

STATE OF WISCONSIN

ADMINISTRATIVE PLAN

for the

PUBLIC ASSISTANCE PROGRAM



Section 406

PL 100-707

The Robert T. Stafford Disaster Relief
and
Emergency Assistance Act

WISCONSIN EMERGENCY MANAGEMENT

Department of Military Affairs

2022

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I. Purpose

This plan establishes the organization, staffing, and administrative procedures for administering the Public Assistance (PA) Program after a Presidential Disaster Declaration. It assumes that pre-disaster declaration activities involving the PA Program, such as Applicant/Subrecipient training and annual updates of additional disaster specific plans, are covered by the Wisconsin Emergency Management (WEM) position descriptions. Additionally, this administrative plan to the PA Program is a supporting document to the Wisconsin Emergency Operations Plan as well as the FEMA-State Agreement made for any Presidential Disaster Declarations.

Federal disaster assistance is made available through the Federal Emergency Management Agency (FEMA) to state, county, and local governmental agencies, tribal organizations, as well as certain eligible private non-profit organizations. FEMA provides a grant to the State/Recipient and authorizes the State/Recipient to pass funding through to eligible Subrecipients. The FEMA-State Agreement establishes the Federal share provided, which will be no less than 75% of the total project costs.

II. Authorities and References

A. State Authorities:

1. Wisconsin Statutes, Chapter 323, Subchapter III, Disaster Assistance Programs
2. Wisconsin Statutes, Chapter 87.30, Floodplain Zoning
3. Wisconsin Statutes, Chapter 86.34, Disaster Damage Aids Program
4. Wisconsin Code, Chapter 166, Emergency Management
5. Wisconsin Code, Chapter Natural Resources, 116
6. Wisconsin Code, Chapter WEM 7, Disaster Fund Rule
7. Wisconsin Emergency Operations Plan

B. Federal Authorities:

1. 42 U.S.C. § 5121-5208, Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended
2. 44 CFR, Public Assistance Program Regulations:
 - a. Part 206 Subpart G, Public Assistance Project Administration
 - b. Part 206 Subpart H, Public Assistance Eligibility
 - c. Part 206 Subpart I, Public Assistance Insurance Requirements
 - d. Part 207, Management Costs
3. 2 CFR, Office of Management and Budget Guidance
 - a. Part 200, Grants and Agreements, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards
 - b. Part 3002 Subpart F, Adoption of 2 CFR Part 200
4. Executive Order 11988, Floodplain Management
5. Executive Order 11990, Protection of Wetland
6. Executive Order 12612, Federalism
7. Executive Order 12898, Environmental Justice
8. 16 U.S.C. § 3501 Coastal Barrier Resources Act
9. 54 U.S.C. § 300101 et seq., National Historic Preservation Act
10. 16 U.S.C. § 1531, Endangered Species Act References
11. Public Law 93-234, as amended, Flood Disaster Protection Act of 1973
12. Public Law 103-325, National Flood Insurance Reform Act of 1994
13. Public Assistance Program and Policy Guide (PAPPG), version 4, June 2020

III. State Agency Responsible for Program Administration

The Governor designated WEM, a division of the Wisconsin Department of Military Affairs (DMA), as the state agency responsible for management and administration of the PA Program for disasters declared within the State of Wisconsin. Responsible WEM personnel, appointed by the Governor's Authorized Representative (GAR), shall provide guidance and assistance including, but not limited to, the following:

- A. Submit the Application for Federal Assistance
- B. Comply with Federal and State program and grant administrative requirements
- C. Notify potential applicants of the availability of assistance
- D. Conduct Applicant Briefings
- E. Request Expedited Funding on behalf of applicants, as applicable
- F. Assist FEMA in determining work and applicant eligibility
- G. Process requests for appeals, review cost overruns, submit scope of work change requests, approve time extensions, approve advances and reimbursements
- H. Make recommendations to FEMA on appeals and other requests
- I. Monitor awards to ensure compliance through quarterly reports, site inspections, and audits, as required
- J. Review and certify project completion information
- K. Determine budget and staffing requirements necessary for proper program management

IV. Organization and Staffing

The staffing for administration of the PA Program by WEM must be flexible in order to match the size and scope of damage caused by any given event. For a Presidential Disaster Declaration, the minimum State positions needed to administer the PA Program include the following:

- Governor's Authorized Representative (GAR)
- State Public Assistance Officer (SPAO)
- State Financial Management Officer (FMO)
- State Liaison Officers
- State Hazard Mitigation Officer (SHMO)

A. Governor's Authorized Representative (GAR)

The GAR determines the positions, number of personnel, and the budget required for proper program management, as advised by the SPAO. The magnitude and severity of each disaster, and the anticipated number of applicants and projects, will dictate the level of additional WEM staff that will be required to carry out proper program management. The GAR will be the WEM Administrator or the Director of the WEM Bureau of Response and Recovery and will:

1. Act as the intermediary between federal, state, and local parties involving conflicts over PA matters
2. Ensure coordination between the PA and Hazard Mitigation Grant Program to ensure actions are taken to identify and implement hazard mitigation activities among applicants
3. Determine if the State will implement Expedited Funding for any declared disaster and notify the Federal Coordinating Officer (FCO) of the decision
4. Ensure that WEM prepares the FEMA-State Agreement, setting forth the assistance to be rendered and the respective federal and state shares of that assistance

B. State Public Assistance Officer (SPAO)

The SPAO accomplishes the necessary program work assigned to the State to administer the PA Program and Fire Management Assistance Grant Program to eligible Subrecipients. The SPAO is a full-time employee at WEM, who assumes duties related to disaster operations, as outlined in their position description. The SPAO must:

1. Ensure that all post-disaster meetings, such as applicant briefings, are scheduled and held in a timely fashion
2. Prepare and submit a staffing plan for the Joint Field Office (JFO)
3. Prepare a budget for administration of the PA Program
4. Validate project worksheets and obligate federal funds upon FEMA review
5. Oversee the day-to-day operations of the PA program from disaster request through disaster closeout

C. State Financial Management Officer (FMO) and Finance Staff

The WEM Fiscal Officer serves as the State FMO, as assisted by WEM finance staff. The State FMO and finance staff will ensure that day-to-day financial operations support completion of work by subrecipients. The finance staff must:

1. Work with SPAO to process checks and enter disbursements into the state financial management system
2. Maintain financial records of all disbursements to subrecipients
3. Maintain records of salaries, administrative costs, and other eligible expenses for reimbursement

D. State Liaison Officers

The State Liaison Officers include qualified personnel from applicable state agencies who may assist WEM with technical guidance to applicants, assist with project worksheet formulation, assess damages, and prepare or review project worksheets. WEM draws upon technical experts to serve as Liaison Officers from supporting state agencies such as:

1. Department of Transportation (DOT)
2. Department of Natural Resources (DNR)
3. Department of Administration (DOA)
4. Public Service Commission (PSC)
5. Department of Workforce Development (DWD)
6. Department of Agriculture, Trade, and Consumer Protection (DATCP)

E. State Hazard Mitigation Officer (SHMO) and Mitigation Staff

The SHMO, as supported by WEM mitigation staff, accomplishes the necessary work assigned to the State to administer the Hazard Mitigation Grant Program (HMGP) to eligible applicants. The SHMO performs duties related to disaster operations, as listed in their position description, which include:

1. Maintains the State Hazard Mitigation Plan. Under the Disaster Mitigation Act of 2000, the State must have at least a standard plan in order to implement the PA Grant Program.
2. Develops the State program for Hazard Mitigation. Has oversight responsibility to ensure state policies are followed in providing funding to subrecipients for mitigation projects eligible under the PA Program and Section 404 of the Stafford Act. (Ref. Hazard Mitigation Administrative Plan).
3. Discuss mitigation opportunities through HMGP available to eligible subrecipients and how HMGP differs from mitigation offered through the PA Program.
4. Forward applications for PA-related mitigation received from HMGP solicitation.
5. Work with PA staff to incorporate cost-effective mitigation activities into disaster recovery operations.

F. Other Positions, as directed

The GAR, FCO, and SPAO will work to fill any additional positions as needs arise and shortfalls are identified.

V. Post Declaration Activities

A. Per Capita Impact Indicator and Project Thresholds

Fiscal Year (FY)	Statewide Indicator	Countywide Indicator	Small Project Minimum	Small Project Maximum
2022	\$1.63	\$4.10	\$3,500	\$139,800

B. Administrative Requirements

1. Application for Federal Assistance (SF-424) is submitted in FEMA Grants Portal.
2. FEMA-State Agreement is updated and signed.
3. WEM Public Assistance Plan is updated/amended and submitted to FEMA.

