



FLORIDA RECOVERY OBLIGATION CALCULATION INITIATIVE (F-ROC) APPLICANT ASSESSMENT

Presented by the Florida Division of Emergency
Management and KPMG



With You Today



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Course Agenda



F-ROC Process

F-ROC Score

Disaster Readiness Assessment

Abatement Plan

Post-Disaster Questionnaire

System Overview

System Demo



Four Pillars of F-ROC

01 Standardization

Form standardization simplifies the process, making it easier to submit documentation for Public Assistance.

02 Procurement

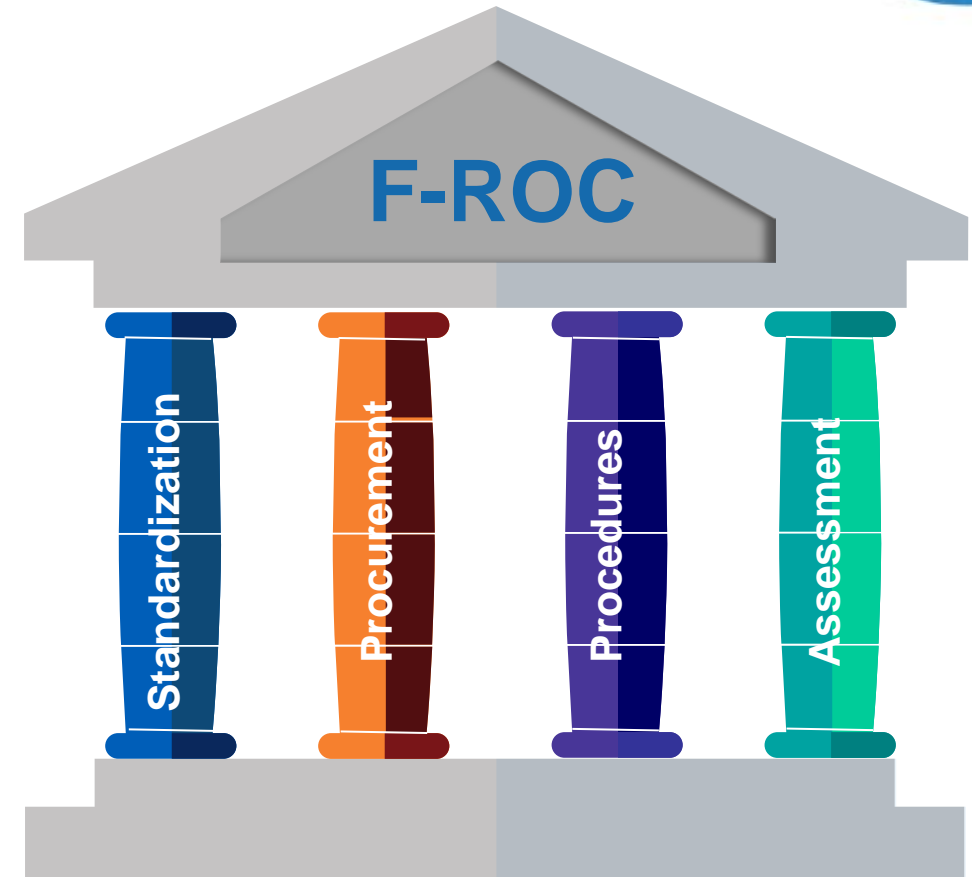
Understanding the procurement process and having contracts and vendors in place is critical in successful submission for Public Assistance.

03 Procedures

We help our Applicants prepare for events by ensuring they have a plan in place that includes policies and procedures.

04 Assessment

Our Disaster Readiness Assessment provides Applicants the insights needed for them to be successful in the F-ROC program.

