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| | Army Programs CIVIL WORKS EMERGENCY MANAGEMENT PROGRAMS | |
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CECW-OE

Regulation
No. 11-1-320

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Army Programs
CIVIL WORKS EMERGENCY MANAGEMENT
PROGRAMS

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CHAPTER 1

GENERAL PROVISIONS

1-1. Purpose. This regulation prescribes the policies pertaining to the Civil Works programming, funding, managing and executing of all United States Army Corps of Engineers (USACE) civil emergency management programs.

1-2. Applicability. This regulation is applicable to all USACE Commands.

1-3. References. See Appendix A.

1-4. Distribution. Approved for public release, distribution is unlimited.

1-5. Discussion.

a. Readiness is a core business practice for all Commanders at every level of command in USACE and throughout the spectrum of functional areas.

b. Financial administration is the cornerstone for the execution of USACE emergency management programs. This regulation is the sole source of USACE civil works emergency management financial policy. Any changes to existing USACE emergency management non-financial policies and goals will be published as a separate document and will not be contained herein.

c. To improve the financial administration of the emergency management program, this regulation consolidates, promulgates and revises policy for civil works funded emergency management functions. Individual funding programs are discussed in separate chapters.

d. Appropriations are defined to the lowest level of detail by category and class, as found in ER 37-2-10, Chapter 20. This regulation provides the most current and authoritative descriptions applicable to functional assignments derived from readiness appropriations.

e. Supplemental guidance to this regulation will be provided, as appropriate, in engineer circulars and pamphlets and through guidance letters. Supplemental instructions and guidance will be incorporated into this regulation as required. A glossary is provided in Appendix I.

f. This regulation will be used in conjunction with ER 500-1-1, which provides non-financial policy regarding the Flood Control and Coastal Emergencies (FC&CE) program.

This Engineer Regulation (ER) supersedes ER 11-1-320 dated 14 November 1997.

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g. This regulation must be used in conjunction with the Resource Management Functional Guidebook (RMFG), which provides procedures and processes to be used in concert with Chapters 3 and 4 of this ER.

h. Budget guidance for the programs identified in Chapters 2 and 3 of this regulation are issued in an Engineer Circular (EC) each year, titled Availability, Obligation and Use of General Expenses and Other Civil Funds in FY XX.

CHAPTER 2

CATASTROPHIC DISASTER PREPAREDNESS PROGRAM APPROPRIATION 96X3123

2-1. Purpose. This chapter prescribes policies pertaining to the programming, managing and executing of the Operation and Maintenance, General (O&M, Gen), Catastrophic Disaster Preparedness Program (CDPP). The CDPP provides funds for training, acquisition and staffing under the direction of the Chief, Civil Emergency Management Branch, Operations Division, Directorate of Civil Works, Headquarters, USACE (CECW-OE). See Appendix B for 96X3123 appropriation structure.

2-2. Program Description.

a. Catastrophic Disaster Preparedness Program (CDPP) (500). The functions covered within this category include those administrative, supervisory and procurement actions performed at each USACE activity where funds are provided for developing and maintaining Catastrophic Disaster Response Plan (CDRP) activities. In no case does this category, under any class, fund the acquisition or maintenance of space for Emergency Relocation Sites (ERS).

b. Continuity of Operations (COOP) (510). This class applies to COOP preparedness planning. The COOP planning focuses on development of the capability for emergency relocation and reconstitution of a USACE activity as a result of either a natural or man-made (caused) disaster. Activities include: identifying specific requirements associated with USACE relocation/reconstitution missions, analyzing resources, establishing organizational and operational procedures, preparing and publishing contingency plans, and participating in exercises. Planning items should include but are not limited to: command succession, communications, identification of alternate relocation/alternate headquarters site(s) (NOTE: CDPP does not fund acquisition of space), identification and storage of duplicate emergency files, and other considerations necessary to ensure minimum downtime of the organization(s). This also includes, in conjunction with other appropriate offices, the development of a framework for individual plans that address the continued operation of Corps civil works projects.

c. Catastrophic Disaster Response Planning (CDRP) (520). This class applies to scenario-specific planning as assigned. Activities in this class include: development of plans, in coordination with appropriate Federal, state and local entities, for response to natural/man-made disaster that are so catastrophic as to impact national security. It also applies to Port Readiness activities associated with maintenance of navigable waterways and addresses Military Support to Civil Disturbances (MSCD).

d. Emergency Operations Center (EOC) Support (530). This class applies to those activities associated with the operation and maintenance of EOC facilities (rent, supplies, equipment, etc). This class does not include any labor charges. Funding for the EOC is shared

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between this class and FC&CE class 130.

e. Emergency Water Program (EWP) (540). This class applies to requirements of Executive Order (E.O.) 12656 [for Headquarters, U.S. Army Corps of Engineers (HQUSACE) only].

f. Continuity of Government (COG) (550). This class applies to plans to support Federal, state and local agencies in their efforts to reestablish civil authority lost as a result of natural or man-made disaster (HQUSACE and only as directed).

g. Catastrophic Disaster Training and Exercises (560). This class applies to the development of and participation in catastrophic disaster exercises and training in the inter- and intra-agency arena. The development of and participation in evaluation and corrective action programs related to catastrophic disasters will be funded under this class.

2-3. Within Cycle Programming. CDPP programming at the HQUSACE level only applies to Classes 540-560. Programming for classes 510-530, within bulk funding guidance from the Director of Civil Works, is the responsibility of the Major Subordinate Commander. Appropriate coordination in accordance with ER 5-1-11 is required.

