

CECW-HS

DEPARTMENT OF THE ARMY
U.S. Army Corps of Engineers
Washington, DC 20314 -1000

EP 11-1-320

Pamphlet
No. 11-1-320

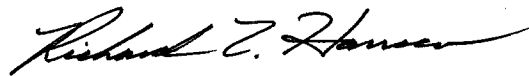
31 OCTOBER 2017

Army Programs
CIVIL WORKS EMERGENCY MANAGEMENT PROGRAMS
FINANCIAL MANGEMENT PROCESS

1. Purpose. This Engineer Pamphlet (EP) prescribes procedures for the US Army Corps of Engineers (USACE) Emergency Management (EM) Community of Practice (CoP) for the management and execution of programming, funding, and budgeting processes that support the USACE Emergency Management Program.
2. Applicability. This pamphlet applies to all HQUSACE elements, USACE Commands, laboratories, and field operating agencies (FOA) of USACE.
3. Distribution. Approved for public release. Distribution is unlimited.
4. References. See Appendix A.

FOR THE COMMANDER:

15 Appendices
(See Table of Contents)



RICHARD L. HANSEN
COL, EN
Chief of Staff

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CHAPTER 1

General Provisions

1-1. Purpose. This Engineer Pamphlet (EP) prescribes procedures for the US Army Corps of Engineers (USACE) Emergency Management (EM) Community of Practice (CoP) for the management and execution of programming, funding, and budgeting processes that support the USACE Emergency Management Program.

1-2. Applicability. This pamphlet applies to all HQUSACE elements, USACE Commands, laboratories, and field operating agencies (FOA) of USACE.

1-3. References. References are in Appendix A.

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

1-5. General.

a. Corps of Engineers Civil Works- Homeland Security (CECW-HS) is the HQUSACE proponent for the Emergency Management Program. Emergency Management is a core business practice for all levels of USACE. Generally the Emergency Management Office or a member of the EM CoP at each command or agency has the authority to manage and execute the Emergency Management Program. Emergency Management is not the sole responsibility of the EM Office; it is a Commander's responsibility with shared responsibility throughout the command/agency.

b. Financial administration and management of resources is a cornerstone for the successful execution of the activities within this CECW-HS program. This pamphlet is the primary source for CECW-HS financial management procedures within the EM CoP. It consolidates, promulgates and revises procedural guidance for CECW-HS funded programs as discussed in separate chapters of this EP.

c. This pamphlet will be used in conjunction with ER 11-1-320, ER 500-1-1 and EP 500-1-1 which provides EM policy regarding the Flood Control and Coastal Emergencies (FCCE) Appropriations commonly referred to as Public Law (PL) 84-99 and the Operation and Maintenance (O&M) Remaining Items (RI), National Emergency Preparedness Program (NEPP).

d. Program Management Information Systems (PROMIS) Version 2 (P2). P2 is the Corps of Engineers Project Management Information System. FCCE and NEPP Funds management within P2 will include all non-response related activities.

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e. Budget guidance for the programs identified in Chapters 2 and 3 of this pamphlet are issued in an Engineer Circular (EC) each year, titled Corps of Engineers Civil Works Program, Program Development Guidance Fiscal Year XXXX.

f. ENGLink: ENGLink is a robust, web-based, three-tier architecture utilizing Oracle 11g Enterprise (which offers enterprise-class performance, scalability and reliability on clustered and single-server configurations) as the database engine; the Oracle Application Server for web hosting; and the users' web browser as the means of entry. The Army Corps of Engineers – Information Technology (ACE-IT) Office manages all of the software and architecture for ENGLink. ENGLink allows USACE the capability of ground truth reporting and a single data entry point application that standardizes and integrates methods of collecting, analyzing, forecasting, and presenting information for decision makers during all USACE contingencies.

g. Reference to codes that uniquely identify a project are referred to in several ways. You will find the Civil Works Information System (CWIS), Program Code, and Army Management Structure Code (AMSCO) that refer to the same number identifier. This EP will refer to all project codes as "AMSCO".

CHAPTER 2

National Emergency Preparedness Program Operations & Maintenance Appropriation 96X3123

2-1. Purpose. This chapter prescribes procedures pertaining to the programming, managing and execution of the Operation and Maintenance (O&M), National Emergency Preparedness Program (NEPP). Reference ER 11-1-320 Chapter 2.

2-2. Description. National Emergency Preparedness Program (NEPP) category (500) includes the following funding classes that are budgeted annually:

- a. Continuity of Operations Planning (COOP) (class 510)
- b. Catastrophic Disaster Response Planning (CDRP) (class 520)
- c. Emergency Operations Center Support (Divisions only) (class 530)

Additionally this category includes the following classes that are executed under out- of-budget cycle funding requests:

- d. Emergency Water Program (EWP) (class 540)
- e. Continuity of Government (COG) (class 550)
- f. Catastrophic Disaster Training, Exercises and Corrective Action (class 560)
- g. National Emergency Response (class 570)

This category does not fully fund, under any class, the acquisition or maintenance of space for Emergency Relocation Facility (ERF); also known as Emergency Relocation Site (ERS).

2-3. Continuity of Operations Planning (COOP) (class 510). COOP planning focuses on development of the capability for emergency relocation and reconstitution of a USACE (CONUS to include Alaska and Hawaii) activity rendered unusable as a result of either a natural or man-made disaster/event. The COOP plan is the Commander's plan of how the command will operate while reconstituting after an event. The EM office is NOT the overall owner of a Command's COOP plan. The EM office is responsible for the coordination, development, and publication of the Commander's COOP Plan. Activities include: identifying specific requirements associated with USACE relocation/reconstitution missions, analyzing resources, establishing organizational and operational procedures, preparing and publishing contingency plans. Planning items

should include but are not limited to: command succession, communications and identification of ERF. Reference AR 500-3 for ERF requirements.

a. Class 510 is an annually budgeted item. Typical uses of Class 510 are labor for EM personnel and minimal labor for outside of EM support associated with COOP plan development. A minimal amount for travel can be requested and budgeted.

b. COOP plan development is initiated at the Division level and results in an overall plan that includes each district's COOP plan as an annex. COOP plans will be a comprehensive plan that details responsibilities from all offices within the Command that will operate at an ERF during a COOP event.

c. For budget purposes, the initial development of a COOP plan should not take more than 6-9 months. COOP plan updates may be needed annually or biennially. Updates should not take more than 2-4 weeks. Major rewrites must be justified and approved during the annual budget process with justification to CECW-HS.

d. Publishing of a COOP plan is an allowable charge under class 510. Copies of the plan should be shared with CECW-HS.

e. The ERF is a location selected by a Command to use if the main HQs becomes non-functional. The Command's ERF is NOT the sole responsibility of the EM office. ALL of the offices that are shown to be operational in the COOP plan are responsible for a "fair share" of the cost to acquire, furnish, equip, and maintain the ERF; therefore, these costs are to be General & Administrative (G&A) and Departmental overhead costs for the District Command. Divisions must use shared direct charges as they do not have G&A overhead accounts. Any cost of \$250,000 or more must be funded by Plant Replacement & Improvement Program (PRIP).

2-4. Catastrophic Disaster Response Planning (CDRP) (class 520). This class applies to scenario-specific planning activities of national significance (i.e. Hurricanes, Earthquakes, Terrorist Attacks, etc.), as well as Port Readiness working groups.

a. Each Division has one NEPP-funded Civil Works (CW) Planner to direct and coordinate all catastrophic planning efforts within the Division. If additional funds are needed to produce a product, the use of a limited developmental assignment or temporary hire is a preferred alternative and those funds can be requested through the normal budget cycle or by out-of-cycle request to CECW-HS.

b. Scenario-specific planning is the development of plans, in coordination with appropriate Federal, state and local entities, for response to pre-identified natural or man-made disasters that fall within USACE response authorities.

c. Class 520 is where the majority of the NEPP annual budget funds are provided. During the normal budget cycle the Divisions and Districts will budget for salary (Planner, admin support), travel, and any additional requirements.

d. Port Readiness is a requirement at some Divisions and Districts where the EM office is a member of a stakeholder working group that meets on a scheduled basis to discuss issues related to a specific port and how USACE can participate from an Emergency stand point. The cost of participating in these meetings is appropriate under class 520 for EM staff only. Other offices within the district may also be a part of this same working group because of working relationships they have with the shipping industry and other port authorities. It is NOT appropriate to use EM funds in any class to fund other offices for participation in these working groups.

e. This class can be used to cover medical screening for US Search and Rescue Structural Specialist Cadre only. This is a HQ budgeted item.

2-5. Emergency Operations Center (EOC) Support (class 530). This class generally applies to those activities associated with the operation and maintenance of EOC facilities and associated office space for Division Offices. As such, these routine Division expenses are budgeted annually and can be direct charged because the Division does not have an overhead account they can charge to. Examples include: Rent, Communications, Army Corps of Engineers Information Technology, Logistics, Human Resources, Computer Refresh. Divisions may be funded with NEPP and not Expenses appropriations because these EOC functions are not civil works executive direction and management activities of the division offices.

a. When the EOC is activated, funding for equipment, utilities, and supplies for the event will be funded from Class 570.

b. Under no circumstances will NEPP funds fully fund the cost of a generator for a District office, ERF or any other site. If there is a requirement for a generator at a specific location the charges must be shared by ALL offices in the command using the facility. NEPP funds will only pay its "fair share" (appropriate percentage of use) for the generator and follow-on maintenance. CECW-HS must be included in the discussion concerning the purchase of a generator. Additional alternatives must first be considered (lease, rental, etc.). A District's request for funds must include a detailed justification endorsed by the Division and provided to CECW-HS for review and decision.

c. Exceptions for equipment purchases for the EOC outside the normal budget cycle will be reviewed by the Readiness Support Center (RSC), submitted to CECW-HS, and coordinated with HQ RM before funds are approved. This is applicable for both Division and District offices. In this instance, Class 530 funds will be requested using a letter funding request shown in Appendix C. Additional support or equipment not covered by

Departmental Overhead (DOH) will be covered by this class. ER 37-1-30, Chapter 20 addresses the eligible expenses under DOH. The direct charge purchase of equipment and or supplies for EOC replacement or upgrades may be funded through this class only by exception. For EOCs funded entirely by FCCE or equipment to be used for only FCCE purposes, the request may be fully funded with FCCE. However, for EOCs with shared costs or equipment that may be shared, the request must be appropriately allocated to the different uses. A District's request will be sent through the Division and forwarded to the RSC for review and approval. A Division's request will be submitted to the RSC for review and approval. Once reviewed, the Division forwards the request to CECW-HS for review and approval.

2-6. Emergency Water Program (EWP) (class 540). This class applies to requirements of Executive Order (E.O) 12656 and is applicable to Headquarters, U.S. Army Corps of Engineers (HQUSACE) only. This is not an annually budgeted item.

2-7. Continuity of Government (COG) (class 550). This class applies to plans to support Federal, state and local agencies in their efforts to re-establish civil authority lost as a result of a catastrophic natural or man-made disaster. COG is applicable to HQUSACE only. This is not an annually budgeted item.

2-8. Catastrophic Disaster Training, Exercises and Corrective Action (class 560).

a. Typical class 560 funded training and exercise events could include: COOP and catastrophic disaster exercises and training that a District or Division may need. This class can also be used for training and exercise related to Port Readiness, for EM personnel only, on a very limited scale.