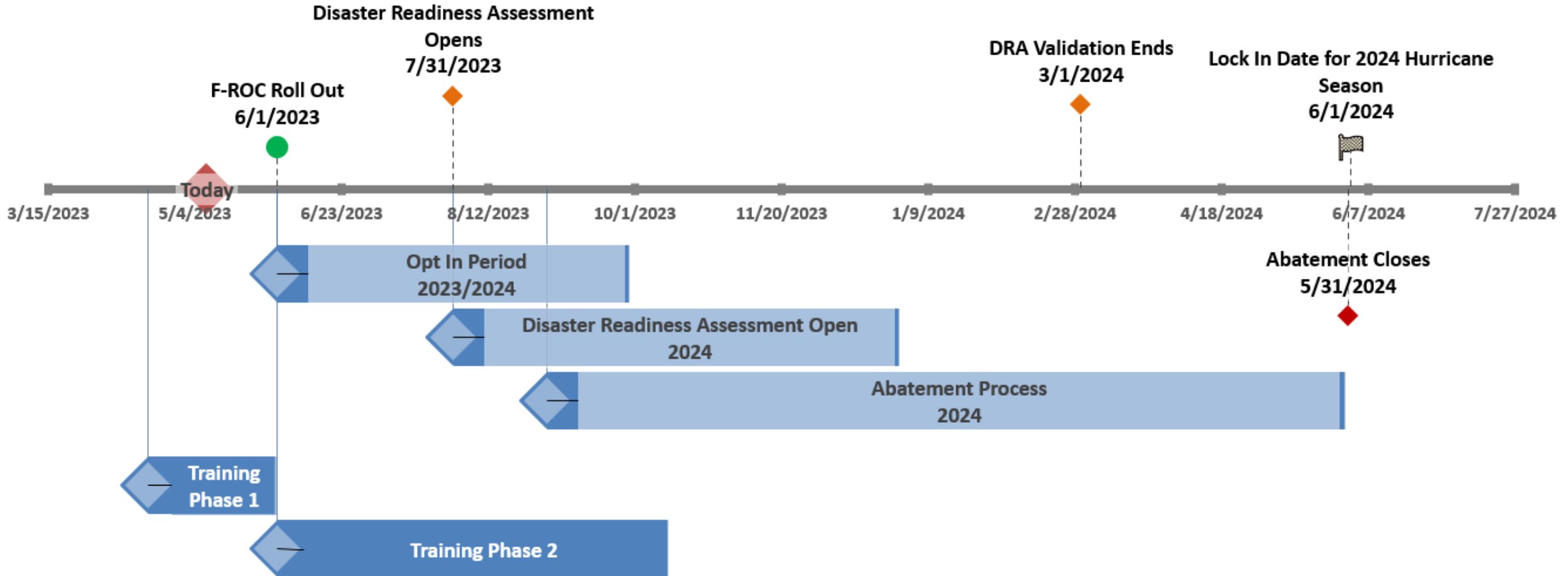




The Key to F-ROC



F-ROC Statewide Roll Out





F-ROC Score



How to Earn F-ROC Points

Disaster Readiness Assessment

- Complete Prior to Start of Hurricane Season
- Approximately 70 questions
- Earn up to 40 additional points



Post Disaster Questionnaire

- Complete after an Event
- Approximately 10 questions
- Earn up to 20 additional points

F-ROC Scoring

The Florida Iceberg! Just like the majority of an iceberg isn't visible, the majority of PA funding can be received upfront through the F-ROC process.

The **maximum F-ROC score is 80**. This score is made up of three components:

Once **validation** of supporting documents is **complete**, you will receive the remainder of the validated, obligated amount

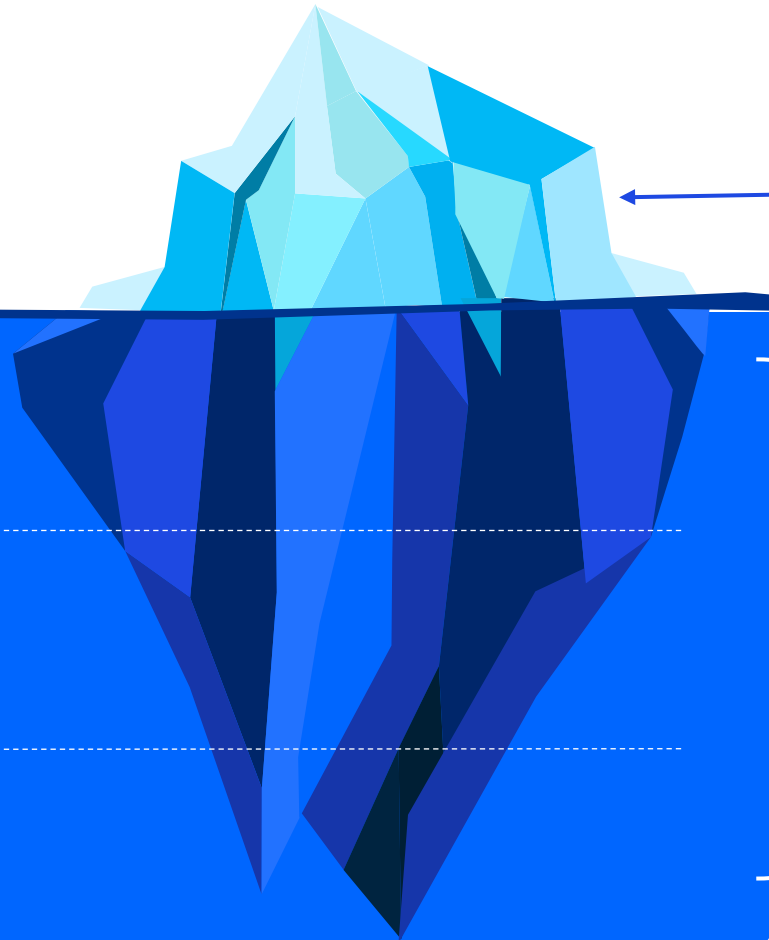
20 Post Disaster Questionnaire (F-ROC Forms and Training)