C. Notification of Potential Applicants

The SPAO works with State Public Information Officers as well as Regional and County Emergency Management Directors to conduct outreach efforts to notify potential Subrecipients that assistance is available and the time and date of applicant briefings. Outreach is targeted at identifying eligible applicants for the PA Program following the declaration of a presidential disaster.

Additionally, the WEM website will be updated following the disaster declaration with instructions outlining:

1. Eligibility criteria for applicants to the PA Program
2. Eligibility criteria for work categories and costs
3. How to apply for the PA Program
4. Deadlines to apply for the PA Program
5. Who to contact at WEM regarding PA Program questions

D. Joint Field Office (JFO) Response

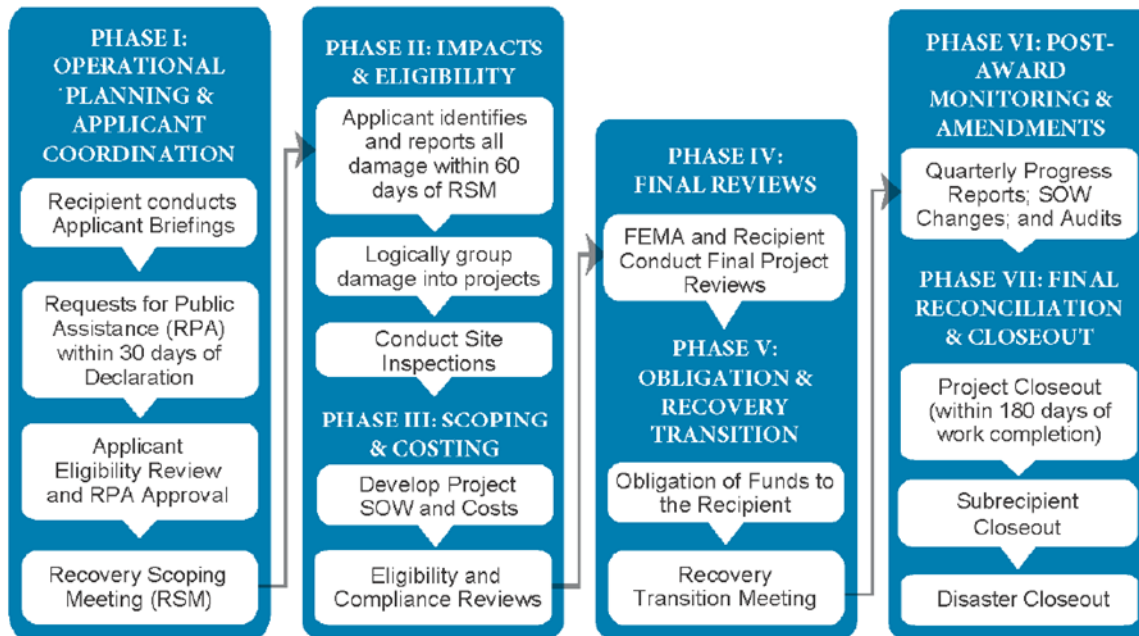
Required WEM personnel respond to the JFO, once established by FEMA.

E. State Public Assistance Operations

The SPAO attends the FEMA-State briefing, outlining expectations for PA operations within the state.

F. PA Program Delivery Process

FEMA and WEM start working in partnership in administering the PA Program utilizing the web-based Grants Portal system.



G. Applicant Briefings

Once FEMA approves a designated area for PA, members of the WEM PA Program staff will conduct applicant briefings. The number of potential applicants and the area involved in the disaster will determine the number of briefings held.

The SPAO works with Regional and County Emergency Management Directors to:

1. Identify eligible applicants for the PA Program.
2. Schedule briefings for all potential applicants, paying attention to the number and location of briefings, depending on the size and number of potential applicants.
3. Ensure all potential applicants complete a Request for Public Assistance (RPA) within 30 days of the date of the declaration.

Applicant briefings will outline the PA Program requirements, eligibility components, rules and regulations, as well as outline hazard mitigation opportunities, environmental and historic preservation conditions, insurance requirements, procurement, and other pertinent information to the disaster event in the declared area.

WEM staff members work with attendees of the applicant briefings to submit a formal Request for Public Assistance (RPA) within 30 days of the date of the disaster declaration. This deadline will be communicated at the applicant briefing, on the WEM website, and through the Regional and County Emergency Management Directors.

H. Program Delivery Manager (PDMG)

FEMA assigns each eligible applicant a PDMG who will be the primary point of contact during the project formulation and development. The PDMG serves as the primary point of contact for the Applicant, providing customer service and programmatic guidance throughout phases I through V of the PA Program delivery process.

I. **Recovery Scoping Meeting (RSM)**

The RSM addresses the specific needs of each eligible Applicant. At the RSM, FEMA, the Recipient, and the Applicant review and refine the list of impacts and discuss:

- PA delivery process;
- Details of the Applicant's impacts from the incident;
- Hazard mitigation opportunities;
- Eligibility criteria for facilities, work and costs;
- Logical grouping of damage;
- Procurement requirements;
- Insurance reductions and requirements;
- EHP compliance requirements;
- Documentation requirements;
- Interagency Recovery Coordination;
- Deadlines; and
- Appeal process

An applicant should ensure that all local personnel involved in repair or restoration of the damaged facilities and any personnel involved in tracking expenses, project budgets, contracts, and documentation are present at the meetings, not just local elected officials with signatory authority. It is extremely important to have people who will be doing paperwork and overseeing or performing physical work at these meetings, if possible. This is so that the applicant can make a clear case that they do not have adequate local resources to complete these projects without federal and state assistance.

In all instances, an applicant has 60 days from when the RSM is held to report all their damages to the PDMG.

J. **Project Worksheet (PW)**

Depending on the damages experienced and the resources available to the applicant, a PW will be created as one of the following types:

1. **Large Projects:** FEMA designates any project expected to cost equal to or more than the large project threshold amount as a large project. The large project threshold is an amount of approved project estimated costs adjusted annually to reflect changes in the Consumer Price Index for all Urban Consumers. The large project threshold amount applicable to any project is that amount in effect on the declaration date of the disaster, regardless of when project approval is made or when the work is performed. For Large Projects that are not capped, FEMA adjusts any estimated costs to the actual incurred amount so that the final approved funding is based on actual costs.
2. **Complex Small Projects:** FEMA designates any project expected to cost less than the large project threshold as a small project; however, lower cost does not necessarily mean these projects cannot be complex. If an applicant, along with the PDMG, determines that they do not have the staff and/or resources to create the PW, FEMA will provide funding for either engineering and design services to determine the method of repair or the FEMA CRC will develop cost estimates.

3. **Standard Small Projects:** Many small projects can be completed with minimal assistance. Applicants can provide an estimate to repair the damaged facility and FEMA CRC will validate and formulate the PW. FEMA accepts an Applicant-submitted cost estimate if the estimate:
 - Is prepared by a licensed Professional Engineer or other estimating professional, such as a licensed architect or certified professional cost estimator³⁴⁴ who certifies that the estimate was prepared in accordance with industry standards.
 - Includes certification that the estimated cost directly corresponds to the repair of the agreed upon damage.
 - Is based on unit costs for each component of the SOW and not a lump sum amount.
 - Contains a level of detail sufficient for FEMA to validate that all components correspond with the agreed-upon SOW.
 - Is based on the current phase of design or construction inclusive of any known costs.
 - Includes actual costs for work completed at the time the cost estimate is developed; and
 - Is reasonable.
4. **Expedited Projects:**

FEMA may provide expedited funding for Emergency Work Projects (Category A or B) that meet or exceed the Large Project threshold. FEMA funds Expedited Projects at 50 percent of the Federal share of the estimated project cost. Requests for Expedited Projects must be submitted to FEMA within 60 days of the Applicant's Recovery Scoping Meeting. To support its request, the Applicant must provide enough information for FEMA to validate that the work and costs are eligible. FEMA will work to obligate funding within 90 days of receipt of the request.
5. **Insurance Commitments:** Insurance proceeds and/or the requirement to purchase insurance will be documented within PWs by the FEMA Insurance Specialist located at the Consolidated Resource Center (CRC). Eligible costs shall be reduced by the amount of any insurance proceeds, received or anticipated. The State will review actual insurance proceeds during closeout of a PW. If a Subrecipient has insurance requirements related to a specific PW (e.g. must purchase insurance or provide a statement of loss), they are notified at PW obligation. For insurance purchase requirements, the Subrecipient must submit the Declaration Page of the policy once insurance is purchased, prior to the release of funding for that PW. Once the Declaration Page is received for the PW, it will be recorded in State Porter, for their records and funding will be release. Should a Subrecipient choose not to purchase the required insurance, a letter will be sent to FEMA requesting de-obligation of the PW.