CHAPTER 3

FLOOD CONTROL AND COASTAL EMERGENCIES APPROPRIATION 96X3125

3-1. Purpose. This chapter prescribes policies pertaining to the programming, managing and executing of the Flood Control and Coastal Emergencies (FC&CE) program. The FC&CE program is financed by appropriation 96X3125 and is authorized by Public Law (PL) 84-99, as amended. The Commander, USACE, has delegated responsibility for administration of this appropriation to CECW-OE.

3-2. Program Description. The six functions covered within this code are disaster preparedness, emergency operations, Rehabilitation and Inspection Program (RIP) (to include non-structural alternatives), emergency water supplies and drought assistance, Advance Measures, and hazard mitigation. A General Expenses (GE) or district overhead employee, who performs normal duties on behalf of categories 200-600, will charge only overtime and TDY to categories 200-600. "Straight time" (i.e., regular labor) continues to be charged to GE or overhead, as normal. A CDPP or category 100- or project- or reimbursable-funded employee, who performs duties under categories 200-600, will charge all time (including applied overhead) and TDY to categories 200-600. Military-funded military personnel, diverted from their normal assignment, will charge only TDY to categories 200-600.

a. Disaster Preparedness Program (DPP) (100). This category consists of functions required to ensure that a USACE activity is ready to respond to a broad range of disasters and emergencies. It includes planning, training, response exercises, supplies and equipment, operations and maintenance, and program management costs. Funding for salary costs of a Major Subordinate Command (MSC) emergency manager or team leader (whether permanent, temporary, or detailed) must be funded under the GE appropriation. Post disaster replenishment of supplies and equipment will be funded under class 240.

(1) All Hazards Planning Activities (110). This class includes the planning, preparation, and publication of supplements to ER 500-1-1, flood fight plans, hurricane or coastal storm response plans, earthquake response plans, tsunami response plans, emergency water supply and drought plans, emergency contact lists and telephone directories, field pocket manuals, and required Standard Operating Procedures (SOP) for PL 84-99 response and recovery activities. Also included are program management activities that support preparedness, such as general coordination (e.g. conferences, workshops, public meetings, etc.), supervision, and administration. DPP management reports will be developed and funded under this class. Also included are preparedness planning actions associated with response, recovery and mitigation operations under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121, et seq), and other like activities under other statutory authorities. Activities may include the development of local/regional disaster response plans and related program management.

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(2) All Hazard Training and Exercises (120). This class includes the development of, and participation in, exercises and training in the inter- and intra-agency arena. The development of and participation in evaluation and corrective action programs will be funded under this class. Personnel external to the Readiness/Emergency Management organization, being trained in their normal duties or participating in an exercise as a functional specialist, continue to charge their functional account. This class funds training and exercise participation only for adjunct duties not related to an employee's normal line of work.

(3) Equipment, Facilities, Supplies (130). This class includes acquisitions, rent(s), utilities, and purchases necessary for normal office operations and to provide for a fully functional EOC and alternate EOC. This class does not include labor charges. Funding for the EOC is shared between this class and O&M, Gen, class 530. When the EOC is activated, funds for equipment, utilities, and supplies for the event will be funded from class 210.

(4) National or Regional Centers of Expertise (140). This class supports the Readiness/Emergency Management National or Regional Centers of Expertise (NRCE) and other preparedness projects/studies as determined by HQUSACE.

b. Emergency Operations (200). This category provides for response to disasters and includes field investigations of potential natural disasters, flood fighting and rescue operations, protecting Federally authorized and completed shore and hurricane protection projects, preparation of After Action Reports, Post Flood Response, operational supplies and equipment, support from others, and operational support.

(1) Response Operations (210). This class includes activation and operation of EOC's for all hazards, provision of technical assistance incidental to disasters, flood fighting activities (to include emergency contracting), loan of flood fighting equipment and material, liaison officer activities, and limited flood data collection. Preliminary Damage Assessment (PDA) and Damage Survey Report (DSR) training, if appropriate, will be funded under this class, when pre-approved by CECW-OE. This class also provides for the issuance of funds prior to the Commander's emergency declaration in anticipation of pre-event activities. With the exception of such pre-event costs, an emergency declaration by the MSC/District Commander is required before this authority may be invoked. This class, when pre-approved by CECW-OE, may be used to elevate the level of support by a supporting district. [Mississippi Valley Division (MVD): For the Mississippi River, Mississippi River and Tributaries (MR&T) geographical area, all flood fight costs will be funded with MR&T funds when such funds are available. If no MR&T funds are available, use of FC&CE funds is appropriate. All flood response supplies and equipment will be funded by FC&CE funds.]

(2) After Action Report (220). This class provides for the preparation and publication of after action reports at the Division/Regional or District level.

(3) Post Flood Response (230). This class includes all costs associated with response to a Governor's request for assistance under the Post Flood Response authority. Included are costs for investigations to determine eligibility of requested work and contract costs. NOTE: Post Flood Response assistance is limited to 10 days.

(4) Operational Supplies and Equipment (240). This class provides for purchase, maintenance, and repair of equipment (e.g., sandbag filling machines, pumps, Geographic Information System/Remote Sensing (GIS/RS) hardware and software, Deployable Tactical Operations System (DTOS), high frequency radios and generators). This class also provides for purchase of flood fight supplies (e.g., sandbags, plastic, pump hoses and high visibility items) to replenish and augment the stocks used during an event. This class also includes replenishment of office equipment and supplies, but only if used during activation of the EOC.

(5) Support from Others (250). This class encompasses support received from other Federal departments and agencies (such as the Federal Emergency Management Agency (FEMA), Bureau of Reclamation, and Department of Veterans Affairs) and other DOD organizations. This class can only be used during flood-related disasters for reimbursable work under PL 84-99.