HQ USACE publishes an Annual Training Guidance (ATG) Operations Order (OPORD) which provides guidance and detailed procedures for Divisions and Districts to request funding for training and exercise events. In the fourth quarter of each year, each Division completes its list of Training and Exercise events based on input from the districts and submits resource requests for training events and exercises in the USACE Training & Exercise Database through ENGLink (see definition of ENGLink in chapter 1 General Provisions). The USACE Training and Exercise Database, in ENGLink at <https://englink2.usace.army.mil/englink/tools/trainingRequest/trainingRequestAdmin.seam>

b. The ATG Operations Order requires each district to submit a priority list of training and exercise events for the upcoming Fiscal Year (FY) rank ordered in importance and priority. Likewise, the Division should provide a combined roll up of the district training/exercise events alongside the Division training/exercise events re-prioritized collectively and submit this to HQ Civil Training and Exercise lead by the designated deadline in the ATG. A priority list should typically show information under the following columns: Division/District – Division/District Priority – HQ Priority (reserved

for HQ priority list) – Conduct Dates – ENGLink Training Request # - Estimated Costs Required – Approved Funds Amount – Funding Source (NEPP/FCCE) – WAT/MIPR (for later entry) – Remarks/Details.

ENGLink Training Header

Division/ District	Division Priority	HQ Priority	Event/Training Description	Dates	ENGLink Training Request #	Estimate Costs Required	Approved Funds Amount	Funding Source	WAD/MIPR	Remarks/Details
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Figure 2-1

(1) The training and exercise request in ENGLink should provide as much detail as possible that provides a clear picture of all aspects of the event including a funding breakdown (Excel spreadsheets with detailed breakdowns can be attached to the request in ENGLink) and an indication of where the event is on the District and Division Priority List.

(2) Once an event is requested by the Division in the ENGLink Training and Exercise Module, the Civil Training and Exercise lead will review that it meets objectives and has a sound training or exercise concept, consulting with National Emergency Preparedness Program/Flood Control & Coastal Emergency Program Manager (PM)/ as necessary to validate the training/exercise event. Then, the NEPP/FCCE PM will review and consider approval of funding based on availability of funds and status on the priority list. If funding is low, a cut line will be developed resulting in only events above the cut line being approved for funding.

(3) Final decisions will be made by HQ (Civil Training and Exercise Lead, NEPP/FCCE PM, and Deputy Chief OHS. Subsequently, if approved, funds will be made available to the requesting organization, typically through a Work Allowance Transaction (WAT). Division should then distribute funds to the requesting District. Any funds not used for the specific training or exercise event must be returned to HQ. Each event will be reviewed on its own merits.

(4) Training and exercise funds are included in the annual budget submittal; however, this is only an estimated amount for budget planning purposes and ultimately the approved budget may be different. Actual requests should be made through the Division no later than 90 days or as soon as information regarding the training/exercise event is available. Details can be added as information and costs are confirmed. Refer to the Annual Training Guidance (ATG) Operations Order and ER 350-1-1 for detailed instructions. Districts should work with their Division representative for training and exercises designated by the Chief of Readiness and Contingency Operations (RCO).

2.9. National Emergency Response (class 570).

a. This class includes activation and operations of EOCs and the deployment of response personnel and equipment for an event of national significance that relates to USACE response authorities. The class 570 NEPP funds are not budgeted and will be issued by HQUSACE as the situation warrants. Since the definition of “national significance” is determined on a case by case basis, coordination should be made with the Division and HQUSACE before class 570 funding is requested. Other agencies, such as Federal Emergency Management Agency are more likely the lead agency responsible for a Federal response to the majority of man-made events that are of national significance. USACE is usually involved under its own authorities when the event and/or response relates to our civil works projects or navigation missions, including sunken vessel removal. If it is determined that the event is not of national significance, but it is a response to a natural disaster or emergency water assistance covered by 33 USC 701n (commonly referred to as PL 84-99), FCCE Class 210 funds should be requested for the event. Some examples of when Class 570 NEPP funding has been used include: Deepwater Horizon Oil Spill, and the West Virginia Chemical Spill. The use of P2 is not required for class 570 “Response” events.

b. Special Considerations:
Out of budget cycle funding events that are considered “High Profile” Homeland Security Events that are out of the normal such as the Presidential Inauguration. This type of event may require special planning efforts and follow-on EOC Operations to monitor the event(s) during the event itself. USACE usually is in a support roll to other Federal Agencies such as FEMA and Federal Security Departments. In some cases the Federal agency that has the lead for the event may provide funds to support the event. If a Division or District has been requested to support these types of events and the requesting agency cannot provide funding support to USACE then, a funding request must be provided through the official chain of command to CECW-HS with a description of the type of support requested. The request should also include the name of the agency requesting the support, a justification describing why we should support the event and the relationship between the requested activities and USACE missions and authorities, such as the USACE missions for its civil works projects, navigation or COOP and general office operations, and why the event is of “national significance”. If the request is approved, pre- planning efforts will be funded under class 520. The monitoring of the event itself would be covered under class 570.

(1) Civil Unrest or Protests, Division offices should utilize Expense funds and District offices should use their overhead funds. Any Activation of EOC and use of CCS 570 in relation to Civil Unrests or Protests must be coordinated with HQ OHS to determine national significance and/or catastrophic disposition.

c. Verbal funding authorizations may be provided for only class 570 funding;

however, verbal authorizations are not given during HQUSACE core business hours (0900- 1500 hrs. Monday through Friday). If at all possible, requests will be done electronically via e-mail, but telephonic requests and approvals are appropriate when circumstances dictate. Below is the process for verbal funding authorization:

(1) The District will contact Division, requesting class 570 funds. The funding request letter shown in Appendix D will be used as a follow-up to the verbal funding request. District coordination with RM should occur concurrently with the verbal request to ensure funds are loaded upon receipt of the verbal authorization.

(2) The Division will contact HQUSACE (CECW-HS) for a verbal authorization. The Division will then send a follow on e-mail to HQ's confirming the request.

(3) After hours, verbal requests are to be made through the USACE Operations Center (UOC) at 202-761-1001. UOC will contact PL 84-99 PM, and/or Deputy Chief OHS, NEPP Program Manager or assigned alternate for authorization.

(4) The approval (email) from HQUSACE will include the amount of the funds requested, request number, event, AMSCO, the CCS of funds provided, the program year of funds provided, the Public Law if applicable, the name of the person providing the approval, and date and time received. .

(5) Emergency Funding Authorization Document (FAD). After hours when authorized, District will generate an Emergency FAD in CEFMS. Justification section will include CECW-HS approval e-mail date along with information outlined in paragraph c.(4) above. (See Appendix G). CECW-HS will follow-up with Work Allowance Transaction in CEFMS during normal business hours.

(6) Regular (Non-Emergency) Work Allowance Transaction (WAT). HQUSACE is responsible for issuance for WATs and creating FADs in CEFMS for labor, inspection, rehabilitations and other related work. Districts will continue to initiate revocation WATs for rehabilitations (See Appendix H).

(7) The authority to load verbally approved funds is provided in ER 11-1-320. If a Division/District RM has an issue loading Emergency FADs, contact CERM-F at HQUSACE for assistance.

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CHAPTER 3

The Public Law 84-99 Program Flood Control and Coastal Emergencies Appropriation (96X3125)

3-1. Purpose. This chapter prescribes procedures pertaining to the management and execution of programming, funding, and budgeting processes that support the USACE Public Law (PL) 84-99 Program by the Flood Control and Coastal Emergencies (FCCE) appropriation and account. (Reference ER 11-1-320, Chapter 3). The six activities of the PL 84-99 Program are Disaster Preparedness, Emergency Operations, the Rehabilitation and Restoration Programs, Emergency Water Assistance and Drought Assistance, Advance Measures, and Hazard Mitigation.

3-2. Description.

a. Budget Cycle. Category 100 funds (Classes 110,120, Districts and Divisions and 130, Divisions only) and Class 360 funds are budgeted on an annual basis in line with Chapter 5. All other classes of FCCE funds are requested and provided through the out of cycle funding process. See Paragraph 3-35.

b. Labor and TDY Charges.

(1) ED&M and overhead funded employees performing their normal duties on behalf of any PL 84-99 activity will continue to charge "straight time" (regular labor) as normal. ED&M and overhead funded employees performing their normal duties while in an overtime or TDY status will charge overtime, compensatory time or credit hours and TDY to the appropriate class of FCCE funds based on the work conducted.

(2) FCCE category 100 and project funded employees performing duties under Categories 200-600 will charge all regular time, overtime, compensatory time, credit hours and TDY to the appropriate FCCE category and class.

(3) Civilian employees working in support of FCCE Categories 200-600 funded events, will charge time and attendance in line with the Direct Charge Matrix found in Appendix N of this document.

Labor and TDY Charges			
Employee Type	Labor	Overtime	TDY
ED&M/overhead employee performing normal duties		X	X
Project Funded	X	X	X
FCCE Cat 100 Funded	X	X	X

Figure 3-1

c. Limitation on Use of FCCE Funds. FCCE funds are authorized for the use of PL 84-99 Programs activities only. Use of FCCE funds for the activation of EOCs, rescue operations, the provision of limited technical assistance, and liaison activities for natural disasters, other than floods, are permitted only until the situation clarifies, and disengagement of USACE resources and funding can be made. Specifically, FCCE funds may not be used:

(1) In anticipation of receipt of a FEMA mission assignment, to prepare for a specific event or preposition personnel (Planning and Response Teams (PRTs), Subject Matter Experts (SMEs), Team Leader (TLs), Assistant Team Leader (ATLs), etc.) or equipment (e.g., a Deployable Tactical Operation System (DTOS) unit). All activation and movement of USACE personnel and equipment intended to support FEMA must be funded under the appropriate FEMA Mission Assignment.

(2) After receipt of a FEMA mission assignment, to accomplish EOC activities in direct support of FEMA. Such activities may include technical reach back support, funds management, deployment tasker preparation and tracking, and project management. The Emergency Support Function (ESF) #3 representative must clearly indicate the permitted activities in the Mission Assignment Task Order (MATO) to ensure proper reimbursement.

(3) To conduct routine non-PL 84-99-related USACE business. This includes processing OPORDS and FRAGORDS for Overseas Contingency Operations, ACE-IT data calls, etc.; participation in Civil-Military Emergency Preparedness (CMEP) activities; or participating in a non-EM related detail.

3-3. Disaster Preparedness Program (DPP) (Category 100). This category consists of functions required to ensure that a USACE activity is trained to respond to a broad range of disasters and emergencies. It includes planning, training, exercises, supplies and equipment, operations and maintenance, and program management costs.

