



*Public Assistance Pilot Program*  
**Program Guidance**

Guidance for FEMA, State and Local Officials

*FEMA 598/June 2007*



**FEMA**

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## I. Executive Summary

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The Department of Homeland Security (DHS) Appropriations Act, 2007, Public Law 109-295, directs the Federal Emergency Management Agency (FEMA) to conduct a Public Assistance (PA) Pilot Program. The legislation sets forth three goals for the PA Pilot Program: reducing the costs to the Federal Government of providing assistance to State and local governments, increasing flexibility in grant administration, and expediting the provision of assistance to States and local governments. The PA Pilot specifically addresses the provision of assistance under sections 403(a)(3)(A), 406 and 407 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 1570b(a)(3)(A), 5172, 5173 (Stafford Act). These sections relate to debris removal and the repair, restoration, and replacement of damaged facilities.

The legislation recommended new procedures for the administration of PA grants, and gave FEMA the authority to waive regulations and rules applicable to the provision of assistance. State and local governments may participate in the PA Pilot on a voluntary basis.

FEMA convened a PA Pilot Workgroup, comprised of members of the National Emergency Management Association (NEMA), International Association of Emergency Managers (IAEM), and FEMA regional and headquarters staff, including members of the Federal Coordinating Officers (FCO) cadre, to develop program guidance and an implementation plan. The PA Pilot Workgroup focused on four key elements outlined in the legislation and identified the following procedures to implement in the PA Pilot Program:

- FEMA will provide grants on the basis of estimates for large projects up to \$500,000.
- FEMA will provide an additional five percent Federal cost share, not to exceed 100 percent, to applicants that have a FEMA-approved debris management plan and at least two pre-qualified debris and wreckage removal contractors identified prior to a disaster.
- FEMA will allow applicant to retain any revenue from the salvage value of recyclable disaster debris as an incentive to recycle debris.
- FEMA will reimburse the straight- or regular-time salaries and benefits of an applicant's permanently employed staff that performs debris-related activities.

FEMA will implement the PA Pilot Program from June 1, 2007 through December 31, 2008. FEMA will report to Congress regarding any administrative or financial benefits, savings in costs or time, obstacles to recycling debris, and any other findings, conclusions or recommendations with respect to the PA Pilot Program by March 31, 2009.

## II. Introduction

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On October 4, 2006, President Bush signed the DHS Appropriations Act, referred to in this document as “the legislation.” In section 689j, the legislation directs FEMA to conduct a PA Pilot Program. The legislation specifically addresses Stafford Act sections relating to category A debris removal, and categories C through G permanent work. The PA Pilot procedures do not apply to emergency protective measures, including demolition, which are considered category B work.

FEMA has chosen to test four procedures recommended by the legislation in the PA Pilot Program. They will be referred to in this document as: Grants on the Basis of Estimates, Increased Federal Share Incentive, Debris Recycling, and Force Account Labor. FEMA anticipates that these procedures will meet the goals of Congress by reducing administrative costs to the Federal Government, increasing program flexibility, and expediting assistance. This document details how these procedures will be tested and describes how the PA Pilot Program will be implemented and evaluated.

In accordance with the legislation, participation is open to State and local governments that elect to participate in the PA Pilot Program for a particular project. Based on the language of the legislation, private nonprofit applicants may not participate in the PA Pilot Program. This program is completely voluntary, an applicant will not be required to use PA Pilot procedures, but may elect to use one or more of the procedures for one or more of its projects. Applicants will be asked to sign an information acknowledgement stating that the Pilot has been explained to them and indicating whether they wish to participate.

The legislation allows FEMA to waive rules and regulations as necessary to carry out the PA Pilot Program. Under the authority provided in the legislation, FEMA is exercising its discretion to provide an alternate method for obtaining PA funding through this PA Pilot Program. Existing regulations will not be changed in order to implement the PA pilot procedures. Since this is an entirely voluntary test program that will be taking place for a relatively short period of time, FEMA finds it impractical to promulgate regulations at this time. Those who choose to participate in this PA Pilot Program should abide by the elements of this guidance document, while those who do not will continue to be held to the requirements published in 44 CFR Parts 13 and 206. For the most part, the procedures of this PA Pilot Program are based upon those requirements published in the regulations.

This PA Pilot Program incorporates all of the applicable requirements established in the regulations at 44 CFR Parts 13 and 206, with the exception of sections 206.203(c)(1), 206.204(e), 206.205(b), 206.206, 13.25 and 206.228(a)(4). This document establishes acceptable alternatives to the requirements in those excepted regulations. Appendix C of this document lists and describes the regulations that will be affected as part of implementing the PA Pilot procedures. FEMA may revise its regulations as a result of this PA Pilot Program.

### III. Program Description

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#### Grants on the Basis of Estimates Procedure

Section 689j(3)(B)(ii) of the legislation states in part that FEMA may make “grants on the basis of estimates agreed to by the local government (or where no local government is involved, by the State government)” for projects under 403(a)(3)(A), 406 and 407 of the Act. For large projects up to \$500,000 an applicant may work with the State and FEMA to prepare an estimate, upon which funding will be based. A project that uses this PA Pilot procedure will be referred to as a PA Pilot Estimated Project (PEP).

PEPs are paid on the basis of estimates rather than through the reimbursement of actual costs. The grants on the basis of estimates procedure varies from the procedure described in 44 CFR§206.203(c), which provides for funding of actual documented eligible costs. The applicant, State, and FEMA will agree to the scope of work and the estimate within 60 days following the Kickoff Meeting and prior to project approval. The complete scope of work and project estimate will be recorded on the Project Worksheet (PW). This procedure is available for category A debris removal, and categories C through G permanent work. The applicant’s selection of projects for which it wants to receive a grant based on estimates is determined by the complexity of the project and the applicant’s level of confidence in the cost estimate. FEMA will use the Cost Estimating Format (CEF) as a tool to help determine an accurate cost estimate for categories C through G work.

The grants on the basis of estimates procedure differs from 44 CFR§206.205(b) in that final payment of the Federal share of PEPs will be made to the grantee upon approval of the PW. The applicant is still required to document actual project costs and the State must certify that the work has been completed in accordance with Federal standards.

If actual costs are less than the estimated amount (referred to as “cost underrun”), the applicant may use the underrun for eligible Public Assistance purposes. Acceptable uses for cost underruns include:

- Hazard mitigation projects. This may include hazard mitigation on facilities that are not damaged in the declared disaster. However, these facilities must be those that would be eligible for PA funding in subsequent disasters. The applicant must notify FEMA prior to spending underrun money on a mitigation project.
- Off-setting overruns on other eligible projects. In this case, the money may be applied to other PEPs. Cost underruns from PEP projects should not be applied to overruns on projects that are not part of the PA Pilot Program.
- PA-related training.
- Internal project management and/or administrative costs that exceed the sliding scale.

The use of underrun money will be recorded on the final PW.

Unacceptable uses of cost underruns include: payment of debts; payment of non-Federal share; operating expenses; the repair, replacement or restoration of a facility that was not damaged in the declared disaster and/or would not be eligible for PA funding in a subsequent disaster (including landscaping); and demolition for any purpose.

If the PEP estimate is less than the actual cost for a project (referred to as a “cost overrun”), FEMA will not obligate additional funds for the project. In this way, the PEP procedure varies from 44 CFR§206.204(e), which allows an applicant to evaluate, document, and submit a request for additional project funding to FEMA.

PEPs are not subject to the appeal process outlined in 44 CFR§206.206, although errors and omissions may be addressed. For example, if additional damage or other previously undiscovered conditions that would significantly change the scope of work are found, the applicant, State and FEMA will work together to address this situation on a case-by-case basis. In addition, requests for time extensions will be considered in accordance with 44 CFR§206.204(d).