(6) Operational Support (260). This class provides for CECW-OE identified personnel and/or organizations providing ongoing operational support incidental to known or potential threat(s) (e.g., GIS/RS Center; Waterways Experiment Station (CEWES); DTOS staff; National Hazards Research and Applications Information Center, University of Colorado; U.S. Army Corps of Engineers Finance Center (UFC); Advanced Contract Development). Professional development authorized in accordance with the annual budget EC is appropriately funded under this class.

c. Rehabilitation and Inspection Program (RIP) (300). This category includes costs for investigation of and rehabilitation of damaged Federal and non-Federal flood control works (FCW), Federally authorized and constructed hurricane or shore protection projects, and the eligibility inspections of non-Federal FCW.

(1) Rehabilitation Project - Federal FCW (310). This class includes the costs for the rehabilitation of eligible Federal FCW.

(2) Rehabilitation Project - Non-Federal FCW (320). This class includes costs for the rehabilitation of eligible non-Federal FCW.

(3) Rehabilitation Project - Hurricane/Shore Protection Project (330). This class includes the costs for the repair and restoration of eligible Federally authorized and constructed hurricane and shore protection projects.

(4) Field Investigation (340). This class includes costs for investigations and Project Information Report (PIR) preparation for proposed rehabilitation projects.

(5) Initial Eligibility Inspections (IEI) (350). This class includes IEI of non-Federal FCW.

(6) Continuing Eligibility Inspections (CEI) (360). This class includes performing CEI of non-Federal FCW under the RIP. This class includes all costs of database management.

(7) Interagency Levee Task Force (ITF) Activities (370). This class includes participation in CECW-OE identified, event-specific ITF, as mandated by the Office of Management Budget (OMB) and the President's Council of Environmental Quality (CEQ).

d. Emergency Water Supplies and Drought Assistance (400). This category includes investigations to determine the eligibility for assistance; the provision of emergency water due to contaminated source problems; well drilling; and transportation of water to farmers, ranchers and political subdivisions within areas determined to be drought distressed by the Assistant Secretary of the Army for Civil Works (ASACW). A request for funding must be accompanied by a request for assistance signed by the Governor of the affected state. For technical assistance only, the request may be signed by an appropriate state official.

(1) Emergency Water Supplies (Contaminated Source) (410). This class includes the costs of providing emergency water to a locality confronted with a source of contaminated water causing or likely to cause a substantial threat to public health and welfare.

(2) Drought Assistance (420). This class includes the costs for the transportation of water from a source to an area that has been determined to be drought distressed. It also provides a temporary account for the costs of well drilling in areas that are determined to be drought distressed until repaid by the farmer, rancher or political subdivision receiving assistance.

(3) Field Investigations (430). This class includes costs for technical assistance, investigation and report preparation costs for potential projects to provide emergency water or drought assistance.

e. Advance Measures (500). This category includes costs for technical assistance, investigation, report preparation and implementation of Advance Measures. A request for funding must be accompanied by a request for assistance signed by the Governor of the affected state. For technical assistance only, the request may be signed by an appropriate state official.

(1) Advance Measures Assistance (510). This class includes the costs of implementing approved Advance Measures projects.

(2) Field Investigations (520). This class includes costs for pre-flood technical assistance to a state(s) or local jurisdiction(s) affected by a potential Advance Measures flood situation, and investigation and report preparation for proposed Advance Measures projects.

f. Hazard Mitigation (600). This category includes costs associated with Hazard Mitigation

Team (HMT) activities, under the direction of FEMA in response to a presidentially-declared disaster or emergency. Within this category, there is only one class, HMT Activities (610). This class includes the costs incurred for all authorized activities associated with participation on, or support to, a HMT. These costs may be incurred by an MSC, Region or by a district at the direction of the MSC or Region.

3-3. Within Cycle Programming. DPP programming, at HQUSACE level only, applies to classes 120 and 140. (Class 120 considers recommendations from the MSC). Programming for classes 110 and 130, within bulk funding guidance from the Director of Civil Works, is the responsibility of the Major Subordinate Commander. Coordination IAW ER 5-1-11 is required.

3-4. Out-of-Cycle Programming.

a. Funding for categories 200-600 is not programmable, since financing of these categories is in response to unpredictable projects/events for which advanced funding requirements cannot be anticipated.

b. Funding for these projects/events will be requested in advance, utilizing the following methods:

(1) Category 200, 300 and 600 requests for direct funds do not require a memorandum or endorsement. A request may be made by either fax or e-mail from the person within the MSC/Region/District with the authority to request the funds. If from a District, it must be forwarded through the MSC/Region for endorsement. The MSC/Region endorsement will be forwarded, via either fax or e-mail only, to CECW-OE for action. Work allowances will be issued to the MSC (and the regional office if appropriate) via fax, with copy furnished to the requesting office. The original will be maintained in the CECW-OE files. The Funding Authorization Document (FAD) will be issued directly to the requesting office by the Deputy Chief of Staff for Resource Management (CERM). All other organizations (e.g., CEWES, Cold Regions Research and Engineering Laboratory (CECRL)) will make their requests directly to CECW-OE. The original will be maintained by the requesting organization. The work allowance will be faxed to the requesting organization. Methods of obtaining funds are:

(a) All Class 200. Utilize the form at Appendix D, RMFG.

(b) Class 310, 320 or 330. Utilize the form at Appendix E, RMFG.