40 Disaster Readiness Assessment

20 Baseline

With F-ROC, you can receive up to **80% Funding Upfront**

*5 bonus points can be earned with EMPA accreditation.



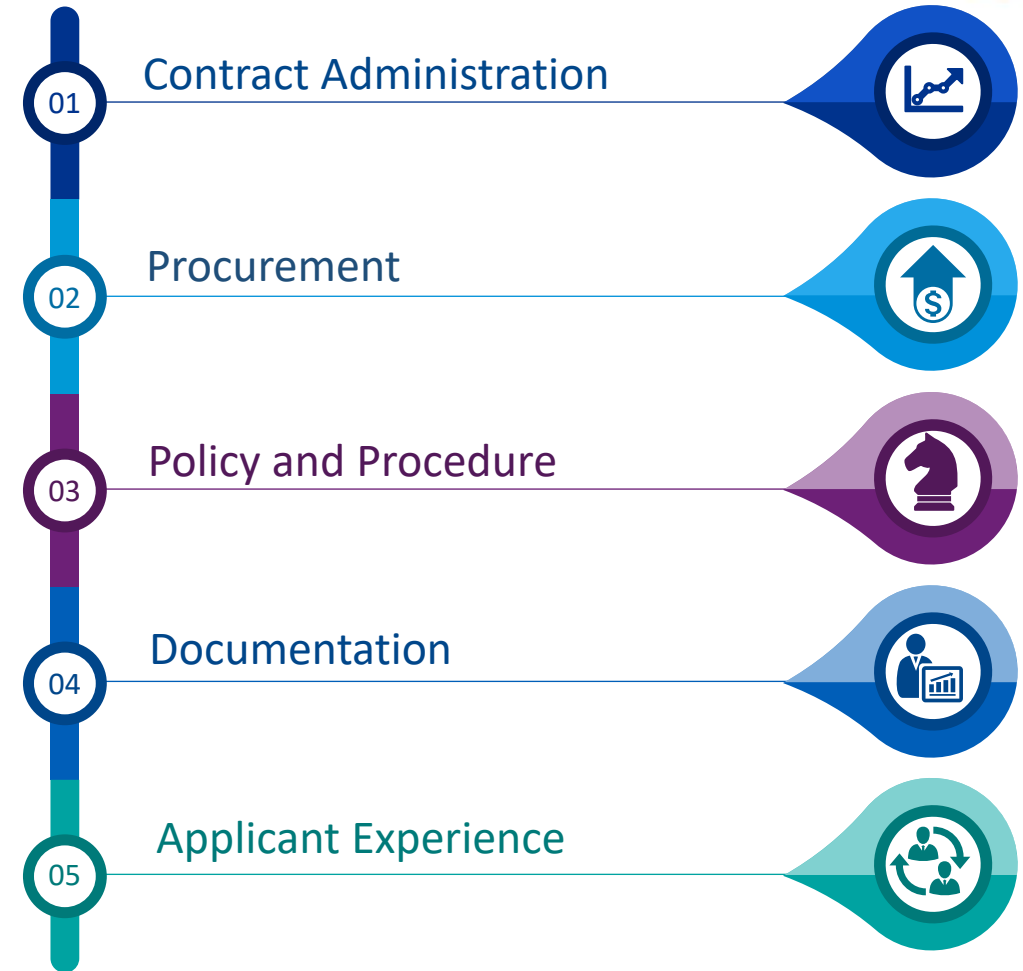


Disaster Readiness Assessment

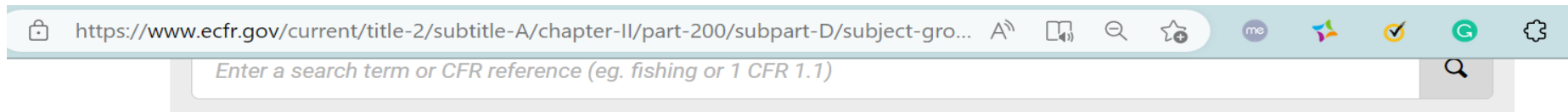
Disaster Readiness Assessment (DRA)