<b>Grants on the Basis of Estimates – Roles and Responsibilities</b>	
<b>Applicant</b>	<ul style="list-style-type: none"> <li>• Develops the scope of work and cost estimate for each PEP, in conjunction with the State and FEMA.</li> <li>• Accepts funding based on the agreed-to scope of work and cost estimate.</li> <li>• Works with the State and FEMA to resolve any unforeseen issues that significantly affect the agreed-to scope of work and cost estimate.</li> <li>• Documents eligible work and actual costs.</li> <li>• Uses any potential cost overrun for acceptable purposes.</li> <li>• Aids in the evaluation of the PA Pilot Program.</li> </ul>
<b>State</b>	<ul style="list-style-type: none"> <li>• Informs the applicant of the availability of this PA Pilot procedure and works with the applicant to identify projects that would be good candidates for the PEP procedure.</li> <li>• Works with the applicant and FEMA to develop the scope of work and cost estimate for each PEP.</li> <li>• Disburses funding for PEPs based on estimates, and not actual costs.</li> <li>• Accounts for eligible costs and the completion of the scope of work, as described in 44 CFR§206.205(b).</li> <li>• Follows administrative requirements as set forth in 44 CFR§206.207.</li> <li>• Assists FEMA in evaluating the PA Pilot Program.</li> </ul>
<b>FEMA</b>	<ul style="list-style-type: none"> <li>• Informs the State of the availability of this PA Pilot procedure.</li> <li>• Assists in developing scopes of work and cost estimates.</li> <li>• Works with the applicant and the State to develop the scope of work and cost estimate for each PEP.</li> <li>• Works with the applicant and the State to resolve any unforeseen issues that significantly affect the agreed-to scope of work and cost estimate.</li> <li>• Inputs standard PW statements and cost codes on the applicable PWs.</li> </ul>

## Increased Federal Share Incentive Procedure

Section 689j(a)(3)(B)(iii) of the legislation allows for FEMA to increase the Federal share for debris and wreckage removal for States and local governments that have an approved debris management plan and have pre-qualified two or more debris and wreckage contractors before the date of declaration of the major disaster. This applies to projects funded under sections 403(a)(3)(A) and 407 of the Stafford Act; in other words, category A debris removal.

If an applicant has a debris management plan that is approved by FEMA **and** has pre-qualified two or more debris and wreckage removal contractors, it will be eligible to receive an additional five percent Federal cost share for its category A debris work. The Federal cost share cannot exceed 100 percent. Applicants must meet these two criteria, which are explained further below, to participate in this element of the PA Pilot. The applicant must have prepared a debris management plan prior to the declaration date; however, the debris management plan does not have to be approved by FEMA prior to the declaration date. Also, the applicant must pre-qualify two or more debris and wreckage removal contractors before the declaration date if they are to receive the additional five percent Federal cost share. Debris PEPs and any other approved category A debris work that an applicant performs is eligible for the increased Federal share under this procedure, and the use of the procedure will be indicated on all relevant PWs.

### Debris Management Plan

The first requirement that an applicant must meet in order to receive the increased Federal cost share for debris removal is having a debris management plan that is approved by FEMA. An applicant may submit its existing plan to FEMA for approval prior to a disaster declaration. An applicant may also use this incentive as an opportunity to create a plan. FEMA has developed an outline for a debris management plan that is included as appendix D to this document. There is also a checklist of items that FEMA will use as criteria for evaluating and approving debris management plans. One area of debris management that must be addressed in order for plans to be approved by FEMA is disaster debris recycling.

Applicants are encouraged to develop a debris management plan prior to a disaster declaration. They can use the outline provided by FEMA as an aid to plan development, and also seek assistance from the State. If an applicant has a plan that it would like FEMA to approve, it should submit it to the State, who will then forward the plan to the Regional Administrator for review. The regional staff will use the FEMA-provided checklist to review and approve plans.

The applicant may also submit its plan once a disaster is declared. At the Kickoff Meeting, the Public Assistance Coordinator (PAC) Crew Leader (formerly known as the PAC) should inquire whether an applicant has a debris management plan. If the applicant does have a plan, it should submit the plan to the PAC Crew Leader who will ensure that the plan is reviewed.

## List of Pre-Qualified Contractors

The process to pre-qualify contractors requires that the applicant identify and evaluate contractors' abilities to perform debris removal work (capabilities, bonding, insurance, availability). However, the applicant does not sign a contract with the selected contractor(s) until there is work to be performed, usually after a disaster event. This is different from a "standby" contractor where the applicant actually signs a contract prior to the disaster. The applicant must have pre-qualified two or more debris and wreckage removal contractors prior to the disaster declaration date in order to participate in this element of the PA Pilot Program. If the applicant elects to participate in this PA Pilot procedure, it will be required to provide the PAC Crew Leader with a list of pre-qualified contractors and demonstrate how the contractors were identified and evaluated.

If both criteria – having a plan approved and pre-qualifying two or more debris contractors – are met, the Federal cost share for the applicant's category A debris work will be increased by five percent. Appendix E of this document provides a checklist upon which approval of the plan and pre-qualified contractors will be based. The checklist will be signed and scanned into the National Emergency Management Information System (NEMIS) or the Emergency Management Mission Integrated Environment (EMMIE) as part of the applicant's Request for Public Assistance (RPA). (EMMIE is expected to replace NEMIS during the PA Pilot implementation period.) The PAC Crew Leader will record in the Case Management File (CMF) that this information is in the applicant's RPA.

<b>Increased Federal Share Incentive – Roles and Responsibilities</b>	
<b>Applicant</b>	<ul style="list-style-type: none"> <li>• Provides its debris management plan to the State prior to a disaster declaration, or to the PAC Crew Leader once there is a declaration.</li> <li>• Provides the PAC Crew Leader with a list of two or more pre-qualified contractors and demonstrates how the contractors were identified.</li> <li>• Aids in the evaluation of the PA Pilot Program.</li> </ul>
<b>State</b>	<ul style="list-style-type: none"> <li>• Informs the applicant of the availability of this PA Pilot procedure.</li> <li>• Assists in reviewing debris management plans and contractors.</li> <li>• Assists FEMA in evaluating the PA Pilot Program.</li> </ul>
<b>FEMA</b>	<ul style="list-style-type: none"> <li>• Provides a debris management plan outline that will serve as a model for communities.</li> <li>• Reviews and approves debris management plans and pre-qualified contractors based on the criteria established in the Increased Federal Share Incentive Checklist.</li> <li>• Inputs standard PW statements and cost codes on the applicable PWs.</li> </ul>

## Debris Recycling Procedure

Section 689j(a)(3)(B)(v) of the legislation includes a provision to create a financial incentive to encourage local and State governments to recycle debris. Some effective ways to recycle debris include composting or mulching vegetative debris, using materials such as concrete or asphalt as sub-base for roads, selling scrap metal to dealers, and using dirt as landfill cover or for agricultural purposes. A list of resources for more information on recycling debris is included in appendix F of this document.

The incentive for an applicant to recycle its debris, under this PA Pilot procedure, is that FEMA will pay the Federal share for all eligible work, to include sorting. And, if the applicant enjoys any financial benefit from the salvage value of the recyclable materials, it may retain this revenue. This procedure differs from 44 CFR§13.25, which states that “program income” shall be deducted from Federal funding. If a contract stipulates that the contractor will retain possession of recyclable materials, and therefore there is no salvage value or “program income,” this should be reflected in the bid price.

If the applicant recycles debris during disaster operations, the relevant PW(s) shall include a description of what the applicant did to recycle debris, the volume of debris that was recycled, and the monetary or non-monetary benefits, if any. If an applicant chooses not to recycle debris it is also important, as part of the PA Pilot Program, to indicate to FEMA why this option was not used.