© Class 340. In the memo or e-mail request, include: name of project(s), amount, category and class, Corps Work Item Number (CWIN), and event causing need for funds. If bulk funding, see paragraph f below.

(d) Class 350. Utilize the form at Appendix F, RMFG.

- (e) Class 360. Utilize the form at Appendix G, RMFG.
- (f) Class 610. Utilize the form at Appendix H, RMFG.

(2) Category 400 and 500 requests for funds require a formal memorandum from a District. All requests within these two categories must be accompanied by a request for assistance signed by the Governor. (If for class 430 or class 520 technical assistance only, the request may be signed by an appropriate state official). For class 510 only, also attach form at Appendix E, RMFG. Once endorsed by the MSC/Region, the request will be faxed to CECW-OE for review and action. If the action is approved, the reply will also serve as the work allowance letter, which will be issued to the MSC (and the regional office if appropriate) via fax, with copy furnished to the requesting office. The original will be maintained in the CECW-OE files. The FAD will be issued directly to the requesting office by CERM.

c. The suddenness of an event may require immediate actions by a District Commander. The following actions will be taken to ensure that a District will be able to begin its emergency response mission when a disaster strikes with little or no warning (e.g., an earthquake). This prescription is applicable only to emergency work funded by class 210.

(1) For MVD Only: Flooding on the Mississippi River will result in utilization of appropriation 96X3112, MR&T, as described above.

(2) When neither time nor circumstance permits advance request of funds, then, while the request is being expedited, a District Commander may reprogram any category of FC&CE funds up to the balance available to the District, subject to the monetary limitation in Appendix D of this ER.

(3) Verbal authorizations from CECW-OE for a work allowance and FAD may be issued and accepted during non-duty hours or in extenuating circumstances. When an authorized verbal FAD and work allowance are received, the responsible MSC will prepare a written summary of the conversation. If the action is to be forwarded to a District, the MSC will provide a copy of the summary to that District's Emergency Manager. A copy will also be provided to the appropriate Resource Management Office. The summary will include the amount of the funds received, request number, event, CWIN 005480, the name of the person providing the approval, and the date and time received. CECW-OE will expedite the processing of a written work allowance. Working with CERM, CECW-OE will assure that the computer-generated FAD is issued in a timely manner.

(4) As a last resort, after the sources in subparagraphs (1) and (2) are exhausted, or if CECW-OE is not available to effect the action in subparagraph (3) above, a District Commander may, as a temporary measure, charge the District's class 210 costs to available allotment of another flood control appropriation (i.e., 96X3121 General Investigations, 96X3122 Construction, General, and 96X3123 Operation and Maintenance, General) subject to the balance of the monetary limitation in Appendix D (after reprogramming).

(5) Civil Works Revolving Fund (96X4902) will not be used.

d. After PIR approval for classes 310, 320 and/or 330, funds will be requested from CECW-OE for engineering and design (E&D) activities only. After bids have been opened and a contractor chosen, funds will be requested by the District and endorsed by the Division/Region for construction and related costs (construction contingency, supervision and administration). See Appendix E, RMFG, for format.

e. Once a PIR has been approved for an Advance Measures class 510 request, funding may be provided for all construction related costs (i.e., construction contracts, contingency, supervision and administration and engineering and design). See Appendix E, RMFG, for format.

f. Bulk funding may be requested for classes 340, 350, 430, and 520. Class 430 and 520 requests may be either on a state-by-state or project basis. The letter from the Governor (or for class 430 or class 520 technical assistance only, an appropriate state official) requesting such assistance must accompany the funding request. When bulk funding is requested, a CWIN will be established for that flood or drought season. For classes 430 and 520, CWINs will be established on a state-wide basis. It is not necessary to identify costs separately for proposed projects. Bulk funding will not be used in computing the benefit-cost ratio (BCR) for the project approval. See Appendix G, RMFG.

g. Incentive Awards. Monetary awards, honorary medals, certificates and/or pins for exceptional work performed by any USACE employee incidental to a disaster when performed under FC&CE or the Stafford Act, will be funded under class 210. Employee recognition and funding is governed by one of the two tiers below:

(1) Aggregate cost of group and individual awards up to \$1,000 (per event): District Commander discretion within funds provided.

(2) Aggregate cost of group and individual awards, or single individual awards greater than \$1,000 (per event): Pre-approval (and funds, if necessary) from the Chief, Operations Division, Directorate of Civil Works, HQUSACE (CECW-O).

3-5. Reprogramming. Reprogramming authority and related reporting requirements are detailed in ER 11-2-201.

CHAPTER 4

THE ROBERT T. STAFFORD DISASTER RELIEF AND EMERGENCY ASSISTANCE ACT 42 U.S.C. 5121, ET SEQ

4-1. Purpose. This chapter supplements guidance in FEMA's operating procedures for the management of mission assignments, the Financial Management (FM) Annex to the Federal Response Plan (FRP) and the Memorandum of Agreement (MOA) between USACE and FEMA. These documents prescribe policies pertaining to the funding and financial accounting for Disaster Assistance. Additional information regarding Disaster Assistance is contained in the Emergency Support Function #3 (ESF-3) Concept of Operations, Mission Guide; and the RMFG.

4-2. Monetary Control.

a. Requests for Federal Assistance.

(1) A request which includes a funding authorization from an authorized FEMA official to the appropriate MSC Point of Contact (POC) for USACE disaster assistance is considered to be valid for reimbursable work. A request will be made in writing on a Request for Federal Assistance (RFA) form, which is FEMA's official obligating document for a mission assignment. If the request is initially made verbally, it will be followed promptly by an RFA. When an authorized verbal request is received from FEMA, the responsible MSC representative will prepare a written summary of the conversation. If the action is to be forwarded to a District, the MSC representative will provide a copy of the summary to that office's Emergency Manager. Copies will also be provided to the appropriate RM Office(s). The summary will include the FEMA program code (e.g., incident number --5003-FL; or disaster declaration number --1174-ND), mission assignment number (e.g., COE-SPD-02), event description, estimated completion date, appropriation, and dollar amount authorized.