All Disaster Readiness Assessment questions were grouped into two categories, Category A and Category B. The questions in these two categories can then be further broken down into five sub-categories:



Assessment



Title 2 / Subtitle A / Chapter II / Part 200 / Subpart D / Procurement Standards / § 200.320

← ECFR CONTENT

- Table of Contents
- Details
- Print/PDF
- Display Options
- Subscribe
- Timeline
- Go to Date
- Compare Dates
- Published Edition

§ 200.320 Methods of procurement to be followed.

The non-Federal entity must have and use documented procurement procedures, consistent with the standards of this section and §§ 200.317, 200.318, and 200.319 for any of the following methods of procurement used for the acquisition of property or services required under a Federal award or sub-award.

(a) **Informal procurement methods.** When the value of the procurement for property or services under a Federal award does not exceed the *simplified acquisition threshold (SAT)*, as defined in § 200.1, or a lower threshold established by a non-Federal entity, formal procurement methods are not required. The non-Federal entity may use informal procurement methods to expedite the completion of its transactions and minimize the associated administrative burden and cost. The informal methods used for procurement of property or services at or below the SAT include:

(1) **Micro-purchases -**

- (i) **Distribution.** The acquisition of supplies or services, the aggregate dollar amount of which does not exceed the micro-purchase threshold (See the definition of *micro-purchase* in § 200.1). To the maximum extent practicable, the non-Federal entity should distribute micro-purchases equitably among qualified suppliers.
- (ii) **Micro-purchase awards.** Micro-purchases may be awarded without soliciting competitive price or rate quotations if the non-Federal entity considers the price to



Abatement Plan

Abatement Plan



Applicants can create a customizable Abatement Plan which will improve their DRA score.

Abatement Plan

2. Recommend the Applicant attends FDEM F-ROC training and develops and implements internal controls to identify and prevent duplication of benefits. The internal controls should be reviewed/updated at least once per year and address the use of insurance funds as well as other available grants. Upload documentation that outlines the approved internal controls. The process and established internal controls will be documented.

Question:

- Q16. Does the Applicant have specific internal controls and procedures in place for duplication of benefits?

Activity: We will attend 3 trainings.
Owner: Kevin
Due Date: 03-06-2023

3. Recommend the Applicant updates their labor policy to include language stating that the policy is applied uniformly, regardless of presidential declaration status. Upload a copy of the updated and approved policy. Review approved labor policy with employees and key stakeholders.

Question:

- Q5.b. Is the Applicant's (and all of its departments) labor policy applied uniformly regardless of a presidential declaration?

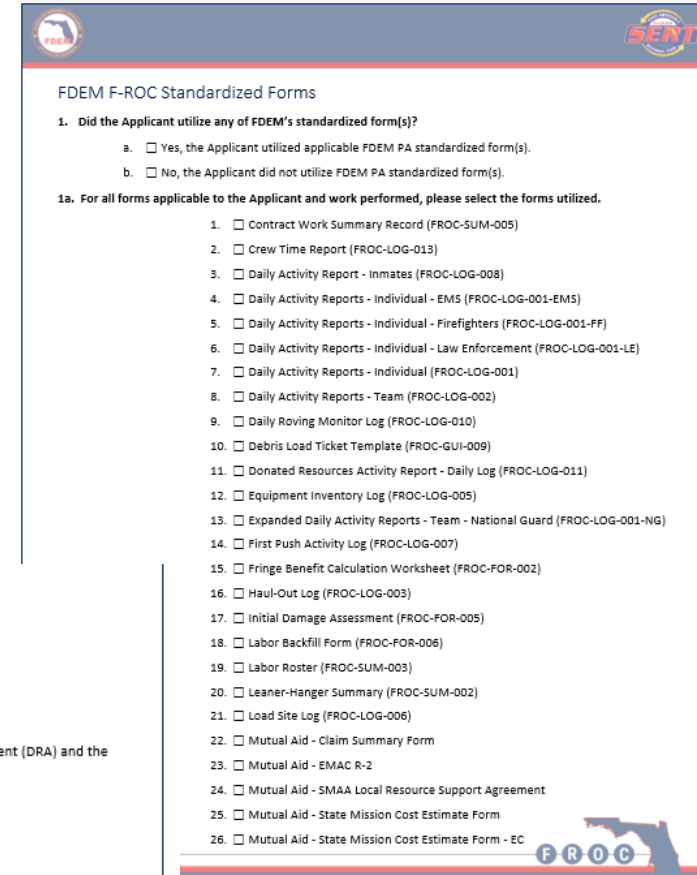
Activity: We will include a new provision in our labor policy
Owner: Randy
Due Date: 10-12-2024