VI. Program Management

A. Request for Public Assistance

In accordance with 44CFR 206.202(e)(1), WEM will complete and submit SF-424 (Application for Federal Assistance) and SF-424D (Assurances for Construction Programs) as soon as possible after the disaster declaration. Once WEM receives approval of the SF-424, FEMA authorizes WEM to draw up sub-award documents and to issue checks to subrecipients.

B. Role of County Emergency Management Directors

County Emergency Management Directors serve as the intermediaries between WEM and subrecipients regarding the PA Program.

C. Program Compliance, Audits, Reviews, and Closeout

WEM ensures compliance with the “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards” (2 CFR Part 200). The State and each applicant assures that it shall comply with all applicable Federal statutes and regulations, outlined in Appendix C of this document, with respect for which it receives grant funding.

Each subrecipient expending \$750,000 or more in total direct and indirect federal financial assistance per fiscal year, shall have a financial and compliance audit made in accordance with the Single Audit Act of 1996 (P.L. 104-156) and the Federal Office of Management and Budget (OMB) Circular A-133. Audit requirements are the responsibility of the local unit of government (municipal or county). The FMO reviews audits completed for subrecipients. If adverse findings are reported, the FMO informs the SPAO who ensures that appropriate actions are taken, and these actions are reported to FEMA. The Legislative Audit Bureau (LAB) submits a copy of the audit performed on state operations to the FEMA Inspector General. FEMA may elect to conduct a separate federal audit on the disaster assistance grant, or on any of the subawards, and the State will provide any information necessary for completing such audits.

When final payment is made to each subrecipient, WEM staff reviews each PW file to:

1. Review the payments and ensure that the Subrecipient received all grant funds authorized to them.
2. Ensure all required documentation is properly filed (signed Form 1017, completed/signed P.4 Form, etc.).
3. When a Subrecipient is closed, PA staff will identify all closed Subrecipients in a list to the FMO. The FMO will report this list of closeouts in the SF-425 (quarterly financial report) by disaster.
4. PA staff will notify the Subrecipient of the date that the FMO submits the SF-425 to FEMA Region V, as FEMA and WEM consider this submission date to be the final expenditure report to FEMA. Three years after the date of transmission of the SF-425, FEMA will take no administrative action to recover payments made to a state or local government, unless evidence exists of civil or criminal fraud.

Prior to close-out of a disaster declaration, WEM PA and/or Fiscal Staff reviews all files internally to ensure that they are complete, correct, and contain all required documentation.

After all grant fund payments have been made, the FMO determines eligible Recipient management costs and administrative allowances and requests reimbursement from FEMA. Upon receipt of these allowances, the SPAO notifies the FEMA Regional Administrator (RA) in writing that WEM has no further claims for the disaster and that WEM closed all PA Program activities. The FMO will submit a final FEMA Form 20-10 for the total PA Program disaster grant amount within 90 days following the completion of all required work and administrative actions. FEMA will review its final claim and close the grant.

D. Management Costs

FEMA provides PA funding for administrative costs related to managing the PA Program and PA projects. FEMA provides PA funding differently depending on whether the costs are indirect, administrative, or other expenses the Recipient or Subrecipient incurs in administering and managing PA awards that are not directly chargeable to a specific project or if the costs are directly chargeable to a specific project.

1. Recipient Management Costs

WEM, as the Recipient for the State of Wisconsin, will request management cost funding, in accordance with Stafford Act § 324(a), 42 U.S.C. § 5165b; 44 CFR § 206.205; 2 CFR § 200.56 and 200.412; and DRRRA Div. D Sec. 1215.

Recipient Management Cost Funding Request Process:

- a. All management costs will be obligated via a Category Z project worksheet and funded at 100% Federal share. This includes management costs for all projects.
- b. FEMA provides contributions for management costs based on actual costs incurred up to 7% of the total award amount for the disaster, excluding Subrecipient management costs.
- c. If management costs are requested prior to Subrecipient project obligations, FEMA may make an initial Category Z obligation for 7% of the state minimum per capita indicator. Once project obligations exceed the minimum per capita indicator, FEMA may process additional versions to the Category Z project worksheet for 7% of the total project amount obligated on a quarterly basis as needed.
- d. After FEMA has received the Recipient's certification of all projects for a declaration in accordance with 44 CFR § 206.205 and processed all final actual cost project claims, and upon receipt of the Recipient's final actual management cost claim, FEMA will process the final Category Z obligation or deobligation based on actual reasonable costs up to the maximum 7%.
- e. The Recipient may claim management costs incurred up to whichever of the following occurs first:
 - i. 180 days after work is completed on the last non-management cost PA project for the declaration; or
 - ii. 180 days after the latest performance period on a non-management cost PA project for the declaration; or
 - iii. Two years from the date of an Emergency Declaration; or
 - iv. Eight years from the date of a Major Disaster Declaration.
- f. WEM reports management cost spending in the public assistance and financial quarterly reports.

2. Subrecipient Administrative Costs

- a. FEMA provides contributions for management costs based on actual costs incurred up to 5% of the total award amount.
- b. Once a Subrecipient has project obligations, FEMA may provide a Category Z obligation for 5% of the total project amount obligated. FEMA may process additional versions to the Category Z project worksheet for 5% of the Subrecipient's total project obligations on a quarterly basis as needed. These obligations are subject to Strategic Funds Management. FEMA may require a plan describing how the Subrecipient plans to use the funds.
- c. After FEMA has received and processed all a Subrecipient's final actual cost project claims and upon receipt of the Subrecipient's final actual management cost claim, FEMA will process the final Category Z obligation or deobligation based on actual reasonable costs up to the maximum 5%.

E. Administrative Plan

The SPAO reviews this administrative plan annually to ensure compliance with applicable laws, implementing regulations, and state policies. This plan will also be updated whenever necessary to reflect new or revised federal regulatory or policy changes; reflect a material change in any state law, organization, policy, or state agency operation; or to improve PA Program administration. When updated, each will be submitted to FEMA Region V for review and approval. Following a Presidential Disaster Declaration, the SPAO prepares, publishes, and

distributes updates, amendments, or revisions to this administrative plan in order to meet the then current policy guidance or any program administration changes that have occurred. The SPAO submits this administrative plan to the FCO for review and approval prior to use during that declared disaster.

VII. Project Administration

A. Grant Award Documents

Upon award from FEMA, WEM reviews the project and sends the Subrecipient a DMA Form 1017.

1. DMA Form 1017: State of Wisconsin Disaster Application for Federal Public Assistance for Subrecipients (Appendix B). This form highlights information including:
 - a. Breakdown of Federal, State, and Local cost shares of each PW. In a typical disaster declaration, the project shares are as follows:
 - i. Federal 75%, State 12.5%, and Local 12.5%
 - ii. If the Federal share is greater than 75%, the State and Subrecipient (Local) will split the remaining non-Federal share evenly. For example, if the Federal share is 85%, the State share and Local share will each be 7.5%.
 - b. Total completion percentage, as noted during most recent FEMA inspection
 - c. Approved Period of Performance End Date

B. Additional Damages

The Subrecipient has 60 days from the RSM with FEMA to notify WEM and FEMA of any newly discovered damages. FEMA reviews the information and, if justified, requests that inspectors survey the newly discovered damage.

C. Dun & Bradstreet (DUNS) Number

The DUNS Number is a unique nine-digit number that identifies a company as being unique from any other in the Dun & Bradstreet Data Cloud. All Subrecipients are required to obtain a DUNS Number to receive funds under the PA Program.

D. Commercial and Government Entity (CAGE) Code

A CAGE Code is a five-character ID number assigned by the Department of Defense's Defense Logistics Agency (DLA). The CAGE Code provides a standardized method of identifying a given legal entity at a specific location. Per federal regulation, all Subrecipients are required to obtain and maintain a CAGE Code to receive federal funds.