(2) FEMA distinguishes between pre-declaration and post-declaration costs. Therefore, FEMA may issue two mission assignments, each on a separate RFA, for the same "activity" (e.g., ice, water, emergency power). One RFA will be pre-declaration and one post-declaration. USACE will bill against each mission assignment separately.

b. Funding and Financial Accounting.

(1) The source appropriation for disaster assistance is 58X0104, "Disaster Relief, Federal Emergency Management Agency."

(2) RFA activity will be financed as funded appropriation reimbursement activity under the Civil Works appropriation 96X3125.

(3) Each RFA is a discrete financial instrument and may be amended by FEMA. Work

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performed under each RFA, and its amendments, is subject to provisions of the Anti-Deficiency Act. Funds may only be used for the RFA activity for which originally issued.

c. Cost Accounting.

(1) General. Establish a separate customer order for each FEMA disaster/emergency mission assignment. In the Corps of Engineers Financial Management System (CEFMS), the mission assignment number (e.g., COE-POD-03) will be utilized as the “customer order number” and the FEMA program code (e.g., --1203-CA) will be the “other reference number”. Cost accounting will be in accordance with 8-4.1, ER 37-2-10, see Appendix E of this ER.

(2) Contract Costs. Contract costs relating to each FEMA mission assignment will be recorded separately, referencing the mission assignment number and disaster number. Each contract will be detailed as necessary to support reimbursement billings.

(3) Related Activities. MSC and district office personnel assigned to this work may also be performing emergency activities pursuant to PL 84-99. In such case, charges to the two sources will be made utilizing the one-hour rule as prescribed in ER 37-2-10, Chapter 22.

d. Preparation of Bills to FEMA. All bills submitted to FEMA will be signed by both the Finance and Accounting Officer (F&AO) and Emergency Manager (EM), or their designees, on the Mission Assignment Reimbursement Request Transmittal, see RMFG. All billings will be submitted to FEMA’s Disaster Finance Center (DFC).

e. Reimbursement Issues. For questions on bills, FEMA will contact the billing office POC for resolution.

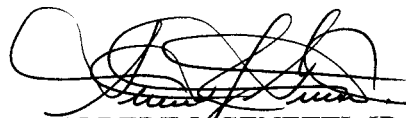
f. Civil Works Revolving Fund (96X4902) will not be used.

CHAPTER 5

MANAGEMENT CONTROLS

Purpose. Management control checklists at Appendices F, G, and H should be completed and forwarded to the MSC/District Director of Resource Management for inclusion in the command's annual assurance statement.

FOR THE COMMANDER:



ALBERT V. GENETTI, JR.
Major General, USA
Chief of Staff

9 Appendices
(See Table of Contents)

APPENDIX A

REFERENCES

Public Law 84-99, Emergency Flood Control Work.

Public Law 103-62, Government Performance Review Act of 1993.

42 U.S.C. 5121, et seq., The Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended.

Executive Order 12148, Federal Emergency Management (Assigns emergency preparedness functions to federal departments and agencies).

Executive Order 12656, as amended, Assignment of Emergency Preparedness Responsibilities.

33 CFR, Part 203, U.S. Army Corps of Engineers.

44 CFR, 3161 et seq., Emergency Management and Assistance.

Office of Management and Budget Circular A-11.

Federal Response Plan.

DOD Directive 3025.1, Military Assistance to Civil Authorities.

DOD 3025.1-M, Military Assistance to Civil Authorities.

AR 11-2, Management Control.

AR 500-60, Disaster Relief.

DFAS-IN 37-1, Finance and Accounting Policy Implementation.

ER 5-1-11, Program and Project Management.

ER 11-2-201, Funding, Work Allowances and Reprogramming.

ER 37-2-10, Accounting and Reporting, Civil Works Activities.

ER 500-1-1, Natural Disaster Procedures.

ER 500-1-28, Response Planning Guide (Emergency Employment).

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ER 690-1-321, Staffing for Civilian Support to Emergency Operations.

EP 37-1-4, Cost of Doing Business.

ESF #3 Disaster Guidebook - Mission Guides.

Resource Management Function Guidebook (RMFG).

APPENDIX B

APPROPRIATION STRUCTURE FOR THE
CATASTROPHIC DISASTER PREPAREDNESS PROGRAM
UNDER APPROPRIATION 96X3123

| <u>Feature Title</u> | <u>Category/Class</u> |
|---|-----------------------|
| Catastrophic Disaster Preparedness Program | 500 |
| Continuity of Operations | 510 |
| Catastrophic Disaster Response Planning | 520 |
| Emergency Operations Center Support | 530 |
| Emergency Water Program | 540 |
| Continuity of Government | 550 |
| Catastrophic Disaster Training and Exercise | 560 |