<b>Debris Recycling – Roles and Responsibilities</b>	
<b>Applicant</b>	<ul style="list-style-type: none"> <li>• Develops/utilizes a program to recycle debris.</li> <li>• Follows State and Federal laws regarding waste disposal.</li> <li>• Tracks and documents benefits, financial and otherwise, of its recycling efforts.</li> <li>• Documents the process it undertook to recycle debris.</li> <li>• Aids in the evaluation of the PA Pilot Program.</li> </ul>
<b>State</b>	<ul style="list-style-type: none"> <li>• Informs the applicant of the availability of this PA Pilot procedure.</li> <li>• Ensures that the applicant is in compliance with applicable State and Federal laws and regulations.</li> <li>• Allows the applicant to retain revenue generated from its recycling program.</li> <li>• Assists FEMA in evaluating the PA Pilot Program.</li> </ul>
<b>FEMA</b>	<ul style="list-style-type: none"> <li>• Informs the applicant of the availability of this PA Pilot procedure.</li> <li>• Documents the applicant’s recycling efforts and participation in the PA Pilot Program on the relevant PWs.</li> <li>• Inputs standard PW statements and cost codes on the applicable PWs.</li> </ul>

## Force Account Labor Procedure

Section 689j(a)(3)(B)(vi) of the legislation allows for FEMA to reimburse base wages for employees of a State or local government involved in or administering debris and wreckage removal. The force account labor procedure differs from 44 CFR §206.228(a)(4) in that it allows FEMA to pay the straight- or regular-time salaries and benefits of an applicant’s permanently employed staff in calculating the costs of eligible debris removal work. Previously, only overtime costs of these personnel were eligible. The six-month time limit for debris clearance, as established in 44 CFR§206.204(c), is still applicable. It is the responsibility of the State and of the PAC Crew Leader to inform the applicant of the availability of this PA Pilot Program procedure and to provide guidance to the applicant so that hours and fringe-benefit rates are clearly identified and tracked. The applicant should record the activities that force account labor is involved in (e.g., debris clearance, monitoring, etc.) and the volume of debris cleared by force account labor, if applicable. This information should be recorded on the PW and captured in NEMIS/EMMIE.

<b>Force Account Labor – Roles and Responsibilities</b>	
<b>Applicant</b>	<ul style="list-style-type: none"> <li>• Documents all eligible costs, which include the activities performed by force account labor, rates, and if applicable, the volume of debris removed.</li> <li>• Does not prolong debris removal activities based on the fact that force account labor rates will be reimbursed.</li> <li>• Aids in the evaluation of the PA Pilot Program.</li> </ul>
<b>State</b>	<ul style="list-style-type: none"> <li>• Informs the applicant of the availability of this PA Pilot Program procedure.</li> <li>• Assists FEMA in evaluating the PA Pilot Program.</li> </ul>
<b>FEMA</b>	<ul style="list-style-type: none"> <li>• Records relevant information on the PW and captures this information in NEMIS/EMMIE.</li> <li>• Inputs standard PW statements and cost codes on the applicable PWs.</li> </ul>

## IV. Program Implementation

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This section sets forth the plan for implementing the PA Pilot Program in the field. It covers the activities and resources needed leading up to field implementation, as well as the strategies for accomplishing the plan. Field implementation of the PA Pilot Program is scheduled for June 1, 2007.

### Strategy

FEMA convened a PA Pilot Program Workgroup, comprised of members of NEMA, IAEM, and FEMA regional and headquarters staff, including members of the FCO cadre, to develop program guidance and an implementation plan. This team is primarily responsible for the development of the PA Pilot Program. Other key elements of the PA Pilot Program are listed and described below.

Key Element	Description
Development	PA Pilot Program procedures – design and develop documentation
	Review documentation
	Develop implementation strategy
	Clarify and streamline process
Implementation	Prepare staff
	Ensure material needs are met
	Support region in Joint Field Office (JFO) set-up and staffing
	Coordinate training
	Ensure that information will be recorded for evaluation
Communications	Explain program to internal and external audiences
	Develop an outreach strategy
	Manage communications with internal and external audiences
Training	Design training module
	Train regional and State staff
	Mentor regional and State personnel
Information Management	Develop method to track PA Pilot projects in NEMIS/EMMIE
	Gather information through various methods
	Control dissemination of program modifications
Evaluation	Develop evaluation methods
	Evaluate and analyze program
	Report to Congress

## Timeline for PA Pilot Program

In the legislation, Congress set two deadlines for the PA Pilot Program. FEMA may not approve any PA Pilot Program project after December 31, 2008. It states that FEMA shall submit a report regarding the effectiveness of the PA Pilot Program to the appropriate subcommittees of Congress by March 31, 2009. The following table indicates other milestones in the PA Pilot Program.

Mar 31, 2007	Apr 1, 2007 – May 31, 2007	Jun 1, 2007 – Dec 31, 2008	Jan 1, 2009 – Feb 28, 2009	Mar 31, 2009
Finalize program guidance	Disseminate information to regional and State offices. Conduct training.	Field implementation	Evaluate program and draft report to Congress	Submit report to Congress

## PA Pilot Program Test Criteria

The PA Pilot Program may be implemented in any major disaster declared on or after June 1, 2007. State and local governments may elect to participate in one or more PA Pilot Program procedures for one or more projects. Private nonprofits are not eligible to participate in the PA Pilot Program, in accordance with the legislation. PA Pilot Program procedures are applicable to categories A, and C through G work, but exclude category B, emergency protective measures (including demolition). No PA Pilot Program projects may be approved after December 31, 2008. Approval, in this context, is defined as being obligated.

## Resources Needed for PA Pilot Implementation

This section identifies material, staffing, outreach, and training needs required prior to and during the implementation of the PA Pilot Program.

### ***Materials***

There are a number of documents and other material resources that will be necessary prior to field implementation of the PA Pilot Program. These materials will ensure the uniform application of PA Pilot Program procedures and should be used as reference material in the field. These materials should not be altered or modified in any way, nor should additional materials be developed in the field. A list of available materials is included in the following table.

<b>Public Assistance Pilot Program – Materials</b>	
<i>Fact Sheet</i>	This fact sheet is for general distribution and describes the overall PA Pilot Program in simple terms.
<i>Program Guidance</i>	This document details the program and outlines the specific procedures that will be implemented in the PA Pilot Program. It should be used as the primary reference for the PA Pilot Program.
<i>Frequently Asked Questions</i>	This document addresses questions frequently asked regarding the PA Pilot Program procedures. It reinforces and supplements the procedures section of the <i>Program Guidance</i> .
<i>Debris Management Plan Outline</i>	This document is to be used as reference material for applicants who are interested in developing a debris management plan and potentially having this plan approved by FEMA.
<i>Increased Federal Share Incentive Evaluation Checklist</i>	The <i>Checklist</i> provides State and FEMA staff with criteria by which to judge the applicant’s debris management plan and list of pre-qualified contractors and upon which approval is based.
<i>Brochure</i>	This brochure summarizes the Pilot procedures and may be used to introduce applicants to the PA Pilot Program.
<i>Outreach Presentation</i>	This is a MS PowerPoint presentation that provides an overview of the PA Pilot Program. This presentation may be used to introduce applicants to the program, or to provide an overview of the program at conferences and meetings.
<i>Training Module</i>	The training module will be used prior to and during the field implementation of the Pilot Program. It is designed to supplement PA field training courses or serve as a stand-alone module.
<i>Job Aids and Evaluation Tools</i>	<ul style="list-style-type: none"> <li>• <i>Kickoff Meeting Job Aid.</i> The <i>Job Aid</i> details the specific PA Pilot Program information the PAC Crew Leader is responsible for presenting regarding the PA Pilot Program at the Kickoff Meeting.</li> <li>• <i>Information Acknowledgement.</i> This document is signed by the applicant to indicate that the Pilot has been explained to them and to indicate whether or not they wish to participate.</li> <li>• <i>Sample Project Worksheet Statements.</i> To ensure uniformity, this document contains standard text to be used when recording PA Pilot Program-related information on PWs. These statements will be used to “flag” PA Pilot projects for use in evaluation.</li> <li>• <i>Exit Briefing Questions.</i> This brief list of questions will be used by the PAC Crew Leader to solicit input from the applicant regarding the PA Pilot Program. The answers to the questions will be captured and the document will be scanned into NEMIS/EMMIE as part of the RPA.</li> <li>• <i>Customer Survey.</i> This is a sample document provided to States as an example of a method to assist FEMA in gathering information for evaluation purposes.</li> </ul>

## Staffing

Staff trained in the PA Pilot Program procedures will be needed to implement and evaluate the PA Pilot Program. The following table identifies the staff requirements and responsibilities for the PA Pilot Program.