Disaster Preparedness

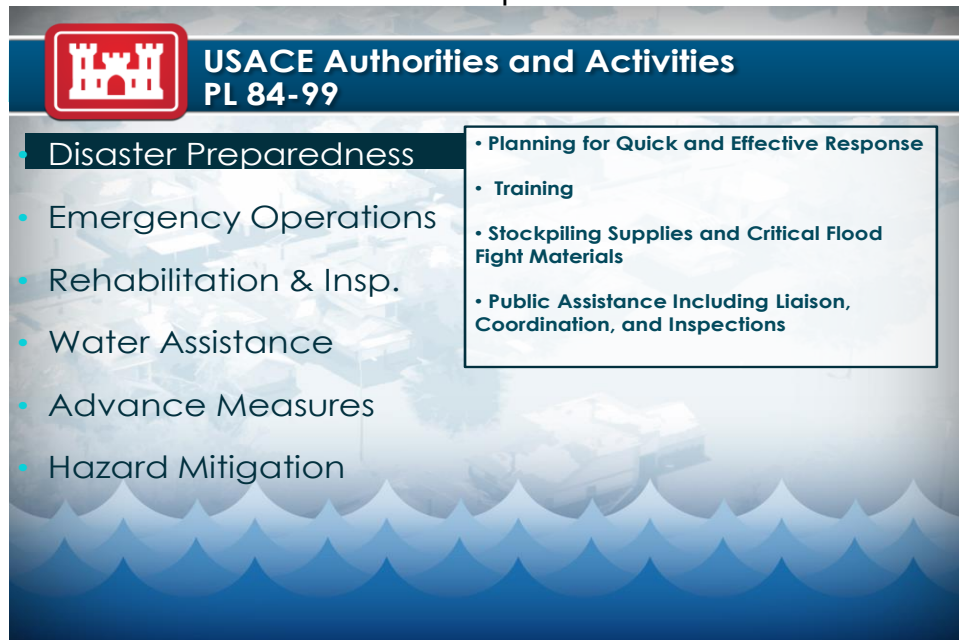


Figure 3-2

3-4. All Natural Hazards Planning Activities (Class 110).

a. Class 110 funds are requested annually through the budget process detailed in Chapter 5 of this document. Funding activities for the Budget Year (BY) are projected to include labor with anticipated overhead rates. BY-1 is updated during the same time to better refine projected activities and add or delete activities projected during the BY process.

b. Authorized expenses for Class 110 include labor for all FCCE funded positions. Planning efforts include: Standard Operating Procedures (SOP) preparation, Emergency Support Function #3 (ESF #3) Field Guide preparation, PRT and Subject Matter Expert preparedness activities. Also included under this class is routine program management, related professional development requirements, preparedness activities associated with Federal, Tribal, state, and local governments and other stakeholders to include identifying potential hazard events. Offices required to participate in conference calls for situational awareness during an event when they are not actively engaged in a specific class 210 event will utilize existing class 110 funds. See Appendix "F" page F-1 for requesting funds. This class also includes conferences, workshops and public meetings related to the Emergency Management Community of Practice (CoP).

(1) This class also covers medical screening and immunizations for deployable EM personnel. Immunizations for team members during EOC activations are covered under Class 210 funds. Outside of activation, funding for immunizations should be covered by

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Class 110 funds. Medical screening is a HQ budgeted item and funded under class's FCCE 110.

(2) Class 110 includes funding for EM staff training to include required PROSPECT courses. Mandatory training requirements (i.e., those required of all USACE personnel, all USACE supervisory personnel, etc., regardless of functional area) are funded direct at Divisions and through the Departmental Overhead account at the Districts. Note: PL 84-99 or courses at the Emergency Management Institute (EMI) are NOT funded under this class. These classes are funded directly from the provider of the class.

c. The Emergency Support Function (ESF) #3 Permanent Cadre are HQUSACE positions that interact with other Federal, State, local, and non-governmental agencies to coordinate planning efforts for a whole community response to a disaster event. Each Cadre member is assigned a Division office for coordination lead. For preparedness activities the Cadre's salary and travel are funded through Class 110 and is a HQ budgeted activity.

d. The national FEMA Liaison Officer (LNO) is permanently located at FEMA Headquarters, Washington, D.C. and serves as the USACE lead for coordinating national level planning efforts and is the lead for ESF #3 when the National Response Coordination Center (NRCC) is activated. These positions, budgeted by HQUSACE, are funded under Class 110, unless activated and funded under National Activation Mission Assignment (MA) activation from FEMA.

3-5. All Natural Hazard Training and Exercises (Class 120).

a. Typical class 120 funded training and exercise events could include: Crisis Management Team training and exercises; EOC/Crisis Action Team training and exercises; Flood Fight Team training and exercises and other location or event specific training or exercise that a District or Division may need.

b. HQUSACE publishes an Annual Training Guidance (ATG) Operations Order (OPORD) which provides guidance and detailed procedures for Divisions and Districts to request funding for training and exercise events. In the fourth quarter of each year, each Division completes its list of Training and Exercise events based on input from the districts and submits resource requests for training events and exercises in the USACE Training & Exercise Database through ENGLink (see definition of ENGLink in chapter 1 General Provisions). The USACE Training and Exercise Database, in ENGLink at <https://englink2.usace.army.mil/englink/tools/trainingRequest/trainingRequestAdmin.seam>

c. The ATG Operations Order requires each district to submit a priority list of training and exercise events for the upcoming Fiscal Year (FY) rank ordered in importance and priority. Likewise, the Division should provide a combined roll up of the

district training/exercise events alongside the Division training/exercise events re-prioritized collectively and submit this to HQ Civil Training and Exercise lead by the designated deadline in the ATG. A priority list should typically show information under the following columns: Division/District – Division/District Priority – HQ Priority (reserved for HQ priority list) – Conduct Dates – ENGLink Training Request # - Estimated Costs Required – Approved Funds Amount – Funding Source (NEPP/FCCE) – WAT/MIPR (for later entry) – Remarks/Details.

ENGLink Training Header

Division/ District	Division Priority	HQ Priority	Event/Training Description	Dates	ENGLink Training Request #	Estimate Costs Required	Approved Funds Amount	Funding Source	WAT/MIPR	Remarks/Details
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Figure 3-3

The training and exercise request in ENGLink should provide as much detail as possible that provides a clear picture of all aspects of the event including a funding breakdown (Excel spreadsheets with detailed breakdowns can be attached to the request in ENGLink) and an indication of where the event is on the District and Division Priority List.

Once an event is requested by the Division in the ENGLink Training and Exercise Module, the Civil Training and Exercise lead will review that it meets objectives and has a sound training or exercise concept, consulting with ESF #3 Permanent Cadre as necessary to validate the training/exercise event. Then, the FCCE PM will review and consider approval of funding based on availability of funds and status on the priority list.

If there are funding constraints, a cut line will be developed resulting in only events above the cut line being approved for funding.

Final decisions will be made by HQ (Civil Training and Exercise Lead, Permanent Cadre Team Leader, NEPP/FCCE PM, PL 84-99 PM, and Deputy OHS. Subsequently, if approved, funds will be made available to the requesting organization, typically through a WAT to the Division with mission prepotency, e.g. Great Lakes and Ohio River Division for Emergency Power, Mississippi Valley Division for Debris Removal, South Pacific Division for Infrastructure Assessment and so on. Division should then distribute funds to the requesting District. Any funds not used for the specific training or exercise event must be returned to HQ. Each event will be reviewed on its own merits.

d. PRT training to include funds request is managed by the Lead Division PRT Subject Matter Expert. ESF#3 training as Team Leader (TL) and Assistant TL Cadre and Local Government Liaison (LGL) Cadre are managed by the ESF #3 Permanent Cadre and is considered a preparedness activity.

e. Non-EM personnel being trained in their normal duties or participating in an exercise as a functional specialist continue to charge to their regular account. Class 120 funds will be used for training and exercise participation only when participation is not related to an employee's position/normal line of work. Travel costs will be included for all offices for exercise participation.

f. Training and exercise funds are included in the annual budget submittal; however, this is only an estimated amount for budget planning purposes and ultimately the approved budget may be different. Actual requests should be made through the Division 90 days or as soon as information regarding the training/exercise event is available. Details can be added as information and costs are confirmed. Refer to the Annual Training Guidance (ATG) Operations Order and ER 350-1-1 for detailed instructions. Districts should work with their Division representative for training and exercises designated by the Chief of Readiness and Contingency Operations (RCO).

3-6. Equipment, Facilities, Supplies (Class 130). This class applies to those activities associated with the operation and maintenance of EOC facilities and associated office space for Division Offices. Examples include: Rent, Communications, ACEIT, Logistics, Human Resources, Computer Refresh.

a. When the EOC is activated, funding for equipment, utilities, and supplies for the event will be funded from class 210 during the event and class 240 after the event.

b. FCCE funds will not be used to fully fund the cost of a generator for a Division or District office, Emergency Relocation Facility (ERF) or other site. Generator costs at a specific location must be shared by all offices in the command using the facility. FCCE funds will only pay its "fair share" for the generator and maintenance. CECW-HS must be included in the discussion concerning the purchase of a generator. All alternatives must be considered (lease, rental, etc.). A HQUSACE request must include a detailed justification, with an endorsement from the Division then provided to CECW-HS for review and decision.

c. For EOCs funded entirely by FCCE or equipment to be used for only FCCE purposes, the request may be fully funded with FCCE. However, for EOCs with shared costs or equipment that may be shared, the request must be appropriately allocated to the different uses. A District's request will be sent through the Division and forwarded to the RSC for review and approval. Once reviewed, the Division forwards the request to CECW-HS for review and approval.

d. Additional support or equipment for a district EOC not covered by Departmental Overhead (DOH) may be covered by this class. ER 37-1-30, Chapter 20 addresses the eligible expenses under DOH.

e. Out of cycle Class 130 funds will be requested (Division only) using a memo format signed by the Readiness and Contingency Operations (RCO) Chief.

3-7. Readiness Support Center (RSC) (class 140). This class provides funding for the management and administration of the RSC. Programs managed by the RSC are separately funded through classes 120, 160 and other reimbursable work.

3-8. Reemployed Annuitant Office (RAO) Program (class 150). The RAO program is organizationally in HQ, USACE, Directorate of Contingency Operations (CECO-O). This class covers labor and travel for RAOs supporting HQ's activities. During events RAOs support will be funded appropriately through 210 or FEMA mission assignments.

3-9. Operational Preparedness (160). This class provides for CECW-HS identified personnel and/or organizations providing ongoing operational preparedness support incidental to known or potential threat(s). Funding is provided to the following: Geographic Information System/Remote Sensing (GIS/RS) Center; Engineering Research and Development Center (ERDC); Deployable Geographic Information System/Remote Sensing Tactical Operations Systems (DTOS) maintenance, upgrades, and custodial district support leases (CDSL); ENGLink, High Frequency (HF) radio and EOC design; U.S. Army Corps of Engineers Finance Center (UFC); operation and maintenance of ENGLink. This class includes during normal operations, utilizing various contracting acquisition methods for services/equipment for Advanced Contract Initiative (ACI), Indefinite-delivery Indefinite Quantity (IDIQ), and Blanket Purchase Agreement (BPA). This class can also be used to stockpile high visibility items and critical equipment, supplies, maintenance and repair of equipment during normal operations not associated with post events. Class 160 will be coordinated with CECW-HS and included in the budget cycle.

The RSC also assists HQUSACE on tracking, developing, and updating EOCs. Requests are sent from the Divisions through the RSC to HQ for approval.

Equipment Approval Process for EOCs:

The District request will be sent through their Division to the RSC and then a recommendation from the RSC to CECW-HS.

If the Division/District goes through their Plant Replacement & Improvement Program (PRIP) process, the RSC still needs to review all plans so they can provide an update to HQ's CECW-HS of any planning/construction activities related to Emergency Management.

3-10. Emergency Operations Funds (Category 200). This category provides for response to natural disasters including field investigations of potential natural disasters,

flood fighting and rescue operations, protecting Federally authorized constructed coastal storm risk management projects, preparation of After Action Reports, Post Flood Response actions, operational supplies and equipment, support from other Federal agencies, and certain types of other operational support.