APPENDIX C

DISASTER PREPAREDNESS AND RESPONSE PROGRAM
APPROPRIATION STRUCTURE FOR PL 84-99 ACTIVITIES
UNDER APPROPRIATION 96X3125

| <u>Feature Title</u> | <u>Category/Class</u> |
|---|-----------------------|
| Disaster Preparedness Program | 100 |
| All Hazards Planning Activities | 110 |
| All Hazards Training and Exercise | 120 |
| Equipment, Facilities and Supplies | 130 |
| National or Regional Centers of Expertise | 140 |
| Emergency Operations | 200 |
| Response Operations | 210 |
| After Action Report | 220 |
| Post Flood Response | 230 |
| Operational Supplies and Equipment | 240 |
| Support from Others | 250 |
| Operational Support | 260 |
| Rehabilitation and Inspection Program | 300 |
| Rehabilitation Project - Federal FCW | 310 |
| Rehabilitation Project - Non-Federal FCW | 320 |
| Rehabilitation Project - Shore Protection | 330 |
| Field Investigations | 340 |
| Initial Eligibility Inspections | 350 |
| Reinspection | 360 |
| Interagency Levee Activities | 370 |
| Emergency Water Supplies and Drought Assistance | 400 |
| Emergency Water Supplies (Contaminated Sources) | 410 |
| Drought Assistance | 420 |
| Field Investigations | 430 |
| Advance Measures | 500 |
| Advance Measures Assistance | 510 |
| Field Investigations | 520 |
| Hazard Mitigation | 600 |
| Hazard Mitigation Team Activities | 610 |

APPENDIX D

MSC AND DISTRICT COMMANDER AUTHORITY
PL 84-99 ACTIVITIES - MONETARY LIMITATIONS

| <u>Activity</u> | <u>District Commander</u> | <u>MSC Commander</u> |
|--------------------------------------|-------------------------------|--------------------------|
| <u>Code 200 Emergency Operations</u> | | |
| 210 - Response Operations | \$100,000 <u>1/</u> | \$500,000 <u>2/</u> |

1/ Per event, district-wide.

2/ Increase by, per event MSC-wide.

NOTE: See Chapter 3, para. 3-5 for specific information in this regard.

APPENDIX E

REIMBURSEMENT FROM FEMA

1. Reimbursement Criteria.

a. Personnel related costs incurred in response to disaster assistance requests are eligible, to include:

(1) Regular (project funded only) and premium pay (e.g., overtime, night differential, holiday pay, etc.).

(2) Salary and fringe benefits for civil funded active duty military personnel (33USC583a).

(3) Military pay and allowances for reservists on temporary tours of active duty in support of disaster relief operations.

(4) Travel and per diem of military and civilian personnel.

(5) General and Administrative (G&A) and departmental overhead charges for District office employees. Departmental overhead is not reimbursable when performing Joint Information Center, PDA and/or DSR assignments.

b. Reimbursement for supplies, materials and equipment includes:

(1) Work, services and materials contracted by USACE for assistance performed on a specific disaster project.

(2) Material, equipment and supplies (including transportation, repairs and maintenance) from regular inventory stocks utilized or consumed by USACE.

(3) Other costs distributed from the facility accounts such as reproduction, communications, Automated Data Processing, vehicles, etc. All distributions must be based upon existing fair and equitable accounting procedures found in ER 37-2-10, paragraph 16-2.

(4) Unless other agreements pertaining to disposition have been made and agreed to, accountable property purchased in direct support of a mission assignment will be transferred to FEMA prior to fiscal mission close-out.

(5) Replacement or repair costs for lost or damaged equipment that is not caused by negligence. Such expenses must be supported by the appropriate documentation (i.e., Report of Survey or 15-6 Investigation) completed by USACE. This documentation must be forwarded with the bill in order for FEMA to consider it for reimbursement.

c. Ineligible costs include:

- (1) Labor costs of regular civilian employees carrying out USACE functions.
- (2) Salary and fringe benefits of military-funded military personnel.
- (3) Overhead costs at the MSC and HQUSACE.
- (4) Incentive awards to employees for performance of work under The Stafford Act. Funding for these awards may be appropriate under FC&CE (see Chapter 3-4g).

2. Records Retention. USACE shall retain all financial records, supporting documents, statistical records and other records pertinent to the provision of services or use of USACE resources. These records shall be accessible to duly authorized representatives of FEMA and the General Accounting Office (GAO), for audit purposes, excerpts and transcripts, for six years and three months from the date of submission of the final billing.

APPENDIX F

MANAGEMENT CONTROL EVALUATION CHECKLIST
PROCEDURES O&M, GEN
APPROPRIATION CDPP ADMINISTRATION

1. Function. The functions covered are financial and logistic administration of the CDPP.
2. Purpose. The purpose of this checklist is to assist resource, logistics, and program managers in evaluating the key management controls listed below. It is not intended to cover all controls.
3. Instructions. Answers must be based on the actual testing of key management control (e.g., document analysis, direct observation, sampling, simulation, other). Answers which indicate deficiencies must be explained and corrective action indicated in the supporting documentation. These management controls must be evaluated at least once every five years. Certification that this evaluation has been conducted must be accomplished on DA Form 11-2-R (Management Control Evaluation Certification Statement).
4. Test Questions.
 - a. Are fiscal management duties and responsibilities separated so that the same person cannot request, approve and certify a financial transaction?
 - b. Have persons familiar with the requirements of emergency management initiated CDPP purchase requests, monitored the progress of all obligations, and reviewed labor distribution reports?
 - c. Are all automation and communication equipment purchases reviewed and approved by the EM (or their designee) as essential to meet the emergency needs of the district and technically approved by the Information Management Office (IMO) before committing funds?
 - d. Are controls in place to assure that costs are recorded to the appropriate work item, work category/work category element, and resource codes?
 - e. Are Joint Reviews being completed in accordance with policy?
 - f. Are CDPP obligations promptly recorded by the F&AO?
 - g. Is there a periodic inventory of physical property items?
 - h. Are written procedures in place to account for loaned supplies/equipment, lost accountable items and surplus supplies and equipment?