E. Project Reconciliation, Closeout, and Payment

To ensure a timely closeout process, the Subrecipient should notify the Recipient immediately as it completes each small and large project. Submission of supporting documentation for closeout must be made to the Recipient within 90 days of either the period of performance end date or project completion date (whichever occurs first). For administrative projects (Category Z PWs), supporting documentation must be submitted for closeout within 90 days of the period of performance end date. The Recipient will then submit projects to FEMA for closeout within 180 days from the POP end date or completion date (whichever occurs first) of the last small project, the POP end date or completion date (whichever occurs first) of a large project, or the POP end date for an administrative project as applicable. The period of performance end date for each grant as well as the completion date for each project is tracked in WEM's EM Grants Pro system. Necessary grant requirements are based off the dates recorded in this system.

Payment will be made in accordance with this administrative plan and the guidelines published in 44 CFR Part 206.205 Payment of claims.

Payment on projects will not occur until project worksheets have been approved by both FEMA and the State, and the proper forms and supporting documentation have been signed and returned by the Subrecipient.

Project worksheets will be obligated in one of four types depending on the size of the project (small or large) and the percentage complete at the time of FEMA inspection. Each project will be obligated separately once FEMA and the State have approved the project and the internal obligation process has been completed. Depending on the type of category a project falls into, will also determine the closeout process and documentation required for closeout. Please see below for detailed obligation and closeout information on all four categories:

1. Small Projects 100% Complete at time of FEMA Inspection

a. Obligations:

- i. Sign the DMA Form 1017 and submit. This form is very important, as it is the first signed document between you and the State for a particular project. Your signature communicates that you acknowledge the dollar amounts listed in state and federal shares and understand your local share requirements. It lists percentage of work completed, which is 100%; in other words, you already completed all physical work required for this project. If this is not the case, you should notify our office immediately.
- ii. If the project is 100% complete, sign the Project Completion Certification Form (P.4. Form) and submit. FEMA has notified our office that your project is 100% complete, as long as that is accurate, this form can be signed and submitted to us right away. Again, if this is not the case, you should notify our office immediately. Once we receive this form, it triggers that we need to close out your project and begin the reimbursement process. Please also ensure that you fill in the two lines on the P.4 form that ask for the following information:
 - Final amount expended to complete the project. Please provide *actual dollar amounts*. Since you have a small project, you are guaranteed reimbursement for the amount listed on the 1017 and P.4 forms, regardless if you experienced an overrun or underrun. We simply assume any excess funds you might receive will be used toward mitigating future damages and like to track that information.
 - Date that all physical work was completed. We want to know when work was completed on the project. If you do not know the exact date, please use your best guess. We want to make sure that you properly incurred costs within the period of performance.
- iii. After all these steps are done and the proper forms have been signed and received by WEM, the closeout process begins.

b. Closeout:

- i. Once the proper forms are signed and submitted (1017 and P.4 forms), WEM can request reimbursement from the WEM Finance Department for that project. The check request will consist of the Federal and State shares of the eligible amount.
- ii. When the closeout specialist for your project has received a check from the Finance Department, the check will be mailed to you.
- iii. Once the check is mailed and received by the Subrecipient, the project is considered closed by WEM.

2. Small Projects Not Completed at FEMA Inspection

a. Obligations:

- i. Sign the DMA Form 1017 and submit. This form is very important, as it is the first signed document between you and the State for a particular project. Your signature communicates that you acknowledge the dollar amounts listed in state and federal shares and understand your local share requirements. FEMA approves the amounts listed on the form based upon estimates provided to your FEMA project specialist. The 1017 form lists percentage of work completed at the time of FEMA inspection, which is less than 100% for this category.
- ii. Quarterly Report Forms for small projects in this category will be required. FEMA requires that project managers update our office on progress made, problems encountered, and other information every quarter of the Federal Fiscal Year (FFY) for large projects. The State is now also requiring a quarterly report form for small projects that were not completed at the time of FEMA inspection so that our office can track the progress made. Requiring a quarterly report from small projects will help us keep up to date on progress and in the event that time extensions are needed. Also, the form will help trigger the closeout process in our office once a project is 100% complete. In the event that a Project Completion form (P.4) was signed pre-emptively, this form will be extremely important.

These quarterly report forms will come electronically to the Primary Contact e-mail address that is in our records (another reason to ensure the contact information for each Subrecipient is up-to-date). The Primary Contact person can expect the Quarterly Report e-mail on or around the following dates:

- January 1-15, report on FFY Quarter 1 (October 1 through December 31)
 - April 1-15, report on FFY Quarter 2 (January 1 through March 31)
 - July 1-15, report on FFY Quarter 3 (April 1 through June 30)
 - October 1-15, report on FFY Quarter 4 (July 1 through September 30)
- iii. Maintain documentation and records of work completed, payments made, and permits obtained. We need to verify documentation at closeout to ensure that all expenditures are eligible. Please maintain copies of invoices, bills, receipts, proof of payment (e.g. cancelled checks or a bank statement showing payment to payee listed on invoice), timecards, rental agreements for equipment, etc. Please save copies of all permits obtained or any consultation you do with a permitting agency (e.g. Wisconsin DNR, Army Corps of Engineers, local zoning authorities, etc.). Our office will ask for documentation to prove that the scope of work identified in your awarded project was the work that was done, as well as a picture of the completed work. For example, if the scope of work requires you to replace a 48" x 30' corrugated metal culvert, we will want to see documentation that shows that culvert was replaced and we want to see a photograph of the completed work.
 - iv. Once the project is 100% complete, sign the Project Completion Certification Form (P.4. Form) and submit. Do not submit this form until you have completed all physical work, including site restoration, on the project. This form signals that you are ready to close your project and that our office should follow-up with you to obtain documentation. Please fill in the two lines that ask for the following information:
 - Final amount expended to complete the project. Please provide *actual dollar amounts*. Since you have a small project, you are guaranteed reimbursement for the amount listed on the 1017 and P.4 forms, regardless of if you experienced an overrun or underrun. We simply assume any excess funds you might receive

will be used toward mitigating future damages and like to track that information.

- Date that all physical work was completed. We want to know when you completed work on the project. If you do not know the exact date, please use your best guess. We want to make sure that you properly incurred costs within the period of performance.

b. Closeout:

- i. Once the proper documents are signed and submitted, the closeout process will begin.
 - WEM will reimburse the Federal share of the project worksheet eligible amount once the 1017 Form has been signed and submitted.
- ii. The closeout specialist will ask you to provide documentation proving that the work was completed. Again, we are not checking for cost overruns or underruns, rather we are looking that the work was properly completed according to the scope of work. If the work was not done in accordance with the approved scope of work, you will jeopardize the funding of you project. FEMA has the ability to de-obligate all funds. This is why it is so important to review your project and ensure you are following it. If not, let our office know BEFORE you begin doing work outside of the approved scope of work.
 - WEM will reimburse the state share of the project worksheet eligible amount once the P.4 form has been signed and submitted, and the conditions outlined previously are met.
- iii. If a Subrecipient has a significant net overrun after completion of all small projects, the Subrecipient may submit a written appeal within sixty (60) days following the completion date of the last small PW. All requests for FEMA's approval must contain documentation needed to support the eligibility of all claimed work and costs. Small project cost overruns are reviewed by the State PA staff and then submitted to FEMA with recommendation from the State. A PW is prepared and additional funds are obligated by FEMA if the overrun is approved. The State forwards FEMA's determination to the Subrecipient with a recommendation for further action, if appropriate. Changes in the approved scope of work or cost increases.

3. Large Projects 100% Complete at time of FEMA Inspection

a. Obligations:

- i. Sign the DMA Form 1017 and send the signed form back to WEM. This form is very important, as it is the first signed document between you and the State for a particular project. Your signature communicates that you acknowledge the dollar amounts listed in state and federal shares and understand your local share requirements. It lists percentage of work completed, which is 100%; in other words, you already completed all physical work required for this project. If this is not the case, you should notify our office immediately.
- ii. If the Project is 100% complete, sign the Project Completion Certification Form (P.4. Form) and submit. FEMA has notified our office that your project is 100% complete, as long as that is accurate the P.4 form can be signed and submitted right away. Again, if this is not the case, you should notify our office immediately. Once we receive this form, it tells our office that we need to close out your project and begin the reimbursement process. Please also ensure that you fill in the two lines on the P.4 form that ask for the following information:
 - Final amount expended to complete the project. Please provide *actual dollar amounts*. Since you have a large project, you are guaranteed reimbursement for

the amount you *actually* spend, which should be the same as the amount listed on the 1017 and P.4 forms, since all work is completed.