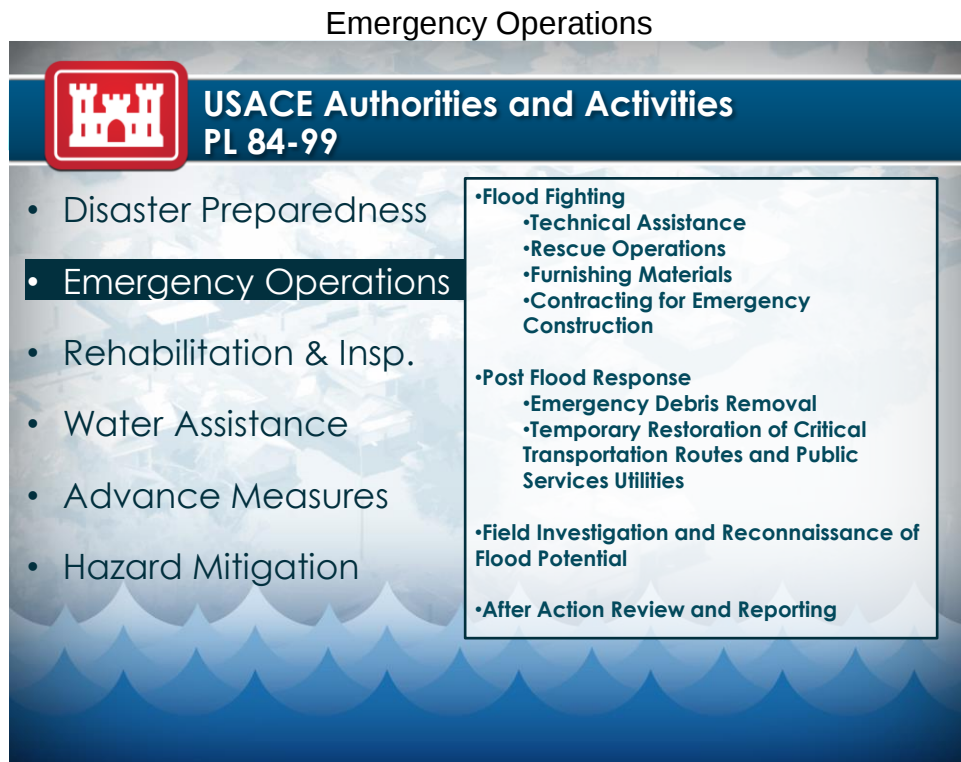


Figure 3-4

3-11. Response Operations (Class 210). This class includes activation and operation of EOCs for all natural hazards; provision of technical assistance incidental to disasters; flood fighting activities (to include emergency contracting); loan of flood fighting equipment sandbags, plastic, pump hoses, innovative flood fighting materials, and high visibility items; liaison officer activities; and limited flood data collection. An emergency declaration by an authorized division/district official is required before requesting Class 210 funds. Class 210 funds will be requested using the funding request format shown at Appendix F. The use of P2 is not required for any class 210 “Response” event. Offices participating in class 210 event conference calls for situational awareness see page 3-3.

a. Verbal funding authorizations may be provided for only class 210 funding; however, verbal authorizations are not given during HQUSACE (CECW-HS) core business hours (0900-1500 hours Monday through Friday). If at all possible, requests will be done electronically via email, but telephonic requests and approvals are appropriate when circumstances dictate. Below is the process for verbal authorization:

(1) The District will contact Division, requesting class 210 funds. The funding request letter shown in Appendix F, will be used as a follow-up to the verbal funding request. District coordination with RM should occur concurrently with the verbal request to ensure funds are loaded upon receipt of the verbal authorization.

(2) The Division will contact HQUSACE (CECW-HS) for a verbal authorization. The Division will then send a follow on e-mail to HQ's confirming the request.

(3) After hours, verbal requests will be coordinated through the USACE Operations Center (UOC) at 202-761-1001. UOC will contact PL 84-99 PM, and/or Deputy Chief OHS, NEPP Program Manager or assigned alternate for authorization.

(4) The approval e-mail from CECW-HS will include the amount of the funds requested, request number, event, AMSCO number, the CCS of funds provided, the program year of funds provides, the Public Law if applicable, the name of the person providing the approval, and the date and time received.

(5) Emergency Funding Authorization Document (FAD). After hours when authorized, District will generate an Emergency FAD in CEFMS. Justification section will include CECW-HS approval e-mail date along with information outlined in paragraph a. (4) above. (See Appendix G). CECW-HS will follow-up with Work Allowance Transaction in CEFMS during normal business hours.

(6) Regular (Non-Emergency) Work Allowance Transaction (WAT). HQUSACE is responsible for issuance for WATs and creating FADs in CEFMS for labor inspections, rehabilitation and other related works. Districts will continue to initiate revocation WATs for rehabilitation. (See Appendix H).

(7) The authority to load verbally approved funds is provided in ER 11-1-320. If a Division/District RM has issue loading Emergency FADs, contact CERM-F at HQUSACE for assistance.

(8) As an exception to the requirement for an emergency declaration, Class 210 funds may be requested (with sufficient justification) and provided in anticipation of an imminent disaster event likely to lead to an emergency declaration within the next 96 hours.

(9) For Mississippi River and Tributaries (MR&T) funded projects, all flood fight costs will be funded with MR&T funds. If no MR&T funds are available, use of FCCE Class 210 funds is appropriate but must be approved by CECW-HS prior to expenditure. EOC operations for MR&T-funded flood fights are appropriately charged to FCCE Class 210.

(10) Flood fight efforts that can be funded under Class 210 include equipment

leases or rentals (to include pumps, generators, and approved telecommunications equipment with data usage), construction equipment rentals, emergency flood fight contracts, and procurement of riprap/rock, sandbags, plastic, pump hoses, innovative flood fighting materials, and high visibility items. During an event Class 210 funds may be used for operationally necessary supplies, consumables and durable equipment such as office supplies, pump hoses and fittings, fuel, and replacements for broken office equipment (e.g., copiers or fax machines) and replacement computer peripherals normally funded by FCCE or FCCE overhead. Class 210 funds will not be used to purchase major items (e.g., pumps or generators), computers, or new equipment not previously on hand. ER 500-1-1 should be consulted to be sure the district is in compliance with HQUSACE policy.

a. *Note* Equipment that is considered “specialty or prototype” items should not be purchased if the items can be rented or leased. This would include for example GPS/cell phone devices that are tied to a single database. These hand held units are used for specific purposes such as locating sand boils which report back to a central system. This type of equipment usually requires continuous upgrades and care. Prior to the purchase of this type equipment the requesting office must receive approval from CECW-HS.

b. The National Flood Fight Material Center (NFFMC) warehouses can replenish flood fight material and equipment using class 210 funds as long as the event is ongoing. Class 240 funds will be used to replenish, restock supplies or repair any equipment post event. During normal operations, labor associated with NFFMC efforts should be funded through the annual budget process using class 110 funds.

(1) Class 240 funds will only be used for replenishment of supplies post-event. It should not be used to fund specific operational requirements.

(2) During events, the NFFMC will request 210 funds on behalf of the impacted district for all current operational requirements.

Throughout the year, a variety of new flood fight materials become available on the market and are subsequently marketed during flood events. These materials must first be approved by HQUSACE in coordination with ERDC before purchasing.

c. EOC upgrades, new audio visual equipment for the EOC, new computers or cell phones must be funded through the district overhead or class 130 for divisions. Replacement of existing items is eligible as detailed in paragraph 3-12 c. above. If a district or NFFMC stockpile needs to be increased, class 240 (post event) must be used by submitting a formal request with justification through the Division office to CECW-HS.

d. Class 210 funds will be requested using a letter funding request shown in

Appendix F. A signed Commander's memo declaring an emergency for his or her area of responsibility (AOR) must accompany the funding request. If the event happens so quickly that a "Verbal Request" is needed, a declaration memo will follow the request the following working day. The memo will be signed by the Commander or person who has been delegated signature authority.

3-12. After Action Reporting (AAR) (Class 220). This class provides funds for Evaluation and Corrective Action (ECA) activities to include those undertaken as part of the Corps of Engineers Remedial Action Program (CERAP).

a. The Remedial Action Program (RAP) is an important program to USACE as it has created a vehicle to track national level lessons learned during events. Most importantly, it has helped foster a culture of learning based on past experience. Specific guidance for the program is detailed in the Annual Training Guidance (ATG) OPOD. The CERAP PM oversees the HQUSACE AAR that is developed after an event as well as provides assistance to Divisions as they collect and track lessons learned during an event.

b. After events Divisions are required to produce an AAR, in line with the event cost thresholds detailed in the ER 500-1-1. The Remedial Action Program RAP Interview Team (RAP-IT) may be requested by the Division or District.

c. Request for these funds must be made before the event is over so all lessons learned can be collected and assembled into an AAR to advise the command of actions to sustain and suggested corrective actions as needed from the event.

3-13. Post Flood Response (Class 230). This class provides funds for all actions associated with response to a state or tribal request for assistance after a flood event. This includes labor, TDY, emergency contracting, and liaison officer activities, to include a USACE liaison to a FEMA Regional Response Coordination Center (RRCC)/ region for coordination/transition of Post Flood Response support purposes. Class 230 funds will be requested using a letter funding request. The Governor's request for assistance should be included with the funds request memo in line with ER 500-1-1.page 4-5 paragraphs i and j.

3-14. Operational Supplies and Equipment (Class 240). This class provides funds, after conclusion of an event, when the use of Class 210 funds is no longer permitted. This class is used when there is a requirement for the maintenance and repair of equipment and replenishment of office equipment and supplies used during a specific event. Note: Flood fight material and visibility items not associated with an event or post event to include new equipment must be requested through the budget cycle utilizing class 160.

a. Class 240 was created to fund supplies and material associated with operational events to maintain and/or purchase equipment and to keep all equipment that is used in the field during an event in a “Fully Mission Capable” status. Custodians of this type equipment will be given class 240 funds, as requested and approved by CECW-HS, to maintain the equipment.

b. Unique stockpile for Expedient Flood Fight Products for NFFMC (reference Appendix O), associated with a post event will be replenished using class 240 funds .

c. Class 240 can also be used to fund specific items for the Division office if considered appropriate by CECW-HS. For example if a projection system fails during an ongoing event and must be repaired to meet mission requirements but the repairs will cost more than replacing the equipment with new equipment, class 240 funds can be used. This class funding will not be used to fund entire EOC upgrades.

d. Class 240 funds will be requested using a letter funding request.

3-15. Support from Others (Class 250). This class provides funding for other Federal departments and agencies supporting USACE for any costs that USACE would typically incur under Classes 210-240. Examples include the use of Department of Interior (DOI) Archeologists during a levee rehab project where borrow material from many areas are used. Archeologists would survey proposed borrow sites to determine if any cultural resource sites were in the area. Class 250 funds will be requested using the funding request format.

3-16. Operational Response (Class 260). This class provides for CECW-HS identified personnel and/or organizations providing supplemental operational support during an event by organizations such as GIS/RS Center ERDC; DTOS staff; U.S. Army Corps of Engineers Finance Center (UFC), and ENGLink. For example, when the amount of work required by a large event greatly exceeds the ability of the Finance Center to maintain the base workload, this funding would support overtime and/or bringing in additional staff to maintain the workload. Class 260 funds will be requested by the organization providing support using a letter funding request.