Assignment	Requirements and Responsibilities
PA Pilot Program Task Force Leader	<ul style="list-style-type: none"> <li>• Acts as PA Pilot Program manager.</li> <li>• Provides oversight to staff on PA Pilot Program issues and procedures.</li> <li>• Briefs senior leadership at the JFO and States as necessary.</li> <li>• Approves debris management plans and pre-qualified contractor(s) lists.</li> <li>• Ensures that information is captured for PA Pilot Program evaluation.</li> <li>• Deployed at the start of the disaster through close of JFO.</li> </ul>
PA Pilot Program Reviewers	<ul style="list-style-type: none"> <li>• Field staff assigned to review PA Pilot Program queues.</li> <li>• Ensures that proper comments are entered onto PWs.</li> <li>• Deployed to active JFO.</li> </ul>
Trainers	<ul style="list-style-type: none"> <li>• Each region will identify two-to-three trainers that will be knowledgeable in PA Pilot Program.</li> <li>• Will provide “Just-in-Time” training in active JFOs.</li> </ul>
PA Pilot Program Support Specialist	<ul style="list-style-type: none"> <li>• Supports set-up and staffing of the JFO.</li> <li>• Supports the FCO and assists PA Pilot Program Task Force Leader.</li> <li>• May conduct training and mentor staff, as required.</li> <li>• Conducts interim interviews to evaluate ongoing PA Pilot Program operations and make any necessary course corrections.</li> <li>• Deployed for a limited time. Is not involved in PA Pilot Program on an operational level.</li> </ul>
Evaluation Team	<ul style="list-style-type: none"> <li>• Primarily the responsibility of FEMA Headquarters.</li> <li>• Team will collect and evaluate PA Pilot Program information for use in report to Congress.</li> </ul>

## **Outreach**

As part of the PA Pilot Program outreach strategy, an outreach presentation has been developed.

What	This presentation provides a brief, 10-to-15 minute overview and introduction to the PA Pilot Program. Any member of the PA Pilot Program workgroup or others that become knowledgeable in the Program may provide the presentation.
When	Prior to or during implementation of the PA Pilot Program. May be given at previously scheduled meetings, conferences, etc.
Who	Regional Administrators, FCOs, Division Directors, PA Staff, States, Congress, external affairs, other Federal agencies, NEMA, IAEM, the PA Steering Committee, the Regional Interagency Steering Committee (RISC), and other FEMA program offices.

## **Training**

A PA Pilot Program training module has been developed.

What	A 1-to-1.5 hour, not including an exercise and question and answer period, training module consisting of a MS PowerPoint presentation and a training manual. Training will be conducted by trainers identified by the regions and knowledgeable in the PA Pilot Program.
When	May be used prior to or during implementation of PA Pilot Program. Can be used to supplement existing training courses – including PA Ops I and II, and Debris Operations – or as a stand-alone module. It may also be given at any open PA JFO. After June 1, 2007, “Just-in-Time” training will be conducted at JFOs where the PA Pilot Program is to be implemented.
Who	PAC Crew Leaders, PA Group Supervisors, PA Project Specialists, PA Data Processing Specialists, PA Task Force Leaders (formerly known as Deputy Public Assistance Officers or DPAOs), PA Ordering Specialists (formerly known as Resource Coordinators), and PA Technical Assistance Contractors (TACs).

## V. Program Evaluation

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As part of the legislation, Congress requires that FEMA will submit a report to the appropriate committees of Congress regarding the effectiveness of the PA Pilot Program. In accordance with the legislation, the report is required to contain:

- An assessment of any administrative or financial benefits of the PA Pilot Program.
- An assessment of the effect, including any savings in time and cost, of the PA Pilot Program.
- Any identified legal or other obstacles to increasing the amount of debris recycled after a major disaster.
- Any other findings and conclusions with respect to the PA Pilot Program.
- Any recommendations for additional authority to continue or make permanent the PA Pilot Program.

### Methods of Evaluation

The evaluation of the PA Pilot Program will be conducted throughout the process until project closeout. The following table lists the methods of evaluation that will be employed and the type of information that can be gained. Appendix G contains evaluation materials.

Evaluation Method	Type of Information
NEMIS/EMMIE	NEMIS/EMMIE will capture data specific to applicant and PWs. NEMIS/EMMIE can also be used to generate disaster-specific reports.
Interim Interviews	The PA Pilot Program Support Specialist will visit JFOs and speak with PA staff to evaluate ongoing PA Pilot Program operations. Information may be contributed for use in final report.
Exit Briefing	Applicant will be asked questions about the PA Pilot Program. Appendix G contains an Exit Briefing questionnaire. The PAC Crew Leader will solicit and record answers to the Exit Briefing questions. PA Data Processing Specialists will scan the information into NEMIS/EMMIE as an attachment to the applicant's RPA.
<b>State Role</b> – FEMA will ask that the State provide assistance in evaluating the PA Pilot Program. While this may be viewed as a courtesy, the information provided by the States can provide valuable information to be used in evaluating the PA Pilot Program. Two suggested methods are identified below.	
State Quarterly Report	Information from the State Quarterly Report can be used to help evaluate the success of the PA Pilot Program. If the State indicates which projects are PA Pilot Program projects, these may be compared to non-PA Pilot Program projects.

<b>Evaluation Method</b>	<b>Type of Information</b>
Customer Survey	The State may ask applicants to answer questions regarding the PA Pilot Program in a Customer Survey. This survey may be handed, mailed, or emailed to applicants and information may be conveyed to FEMA.

## Evaluation Information

The following table identifies the key information needed to evaluate the PA Pilot Program and how this specific information is to be obtained.

<b>Information to be Obtained</b>	<b>Source</b>
Disaster specifics. For example, type of disaster, date of declaration, location, size of disaster, number of counties.	Federal Register Notice
Debris specifics. Size of debris operations, including volume of debris and number of category A PWs.	NEMIS/EMMIE
Track PA program costs to analyze whether the PA Pilot Program achieves its goal of reducing Federal costs.	To be determined
<b>Grants on the Basis of Estimates:</b>	
Time from initial kickoff meeting to 100 percent Federal funding. Compare PEPs and traditional large projects.	NEMIS/EMMIE
Actual costs for PEPs compared to estimates	NEMIS/EMMIE, P4
Total number of PEPs	NEMIS/EMMIE
Number of PEPs that were over-funded v. under-funded	NEMIS/EMMIE
Project completion time – average for PEPs v. traditional large projects	TFIR – time of final inspection report, State quarterly report
Number of PW versions – PEPs v. traditional large projects	NEMIS/EMMIE
Number of traditional large projects that file appeals	Appeal database
<b>Increased Federal Share Incentive:</b>	
Total number of applicants that submitted a debris plan.	NEMIS/EMMIE
Total number of debris plans approved.	NEMIS/EMMIE
Additional cost for FEMA based on increased cost share.	NEMIS/EMMIE
Did applicants with debris management plans complete debris operations faster than those without?	NEMIS/EMMIE, Exit Briefing
If applicant had two or more pre-qualified contractors, was one or more of these contractors available?	Exit Briefing
If not, where did the applicant go to get a contractor?	Exit Briefing
Was there a pre-disaster contract in place?	Exit Briefing
Did the contract actually perform?	Exit Briefing

Information to be Obtained	Source
<b>Recycling Debris:</b>	
Record the number of applicants that participated in the recycling, a description of what they did, and the volume/amount of cost savings.	NEMIS/EMMIE
If the applicant did not recycle, why not?	Exit Briefing
Legal or other obstacles to recycling, if any.	Exit Briefing
<b>Force Account Labor:</b>	
Number of applicants that used force account labor for debris operations.	NEMIS/EMMIE
What did they use force account labor for?	NEMIS/EMMIE
Volume/weight of debris removed (arrive at unit cost for force account).	NEMIS/EMMIE

### ***Information Management***

To ensure that information is properly managed for tracking and evaluation purposes, these procedures should be followed when collecting information.