APPENDIX G

MANAGEMENT CONTROL EVALUATION CHECKLIST
PROCEDURES
FC&CE APPROPRIATION ADMINISTRATION

1. Function. The function covered are financial and logistic administration of the FC&CE.
2. Purpose. The purpose of this checklist is to assist resource, logistics, and program managers in evaluating the key management controls listed below. It is not intended to cover all controls.
3. Instructions. Answers must be based on the actual testing of key management controls (e.g., document analysis, direct observation, sampling, simulation, other). Answers which indicate deficiencies must be explained and corrective action indicated in the supporting documentation. These management controls must be evaluated at least once every five years. Certification that this evaluation has been conducted must be accomplished on DA Form 11-2-R (Management Control Evaluation Certification Statement).
4. Test Questions.
 - a. Are fiscal management duties and responsibilities separated so that the same person cannot request, approve, and certify a financial transaction?
 - b. Have persons familiar with the requirements of emergency management initiated FC&CE purchase requests, monitored the progress of all obligations, and reviewed labor distribution reports?
 - c. Are all automation and communication equipment purchases reviewed and approved by the EM (or their designee) as essential to meet the emergency needs of the district and technically approved by the IMO before committing funds?
 - d. Are controls in place to assure that costs are recorded to the appropriate work item, work category/work category element, and resource codes?
 - e. Are Joint Reviews being completed in accordance with policy?
 - f. Is there a periodic inventory of physical property items?
 - g. Are written procedures in place to account for loaned supplies/equipment, lost accountable items, and surplus supplies and equipment?
 - h. Is there a procedure to ensure new supplies and equipment received are added to the inventory?

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- i. Has the EM staff developed and updated operational plans and SOPs appropriate to the anticipated workload?
- j. Have all plans and procedures been reviewed to ensure they reflect local operational conditions and applicable regulations?
- k. Are the eligibility checklists for all Federal and non-Federal projects accurate and on file for each project in accordance ER 500-1-1?
- l. Was the project closed out in a timely manner and excess project funds quickly decommitted/deobligated?
- m. Is there a procedure and was it followed to expeditiously request funding through the MSC, to HQUSACE for emergency operations?
- n. Is there a procedure to monitor obligations to prevent exceeding the delegated monetary limitations in Appendix D?
- o. Are erroneous charges to the FC&CE appropriation quickly corrected and properly documented?
- p. Were requests for reimbursement submitted in a timely manner?
- q. Are lack of funds situations being resolved by authorized reprogramming or by requesting funds rather than by cost transfers?
- r. Is final accounting for cost-shared levee repair projects accomplished in a timely manner?

APPENDIX H

MANAGEMENT CONTROL EVALUATION CHECKLIST
PROCEDURES
NRCE FUND ADMINISTRATION

1. Function. The functions covered are financial and logistic administration of the NRCE.
2. Purpose. The purpose of this checklist is to assist resource, logistics, and program managers in evaluating the key management controls listed below. It is not intended to cover all controls.
3. Instructions. Answers must be based on the actual testing of key management controls (e.g., document analysis, direct observation, sampling, simulation, other). Answers which indicate deficiencies must be explained and corrective action indicated in the supporting documentation. These management controls must be evaluated at least once every five years. Certification that this evaluation has been conducted must be accomplished on DA Form 11-2-R (Management Control Evaluation Certification Statement).
4. Test Questions.
 - a. Are fiscal management duties and responsibilities separated so that the same person cannot request, approve, and certify a financial transaction?
 - b. Have persons familiar with the requirements of emergency management initiated FC&CE purchase requests, monitored the progress of all obligations, and reviewed labor distribution reports?
 - c. Are all automation and communication equipment purchases reviewed and approved by the EM (or their designee) as essential to meet the emergency needs of the district and technically approved by the IMO before committing funds?
 - d. Are controls in place to assure that costs are recorded to the appropriate work item, work category/work category element, and resource codes?
 - e. Are Joint Reviews being completed in accordance with policy?
 - f. Is there a periodic inventory of physical property items?
 - g. Are written procedures in place to account for loaned supplies/equipment, lost accountable items, and surplus supplies and equipment?

APPENDIX I

GLOSSARY OF TERMS/DEFINITIONS/ACRONYMS

ADP - Automated Data Processing.

Appropriation - Legislative act authorizing the expenditure of a designated amount of federal funds for a specific purpose.

AR - Army Regulation.

ASACW - Assistant Secretary of the Army for Civil Works.

Authority - Right granted to a MSC/District Commander to expend funds within a certain amount without approval from higher headquarters.

BCR - Benefit Cost Ratio.

C4 - Command, Control, Communications and Computers.

Category - A subdivision of an appropriation to identify specific activities or purposes.

CDPP - Catastrophic Disaster Preparedness Program - Appropriation providing funds for the Catastrophic Disaster Preparedness planning, training, exercise participation, material acquisition and managerial and administrative staffing.

CDRP - Catastrophic Disaster Response Plan.

CECW-O - Operations Division, Directorate of Civil Works, Headquarters, U.S. Army Corps of Engineers.

CECW-OE - Civil Emergency Branch, Operations Division, Directorate of Civil Works, Headquarters, U.S. Army Corps of Engineers.

CECRL - Cold Regions Research and Engineering Laboratory.

CEFMS - Corps of Engineers Financial Management System.

CEI - Continuing Eligibility Inspection.

CEQ - President's Council on Environmental Quality.

CEWES - Engineers Waterways Experiment Station

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CFR - Code of Federal Regulations.