3-17. Rehabilitation and Inspection Program (RIP) (Category 300). Rehabilitation Program includes costs for investigation of and rehabilitation (repair) of damage to authorized flood risk management projects, and federally authorized and Coastal Storm Risk Management Projects (CSRMs) that have been damaged by natural disasters. In addition, Category 300 funds Initial and Continuing Eligibility Inspections for non-Federal flood risk management projects, Interagency Levee Task Force costs, and certain database support requirements.

Detailed instructions on project management under the Rehabilitation Program as well as eligibility requirements can be found in ER 500-1-1 and EP 500-1-1. The use of P2 for all “Recovery” projects, such as levee rehab, is required.

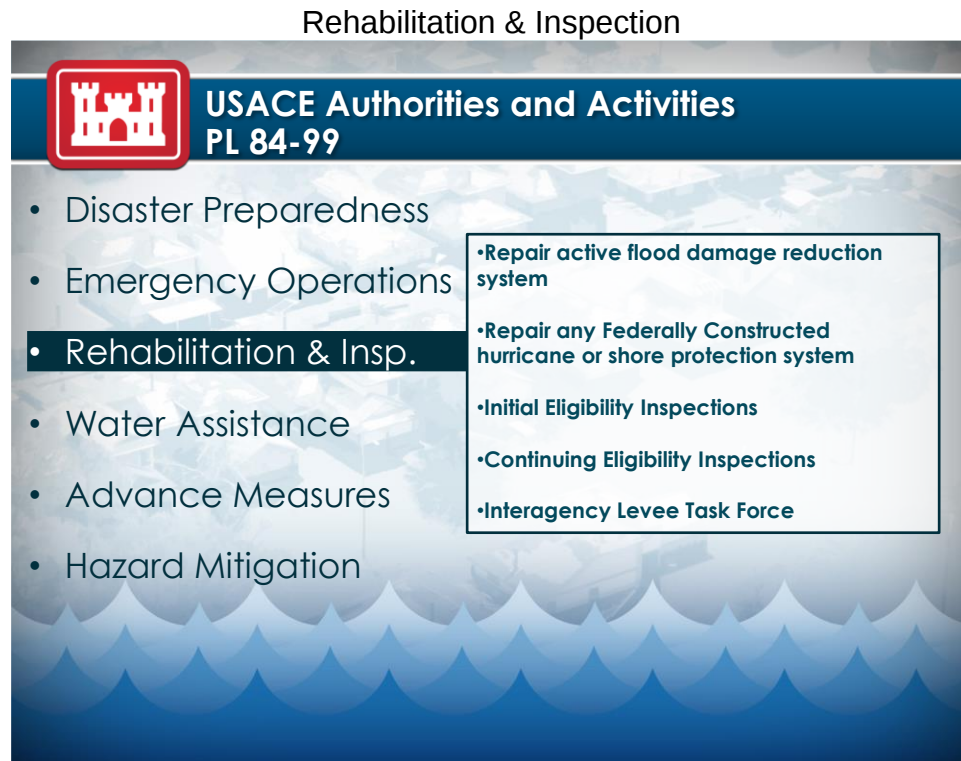


Figure 3-5

3-18. Rehabilitation Project - Federal Flood Risk Management Project (Class 310). Procedures for Rehabilitation Project – Federal Flood Risk Management Project will include the costs for the rehabilitation of eligible Federal projects.

Detailed information regarding EM notification responsibilities to sponsors following an event and how sponsors may request rehabilitation assistance can be found in ER 500-1-1 and EP 500-1-1.

3-19. Rehabilitation Project - Non-Federal Flood Risk Management Project (Class 320). This class covers all costs of rehabilitating Active non-Federal flood risk management projects, to include supervision and administration, engineering and design, real estate, mitigation/environmental compliance, construction, and contingency costs. These funds will have a non-federal cost share associated with them, and should be tracked accordingly for reconciliation at the conclusion of construction. See Appendix F for the funding request letter format.

3-20. Rehabilitation Project - Hurricane/Shore Protection Project (330). This class

funds rehabilitation of federally authorized and constructed Hurricane/Shore Protection projects.

Detailed information regarding EM notification responsibilities to sponsors following an event, how sponsors may request rehabilitation assistance, and specific eligibility criteria can be found in ER 500-1-1.

3-21. Field Investigation (Class 340). This class funds all field investigation and PIR preparation costs related to damaged Active flood risk management projects and Hurricane Shore Protection projects.

a. All costs associated with required Federal, tribal and state consultations are funded by Class 340. This includes regulatory/permitting/consultation requirements of National Environmental Policy Act (NEPA), Endangered Species Act (ESA), Native American Graves Protection and Repatriation Act (NAGPRA), cultural resources, State Historic Preservation Office (SHPO) requirements, etc. Any mitigation requirements resulting from such consultation will be funded as appropriate under Class 310, 320, or 330. See Appendix F for the funding request format.

b. All flood risk management projects must have a unique Civil Works Information System (CWIS) or AMSCO number. Districts are no longer able to utilize county or city based AMSCO numbers. If a new AMSCO is required, a P2 project must be established, the P2 number generated will be the new AMSCO number. Once the new AMSCO number is generated, the district or division must submit a request to CEFC-AF to add the number to the P2 table. After it is added to the P2 table, the Finance Center will verify with CECW-HS or HQ Programs Integration Division (PID). There may be times when it is appropriate to request PIR funding in bulk, rather than by specific project. In this case a separate P2 number and AMSCO number will be created, and all the PIR funds will be provided under the Bulk PIR AMSCO.

c. Class 340 bulk funding for riverine PIRs may be requested when there are five or more Active projects damaged by a single event. Class 340 funding will use the AMSCO number (program code) of 084075 and will be requested using the funding request format in Appendix F.

3-22. Initial Eligibility Inspections (IEI) (Class 350). Procedures for Initial Eligibility Inspections (IEI) of non-Federal flood risk management projects will include costs to conduct a field inspection and review submitted materials. Basic eligibility assessment criteria is listed in EP 500-1-1. See Appendix F for funding request letter.

3-23. Continuing Eligibility Inspections (CEI) (Class 360). Procedures for Continuing Eligibility Inspections (CEI) of non-Federal flood risk management projects will include costs to conduct field inspections and review any submitted materials. CEIs are

intended to verify that an Active flood risk management project continues to meet minimum acceptable performance levels for the Rehabilitation Program. Funding in this class should encompass annual non-federal inspections of Active projects. The Levee Safety Program identifies inspection frequencies and criteria. This class is part of the annual budget process, through a funding request letter, which is submitted each fiscal year. See Appendix F for funding request letter.

3-24. Interagency Levee Task Force (ILTF) Activities (Class 370). This class provides funding for participation in an event-specific ILTF, as mandated by the 18 February 1997 memorandum: Floodplain Management and Procedures for Evaluation and Review of Levee and Associated Restoration Projects, issued by the Office of Management and Budget (OMB) and the Council on Environmental Quality (CEQ) which directed USACE to take the Federal agency lead for ILTFs.

a. In most cases, USACE will fund its own participation on this team. FEMA will not normally provide funding for activation of an ILTF under ESF #3, Public Works and Engineering activities. There are exceptions for flood events of an extraordinary magnitude. In these cases, FEMA would be expected to provide funding through a MA. In any case, FEMA will normally provide space, telecommunications support, mail costs, common user support requirements, and related support for the ILTF and/or Interagency Levee Working Group (ILWG), a subset of the ILTF, in an established Joint Field Office (JFO) in order to promote a collaborative interagency approach.

b. See ER 500-1-1 for more detail.

c. Upon activation of an ILTF, and when FEMA (ESF #3) funds are not available for ILTF activities, the responsible Division will submit a written request for funds to HQUSACE for each ILTF. ILTF activities will be funded under Class 370 for costs not covered by FEMA.

d. Other participating agencies will provide for their own personnel and per diem costs for participation on the ILTF/ILWG. Under no circumstances may Class 370 funds be used to fund personnel, per diem, or related costs for personnel of other Federal agencies, or state, Tribal, or local agencies.

e. System-wide Improvement Framework (SWIF) Activities. This class also provides funding for SWIF which offers non-federal sponsors a process to remain temporarily eligible for P.L. 84-99 assistance while they correct unacceptable operation and maintenance deficiencies as part of a broader, system-wide improvement to their levee systems.

3-25. Flood Risk Management Database Activities (Class 380). This class funds

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database maintenance and input activities resulting from the CEIs and IEs on non-Federal projects; from significant flood fight activities (e.g., large boil fields or emplacement of a seepage berm); from the execution of rehabilitation and restoration projects; and from the execution of Advance Measures projects. Costs for CEI-related database maintenance and input activities for Federal projects are funded under the ICW Program.

3-26. Emergency Water Supplies and Drought Assistance (Category 400). This category includes cost to complete investigations to determine eligibility for assistance; the provision of emergency water due to contaminated source problems; construction of wells for farms, ranchers and political subdivisions, and transportation of water to political sub-Divisions within areas determined to be drought distressed by the Deputy Commanding General for Civil and Emergency Operations.

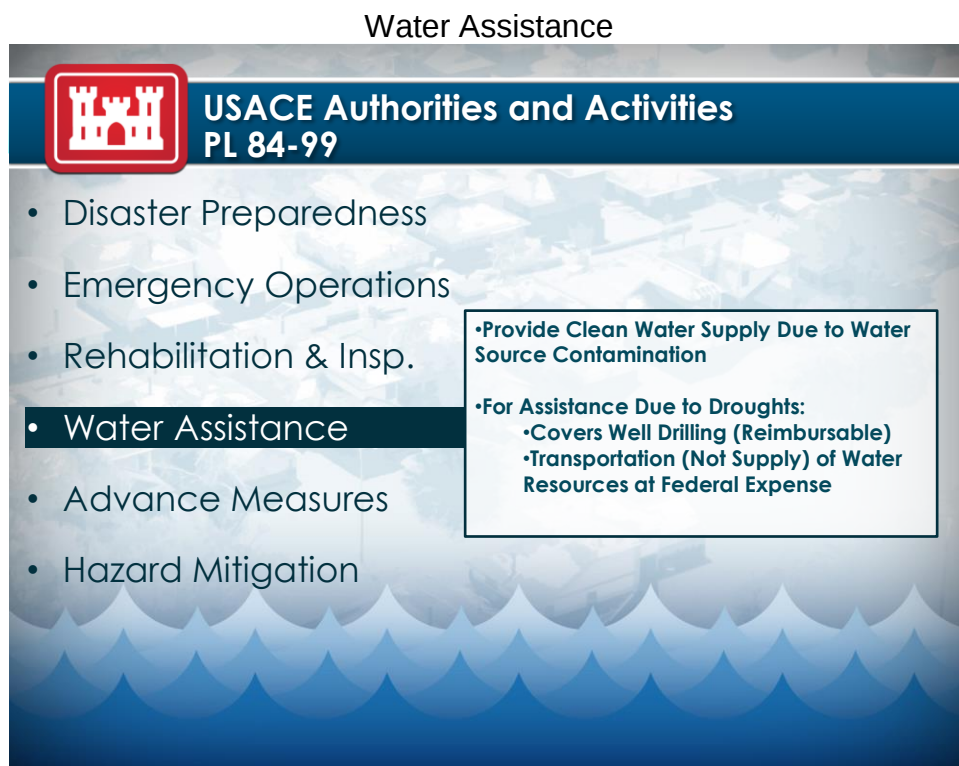


Figure 3-6

3-27. Emergency Water Supplies (Contaminated Source) (Class 410). Class 410 funds include the costs to provide water to any locality confronted with a source of contaminated water causing or likely to cause a substantial threat to the public health and welfare. The criteria and conditions as detailed in ER and EP 500-1-1.