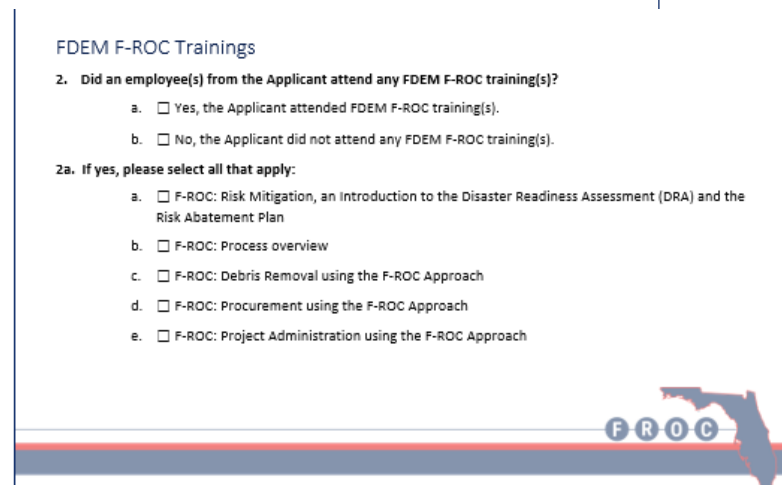
Post Disaster Questionnaire

Post Disaster Questionnaire (PDQ)

- After a presidential declaration, Applicants in the declared counties will complete the Post Disaster Assessment.
- The PDQ consists of questions related to the F-ROC forms and the F-ROC Trainings



The image shows a screenshot of a questionnaire titled "FDEM F-ROC Standardized Forms". It contains two main sections: "1. Did the Applicant utilize any of FDEM's standardized form(s)?" and "1a. For all forms applicable to the Applicant and work performed, please select the forms utilized." The first section has two options: "a. Yes, the Applicant utilized applicable FDEM PA standardized form(s)." and "b. No, the Applicant did not utilize FDEM PA standardized form(s)." The second section lists 26 different forms, each with a checkbox and a description, such as "Contract Work Summary Record (FROC-SUM-005)", "Crew Time Report (FROC-LOG-013)", "Daily Activity Report - Inmates (FROC-LOG-008)", "Daily Activity Reports - Individual - EMS (FROC-LOG-001-EMS)", "Daily Activity Reports - Individual - Firefighters (FROC-LOG-001-FF)", "Daily Activity Reports - Individual - Law Enforcement (FROC-LOG-001-LE)", "Daily Activity Reports - Individual (FROC-LOG-001)", "Daily Activity Reports - Team (FROC-LOG-002)", "Daily Roving Monitor Log (FROC-LOG-010)", "Debris Load Ticket Template (FROC-GUI-009)", "Donated Resources Activity Report - Daily Log (FROC-LOG-011)", "Equipment Inventory Log (FROC-LOG-005)", "Expanded Daily Activity Reports - Team - National Guard (FROC-LOG-001-NG)", "First Push Activity Log (FROC-LOG-007)", "Fringe Benefit Calculation Worksheet (FROC-FOR-002)", "Haul-Out Log (FROC-LOG-003)", "Initial Damage Assessment (FROC-FOR-005)", "Labor Backfill Form (FROC-FOR-006)", "Labor Roster (FROC-SUM-003)", "Leaner-Hanger Summary (FROC-SUM-002)", "Load Site Log (FROC-LOG-006)", "Mutual Aid - Claim Summary Form", "Mutual Aid - EMAC R-2", "Mutual Aid - SMAA Local Resource Support Agreement", "Mutual Aid - State Mission Cost Estimate Form", and "Mutual Aid - State Mission Cost Estimate Form - EC". The form includes logos for FDEM and SERT at the top and a FROC logo with a map of Florida at the bottom.