Information	How to Collect
<b>For all applicants:</b>	
Exit Briefing Questions	Answers to these questions should be recorded by the PAC Crew Leader and the document should be scanned into NEMIS/EMMIE as part of the applicant's RPA.
<b>For all procedures:</b>	
<ul style="list-style-type: none"> <li>• Grants on the Basis of Estimates</li> <li>• Increased Federal Share Incentive</li> <li>• Debris Recycling</li> <li>• Force Account Labor</li> </ul>	In NEMIS/EMMIE: for each relevant PW, use Pilot-related cost codes and include the standard PW statement in the General Comment field of the PW.
<b>For Increased Federal Share Incentive procedure:</b>	
In addition to recording information on relevant PWs, the list of pre-qualified contractors and the Increased Federal Share Incentive Checklist must be scanned into NEMIS/EMMIE as part of the applicant's RPA.	

### **Final Report**

The legislation requires that FEMA submit a final report analyzing the effectiveness of the PA Pilot Program. This report will include the results of the program evaluation and will be submitted to the appropriate committees of Congress by March 31, 2009.

## Appendix A – Acronyms used in this Document

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CEF	Cost Estimating Format
CMF	Case Management File
DHS	Department of Homeland Security
DPAO	Deputy Public Assistance Officer
EMMIE	Emergency Management Mission Integrated Environment
FEMA	Federal Emergency Management Agency
FCO	Federal Coordinating Officer
IAEM	International Association of Emergency Managers
JFO	Joint Field Office
KO	Kickoff (i.e., KO Meeting)
NEMA	National Emergency Management Association
NEMIS	National Emergency Management Information System
PA	Public Assistance
PA Ops	Public Assistance Operations
PAC	Public Assistance Coordinator
PAO	Public Assistance Officer
PDA	Preliminary Damage Assessment
PEP	Pilot Estimated Project
PO	Project Officer
PW	Project Worksheet
RA	Regional Administrator
RISC	Regional Interagency Steering Committee
RPA	Request for Public Assistance
TAC	Technical Assistance Contractors
TFIR	Time of Final Inspection Report

**FEMA****DISASTER ASSISTANCE****FACT SHEET****9580.400a**

## **FREQUENTLY ASKED QUESTIONS (FAQs) PUBLIC ASSISTANCE PILOT PROGRAM**

### **Overview**

The Department of Homeland Security Appropriations Act, 2007, Public Law 109-295, directed the Federal Emergency Management Agency (FEMA) to conduct a Public Assistance (PA) Pilot Program. The legislation sets forth three goals for the PA Pilot Program: reducing the costs to the Federal Government of providing assistance to State and local governments, increasing flexibility in grant administration, and expediting the provision of assistance to States and local governments. The PA Pilot Program specifically addresses the provision of assistance under sections 403(a)(3)(A), 406, and 407 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act), 42 U.S.C. 1570b(a)(3)(A), 5172, 5173.

FEMA identified the following procedures to implement in the PA Pilot Program:

- FEMA will provide grants on the basis of estimates for large projects up to \$500,000.
- FEMA will provide an additional five percent Federal cost share, not to exceed 100 percent, to applicants that have a FEMA-approved debris management plan and at least two pre-qualified debris and wreckage removal contractors identified prior to a disaster.
- FEMA will allow applicant to retain any revenue from the salvage value of recyclable disaster debris as an incentive to recycle debris.
- FEMA will reimburse the straight- or regular-time salaries and benefits of an applicant's permanently employed staff that performs debris-related activities.

This document addresses frequently asked questions regarding the PA Pilot Program procedures.

# DISASTER ASSISTANCE FACT SHEET

## PA PILOT PROGRAM FAQs

### Questions & Answers

**1. Can Pilot procedures be used for disasters declared prior to June 1, 2007?**

No. The PA Pilot procedures may be used in disasters declared on or after June 1, 2007. No Pilot projects may be approved (in this case, approval equals obligation) after December 31, 2008.

**2. Are all applicants required to participate in the PA Pilot Program?**

No. Participation in the PA Pilot Program is voluntary. Applicants may choose to participate in the PA Pilot on a project-by-project basis.

#### **Grants on the Basis of Estimates**

**3. Are applicants that participate in the PA Pilot Program required to have all of their projects funded on the basis of estimates?**

No. Applicants may select the projects they want to include in the PA Pilot Program.

**4. How will cost estimates for projects be developed?**

We must emphasize that the most important aspect of developing a cost estimate is having a complete and accurate scope of work to repair the disaster-related damage to the facility. The FEMA or State project officer will use the Cost Estimating Format to develop cost estimates for all category C-G projects. If the applicant has contract bids when the Project Worksheets (PWs) are written, we will use these costs as the basis for the PA grant, if these costs are reasonable. Category A cost estimates will be developed by the applicant, State, and FEMA.

**5. Will cost estimates reflect regional cost of construction?**

Yes.

**6. How will actual or potential insurance proceeds affect the grants under the PA Pilot Program?**

FEMA will make appropriate deductions for actual or potential insurance proceeds prior to approving the grants. Applicants should be confident that anticipated insurance proceeds will accurately reflect insured damages when selecting Pilot Estimated Projects (PEPs).

**7. Will FEMA reimburse applicants for costs incurred to prepare or review estimates for projects they want to receive grants on the basis of estimates?**

No. The applicant can use its statutory administrative fee for this purpose.

# DISASTER ASSISTANCE FACT SHEET

## PA PILOT PROGRAM FAQs

**8. Can projects that the applicant selects for grants on the basis of estimates include section 406 hazard mitigation proposals?**

Yes, provided the total project estimate, including the 406 hazard mitigation proposal, does not exceed \$500,000.

**9. Can applicants request to use an approved grant based on estimates on improved or alternate projects?**

Yes.

**10. Is the applicant required to complete the scope of work defined in the estimate?**

Yes. The applicant must complete the approved scope of work. If the applicant does not complete the approved scope of work, FEMA may de-obligate the grant.

**11. Are applicants required to document how project funds were expended?**

Yes. Applicants are required to document how grant funds were spent. The State will review final project costs during project closeout.

**12. How will applicants document expenditures for PA Pilot Program projects?**

Applicants will document expenditures for PA Pilot Program projects in the same manner as other PA projects. All projects will require a final review once the work is completed.

**13. Will FEMA review projects that the applicant selects for grants on the basis of estimates for compliance with National Environmental Policy Act (NEPA), section 106 and other special considerations?**

Yes. FEMA will review all projects for compliance with NEPA, section 106 and other special considerations prior to approving the projects.

**14. After an applicant accepts a grant on the basis of an estimate, can it subsequently request additional funding from FEMA if the final project cost exceeds the estimated grant?**

No. However, if there was a significant omission or error in the original scope of work, FEMA may adjust the funding.

**15. If the scope of a project changes after FEMA approves the project grant and the State disburses the funds to the applicant, will FEMA revise the grant amount?**

If there was a significant omission of eligible work in the approved scope of work, FEMA may adjust the project grant.

# DISASTER ASSISTANCE FACT SHEET

## PA PILOT PROGRAM FAQs

**16. What happens if an applicant runs out of money and does not complete the project?**

If the applicant does not complete the approved scope of work, FEMA may de-obligate the grant.

**17. Will the applicant who participates in the “grants on the basis of estimates” procedure of the PA Pilot Program receive the total Federal share of the grant immediately after FEMA approves and obligates the grant?**

The State is authorized to disburse the total Federal share of the project funds to the applicant after FEMA approves the project and obligates funds.

**18. Will the Federal-cost-share for the major disaster apply to PA Pilot Program projects?**

Yes.

**19. Can applicants deposit grant funds in an interest bearing account?**

Yes. If applicants deposit grant funds in an interest bearing account, the applicant shall promptly remit interest earned to FEMA, in accordance with 44 CFR §13.21. It is not recommended that an applicant deposit funds in an interest-bearing account unless it is a State requirement.

**20. If an applicant completes the approved project scope of work for less than the approved grant amount, can it keep the cost underruns (i.e., cost savings)?**

Yes. The applicant can keep the underruns; however, it must spend the cost savings on the approved items articulated in the PA Pilot Program Guidance.

**21. How will the use of underrun money be documented?**

The use of underrun money will be recorded in the scope of work on the final PW (version in NEMIS or amendment in EMMIE). If an applicant plans to use underrun money for hazard mitigation they must notify FEMA of their intent prior to spending this money to ensure adequate environmental and/or historic review.