- Date that all physical work was completed. We want to know when you completed work for each. If you do not know the exact date, please use your best guess. We want to make sure that you properly incurred costs within the period of performance.

b. Closeout:

- iv. Once the proper forms are signed and submitted (1017 and P.4 forms), WEM can request a check from the Finance Department for that project. The check request will consist of the Federal and State shares of the eligible amount.
- v. When the closeout specialist for your project has received a check from the Finance Department, the check will be mailed to you.
- vi. Once the check is mailed and received by the Subrecipient, the project is considered closed by WEM.

4. Large Projects Not 100% Complete at time of FEMA Inspection

a. Obligations:

- i. Sign the DMA Form 1017 and submit. This form is very important, as it is the first signed document between you and the State for a particular project. Your signature communicates that you acknowledge the dollar amounts listed in state and federal shares and understand your local share requirements. FEMA approves the amounts listed on the form based upon estimates provided to your FEMA project specialist.

The 1017 form lists percentage of work completed, which is less than 100%; in other words, you did not complete all physical work required for this project by the time FEMA and WEM wrote and approved the project. We are only able to pay actual costs for large projects after FEMA approves project closeout because this is a reimbursement program only.

- ii. Quarterly Report Form Submission are required by both FEMA and the State for large projects that were not completed at the time of FEMA inspection. FEMA requires that you update our office on progress made, problems encountered, and other information every quarter of the Federal Fiscal Year (FFY). These quarterly report forms will come electronically to the Primary Contact email address we have on file on or around the following dates:

- January 1-15, report on FFY Quarter 1 (October 1 through December 31)
- April 1-15, report on FFY Quarter 2 (January 1 through March 31)
- July 1-15, report on FFY Quarter 3 (April 1 through June 30)
- October 1-15, report on FFY Quarter 4 (July 1 through September 30)

Alert our office if you experience budget overruns or unexpected problems/delays! FEMA scrutinizes large projects to a high degree. Please let us know if you run into any problems, so we can work to request additional funds, time extensions, or anything else to keep your project open and all costs eligible. You are not guaranteed increased funding or time extensions to perform work.

- iii. Maintain documentation and records of work completed, payments made, contracting/bidding documents, and permits obtained: We need to verify documentation at closeout of all work to ensure that all expenditures are eligible. Please maintain copies of:

- Invoices, bills, receipts, proof of payment (e.g. cancelled checks or a bank statement showing payment to payee listed on invoice), time cards, rental agreements for equipment, etc.

- Any permits obtained or any consultation you do with a permitting agency (e.g. Wisconsin DNR, Army Corps of Engineers, State Historic Preservation Office, local zoning authorities, etc.).
- Bidding documentation (advertisements, bid specs/tabs, etc.)
- Copies of contracts signed with contractors

Our office will ask for copies of all above documentation on work that was not reflected in the “completed work” portion of the scope of work when we work to close out your project.

- iv. Once the project is 100% complete, sign the Project Completion Certification Form (P.4. Form) and submit. Do not submit this form until you complete all physical work, including site restoration, on the project. This form signals that you are ready to close your project and that our office should follow up with you to obtain documentation. Please fill in the two lines that ask for the following information:
 - Final amount expended to complete the project. Please provide *actual dollar amounts*. We need to request reimbursement from FEMA on actual costs, and your final form should reflect these costs.
 - Date that all physical work was completed. We want to know when you completed work on the project. If you do not know the exact date, please use your best guess. We want to make sure that we can demonstrate to FEMA that you properly incurred costs within the period of performance.
- b. Closeouts:
 - i. Once the State has received the proper forms, the closeout specialist will ask you for all supporting documentation related to the project. Please see the attached “Large Project Closeout Documentation” section for a detailed list of what documentation will be required. You must provide documentation to support the actual costs of the project within 90 days of work completion.
 - ii. The closeout specialist will then audit the work that was done to ensure it is within the approved scope of work. Invoices and proof of payments will be audited and tracked in a Large Documentation Summary that will be submitted to FEMA with all the backup documentation for each cost.
 - iii. Once the closeout specialist is satisfied with the audit, the documentation will be sent to FEMA with a letter asking for closeout. FEMA will then audit the files as well to ensure the work done was within the approved scope of work.
 - If the work was within scope, they will approve the project based on actual costs.
 - If there is documentation missing or clarification needed, FEMA will contact our office and ask us to follow up with the project manager on the missing details.
 - If the work went outside of the scope of work, you will run the risk of jeopardizing funding for the project. FEMA does have the ability to de-obligate all funds which is why it is extremely important to follow the approved scope of work and to contact our office if there are questions, concerns, or a need to change something.
 - iv. If the project is approved, you will have to sign and submit updated 1017 and P.4 forms that have the new amounts based on actual costs. Once the office receives the updated signed forms, the Federal and State shares will be reimbursed, and the project closed.

5. Large Project Documentation Requirements for Payment and Closeout

- a. Summary of Expenditures – include a spreadsheet or coversheet that summarizes the expenses you are claiming for your project.
 - i. Force Account Labor
 - Labor Costs and Records
 - Fringe Benefits
 - Personnel Pay Policies
 - ii. Force Account Equipment/Supplies
 - Salvage Value
 - Equipment Rates
 - iii. Force Account Materials
 - iv. Contracts
 - Procurement Procedures
 - Invoices/Canceled Checks
 - Price Analysis to determine reasonableness of cost
 - Scope of Work
 - Type of Contract:
 - Related Correspondence
 - Bid Documents – Engineering/Architectural and Construction Work must be bid out
 - Contracts – Copy of any Signed Contract
 - Change Orders
- b. Applicable Codes and Standards
- c. Documentation of Any Required Environmental Compliance
- d. Other Backup Documentation as needed
 - i. Invoices, Time Sheets, Work Orders – proof of payment for each
 - ii. Photos
 - iii. Issues Identified in the Comment Field of the DSR/PW
 - Documentation Requirements
 - Insurance Requirements
 - Special Considerations
 - Environmental Concerns
 - Insurance Issues
 - Compliance with Historic Preservation Requirements
 - iv. Time Extensions – include any time extensions you requested from the State or FEMA, if you do not have one submit a request at this time. Your request should state why the project was completed after the default completion date indicated on your project worksheet.
 - v. Work Completion Date – document the day the work was completed.

6. Stafford Act Section 705

Stafford Act Section 705 imposes a 3-year limit on FEMA’s authority to recover payments made to SLTT government Recipients and Subrecipients unless there is evidence of fraud. Section 705 does not apply to PNPs. To ensure consistent application of the provisions contained in Section 705, FEMA issued Recovery Policy (FP 205-081-2), *Stafford Act Section 705, Disaster Grant Closeout Procedures*, which describes the limitations and requirements in detail.

F. Improved Project Requests

A Subrecipient requests an improved project if they desire to make improvements to a facility that go above and beyond the pre-disaster function of a damaged facility. The Subrecipient must fill out and submit a Scope of Work Change Request form to obtain State and FEMA approval prior to the start of construction. If approved, federal funding for improved projects will be limited to the lesser of original federal share of the approved estimate of eligible costs or the federal share of the actual costs of completing the improved project.

G. Alternate Project Requests

A Subrecipient requests an alternate project when they determine that the public welfare would not be best served by restoring a damaged public facility or the function of that facility. The Subrecipient must fill out and submit a Scope of Work Change Request form to obtain State and FEMA approval prior to the start of construction. The alternate project option may be exercised only on permanent restorative work. If approved, federal funding for alternate projects will be limited to the lesser of original federal share of the approved estimate of eligible costs or the federal share of the actual cost of completing the alternate project. Funds contributed for alternate projects may be used to repair or expand other selected public facilities, to construct new facilities, or to fund hazard mitigation measures. These funds may not be used to pay the non-Federal share of any project, nor for any operating expense.

H. Time Extensions

The approved period of performance for each awarded project should be tracked by the Subrecipient. If work cannot be completed within the approved period of performance, the Subrecipient must request a time extension for each separate project by filling out and submitting a time extension request form. WEM will review the time extension request. Requests for time extensions beyond WEM's approval authority will be submitted to FEMA Region V for consideration. If a time extension is approved, WEM will notify the Subrecipient of the revised period of performance, as well as notify FEMA, if approved under State authority, by submitting a Change Request in EMMIE and uploading the necessary documentation.