Based on the type of assistance requested and determined to be required as detailed in

the project information report, Districts will submit a cost estimate to Division that encompasses both management and execution of the type of assistance needed. The PIR should accompany the funding request. All eligible costs are listed in EP 500-1-1.

3-28. Drought Assistance (Class 420). Class 420 funds include the costs for the transportation of water from a source to the political subdivision 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. See Appendix F for the funding request format.

Based on the type of assistance requested and determined to be required as detailed in the PIR, Districts will submit a cost estimate to Division that would encompass both management and execution of the type of assistance needed. The PIR should accompany the funding request. All eligible costs are listed in EP 500-1-1.

3-29. Field Investigations, Project Information Report Preparation and Technical Assistance (Class 430). This class funds all costs related to field investigations and PIR preparation for all potential Emergency Water Assistance and Drought Assistance projects. This class also funds technical assistance for both Emergency Water Assistance and Drought Assistance situations, to include labor (for both FCCE-funded personnel and other personnel), travel and TDY costs for meetings and coordination with other Federal, Tribal, state, and local officials. The AMSCO number 443735 will be used for all Class 430 Drought Assistance efforts. PIR checklist requirements can be found in the EP 500-1-1. See Appendix F for the funding request format.

3-30. Advance Measures (Category 500). Procedures for Advance Measures will include 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 or the leader of the affected tribe. Verbal funding authorization will not be issued under this category. For technical assistance only, the request may be signed by an appropriate state or tribal official. EP 500-1-1 outlines the elements required within the state's request for assistance.

Advance Measures

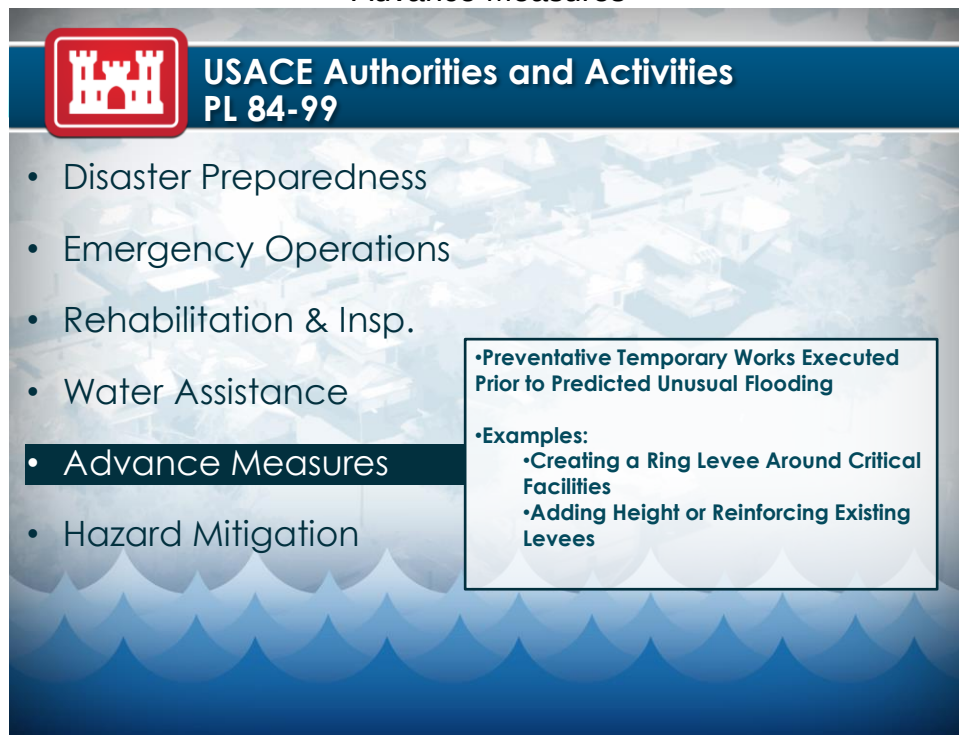


Figure 3-7

3-31. Advance Measures Assistance (Class 510). Procedures for Advance Measures Assistance will include the costs of implementing approved direct assistance projects. Funding for construction of Advanced Measures projects is normally provided concurrently with approval of a PIR that has been prepared and submitted under Class 520, Field Investigations. The requirements of the PIR are detailed in ER 500-1-1 and EP 500-1-1.

a. After project approval and prior to initiation of construction of advance measure projects, the District and public sponsor must execute a Cooperation Agreement (CA) as outlined in EP 500-1-1. A sample CA may be found in the EP.

b. Depending on the timing of the event, it may be advantageous to pursue a request for class 210 funds rather than Class 510 Advance Measures. The appropriate funding class should be determined after consultation with Division and HQUSACE.

3-32. Field Investigations (Class 520). This class funds all costs for pre-flood technical assistance to a states, tribe or local jurisdictions threatened by an imminent flood situation, and investigation and report preparation for proposed Advance Measures construction projects.

a. Procedures for Field Investigations may include costs for pre-flood technical

assistance to a states or local jurisdictions, and investigation and report preparation for proposed direct assistance projects.

b. An initial report of pending Advance Measures assistance may be made telephonically or via email to HQUSACE. Funding for technical assistance or for an initial PIR that may result in a direct assistance project will be funded under this class.

c. Class 520 funds will be requested using a letter funding request shown in Appendix F.

3-33. Hazard Mitigation Funds (Category 600). This category and class includes all costs associated with USACE participation in interagency flood risk mitigation and management activities that focus on planning and mitigating for flood hazards with Federal, state, local, tribal agencies, and non-governmental organizations. The development of a hazard identification and risk assessment (HIRA) plan is funded under this category.

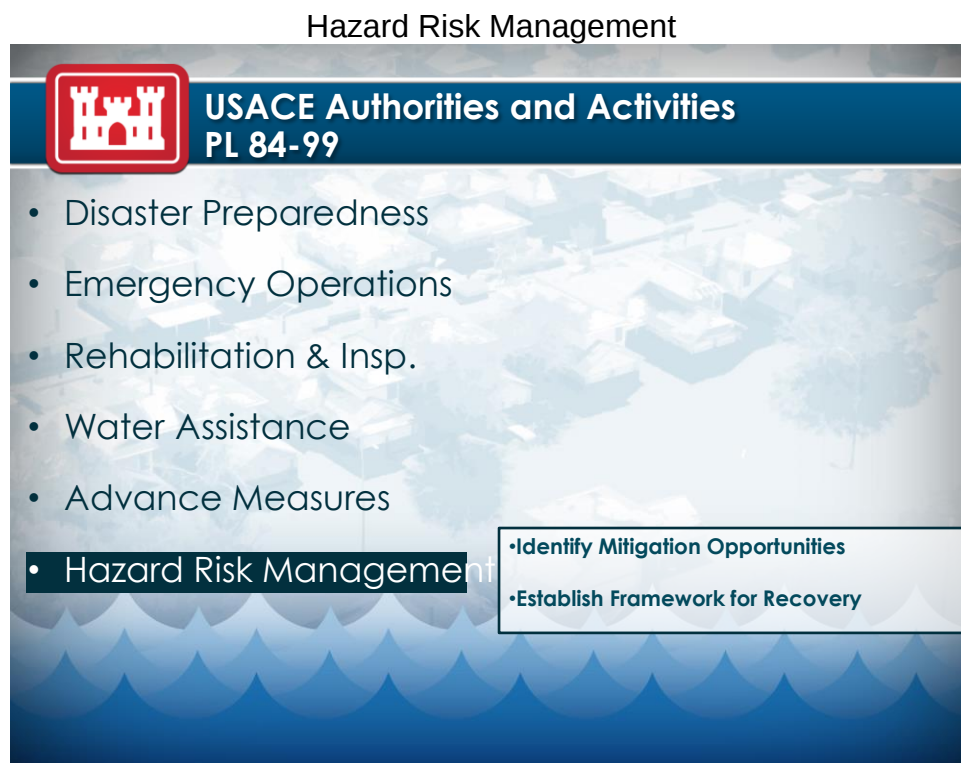


Figure 3-8

3-34. Hazard Mitigation (Class 610). Procedures for Hazard Mitigation will include costs associated with USACE participation in interagency flood risk mitigation and management activities that focus on planning and mitigating for flood hazards with Federal, state, local, tribal agencies, and non-governmental organizations. Activities

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funded under this category include the development of a hazard identification and risk assessment (HIRA) plan. This is accomplished in collaboration with stakeholders and in line with Presidential Policy Directive 8. Within this category, there is one class for funding activities such as the interagency development of HIRA Plans and other related flood mitigation activities. This class includes the costs incurred for all authorized HIRA activities under this category. These costs may be incurred by a Division, or by a district at the direction of the Division. HIRA plan development including labor, travel, and coordination requirements may be funded from this class.

Funding for USACE participation in Silver Jackets teams will be managed through the Flood Risk Management Program at the Institute for Water Resources as a separate account and funded from the Investigations appropriation. Funding for the establishment of a USACE led interagency levee task force will generally be funded by FEMA as part of an ESF #3 activity. When the ILTF is not funded by FEMA and ILTF activities include USACE missions, funding for USACE participation may come from class 370.

3-35. Out-of-Cycle Programming.

a. General information for funding Classes.

(1) All Category 200. Utilize the form in Appendix F. Request funding to activate EOC operations to include regular labor and overtime.

(2) Classes 310, 320 or 330. Utilize the form in Appendix F.

(3) Class 340. In the memo or e-mail request, include: name of project(s), amount, category and class, Civil Works Information System numbers (AMSCO), and event causing need for funds. If bulk funding, see paragraph f below.

(4) Class 350. Utilize the form in Appendix F of this EP.

(5) Class 360. Utilize the form in Appendix F of this EP.

(6) Class 610. In the memo or e-mail request include; name of project(s), amount, category, and class, AMSCO, event causing need for funds and description of the hazard mitigation activities to be under taken.

b. Category 400 and 500 requests for funds require a formal memorandum from a District using the memorandum form outlined in Appendix F of this EP. All requests within these two categories must be accompanied by a request for assistance signed by the Governor or tribal leader. (If for Class 430 or Class 520 technical assistance only, the request may be signed by an appropriate state official). Requests by a qualified Indian tribe, Alaska Native Corporation, or tribal organization should follow eligibility and

processing requirements contained in ER 500-1-1. Once endorsed by the Division, the request will be emailed to CECW-HS for review and action. If the action is approved, the work allowance transaction will be issued by CECW-HS. The FAD will be issued directly to the requesting office by CERM.

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

d. After Project Information Report (PIR) approval for Classes 310, 320 and/or 330, funds will be requested from CECW-HS 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 for construction and related costs (construction contingency, supervision and administration). The request format in Appendix F of this EP will be used to request Classes 310, 320, and 330 funds.