**22. Will an applicant need FEMA approval to use an underrun for a hazard mitigation project?**

Yes. Hazard mitigation projects must satisfy compliance review requirements as established by 44 CFR parts 9 and 10, the National Historic Preservation Act, and all other applicable Federal environmental and historic preservation requirements. These reviews must occur prior to the applicant spending Federal money on projects involving environmental or historic issues.

**23. Can an applicant use underrun money for mitigation-related demolition?**

No. Demolition for any purpose is not eligible under the PA Pilot Program.

# DISASTER ASSISTANCE FACT SHEET

## PA PILOT PROGRAM FAQs

- 24. Can applicants use underruns to pay for internal program management and/or for administrative costs that exceed the sliding scale funding allotment?**

Yes.

- 25. Can an applicant use PA Pilot Program project underruns for work on facilities not damaged by the declared disaster?**

The applicant may use PA Pilot Program Project underrun money for hazard mitigation on facilities that are not damaged by the declared disaster. However, these facilities must be those that would be eligible for PA funding in subsequent disasters. The applicant may not use PA Pilot Program underruns for the repair, restoration, or replacement of facilities that are not damaged in the declared disaster.

- 26. Can applicants use project underruns for the non-Federal cost-share?**

No.

- 27. Are category A Debris Removal projects eligible for grants on the basis of estimates?**

Yes.

### **Increased Federal Share Incentive**

- 28. Do both the State and local governments need an approved debris management plan in order to receive an increased cost share for category A project worksheets?**

Any applicant applying for an increased federal cost share as part of this procedure is required to have a FEMA-approved debris management plan. Plans do not need to be approved prior to the declared disaster.

- 29. Will FEMA provide sample or model plans?**

Yes. A suggested outline for debris management plans is included in the PA Pilot Program Guidance document.

- 30. Who approves the debris plan?**

The Regional Administrator approves the State and applicants' debris management plans prior to a declared disaster. The Regional Administrator may delegate this authority to the Federal Coordinating Officer following a disaster declaration.

# DISASTER ASSISTANCE FACT SHEET

## PA PILOT PROGRAM FAQs

**31. What criteria will FEMA use to evaluate debris management plans?**

The debris management plan evaluation criteria are included in the PA Pilot Program Guidance document.

**32. There are some jurisdictions that currently have debris management plans. If the plans do not meet the standards that FEMA establishes, will FEMA provide the increased cost share to these applicants?**

No. FEMA will provide the increased cost share to applicants with debris management plans that meet the standards established in the PA Pilot Program Guidance. However, FEMA and the State may provide technical assistance to assist applicants in updating their debris plan.

**33. What does having a “pre-qualified contractor” mean?**

The applicant must identify and evaluate contractors’ abilities to perform debris removal work (capabilities, bonding, insurance, availability). However, the applicant does not sign a contract with the selected contractors until there is work to be performed, usually after a disaster event. This is different from a “standby” contractor where the applicant actually signs a contract prior to the disaster.

**34. If the applicant has pre-qualified contractors, but the contractors are not available after the disaster, will the applicant still receive an increased cost share for category A project worksheets?**

Yes. Applicants will receive the increased cost share after FEMA approves their debris management plans and verifies that the applicant has pre-qualified two or more contractors. FEMA will document instances where pre-qualified contractors are not available in its evaluation of the PA Pilot Program.

### Debris Recycling

**35. Where can communities receive information about establishing a debris recycling program?**

The United States Environmental Protection Agency ([www.epa.gov](http://www.epa.gov)) may provide guidance on recycling programs. We encourage applicants to establish a recycling program prior to the disaster. It is not prudent to attempt to establish a recycling program during disaster recovery.

**36. Are the costs to sort debris as part of the recycling programs eligible for reimbursement?**

Yes.

**37. If the cost to recycle certain types of debris is more expensive than traditional disposal methods, is the total cost of recycling eligible for reimbursement?**

Yes.

# DISASTER ASSISTANCE FACT SHEET

## PA PILOT PROGRAM FAQs

**38. Is FEMA encouraging applicants to develop recycling programs after a disaster occurs?**

We believe that communities should develop recycling programs prior to disasters occurring. However, if there are opportunities for communities to efficiently and effectively establish a recycling plan after a disaster occurs, we encourage them to do so.

**39. Does FEMA provide funding to assist communities in developing a recycling program?**

FEMA does not provide funding for this purpose under the Public Assistance Program.

**Force Account Labor**

**40. Are base wages (straight time) for an applicant's regular employees who perform debris-related activities eligible under the PA Pilot Program?**

Yes.

**41. Is straight time for an applicant's regular employees who perform category B, Emergency Protective Measures, eligible under the Pilot Program?**

No.

**42. Are applicants required to document the debris-related activities its regular employees perform?**

Yes. The FEMA project officer must record the types of debris-related activities the regular employees perform to assist FEMA in evaluating the Pilot Program.

**43. Will FEMA continue to pay overtime expenses for force account labor involved in category A work?**

Yes.



David Garratt  
Acting Assistant Administrator  
Disaster Assistance Directorate

5/14/07  
Date

## Appendix C – Regulations Affected by the PA Pilot Program

This voluntary PA Pilot Program incorporates all of the applicable requirements established in 44 CFR Parts 206 and 13, with the exception of sections 206.203(c)(1), 206.204(e), 206.205(b), 206.206, 13.25 and 206.208(a)(4). This guidance document establishes acceptable alternatives to the requirements in those excepted regulations.

<b>Regulations Affected by PA Pilot Program Procedures*</b>	
<b>Grants on the Basis of Estimates</b>	
44 CFR§206.203(c)(1) Federal Grant Assistance	c) Project funding--(1) Large projects. When the approved estimate of eligible costs for an individual project is \$35,000 or greater, Federal funding shall equal the Federal share of the actual eligible costs documented by a grantee.
44 CFR§206.204(e) Project Performance	e) Cost Overruns. (1) During the execution of approved work a subgrantee may find that the actual project costs exceed the approved Project Worksheet estimates ... (2) The subgrantee must evaluate each cost overrun and, when justified, submit a request for additional funding through the Grantee to the RA for a final determination. ...
44 CFR§206.205(b) Payment of Claims	(1) ... Each large project shall be submitted as soon as practicable after the subgrantee has completed the approved work and requested payment. (2) The RA shall review the accounting to determine the eligible amount of reimbursement for each large project and approve eligible costs. If a discrepancy between reported costs and approved funding exists, the RA may conduct field reviews to gather additional information. If discrepancies in the claim cannot be resolved through a field review, a Federal audit may be conducted. If the RA determines that eligible costs exceed the initial approval, he/she will obligate additional funds as necessary.
44 CFR§206.206 Appeals	An eligible applicant, subgrantee, or grantee may appeal any determination previously made related to an application for or the provision of Federal assistance according to the procedures below. ...
<b>Debris Recycling</b>	
44 CFR§13.25	... (b) Definition of program income. Program income means gross income received by the grantee or subgrantee directly generated by a grant supported activity, or earned only as a result of the grant agreement during the grant period. .... (g) Use of program income. Program income shall be deducted from outlays which may be both Federal and non-Federal as described below, unless the Federal agency regulations or the grant agreement specify another alternative (or a combination of the alternatives). In specifying alternatives, the Federal agency may distinguish between income earned by the grantee and income earned by subgrantees and between the sources, kinds, or amounts of income.
<b>Force Account Labor</b>	
44 CFR§206.228(a)(4)	(4) Force Account Labor Costs. The straight- or regular-time salaries and benefits of a subgrantee's permanently employed personnel are not eligible in calculating the cost of eligible work under sections 403 and 407 of the Stafford Act, 42 U.S.C. 5170b and 5173.