The image shows a screenshot of a questionnaire titled "FDEM F-ROC Trainings". It contains two main sections: "2. Did an employee(s) from the Applicant attend any FDEM F-ROC training(s)?" and "2a. If yes, please select all that apply:". The first section has two options: "a. Yes, the Applicant attended FDEM F-ROC training(s)." and "b. No, the Applicant did not attend any FDEM F-ROC training(s)." The second section lists five training options, each with a checkbox: "a. F-ROC: Risk Mitigation, an Introduction to the Disaster Readiness Assessment (DRA) and the Risk Abatement Plan", "b. F-ROC: Process overview", "c. F-ROC: Debris Removal using the F-ROC Approach", "d. F-ROC: Procurement using the F-ROC Approach", and "e. F-ROC: Project Administration using the F-ROC Approach". The form includes a FROC logo with a map of Florida at the bottom.



System Overview

System Overview



An easy to use platform leveraging automation, artificial intelligence, and a risk-based approach to help streamline the FEMA PA grants management process, identify and reduce key risks, accelerate reimbursements, maintain a centralized document repository.

Less risk

A risk-based approach, built-in governance, and a full audit trail, to help you protect federal funds from the risks of fraud, waste, and abuse, reduce the risk of de-obligation, and be audit-ready.

Accelerated reimbursements

Highly manual data collection and analysis is reduced from months to days by expediting state review of FEMA PA project documentation, allowing for faster reimbursement.



Efficiency & insights

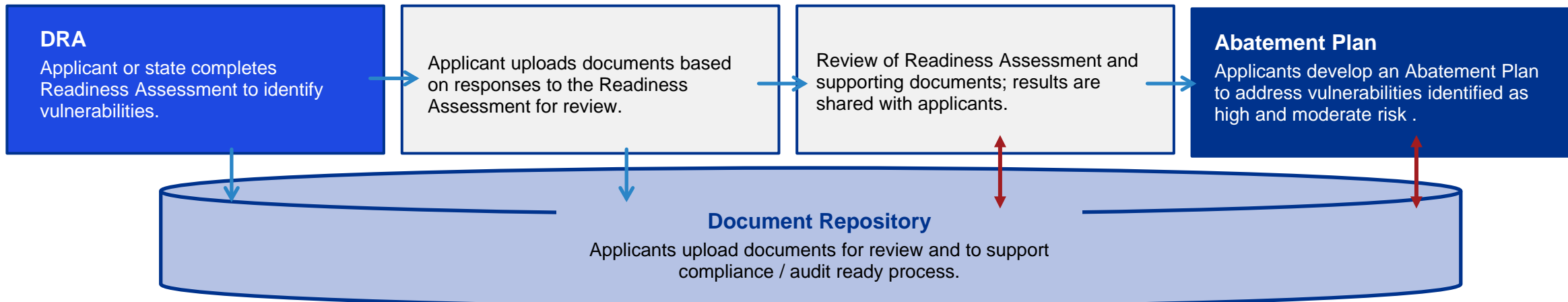
Automated, data-driven risk assessment, powerful AI that helps digitize, classify, and integrate data sources in one system, pre-populated reports, intuitive dashboards, and executive summaries, for more streamlined, efficient, and cost-effective FEMA PA.



Enhanced applicant experience

Mobile friendly, user-friendly forms, a digital repository, and real-time feedback and recommendations, so applicants can minimize the risk of non-compliance and get clearer insight into the status of reimbursement and information requests.

How it works



Assessment

Identify Applicants' FEMA PA non-compliance risks, assign risk ratings, provide applicant feedback, unlock valuable insights and trends, and mitigate risk—pre-and post-disaster.

Benefits

- Streamline and simplify the FEMA PA process with a risk-based approach
- Enhance compliance with 2 CFR 200 and other federal requirements
- Expedite the FEMA PA reimbursement process post-disaster
- Help applicants understand what information they need to track, as well as policies and training to meet federal guidelines

Risk assessment

Comprehensive and configurable risk assessment, tailored to FEMA PA, that captures applicant information across five categories—experience, policies and procedures, documentation, procurement, and contract administration—to help identify potential vulnerabilities.

Risk review rating

Review applicants' risk assessment responses and supporting documentation and provide risk ratings and feedback for follow-up to allow applicants the opportunity to address compliance risk areas.

Contextual guidance

Built-in references to the Public Assistance Program and Policy Guide (PAPPG), Code of Federal Regulations (CFR), and Procurement Disaster Assistance Team (PDAT) Field Manual throughout the questionnaire for user-friendly applicant guidance.