I. Scope of Work Changes

The Subrecipient may request a change in the scope of work of their project. The Subrecipient must fill out and submit a Scope of Work Change Request form to obtain State and FEMA approval prior to the start of construction. The SPAO evaluates the request and submits a request and recommendation to FEMA Region V for consideration.

J. Recoupment of Funds

If repayment of any portion of federal and/or state share is necessary for any reason, the repayment to the State must be made within 30 days of notification. A Subrecipient will be notified via letter of the reasoning for the recoupment of funds.

K. Appeals

A Subrecipient may appeal any determination previously made by FEMA or the State related to Federal assistance. The Applicant must submit a written appeal to the Recipient within 60 days of receiving FEMA's written notification of its determination (FEMA's eligibility determination or first appeal decision). The Recipient must forward the appeal with its written recommendation to FEMA within 60 days of its receipt of the appeal. If either the Applicant or Recipient does not meet the respective 60-day deadlines, FEMA will deny the appeal as untimely.

If the total actual cost of all a Subrecipient's small projects combined exceeds the total amount obligated for all the small projects, the Subrecipient may request additional funding.

The Subrecipient must request the additional funding through the appeal process within 60 days of work completion on its last small project. FEMA refers to this as a Net Small Project Overrun (NSPO) appeal. The appeal must include actual cost documentation for all small projects that FEMA originally funded based on estimate amounts.

L. Disaster Period of Performance and Liquidation Extensions

The prime award POP begins on the first day of the incident period and initially extends four years from the declaration date. Project extensions cannot exceed the Recipient's prime award POP. Therefore, the Recipient must request FEMA approval for an extension to the prime award POP if it anticipates project work to extend beyond the end of the prime award POP.

M. Disaster/PA Grant Program Closeout

The Recipient must submit its final FFR (SF-425) with a written request to close the PA award. FEMA and the Recipient certify that all work was completed, all eligible costs have been reimbursed, and financially reconciled. The PA program is programmatically closed when FEMA ensures that all PA projects awarded for the incident met statutory and regulatory requirements. The Recipient must liquidate all obligations within 90 days of the end of the prime award period of performance (or request an extension from FEMA).

N. Financial Management

1. To start the Public Assistance Program Account, immediately following a major disaster declaration, the GAR provides the FMO with copies of the Governor's Request for Presidential Declaration, the President's Declaration of Major Disaster, the FEMA-State Agreement, and the Grant Summaries. The FMO establishes separate accounts for Federal and State disaster funds. WEM accounts for these funds through pay-in and pay-out vouchers prepared and maintained by the FMO and DMA. Damage assessment information determines an estimate of the amount of Public Assistance Program funds needed. After project worksheet formulation and validation, funds are obligated based on approved grants.
2. The federal share of a small project is distributed after the Subrecipient has signed the Form 1017 and the state share is distributed after the project is complete and all closeout requirements have been met. Large project funds are distributed on a reimbursement basis only. Exceptions for advance payments will only be made on a case-by-case basis. In these cases, a Subrecipient needs to justify the amount being paid in advance. The Subrecipient must notify WEM within one week of receiving a check that funds were deposited, and work paid for by providing proof of payment.
3. Disasters will incorporate the Single Obligation drawdown process:
 - a. SMARTLINK receives single obligation in its system, making grant dollars available for drawdown.
 - b. The SPAO submits written authorization to the FMO to pay the federal and/or state share(s).
 - c. The FMO requests a drawdown only if there is an actual documented need for funds.
 - d. The FMO draws funds electronically in one of three ways:
 - i. Option 1: State FMO inputs drawdown amounts into the Payment Management System (PMS) by subaccount per project.
 - ii. Option 2: State FMO downloads a spreadsheet populated with all subaccounts and inputs specific drawdown information for each subaccount/project.
 - iii. Option 3: FMO creates their own spreadsheet for specific subaccount/project.
 - e. The FMO uploads a properly formatted spreadsheet to the PMS outlined in a FEMA-provided job aid.
 - f. WEM receives the funds and disburses to the Subrecipient by project.
4. In most cases, checks will be mailed directly to the Subrecipients. If a Subrecipient reports a check as lost, WEM will seek action to recover them after ten (10) working days have

elapsed from the mailing date. If the check is not recovered at that time, the FMO requests in writing that the State Treasury stop payment on the check. If the check is not cashed, the Treasury sends the FMO a State Treasury Stop-Payment Affidavit. The FMO forwards the affidavit with the formal letter to the Subrecipient. The affidavit must be signed and returned by the Subrecipient. On receipt of the completed affidavit, the State Treasury will reissue the check.

5. Every effort will be made to avoid instances where a Subrecipient receives more funds than can be supported by inspection, review, or audit. The requirement that all disbursements be thoroughly documented prior to disbursement of funds is a fiscal control and should limit, if not eliminate, excess advanced funds. If an overpayment is discovered prior to final payment and closeout, the SPAO deducts the overpayment from funds still due to the Subrecipient, and the remaining balance will be paid. If the overpayment exceeds the amount of the final payment, the SPAO will withhold all funds and request the balance from the Subrecipient. The SPAO returns the withheld funds to FEMA by making an offsetting entry on PMS with the FMO. If the Subrecipient refuses to repay the overpayment, or any part of it, the SPAO will refer the case to the DMA Legal Counsel for initiation of collection efforts. The SPAO will keep FEMA informed of the status of such cases.

VIII. Definitions

Alternate Project - A subgrantee may determine that the public welfare would not be best served by restoring a damaged facility or its function to the pre-disaster design. In this event, the subgrantee may use the Public Assistance grant for permanent restoration on that facility for other purposes. Projects other than the damaged facility on which the subgrantee spends eligible funds are referred to as alternate projects.

Applicant - A State, county, local, Indian Tribal government, other legal entity, or certain private nonprofit organizations that receive a subgrant award and which is accountable to the Recipient for the use of the funds provided. Also referred to as the Subrecipient.

Consolidated Resources Center (CRC) – Permanent FEMA offices where subject matter experts and specialized resources provide support for all PA operations. CRC responsibilities include project scoping, costing, validation, and compliance reviews.

Designated Area - Any emergency or major disaster-affected portion of a state which has been determined eligible for federal disaster assistance.

Duplication of Benefits - Funding received from multiple sources for the same item of work.

Emergency Protective Measures - Any action taken by a community before, during, or after a disaster to save lives, protect public health and safety, and prevent damage to improved public and private property.

Emergency Work - Work which must be done before, during, and immediately after a disaster event to save lives and to protect improved property and public health and safety or to avert or lessen the threat of a major disaster. Under the Public Assistance Program, Category A (Debris Removal) and Category B (Emergency Protective Measures) are referred to as Emergency Work.

Federal Agency - Any department, independent establishment, government cooperation, or other agency of the executive branch of the Federal government, including FEMA.

Federal Coordinating Officer (FCO) - The person appointed by the Regional Administrator of FEMA, or if absent, the Deputy Regional Administrator, to coordinate Federal assistance in a declared disaster or emergency.

Federal Emergency Management Agency (FEMA) - The Federal agency responsible for coordinating disaster recovery efforts.

Federal Share - The portion of the total project costs paid by Federal funds. Shall be no less than 75% of the total project costs.

FEMA-State Agreement - A formal legal document between FEMA and the affected State stating the understandings, commitments, terms, and conditions for assistance resulting from a Federal disaster or emergency declared by the President. The FEMA Regional Director and the Governor sign the document.

Fire Management Assistance Grant (FMAG) Program - Program established in 2001 under the Disaster Mitigation Act of 2000, replacing the previous Fire Suppression Grant Program. This new program expands the range of eligible activities from the suppression of forest and grassland fires that threaten to cause major disaster to the “mitigation, management, and control” of such fires. The program also allows FEMA to provide funding for eligible local government activities and for emergency-related services, such as evacuations, sheltering, and search and rescue operations.

Governor's Authorized Representative (GAR) - The person designated by the Governor to execute on behalf of the State, all necessary documents for disaster assistance. In Wisconsin, the responsibilities of the GAR and the State Coordinating Officer (SCO) are generally assigned to the Administrator of Wisconsin Emergency Management (WEM) or the Director of the WEM Bureau of Response and Recovery.

Hazard Mitigation - Any cost-effective measure designed to reduce or eliminate the potential for damage to a facility from a disaster event.

Immediate Needs Funding (INF) - An advance of grant funds by FEMA, not to exceed 50% of the Preliminary Damage Assessment estimate, to assist with payment of emergency work within the first 60 days after a declared disaster occurs.