\* Regulations are included in relevant part

## **Appendix D – Debris Management Plan Outline**

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### **I. Staff Roles and Responsibilities**

- A. Staffing Organizational Chart
- B. Roles and Responsibilities
  - 1. Staffing Assignments and Duties
  - 2. Administration
  - 3. Contracting and Procurement
  - 4. Legal
  - 5. Operations
  - 6. Engineering
- C. Emergency Communications Plan
- D. Health and Safety Plan and Procedures
- E. Training schedule

### **II. Situation and Assumptions**

- A. Design Disaster Event
- B. Forecasted debris
  - 1. Forecasted Types
  - 2. Forecasted Locations

### **III. Debris Collection Plan**

- A. Priorities
- B. Response Operations
- C. Recovery Operations
  - 1. Estimating staff, procedures and assignments
  - 2. Collection Method
    - a. Curbside Collection
    - b. Collection Centers
  - 3. Collecting Hazardous Waste and White Goods
  - 4. Monitoring Staff and Assignments

### **IV. Debris Management Sites**

- A. Site Management
  - 1. Site Manager
  - 2. Monitoring Staff and Assignments
  - 3. Safety Personnel
- B. Establishment and Operations Planning
  - 1. Permits
  - 2. Locations
    - a. Baseline Data for each location
    - b. Ingress/egress for sites
  - 3. Site Layouts
  - 4. Site Preparation

5. Volume Reduction Methods
  - a. Incineration
  - b. Grinding and Chipping
6. Recycling
7. Environmental Monitoring Program
8. Site Closure

**V. Contracted Services**

- A. Emergency Contracting/Procurement Procedures
- B. Debris operations to be outsourced
- C. General Contract Provisions
- D. Qualification Requirements
- E. Solicitation of Contractors

**VI. Private Property Demolition and Debris Removal**

- A. Condemnation criteria and procedures
  1. Legal documentation
  2. Demolition permitting
  3. Inspections
- B. Mobile home park procedures
- C. Navigation hazard removal procedures

**VII. Public Information Plan**

- A. Public Information Officer
- B. Pre-scripted information
- C. Distribution plan

**Appendices**

- A. Maps of jurisdiction and priorities
- B. Staffing assignment maps
- C. List of Pre-qualified Contractors
- D. Load Ticket
- E. Debris Monitor Reports
- F. Truck Certification List

# Appendix E – Increased Federal Share Incentive Checklist

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Applicant \_\_\_\_\_ PA ID \_\_\_\_\_ DR- \_\_\_\_\_

Point of Contact \_\_\_\_\_ Phone Number \_\_\_\_\_

Yes      No

## Debris Management Plan

- |                          |                          |   |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | Does the plan outline the roles and responsibilities of the various functions identified (Public Works, Finance, and Solid Waste Departments, etc.)?                  |
| <input type="checkbox"/> | <input type="checkbox"/> | Does the plan address health and safety procedures in accordance with State/Local health and safety standards/requirements?   |
| <input type="checkbox"/> | <input type="checkbox"/> | Does the plan identify procedures for acquiring required regulatory permits?  |
| <input type="checkbox"/> | <input type="checkbox"/> | Does the plan address the basis for planning which include assumptions for various events and forecasting/modeling for debris volumes?                                |
| <input type="checkbox"/> | <input type="checkbox"/> | Does the plan include priorities for the clearance, collection, and disposal of debris?   |
| <input type="checkbox"/> | <input type="checkbox"/> | Does the plan address recycling?  |
| <input type="checkbox"/> | <input type="checkbox"/> | Is there a process for the collection and disposal of hazardous waste and/or white goods?   |
| <input type="checkbox"/> | <input type="checkbox"/> | Does the plan address debris monitoring of the pickup sites, Debris Management Sites (DMS) or Temporary Debris Storage and Reduction Sites (TDSR) and final disposal? |
| <input type="checkbox"/> | <input type="checkbox"/> | Does the plan identify DMS' or TDSRs' and potential landfills for final disposal to include operation and site management procedures and staffing?                    |
| <input type="checkbox"/> | <input type="checkbox"/> | Does the plan address the environmental requirements?   |
| <input type="checkbox"/> | <input type="checkbox"/> | Does the plan address contracting/procurement procedures?   |
| <input type="checkbox"/> | <input type="checkbox"/> | Does the plan address the authority and processes for private property debris removal?  |

**Yes**    **No**

       Does the plan address the dissemination of information to the general public and media?

**List of Pre-qualified contractors**

       Does the applicant have a list of pre-qualified contractors?

       Does the applicant have documentation demonstrating how the list was obtained?

**Approved** \_\_\_\_\_

**Disapproved** \_\_\_\_\_

**Signature** \_\_\_\_\_

**Date** \_\_\_\_\_

## Appendix F – Recycling Resources

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### Debris Recycling Websites

The following is a list of useful websites for more information on recycling disaster debris. FEMA is not responsible for the content of these sites, so users are encouraged to use their discretion when viewing the material.

[www.epa.gov/msw/debris.htm](http://www.epa.gov/msw/debris.htm), identifies common uses for disaster debris and benefits of recycling.

[www.stopwaste.org](http://www.stopwaste.org), includes information for local governments on disaster debris management.

Some States have websites that would be useful in developing a debris management plan that incorporates recycling and identifying contractors that accept recyclable materials. For example, the North Carolina Division of Pollution Prevention and Environmental Assistance provides an online directory of contractors that accept recyclable materials in North Carolina. See <http://www.p2pays.org/dmrm/start.aspx>. The California Integrated Waste Management Board provides a similar database of facilities that accept construction and demolition (C&D) debris at <http://www.ciwmb.ca.gov/ConDemo/Recyclers/RecyclerSearch.aspx>. Applicants are encouraged to consult with their State agencies to see if such resources are available to them.

## **Appendix G – Job Aids and Evaluation Tools**

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### **Contents:**

**Kickoff Meeting Job Aid  
Information Acknowledgement  
Sample PW Statements  
Exit Briefing Questions  
Sample Customer Survey**

## Public Assistance Coordinator Kickoff Meeting Job Aid PA Pilot Program Addendum

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

Action	Steps	Details
Discuss PA Pilot Program	<ul style="list-style-type: none"> <li><input type="checkbox"/> Discuss with applicant the possibility of four elements under the PA Pilot; general criteria, grants on the basis of estimates (cat A, C-G), increased federal share (cat A), debris recycling (cat A), Force Account Labor (cat A)</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Inform the applicant that under the "PA Pilot Program" participation is completely voluntary. The applicant may choose to participate on all, some, or no eligible projects. Applicant may also elect to participate in none, some, or all four elements.</li> <li><input type="checkbox"/> FEMA will assist in identifying projects and in developing Scopes of Work and Estimates.</li> <li><input type="checkbox"/> Pilot program has special documentation requirements</li> <li><input type="checkbox"/> PNPs are <b>not</b> eligible to participate in the pilot program.</li> <li><input type="checkbox"/> Category B projects are <b>not</b> eligible for the PA Pilot Program.</li> <li><input type="checkbox"/> Grants on the basis of estimates               <ul style="list-style-type: none"> <li><input type="checkbox"/> A PEP is ≤\$500K, Cat A, C-G</li> <li><input type="checkbox"/> Obligated based on estimate</li> <li><input type="checkbox"/> Agreed to by all parties</li> <li><input type="checkbox"/> No Appeals</li> </ul> </li> <li><input type="checkbox"/> PEP procedure requirements and limitations:               <ul style="list-style-type: none"> <li><input type="checkbox"/> Still required to document actual costs.</li> <li><input type="checkbox"/> No additional funds obligated.</li> <li><input type="checkbox"/> Cost underruns must be used for acceptable purposes.</li> </ul> </li> <li><input type="checkbox"/> Increased Federal Share Incentive               <ul style="list-style-type: none"> <li><input type="checkbox"/> Additional 5% Federal cost share, Cat A only</li> <li><input type="checkbox"/> FEMA approved debris management plan <b>and</b> pre-qualified debris contractors.</li> </ul> </li> <li><input type="checkbox"/> Debris Recycling (Cat A only)               <ul style="list-style-type: none"> <li><input type="checkbox"/> Incentive- Applicant keeps recycling revenues without PW reduction.</li> </ul> </li> </ul>

Action	Steps	Details
Discuss PA Pilot Program (cont.)	<ul style="list-style-type: none"> <li data-bbox="560 363 841 768">❑ Discuss with applicant the possibility of four elements under the PA Pilot; general criteria, grants on the basis of estimates (cat A, C-G), increased federal share (cat A), debris recycling (cat A), Force Account Labor (cat A)</li> <li data-bbox="560 779 841 888">❑ Review/Sign PA Pilot Program Information Acknowledgement</li> </ul>	<ul style="list-style-type: none"> <li data-bbox="872 363 1385 617">❑ Force Account Labor (Cat A only) <ul style="list-style-type: none"> <li data-bbox="919 401 1370 457">❑ Regular or straight time salaries and benefits eligible for debris activities</li> <li data-bbox="919 468 1385 525">❑ Discuss correct procedures for accounting for force account labor.</li> </ul> </li> <li data-bbox="872 535 1341 617">❑ Have Applicant's Authorized Representative sign PA Pilot Program Information Acknowledgement.</li> </ul>

## Public Assistance Pilot Program Information Acknowledgement

Federal Emergency Management Agency's (FEMA) Public Assistance (PA) Pilot Program will be available for State and local governments' participation from June 1, 2007 through December 31, 2008. The PA Pilot Program may be implemented in any major disaster declared on or after June 1, 2007.