Communication and documentation

Integrated communication for an enhanced applicant experience and a repository of applicant documents for ongoing monitoring and audit readiness.

Risk reporting

A centralized dashboard with standardized and customizable reports at the applicant, jurisdiction, and grantee level for actionable insights to help inform decision-making, such as areas to focus training to promote compliance.

The screenshot displays the 'Assessment Questionnaire' interface on the KPMG Smart Grants Platform. The top navigation bar includes 'Home', 'Assessment', 'Organization Requests', and 'Contact Request'. The main content area shows the 'Assessment Questionnaire' with an 'Overall Progress' section indicating '0 of 18 Questions completed'. A 'Category' list on the left shows progress for 'Applicant Experience' (1/12), 'Contract Administration' (0/2), 'Documentation' (0/2), 'Policy/Procedure' (0/1), and 'Procurement' (0/1). The main question area displays 'Q1. Has this entity been awarded FEMA Public Assistance Funding within the last five years?' with a selected answer: 'Yes, this entity has been awarded FEMA Public Assistance funding in the last five years.' Below this is 'Q1a. If yes, was any of the funding to reimburse eligible work under Category A (Debris Removal) or Category B (Emergency Protective Measure)?' with four radio button options: 'A) Category A only', 'B) Category B only', 'C) Category A & B', and 'D) Neither'. An 'Add Comments' link is also visible.

Abatement Plan



Communicate potential risks and help empower applicants to address FEMA PA non-compliance risk areas with the development and monitoring of tailored abatement plans.

Benefits

- Enhance the impact of FEMA PA funding on communities by providing applicants a clear set of actions to assist in improving compliance
- Reduce the risk of claw-backs or deobligation of funding due to non-compliance
- Enable a culture of subrecipient monitoring
- Improve the applicant experience
- Boost trust

Risk rating report

Applicant-specific risk rating report identifying applicant non-compliance risk areas.

Applicant abatement tool

Review applicants' Readiness Assessment responses and supporting documents and provide risk ratings and feedback for follow-up to allow applicants the opportunity to address compliance risk areas.

Applicant guidance

Provides potential actions for the applicant to consider when developing an abatement plan to help improve rating and compliance.

Abatement plan management

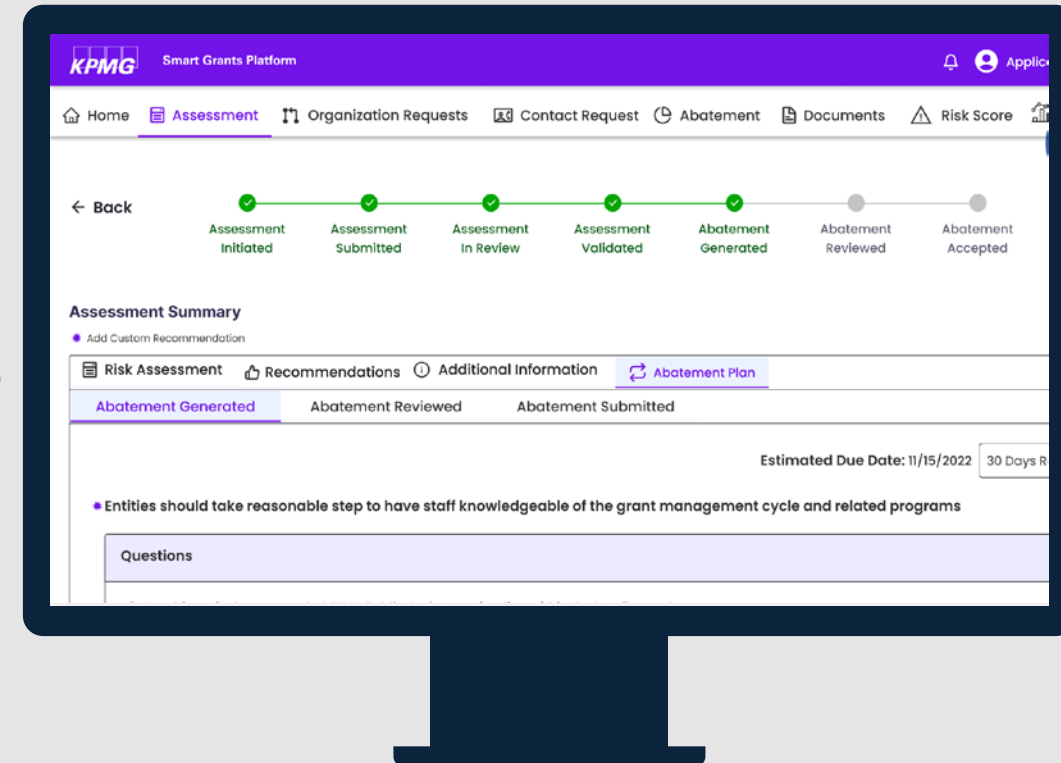
Enables applicants to document and certify actions taken to mitigate their risk for the grantee to review and adjust their risk rating report.