Improved Project - The use of funding to repair/rebuild a damaged facility beyond the scope of the Project Worksheet (PW) but still restore its pre-disaster function and at least the equivalent capacity.

Joint Field Office (JFO) - A temporary facility established in a Presidentially declared disaster area to serve as the field headquarters for FEMA, other Federal and State recovery personnel, and as the focal point for disaster operation, direction, coordination, and information.

Large Project - Approved projects estimated to cost the same or more than the large project threshold amount. The large project threshold is an amount of approved project estimated costs adjusted annually to reflect changes in the Consumer Price Index for all Urban Consumers. The large project threshold amount applicable to any project is that amount in effect on the declaration date of the disaster, regardless of when project approval is made or when the work is performed.

Permanent Work - Restorative work performed on damaged facilities through repairs or replacement, to pre-disaster design and current applicable standards. FEMA PA Categories C through G are referred to as permanent work. Under the Public Assistance Program, Category C (Roads and Bridges), Category D (Water Control Facilities), Category E (Buildings and Equipment), Category F (Utilities), and Category G (Parks, Recreational Facilities, and Other Items), are referred to as Permanent Work.

Pre-disaster Design - The size or capacity of a facility as originally designed and constructed or subsequently modified by changes or additions to the original design. It does not mean the capacity at which the facility was being used at the time the major disaster occurred, if different from the designed capacity.

Private Non-Profit (PNP) - Any private non-profit educational, utility, emergency, medical, or custodial care facility, including a facility for the aged or disabled, and other facility providing essential governmental type services to the general public, and such facilities on Indian reservations.

Preliminary Damage Assessment (PDA) - A joint Federal, State, and local assessment effort conducted after an event to refine, or correct, previous damage estimates for both the public and private sectors, which are used in the Governor's decision on whether or not a federal disaster assistance request is in order, and whose figures are then utilized to substantiate any such request.

Project - Work performed to a damaged facility or site to return it to the pre-disaster condition.

Project Worksheet (FEMA Form 90-91) - Form used to document the scope of work and cost estimate for a project.

Program Delivery Manager (PDMG) - A FEMA appointed, single point of contact for a Subrecipient for public assistance guidance during a declared disaster during the project development process to award.

Public Facility - The following facilities owned and/or maintained by a state or local government: any navigation, irrigation, reclamation, public power, sewage treatment and collection, water supply and distribution, watershed development, airport facility, non-federal aid street, road, or highway; and any other public building, structure, or system, including those for educational, recreational, or cultural purposes could be defined as a public facility.

Recipient - The government to which a grant is awarded, and which is accountable for the use of the funds provided. The Recipient is the entire legal entity even if only a particular component of the entity is designated in the grant award document. For purposes of this Plan and its implementation, the State is the Recipient.

Regional Administrator (RA) - An administrator of a FEMA regional office or his/her designated representative.

Small Project - Approved projects estimated to cost less than the large project threshold amount.

Special Considerations - Issues that involve insurance, floodplain management, hazard mitigation, historic preservation and environmental reviews as they relate to Public Assistance Program funding.

State Coordinating Officer (SCO) - The person designated by the Governor to act in cooperation with the Federal Coordinating Officer (FCO) to administer disaster recovery efforts. In Wisconsin the responsibilities of the SCO are generally assigned to the Administrator of Wisconsin Emergency Management or the Director of the WEM Bureau of Response and Recovery.

Subrecipient - A government, other legal entity, or certain private nonprofit organizations that receive an award and which is accountable to the Grantee for the use of the funds provided. Also referred to as the Applicant.

Volunteer Labor - Volunteer labor is reimbursed at the rate which is set by the Independent Sector which provides a national hourly rate for volunteer time every year.

Work Completion Date - The date the Subrecipient completes all work associated with the approved SOW including meeting all compliance requirements. It does not include invoice payments, warranty periods, or grant management activities (e.g., compiling and submitting documentation, financial reconciliation, requesting payment, etc.).

IX. Appendices

APPENDIX A – Applicant Eligibility

Applicant Eligibility: the following entities are eligible to apply for assistance under the Public Assistance Program:

1. State, county, and local government agencies
2. Indian tribes or authorized tribal organizations
3. Private, non-profit organizations or institutions owned or operated by a private, non-profit facility as defined by 44 CFR Part 206.221 (e).
 - a) Private, non-profit facilities: in determining eligibility, potential private, non-profit applicants will need to complete a PNP Questionnaire (Attachment C) with their Request for Public Assistance (RPA) and submit it to the SPAO for review and determination of status. The applicant is also required to provide an effective ruling letter from the US Internal Revenue Service granting tax exemption under Section 501(c), (d), or (e) of the Internal Revenue Code of 1954 or acceptance from the state for recognition as a tax exempt not for profit organization.
 - b) Facilities serving a rural community or unincorporated town or village. To be eligible for assistance, a facility not owned by an eligible applicant, as defined in 44 CFR Part 206.222, must be owned by a private, non-profit organization and provide an essential governmental service to the general public. Applications for these facilities must be submitted through the State or a political subdivision of the State.
 - c) Examples of eligible private non-profit organizations include but are not limited to educational institutions, museums, public libraries, community centers, and emergency response agencies.

Eligible private non-profit organizations that are not providing a critical function and have Permanent Work damages, must first apply to the Small Business Administration (SAB) for low-interest loans when available before being considered for public assistance grants. Eligible private non-profit organizations do not have to apply to the SBA for assistance with Emergency Work damages.

APPENDIX B – State Application for Public Assistance

**DMA FORM 1017
STATE OF WISCONSIN APPLICATION FOR PUBLIC
ASSISTANCE FOR FEDERAL ASSISTANCE SUBGRANTEES
CFDA# 97.036**

DEPARTMENT OF MILITARY AFFAIRS
Wisconsin Emergency Management
PO Box 7865
Madison, WI 53707-7865

Disaster Declaration:

Declaration Date:

Subrecipient:	Project Worksheet #:
FEMA PA Code:	Project Title:
DUNS#:	Period of Performance End Date:
Tax ID:	% Complete:
County:	Category:

** To the best of my knowledge and belief, data in this application is true and correct, the documentation has been duly authorized by the governing body of the applicant, and the applicant will comply with the previously signed "Assurances for Federal Construction Programs, Federal Audit Requirements, and State Assurances of Disaster Application Subrecipients".*

SIGN HERE

SIGN HERE

(Printed name and title)

(Subrecipient's Signature)

(Date)

Total Project Amount

Total Federal Share

--	--

DISASTER APPLICATION BREAKDOWN

Federal Share		
State Share		
Local Share		
		Total Federal and State Share:

Your Disaster Application for Disaster Assistance has been: Awarded Rejected Withdrawn

**Governor's Authorized Representative
State Coordinating Officer
Deputy State Coordinating Officer**

Date

APPENDIX C – Assurances

Assurances for Federal Construction Programs, Federal Audit Requirements, and State Assurances of Disaster Application Subrecipients

SECTION 1: ASSURANCES FOR FEDERAL CONSTRUCTION PROGRAMS

Selected Definitions:

- “Federal award” refers to the Federal financial assistance that a non-Federal entity receives directly from a Federal awarding agency or indirectly through a pass-through entity (2 C.F.R. § 200.38);
- “Pass-through entity” means a non-Federal entity that provides a subaward to a subrecipient to carry out part of a Federal program (2 C.F.R. § 200.74);
- “Non-Federal entity” refers to a state, local government, Indian Tribe, institution of higher education (IHE), or nonprofit organization that carries out a Federal award as a subrecipient (2 C.F.R. § 200.69);
- “Recipient” means a non-Federal entity that receives a Federal award directly from a Federal awarding agency to carry out an activity under a Federal program (2 C.F.R. § 200.86); “Subaward” means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a federal program (2 C.F.R. § 200.92);
- “Subrecipient” means a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program; but does not include an individual that is a beneficiary of such program (2 C.F.R. § 200.93);

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the Federal awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.