I understand that:

- The PA Pilot Program is voluntary, and an applicant may choose to participate in one or more procedures of the PA Pilot Program for one or more projects.
- The PA Pilot Program consists of the following procedures: a) Grants on the Basis of Estimates; b) Increased Federal Share Incentive; c) Debris Recycling; and d) Force Account Labor.
- The Grants on the Basis of Estimates Procedure is available for large projects with a total project estimated cost of \$500,000 or less. Projects that are subject to this Procedure will be known as Pilot Estimated Projects (PEPs). If an applicant chooses to participate in the Grants on the Basis of Estimates Procedure, the applicant will not be able to apply for additional funding beyond the total project estimated cost for any PEP. An applicant will also not have the right to appeal any determinations made by FEMA related to assistance for the PEPs. These restrictions only apply to PEPs.

The PA Pilot Program and procedures have been explained to me, and

\_\_\_\_\_ I wish to participate in the PA Pilot Program.

\_\_\_\_\_ I do not wish to participate in the PA Pilot Program.

\_\_\_\_\_  
Applicant's Authorized Representative

\_\_\_\_\_  
Date

## Sample PW Statements

The following statements should be recorded in the “General Comments” field of relevant PWs for applicants that use PA Pilot Program procedures.

### ***Grants on the Basis of Estimates – Category A***

The applicant has volunteered to participate in the **grants on the basis of estimates** procedure of the **Public Assistance Pilot Program**. The eligible cost for this PW was developed in coordination with FEMA/State/Applicant and is considered the final approved cost for this PW. This estimate-based procedure will be allowed for category A projects up to \$500,000. Only omissions and errors may be considered for cost adjustments. Applicants will not have appeal rights under this PA Pilot procedure.

### ***Grants on the Basis of Estimates – Categories C-G***

The applicant has volunteered to participate in the **grants on the basis of estimates** procedure of the **Public Assistance Pilot Program**. The Cost Estimating Format (CEF) was used to determine the eligible cost for this PW in coordination with FEMA/State/Applicant and is considered the final approved cost for this PW. This estimate-based procedure will be allowed for categories C through G projects up to \$500,000. Only omissions and errors may be considered for cost adjustments. Applicants will not have appeal rights under this PA Pilot Program procedure.

### ***Increased Federal Share Incentive – Category A***

The applicant has volunteered to participate in the **increased Federal share incentive** of the **Public Assistance Pilot Program**. The applicant’s debris management plan has been reviewed and approved by FEMA. The applicant has also proven that it has pre-qualified two or more debris and wreckage removal contractors. A copy of the Increased Federal Share Incentive Checklist is scanned and attached as part of the RPA. Because the applicant has satisfied these two criteria for participation in this procedure, the Federal cost share for the applicant’s category A work has been increased by 5%.

### ***Debris Recycling – Category A***

The applicant has volunteered to participate in the **debris recycling** procedure of the **Public Assistance Pilot Program**. The applicant has implemented a debris recycling initiative and the details are included in this PW.

### ***Force Account Labor – Category A***

The applicant has volunteered to participate in the **force account labor** procedure of the **Public Assistance Pilot Program**. As a result, information regarding the applicant’s base wages is included for this category of work and is part of the official PW file.

## Exit Briefing Questions

The following questions should be asked at the applicant’s exit briefing if the applicant used one or more of the PA Pilot procedures. The information should be recorded for use in the PA Pilot Program Evaluation.

<b>PA Pilot Program Exit Briefing – 10 Questions</b>	
1	If you used the Grants Based on Estimates procedure, were you satisfied with the scope of work and cost estimate. Do you have concerns or comments about this procedure?
2	If you used the Grants Based on Estimates procedure, did you have a need to address any errors and omissions with FEMA and State staff? How were issues resolved?
3	If you had a Debris Management Plan, did your debris operations proceed faster? More efficiently?
4	If you had pre-qualified debris removal contractors, were those contractors available at the time of the disaster? If not, how did you obtain contractor(s)?
5	If you had a pre-disaster contract in place, was work performed under the contract?
6	If you recycled debris, describe your recycling efforts.
7	Was the ability to retain the salvage value from recyclable debris materials an incentive to recycle disaster debris?
8	If you did not recycle debris, why? Describe any legal or other obstacles.
9	If you used force account labor for debris operations, in what capacities did your employees work?
10	If you used force account labor for debris operations, do you feel that your debris operations were handled faster and/or more efficiently? Why or why not?

# Customer Survey

## PUBLIC ASSISTANCE PILOT PROGRAM SURVEY

DR- \_\_\_\_\_

This survey is intended to confirm that your FEMA/State Public Assistance Team is following established procedures, and to determine whether you are satisfied with the support and service they have provided. **This survey pertains ONLY to the FEMA PA Pilot Program and the four PA Pilot Program procedures: Grants on the Basis of Estimates, Increased Federal Share Incentive, Debris Recycling, and Force Account Labor.** Please answer the following questions:

1. Did the FEMA/State Public Assistance team explain the PA Pilot Program at the Kickoff Meeting?  
YES / NO / Comments: \_\_\_\_\_
2. To your knowledge, has the FEMA/State Public Assistance team followed the procedures outlined in the PA Pilot Program guidance?  
YES / NO / Comments: \_\_\_\_\_
3. Did a representative of your agency participate in each site inspection?  
YES / NO / Comments: \_\_\_\_\_
4. Were you satisfied with the FEMA/State Public Assistance team's knowledge of the PA Pilot Program procedures?  
YES/ NO/ Comments: \_\_\_\_\_
5. If you participated in the Grants on the Basis of Estimate procedure of the PA Pilot Program, do you think this procedure is a more efficient approach?  
YES/ NO / Not Applicable / Comments: \_\_\_\_\_
6. Were you satisfied with the FEMA/State Public Assistance team's ability to develop a complete scope of work and fair estimate and on your PW?  
YES/ NO / Not Applicable / Comments: \_\_\_\_\_
7. If you participated in the Increased Federal Share Incentive procedure of the PA Pilot Program, do you think this procedure is a more efficient approach?  
YES/ NO / Not Applicable / Comments: \_\_\_\_\_
8. In your opinion, how successful was the PA Pilot Program? (Circle One)  
VERY SUCCESSFUL \_\_\_\_ SUCCESSFUL \_\_\_\_ FAIRLY SUCCESSFUL \_\_\_\_ NOT SUCCESSFUL \_\_\_\_
9. Would you make changes to the PA Pilot Program procedures?  
YES / NO / If yes, what: \_\_\_\_\_
10. Would like to see any of the PA Pilot Program procedures continued? If so, which one(s)?  
YES / NO / Comments: \_\_\_\_\_
11. Do you want a representative of the FEMA/State Public Assistance Officer to follow up with you on your survey comments? YES / NO / If yes, please provide the following:  
  
SUBGRANTEE: \_\_\_\_\_ PA #: \_\_\_\_\_  
  
SUBGRANTEE CONTACT NAME: \_\_\_\_\_ Tel: \_\_\_\_\_

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