMU	= Concrete masonry unit (concrete block)
CHHA	= Coastal High Hazard Area
COE	= Corps of Engineers (U.S. Army)
CY	= Cubic yards
DAC	= Disaster Application Center
DAR	= Daily Activity Report
DCA	= Department of Community Affairs
DDFM	= Department of Development & Facilities Management
DEM	= Division of Emergency Management
DERM	= Department of Environmental Resource Management
DFO	= Disaster Field Office
DHHS	= Department of Health and Human Services
DOD	= Department of Defense
DOT	= Department of Transportation
EIS	= Environmental Impact Statement
EMC	= Electrical Membership Cooperative
ENCO	= Environmental Nuisance Control
EPA	= Environmental Protection Agency
EOC	= Emergency Operations Center
EPA	= Environmental Protection Agency
ERT	= Emergency Response Team
ESF	= Emergency Support Function
FCMP	= Florida Coastal Management Program
FCO	= Federal Coordinating Officer
FEMA	= Federal Emergency Management Agency

FERS	= Florida Emergency Recovery System
FHBM	= Flood Hazard Boundary Map
FHWA	= Federal Highway Administration
FIRM	= Flood Insurance Rate Map
FIPS	= Federal Information Processing Standards
FPEP	= Florida Peacetime Emergency Plan
GAO	= General Accounting Office
GAR	= Governor's Authorized Representative
GIS	= Geographical Information Services
GSA	= General Services Administration
HABS	= Historic American Building Survey
HM	= Hazard mitigation
HRS	= Health and Rehabilitative Services
HTW	= Hazardous and toxic waste
HUD	= Housing and Urban Development
IA	= Individual Assistance
IAC	= Inter-Agency Correspondence
IFAS	= Institute of Food & Agricultural Sciences (U. of F.)
IFG	= Individual & Family Grant (Program)
IG	= Inspector General
IMS	= Information Management System
IRS	= Internal Revenue Service
LAN	= Local Area Network
LF	= Linear feet
LS	= Lump sum
MBF	= 1000 board feet
MHOP	= Mobile Homes Operations Program
MHWL	= Mean high water line
MLWL	= Mean low water line
MOA	= Memorandum of Agreement
MOU	= Memorandum of Understanding
MSL	= Mean sea level
NEPA	= National Environmental Policy Act
NFIP	= National Flood Insurance Program
NGVD	= National Geodetic Vertical Datum (1929)
NOAA	= National Oceanic & Atmospheric Administration
NRCS	= National Resource Conservation Service (formerly SCS)
OMB	= Office of Management and Budget
OSHA	= Occupational Safety and Health Administration
P & O	= Profit and overhead
PA	= Public Assistance
PAC	= Public Assistance Coordinator
PAE	= Public Assistance Engineer
PAO	= Public Assistance Officer
PAP	= Project Application Process
PDA	= Preliminary Damage Assessment

PHS	= Public Health Service
PIO	= Public Information Officer
PNP	= Private non-profit
PO	= Purchase order
PW	= Project Worksheet
RCP	= Reinforced concrete pipe
RD	= Regional Director
RDA	= Rural Development Administration
REA	= Rural Electrification Association
RIAT	= Rapid impact assessment team
RO	= Recovery Office
ROE	= Right of entry
ROW	= Right-of-way
SBA	= Small Business Administration
SBC	= Southern Building Code
SCO	= State Coordinating Officer
SCS	= Soil Conservation Service (now NRSC)
SF	= Square feet
SFBC	= South Florida Building Code
SFHA	= Special Flood Hazard Area
SHPO	= State Historic Preservation Officer
SOP	= Standard operating procedure
SQ	= Squares (100 square feet)
SREF	= State Requirements for Education Facilities
SSN	= Social Security Number
SY	= Square yards
TAC	= Technical Assistance Contractor
TCLP	= Toxicity Characteristic Leaching Procedure
USACE	= United States Army Corps of Engineers
USDA	= United States Department of Agriculture
USFS	= United States Forest Service
VA	= Veterans Administration
VOC	= Volatile organic compound
VOLAGS	= Volunteer Agencies
VSC	= Volunteer Services Credit
WO	= Work order

Web site Information

Many State and FEMA forms can be found at the State's Bureau of Recovery and Mitigation web site, **URL: <http://www.dca.state.fl.us/brm/>** , click on the "Pubs" link (button) to the left then "Click here for Ready to Use Disaster Assistance Forms Available for Download from the Federal Emergency Management Agency (FEMA)" for FEMA forms. For State forms also click on "Pubs" in the oval to the left then the format abbreviation next to the "PUBLIC ASSISTANCE FORMS" required.

FEMA Public Assistance web site: **<http://www.fema.gov/r-n-r/pa007.htm>**, click on "Policy" then "FEMA Publications" to view/download the Public Assistance Policy Digest, Public Assistance Guide, or Applicant Handbook. These are referred to in Paragraphs 1.a and 2, and Attachment A, item (2), to the Disaster Relief Funding Agreement

The Code of Federal Regulations (CFR) referred to in Paragraphs 1, 3, 7, 8, 14 and 16, and Attachment A to the Disaster Relief Funding Agreement (the CFR is also identified in FEMA letters transmitted to you) can be found at:

<http://www.access.gpo.gov/nara/cfr>,

Office of Management and Budget (OMB) Circulars referred to in Paragraph 12 of the Disaster Relief Funding Agreement can be found at:

<http://www.whitehouse.gov/OMB/circulars>

The GSA listing of debarred contractors, referenced in Paragraph 14 can be found at:

<http://epls.arnet.gov>

The Florida Division of Emergency Management web site is: **<http://www.FloridaDisaster.org>**
There you will find information for the public to make evacuation decisions, reports or studies on previous disasters, and information about Emergency Management exercises.