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).

f. Bulk funding may be requested for Classes 340, 350, 360, 430, and 520. As required, follow approval process as stated in ER 500-1-1. When bulk funding is requested, an AMSCO will be established for that flood or drought season. For Classes 430 and 520, an AMSCO will be established on a state-wide basis. Bulk funding will not be used in computing the benefit-cost ratio (BCR) for the project approval.

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CHAPTER 4

The Robert T. Stafford Disaster Relief and Emergency Assistance Act 42 U.S.C. 5121, ET SEQ

4-1. Purpose. This chapter outlines the processes and procedures necessary for proper tracking and management of Mission Assignments (MA) assigned by FEMA and ultimately paid for by FEMA. As MAs are loaded into CEFMS under the CW appropriation 96X3125, the Emergency Manager is responsible for proper management of those funds. Thus, the intent of this chapter is to inform the Emergency Manager, as Program Manager, of the requirements by providing sample documents as well as references to other guidance such as ERs, EPs, and Enterprise Standards.

4-2. Mission Assignments. A MA is a reimbursable work order issued by FEMA to another Federal agency which directs completion of specific tasks. It cites funding, managerial controls and other guidance as to the completion of work. The statement of work (SOW) for a mission assignment is generally written in broad language in order to encompass all of the tasks that may be required under the mission, and should contain language stating that “MA task orders will be issued for specific personnel requirements, location(s), dates, and duration of assignments.”

There are two broad categories of MAs: Federal Operations Support (FOS) and Direct Federal Assistance (DFA). FOS is considered “federal to federal assistance and is 100% federally funded. Under a DFA mission, goods and services are provided to the state (or other applicant) in order to save lives and protect property. DFA missions are subject to the non-Federal cost share as designated in the declaration, and the signature of the appropriate state official must be on the final DFA MA. FEMA, not USACE, is responsible for determining the appropriate cost share.

a. Phases. MAs may be issued by FEMA in anticipation of or in response to a Presidential Disaster Declaration. In some instances a major disaster declaration may be preceded by an emergency declaration; therefore, a MA may go through three “phases”: pre-declaration, emergency declaration, and post declaration. Each phase requires a new, separate mission assignment, which will have a different funding citation. An explanation of the components of the funding citation may be found in Figure 4-1 below. Usually RM personnel are responsible for loading the MA funds into CEFMS, however an EM should be familiar with the structure of the fund citation to ensure that it is accurate and reflects the type of work being assigned.

Receipt of a new “phase” of mission assignment requires the Supported District to issue new customer orders to all Supporting Organizations so that new travel orders and new labor charge codes may be created. Each of the three phases is briefly discussed below. An EM should track the declaration process in order to anticipate the potential

for new mission assignments based on declarations and, in coordination with the Finance and Accounting Officer (FAO), be prepared to staff the Crisis Action Team (CAT) adequately to accept and distribute the new funding

FEMA Mission Assignment

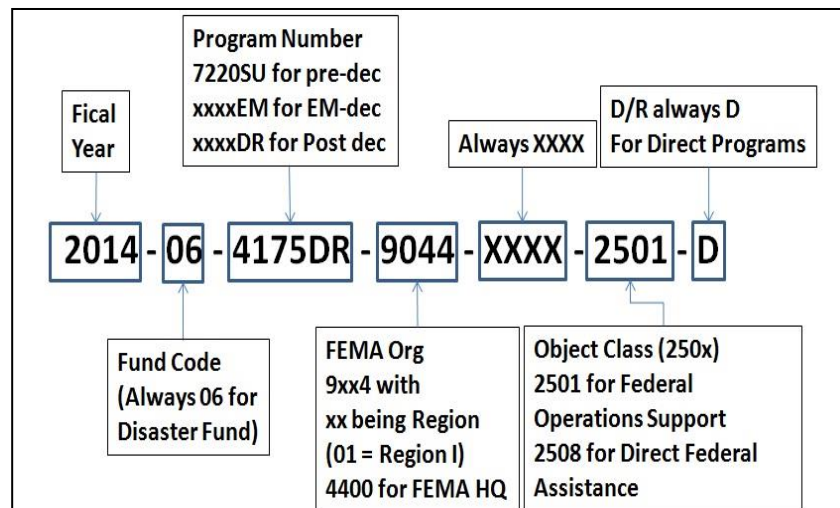


Figure 4-1

(1) Pre-declaration: For events with prior notice, pre-declaration MAs may be issued by FEMA in order to pre-position personnel and equipment in anticipation of emergency or major disaster declarations. Once a declaration is made, whether emergency or major declaration, pre-declaration mission assignments are physically closed and new MAs are issued under the declaration. ESF #3 personnel will normally prepare physical closeout memos for a pre-declaration mission when a “replacement” MA or post declaration mission is received; however, the Supported District EM is responsible for ensuring that supporting organizations receive customer orders funded by the new mission with instructions on when the transition from pre-declaration mission occurred.

(2) Emergency Declaration: An emergency declaration by the President may be made prior to an event or in the interim between the event and it being declared a disaster. An emergency declaration is more limited in scope and is intended to supplement State and local efforts and capabilities to save lives and to protect property and public health and safety, or to lessen or avert the threat of a catastrophe. An emergency declaration could be considered a stop-gap measure to continue lifesaving and life sustaining activities while preliminary damage assessments are performed. Currently, according to FEMA funding for an emergency declaration is limited to \$5 million and it must be requested within 5 days of the incident.

(3) Post Declaration: Following a major disaster declaration, MAs specific to the

declared event may be issued. It should be noted that in some instances of no notice events, such as earthquakes and tornadoes, post declaration MAs may be the first ones received.

(4) Pre-Scripted Mission Assignments (PSMA). PSMA's were developed to facilitate rapid response and to standardize mission assignments (MAs) for work typically performed by a Federal agency in support of Stafford Act disaster declarations. They are intended to avoid "reinventing the wheel" for each event and encourage "thinking ahead." PSMA's contain "pre-scripted" statements of work and projected cost estimates to be used as a guideline for formulating MAs. USACE representatives review PSMA's annually and modifications are submitted to FEMA for inclusion in their PSMA catalog.

b. General Procedures: Receiving Mission Assignments. There are several FEMA "nodes" where MAs may be issued such as the National Response Coordination Center (NRCC), a RRCC, a Joint Field Office (JFO), or Initial Operating Facility (IOF) that is being used prior to a JFO being established. Only credentialed ESF #3 Cadre members should receive MAs and they should check MAs for accuracy prior to forwarding to the supported Division. The supported Division will determine whether funding will be loaded into Corps of Engineers Financial Management System at the Division or forwarded to the supported district for loading of funds and execution of the mission. All MAs (FEMA Form 010-0-8) should be received at the supported Division (RCO) level and then forwarded to the supported District unless otherwise directed by the supported Division. All Temporary Power mission assignments will be forwarded to Pittsburgh District (LRP) for execution.

Because the MA is the catalyst for all execution, it is imperative that the Emergency Manager ensures that a documented process for "routing" the MA is in place. This process should include information on:

- (1) Mission assignment log: spreadsheet or other format to track the missions, amounts, dates, etc.
- (2) Mission assignment book: paper copies to be maintained in the event of computer failure
- (3) Providing copies to RM personnel responsible for loading into CEFMS
- (4) Entering the MA information into ENGLink Interactive (complete with CEFMS work item information)
- (5) Providing copy to HR or ENGLink strike team with information on responding personnel/PRTs

Figure 4-2 presents a very simplified flow chart of the steps necessary from the receipt of the MA through preparing ENGLink taskers to preparing government orders in CEFMS to include cross-charge labor codes. While some of these steps may be initiated simultaneously, it is critical that someone is monitoring these processes to ensure that funding and taskers are being issued to supporting organizations in a timely manner.

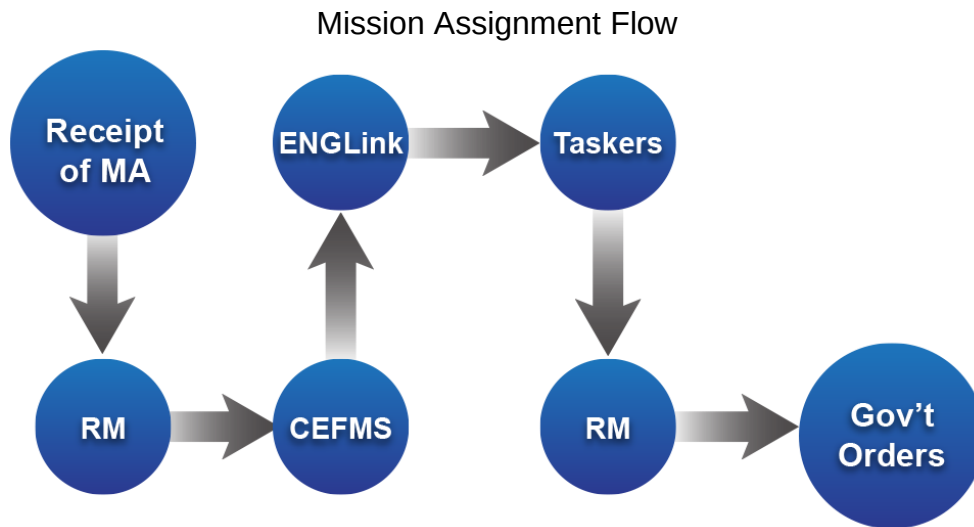


Figure 4-2

c. Funding –USACE Supported MSC/District Verbal Memorandum for Record for Supporting MSC/District (First Responders). In the event the Department of Homeland Security FEMA requests disaster assistance support requiring USACE personnel to travel with less than 24 hours, the following process is available to the supported district only after receipt of a Verbal/Mission Assignment from FEMA. This process only applies to first responders leaving with less than 24 hours' notice, after receipt of a Verbal/Mission Assignment from FEMA. After 24 hours, a "Verbal Memorandum for Record" from supported to supporting activity is no longer valid.

(1) Verbal MFR (First Responders). Once a FEMA Verbal/Mission Assignment has been received, the supported MSC/District may issue a verbal MFR to a supporting MSC/District for first responder(s) to depart. The supporting MSC/District must receive the Government Order (GO) from the supported MSC/District through CEFMS within 48 hours after issuance of the "Verbal MFR" from the supported MSC/District. If the GO has not been received within the time frame provided, the supporting MSC/District must contact the Chief, Emergency Management and/or the Chief, Finance and Accounting Office from the supported MSC/District and obtain the GO.

(2) CEFMS Government and Customer Order Requirements. After the supported MSC/District has officially recorded the GO in CEFMS, they will attach the "Verbal MFR"

(see appendix “J”) behind the GO for supporting documentation and future audit purposes. The supported MSC/District must establish a log sheet to ensure funds control. Also, in order to establish a clear audit trail of the “Verbal MFR” from the supported MSC/District, the supporting MSC/District upon receipt of the GO from the supported District must record the customer order in CEFMS and enter the tracking number in the field “Revised Mission Assignment Number” (Rev. MAN.) located on the Customer Order screen, 2.13 directly under Customer Order Number) and enter “Verbal MFR” in the remarks section. Included in the “Verbal MFR” form is the mission assignment number, funds citation number, event name description, disaster state, time, date, and estimated completion date, amount authorized and tracking number. The verbal MFR requires the signature of the USACE supporting office Chief, Emergency Management and Chief, Finance and Accounting Office or their designees. There is an example memorandum in Appendix J.