Abatement plan monitoring

Built-in reminders as alerts and notifications and a centralized approach to easily track, manage, and prioritize abatement plan actions.

Reporting

Intuitive dashboards with standardized and customizable reports at the applicant, jurisdiction, and grantee level for insights into abatement plans, actions, owners, and due dates, abatement recommendation trends, risk score trends, etc.



Document Repository

Gather, manage, and process applicant documentation in a central repository.

Benefits

- Increase timely submission of documentation for improved compliance and faster reimbursement
- Maintain a single source for documents, digitizing, classifying, and integrating data sources in one system
- Securely store documents in the cloud, away from disaster locations
- Advance continuity of operations and reduce the risk associated with staff turnover

Standardized forms

Standardizes forms and templates for document submission by FEMA DR categories.

Centralized repository

Document upload (e.g., policies, plans, procedures, permits, damage assessments, equipment, materials, vendor management files, employee data, procurement support, etc.) and storage in a central repository.

Audit trail

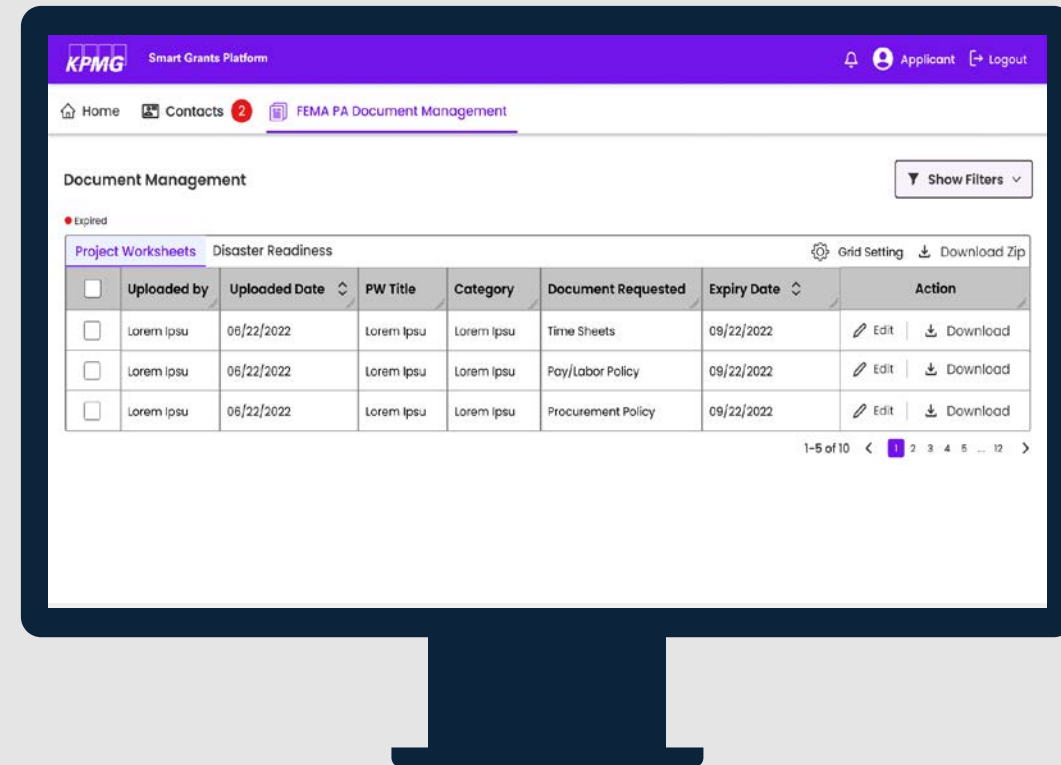
Complete audit trail for documents and amendments.

Document management

Request, review, and approve documentation from applicants and conduct ongoing monitoring of documentation.

Reporting

Intuitive dashboards with standardized and customizable reports at the applicant, jurisdiction, and grantee level for insights into documentation status, document types, etc.





System Demo