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4. Will comply with the requirements of the Federal awarding agency (Federal Emergency Management Agency) and Recipient (Wisconsin Emergency Management) with regard to the drafting, review, and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms to the approved plans and specifications and will furnish progress reports and such other information, as may be required, by the Federal awarding agency (Federal Emergency Management Agency) and Recipient (Wisconsin Emergency Management).
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the Federal awarding agency (Federal Emergency Management Agency) and Recipient (Wisconsin Emergency Management).
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A or OPM's Standards for a Merit System of Personnel Administration (5 CFR 900, Subpart F) which require, as a condition of participation in assistance programs, that State and local agencies that receive grants establish merit personnel systems for their personnel engaged in administration of the federal grant-aided program.
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4821 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all federal statutes relating to non-discrimination. These include but are not limited to:
 - a. Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color, or national origin;
 - b. Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex;
 - c. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps;
 - d. The Age Discrimination Act of 1975 as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age;
 - e. The Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to non-discrimination on the basis of drug abuse;
 - f. The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to non-discrimination on the basis of alcohol abuse or alcoholism;
 - g. §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended relating to confidentiality of alcohol and drug abuse patient records;

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- h. Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§ 3601 et seq.), as amended relating to non-discrimination in the sale, rental or financing of housing;
 - i. Any other non-discrimination provisions in the specific statute(s) under which application for Federal assistance is being made, and
 - j. The requirements on any other non-discrimination statute(s) which may apply to the application.
11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 3145 and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 3101-3701) regarding labor standards for federally-assisted construction subawards.
14. Will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and purchase flood insurance.
15. Will comply with environmental standards which may be prescribed pursuant to the following:
 - a. Institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514;
 - b. Notification of violating facilities pursuant to EO 11738;
 - c. Protection of wetlands pursuant to EO 11990;
 - d. Evaluation of flood hazards in floodplains in accordance with EO 11988;
 - e. Assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.);
 - f. Conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§ 7401 et seq.);
 - g. Protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and
 - h. Protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) relating to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470), EO 11593 (identification and protection

of historic properties), and the Archaeological and Historic Preservation Act of 1974 as amended by P.L. 113-287 (54 U.S.C. §§ 3011-3071).

18. In accordance with E.O. 12549, entities that are debarred, suspended, or otherwise declared ineligible for federal funding cannot be involved with the Public Assistance process. Applicants must check the federal System for Award Management (SAM) at <https://www.sam.gov> to ensure that any contractor used in performing Public Assistance activities is eligible for federal funding.
19. Will comply with the required financial and compliance audits in accordance with the Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards (2 CFR§200 et seq.).
20. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SECTION 2: FEDERAL AUDIT REQUIREMENTS

All non-Federal entities, to include State Governments, Native American Tribal Governments, Local Governments, Institutions of Higher Education, Hospitals or other Non-Profit Organizations, that expend \$750,000.00 or more during the non-Federal entity's fiscal year in Federal awards must have a single or program-specific audit conducted for that year in accordance with the provisions in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR §200 Subpart F).

If required to undergo a single or program-specific audit, the subrecipient should submit an electronic copy of the Audit Reporting Package (including Form SF-SAC) to the Federal Audit Clearinghouse (FAC) at: <https://harvester.census.gov/facides/>.

Once the Audit Reporting Package is filed with the FAC, email Wisconsin Emergency Management (WEM) at: DMASingleAudits@wisconsin.gov to notify us that the Audit Reporting Package has been submitted.

SECTION 3: STATE ASSURANCES OF DISASTER APPLICATION SUBRECIPIENTS

In accordance with the State Department of Military Affairs, Wisconsin Emergency Management Division State Administrative Plan, as a subrecipient, I agree to the following:

1. Subrecipient Duties
 - a. The subrecipient shall perform the tasks specified in the State Administrative Plan and shall complete the tasks therein during the period specified in the Federal-State Agreement dated 2016.
2. Terms for Reimbursement
 - a. The Department of Military Affairs, Wisconsin Emergency Management Division, shall reimburse the subrecipient their eligible costs incurred by the Subrecipient in accordance with their "Disaster Application for Federal Assistance for Subgrantees." This reimbursement will be made from funds made available through the Federal Emergency Management Agency (P.L. 93-288 as amended by P.L. 100-707) and the State Legislature. The subrecipient shall be reimbursed only for those costs

specified in the approved “Disaster Application for Federal Public Assistance for Subgrantees” and amendments thereto.

- b. The Department of Military Affairs, Wisconsin Emergency Management Division, shall reimburse the Federal and State shares to the subrecipient in accordance with the requirements specified in the Federal-State Agreement.
 - c. All claims for reimbursement shall be supported by written documentation including, but not limited to, receipts, invoices, bidding documents, procurement plans, equipment logs, materials logs, and personnel/payroll data.
 - d. Reimbursement for costs will not be paid on any encumbrance made by the subrecipient prior to the dates as specified in an approved grant or for purposes that fall outside of the scope of the approved project without approval by both the Federal awarding agency, Federal Emergency Management Agency, and pass-through entity, Department of Military Affairs, Wisconsin Emergency Management Division.
3. Records and Documentation
- a. The subrecipient shall be responsible for keeping records that fully disclose the amount and disposition of funds at all times and the total costs of each project for which the funds are provided. The accounting procedures utilized by the subrecipient shall provide for the accurate and timely recording of the receipt of funds and expenditures.
 - b. The books, records, documents and accounting procedures and practices of the subrecipient relevant to this agreement are subject to examination by the pass-through entity, Department of Military Affairs, Wisconsin Emergency Management Division, by either the legislative auditor or State auditor, as appropriate, and by the Federal awarding agency.
 - c. All subrecipients shall provide written quarterly progress reports on a form prescribed by the Department of Military Affairs, Wisconsin Emergency Management Division through the State’s formal closeout request to FEMA Region V.
4. Miscellaneous
- a. When the Department of Military Affairs, Wisconsin Emergency Management Division, finds that there has been a failure to comply with the provisions of this agreement or with the provision of the “Disaster Application for Federal Assistance for Subgrantees,” or that the purposes for the funds have not been, or will not be fulfilled, notwithstanding any other provisions of this agreement to the contrary, the Department of Military Affairs, Wisconsin Emergency Management Division, as the pass-through entity, may take such action as it deems necessary and appropriate to protect the interest of the Federal awarding agency and the State of Wisconsin, including:
 - Temporarily withhold cash payments pending correction of the deficiency by the Subrecipient or more severe enforcement action by the Federal awarding agency (Federal Emergency Management Agency) or pass-through entity (Department of Military Affairs, Wisconsin Emergency Management Division).
 - Disallow (that is, deny both use of funds and any applicable matching credit for) all or part of the cost of the activity or action not in compliance.
 - Wholly or partly suspend or terminate the Federal award.
 - Initiate suspension or debarment proceedings as authorized under 2 CFR part 180 and Federal awarding agency regulations (or in the case of a pass-through entity, recommend such a proceeding be initiated by a Federal awarding agency)

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- Withhold further Federal awards for the project or program.
 - Take other remedies that may be legally available, such as referring cases of documented fraud, waste and abuse to the Office of Inspector General for further prosecution.
- b. The subrecipient agrees to indemnify and save and hold the Department of Military Affairs, Wisconsin Emergency Management Division, its agents and employees harmless from all claims or causes of action arising from the performance of this grant by the subrecipient or subrecipient's agent or employees.
- c. The Department of Military Affairs' authorized agent for the purposes of this contract is Jeff Whittow, Fiscal Services Specialist at Wisconsin Emergency Management.

By signing below, I hereby agree that my jurisdiction/agency will abide by all terms and conditions of the preceding documents:

Name of Authorized Certifying Official (Print) Title

Signature of Authorized Certifying Official Date

Applicant Organization

Applicant County

APPENDIX D – Project Completion and Certification Form (P.4)

Subrecipient:	Mailing Address:	Disaster:
Project Worksheet #:	Project Title:	Category:
% Complete:	Period of Performance End Date:	Project Total Cost: Federal Share: State Share: Federal/State Share:

My signature on this document certifies:

- All work completed and costs claimed are eligible and in accordance with the grant conditions, the State-Local Agreement, and FEMA-State Agreement.
- All work claimed has been completed and all costs claimed have been documented and paid in full.
- Project Worksheet Conditions were met and documentation submitted.
- Actual amount expended to complete this project: \$ _____
- Construction and physical work for this project was *actually* completed on _____

SIGNED: _____ **DATE:** _____
SUBRECIPIENT'S AUTHORIZED REPRESENTATIVE

My signature on this document certifies:

- To the best of my ability, I reviewed all expenses and documentation.
- All required documentation and permits were submitted for review.
- I recommend closeout of this project.

SIGNED: _____ **DATE:** _____
GOVERNOR'S AUTHORIZED REPRESENTATIVE