Class - A subdivision of an appropriation and category.

CG - 96X3122 - Construction, General. A no-year appropriation enacted in Title I of the annual Energy and Water Development Appropriations Act.

COG - Continuity of Government.

CONUS - Continental United States.

COOP - Continuity of Operations.

COR - Contracting Officer's Representative.

CRREL - Cold Regional Research and Engineering Laboratory.

CWIN - Corps Work Item Number - A number assigned to individual projects for identification purposes.

DA - Department of the Army.

Departmental Overhead - Formerly referred to as "technical indirect" costs. Costs which are of a general nature not applicable to a specific job or project are considered "overhead" costs (e.g., training, meetings, etc.).

DFC - Disaster Finance Center.

DOD - Department of Defense.

DODD - Department of Defense Directive.

DFAS - Defense Finance and Accounting Service.

DFO - Disaster Field Office.

Direct Labor - Labor specifically chargeable to one project, solely for that one project's benefit.

DOMS - Directorate of Military Support, Headquarters, U.S. Army- responsible for executing missions under DODD 3025.1 and DOD 3025.1-M.

DPP - Disaster Preparedness Program.

DSR - Damage Survey Report.

DTOS - Deployable Tactical Operations System.

E.O. - Executive Order.

EC - Engineer Circular.

ECA - Evaluation and Corrective Action.

E&D - Engineering and Design.

EM - Emergency Management.

EOC - Emergency Operations Center - A designated area, usually within the office building, from which personnel receive, analyze and communicate information to manage responses to emergency situations.

EP - Engineer Pamphlet.

ER - Engineer Regulation.

ERS - Emergency Relocation Site - A designated area, usually remote, from which personnel receive, analyze and communicate information to manage responses to emergency situations.

ERT-A - Emergency Response Team - Advanced.

ESF-3 - Emergency Support Function-3 -- Public Works and Engineering of the FRP. USACE, by delegation from DOD, is the planning and preparedness lead agency. Upon FEMA activation of the ESF-3, DOD, thru the DOMS, directs USACE to execute ESF-3 functions on behalf of the Secretary of Defense.

Event - A particular disaster situation, e.g., Declaration, Mid-West Floods of 1993, Hurricane Andrew, Northridge, etc.

EWP - Emergency Water Program.

F&AO - Finance and Accounting Officer.

FAD - Funding Authorization Document.

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FC&CE - 96X3125 Flood Control and Coastal Emergencies - Appropriation funding natural disaster preparedness, emergency flood control and rescue work, rehabilitation of flood control works damaged or destroyed by flooding, protection or repair of federally authorized shore protection projects threatened or damaged by coastal storms, emergency drinking water, drought assistance and advance measures.

FCW - Flood Control Works.

FEMA - Federal Emergency Management Agency.

Final Billing - Billing of all outstanding costs after physical completion of a Mission Assignment under P.L. 93-288.

FM - Financial Management.

FOA - Field Operating Activity.

FRP - Federal Response Plan.

FY - Fiscal Year.

G&A - General and administrative type costs which cannot be directly associated to a specific project; overhead.

GAO - General Accounting Office.

GE - 96X3124 General Expenses. A no-year appropriation enacted in Title I of the annual Energy and Water Development Appropriations Act.

GIS/RS - Geographic Information System/Remote Sensing.

HMT - Hazard Mitigation Team.

HQUSACE - Headquarters, U.S. Army Corps of Engineers.

IEI - Initial Eligibility Inspection.

IHMT - Interagency Hazard Mitigation Team - A coordinated interagency and intergovernmental team approach that develops flood hazard mitigation recommendations in an effort to reduce or avoid Federal expenditures resulting from flood situations.

IMA - Individual Mobilization Augmentee - Part of the Selected U.S. Army Reserves consisting of units and individuals who actively participate in paid training annually.

IMO - Information Management Officer.
ITF - Interagency Levee Task Force.

JIC - Joint Information Center.

LAN - Local Area Network.

LERT - Logistics Emergency Response Team.

MFR - Memorandum for Record.

MOA - Memorandum of Agreement.

MR&T - Mississippi River and Tributaries.

MSC - Major Subordinate Command - Division headquarters.

MSCA - Military Support to Civil Authorities.

MSCD - Military Support to Civil Disturbances.

MVD - Mississippi Valley Division.

Non-Federal Flood Control Works - A flood control work not authorized by Congress or under other Federal agency authority.

NRCE - Readiness/Emergency Management National or Regional Centers of Expertise.

O&M, Gen - 96 X 3123, Operation and Maintenance, General. A no-year appropriation enacted in Title I of the annual Energy and Water Development Appropriations Act. This appropriation funds the CDPP.

OMB - Office of Management and Budget.

Obligation - An order placed, contract awarded or similar transactions which will require a payment of authorized funds in the future.

Partial Billing - Interim billing of accrued costs prior to completion of a Mission Assignment under P.L. 93-288.

PDA - Preliminary Damage Assessment.

PIR - Project Information Report.

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PL - A Federal Public Law.

POC - Point of Contact.

RFA - Request for Federal Assistance.

RIP - Rehabilitation and Inspection Program.

RM - Resource Manager.

RMFG - Resource Management Functional Guide.

SecArmy - Secretary of the Army.

SITREP - Situation Report.

SOP - Standard Operating Procedure.

TDY - Temporary Duty.

TTAD - Temporary Tour of Active Duty.

USACE - U.S. Army Corps of Engineers.

Work Allowance - Funding limitations issued to MSCs by HQUSACE upon enactment of Civil Works appropriations by OMB, for individual studies, projects, or other activities covered in the appropriation.