(3) P2. The use of P2 will be used for management of recovery FEMA mission assignments (e.g., temporary housing and debris management) to include follow-on Inter Agency Agreements (IAA). The use of P2 for response missions (Pre-Declaration, all Missions, and Post Declaration) (e.g., emergency power, regional activation) is not required, as emergency response operations do not meet the standard project definition.

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CHAPTER 5

Emergency Management Budget and Execution

5-1. Purpose. This chapter provides guidance for the processes of formulating and executing the funds provided under the chapters above.

5-2. Responsibilities.

a. Each District's EM is responsible for the creation of a defensible budget submission for FCCE and NEPP funds as well as for their Departmental Overhead budget. These budgets should follow the guidance provided from HQUSACE and their respective Division. It is the EM's responsibility to ensure that out of budget cycle funds are executed in a timely manner and any excess funds are returned to CECW-HS using a revocation request letter, or by initiating a Work Allowance Transaction (WAT), whichever is appropriate for the class of funds. Additionally, each District EM should ensure the classifications, job series, and position descriptions for their Emergency Management personnel are consistent with current guidance from HQUSACE.

b. Each Division RCO Chief and RCO Program Analyst (where applicable) are responsible for the creation of a defensible budget submission for FCCE and NEPP funds as well as providing oversight and guidance to the Districts for the development of the Regional Departmental Overhead budget. All budgets should follow guidance provided from the HQUSACE, and execution of funds should be monitored to ensure funds are used according to HQUSACE policy and guidance. This includes the timely return of excess funds. Each Division is responsible for providing a representative to be a part of the EM Budget Project Development Team. This PDT member responsibility includes dissemination of EM budget related information throughout their Division to the District EMs. Additionally, each Division RCO should ensure the classifications, job series, and position descriptions for their Emergency Management personnel are consistent with current guidance from HQUSACE.

c. The EM Budget PDT consists of one Budget Representative from each Division and the HQUSACE Program Manager. The Budget PDT meets or has a conference call at least once each Fiscal Year. The Budget PDT is responsible for ensuring funding is planned and executed properly. Lastly, the Budget PDT is responsible for ensuring dissemination of budget and execution information throughout each PDT members AOR.

d. Overall responsibility for the EM programs (FCCE and NEPP accounts) resides with the Chief, Homeland Security and the Deputy Chief, Homeland Security. The approval of budget guidance and process and/or submission resides here.

5-3. Budget Cycle/Process.

a. A routine annual timeline is followed for the FCCE and NEPP budget development and submission process. This is highlighted in the following figure.

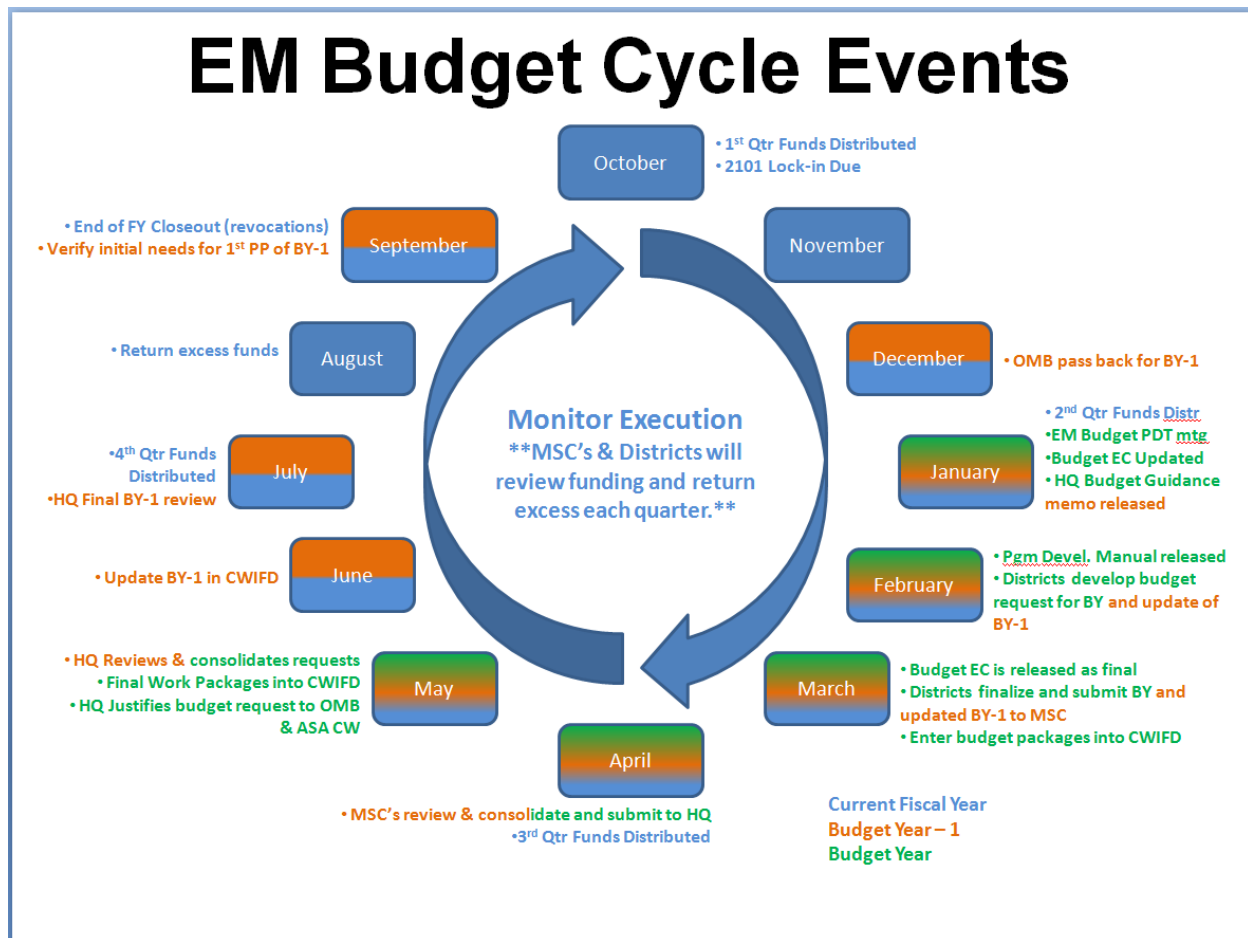


Figure 5-1

b. Each January/February HQUSACE develops the Civil Works Program Development Policy Guidance (EC 11-2-XXX) and the Program Development Manual for development of the Budget Year (BY) president's budget submission. This document details the specific requirements, rules, and limitations placed on the budget submission. The Civil Works Program Development Policy Guidance and the Program Development Manual (aka Budget EC) are released to the Districts in March. While each District is involved in developing the budget submission, it is the Division's responsibility to compile the budget submissions for the region and submit to HQUSACE. In addition to the Civil Works Program Development Policy Guidance and the Program Development Manual, HQUSACE provides a Budget Guidance Letter specific to the EM business line.

c. The EM Budget PDT meets to develop the EM business line information for the Budget EC. The EM Budget PDT is also asked to seek and consolidate comments from the District regarding the draft Budget EC.

d. Budget development and submission instructions are detailed in Civil Works Program Development Policy Guidance EC 11-2-XXX. Development and submission of the EM budget involves three components, Primavera (P2), Civil Works Integrated Funding Database, and the EM Division/District spreadsheet for budget submission. Each District will complete the required spreadsheets for their BY request in line with the budget guidance. First the instructions sheet will be filled out with the Division, District, Fiscal Year and applicable rates, this information populates other sheets and is used in formulas to calculate labor costs. Second, the “Full-Time Equivalent (FTE) – Program Requirements” sheet will be filled out by entering in the personnel information, percentage breakdown in each appropriation according to the mission requirements, and the adjusted base pay in column L. Next, the hours for each individual identified will be spread as accurately as possible within the activities identified on the “FCCE Support Form” and “NEPP Support Form” worksheets. The number of hours available for each individual is calculated based on the level of effort identified on the FTE worksheet. Lastly, any additional increments of work will be identified on the FTE – Program Requirements sheet. The BY is the current fiscal year plus 2. Each April/May the Districts and Divisions develop their budget for the BY and are able to update the spreadsheets and supporting documentation for BY-1 (the upcoming Fiscal Year (FY)). EMs should develop relationships with their Programs office, so that they are included in the budget development process.

e. Within the FCCE and NEPP budget submission there are funding increments or levels of performance. HQUSACE guidance regarding these increments and levels of performance will be provided in the annual Civil Works Program Development Policy Guidance EC 11-2-XXX, Program Development Manual and the HQUSACE annual budget guidance letter. Within these increments and levels of performance each organization will be budgeting for labor, travel, Division seat costs, and any current initiatives identified in the Budget EC and HQUSACE guidance.

f. Each office should include training and exercises and Continuing Eligibility Inspection (CEI) requirements (Classes 120 and 360) in their budget submission, but this information is just a place holder for Headquarters. Once the BY becomes the current FY, a funding request will still need to be provided for class 360. Please refer to Chapter 3, for more information regarding appropriate funding under these specific classes.

5-4. Execution.

a. All non-response related NEPP and FCCE funding should be scheduled and

executed using the P2 system. FCCE and NEPP funds are no year funds, but each program year of funds is tracked separately using the Standard Line of Accounting (SLOA). Consult your Resource Management office for more information regarding SLOA.

b. Funding for NEPP and FCCE approved labor and Division seat cost amounts will be provided on a quarterly basis if an appropriation is in place. Each office will receive their proportionate share of funds subject to their execution rate and approved budget amount each quarter. When the first quarter of the fiscal year begins, the quarterly distribution will be reduced by the carry-in amount for the respective category of funds. HQUSACE EM will customarily use carry-in funds from prior years before sending out the current year appropriated funds.

c. At the start of the fiscal year, there may not be an appropriation bill signed by the President. When this happens, Congress will often issue a Continuing Resolution Authority (CRA), which permits the government to continue operations at the same spending rate as the previous year, with no new starts (the details are dependent on the actual language of the CRA). If HQUSACE is able to provide the quarterly allocations with carry-in funds, then that will happen by Work Allowance Transaction (WAT) and subsequent funding authorization through CEFMS. If carry-in funds are exhausted, then funds will be provided through the CRA funding authorization process. In this process, HQUSACE EM will send out the approved funding authorization amounts for the current time period, this information will be sent to the MSC EM Budget PDT members through email. Next the MSC EM Budget PDT member will provide the information to the MSC RM and Programs POCs for CRA funding authorizations and to each of the District EM offices. The District EM office will provide the CRA funding authorization amount for their District to the RM and Programs POCs at the District, along with additional information such as AMSCO, class of funds, and work item. The action of loading the funds in CEFMS starts at the MSC RM Office and concludes at the District RM office. When the government is operating under CRA for the entire fiscal year, this CRA funding authorization process will continue throughout the year. Once an appropriation bill is passed by Congress and signed into law by the President (an Act), providing annual appropriations, then apportionments are completed through OMB and HQUSACE. Once the apportionments are complete, work allowances will be sent out to the Districts to reconcile the CRA funding authorizations.

d. Training Funds: Training funds will be sent to the Division offices to manage for their Region. Funding is provided according to what is approved through ENGLink for Training and Exercises. Funding for Level 1 and Level 2 training for PRTs is provided to the proponent Division. Again approval is provided via ENGLink. The RSC in coordination with the ESF #3 Permanent Cadre members will provide funding for training such as Local Government Liaison (LGL), Team Leader (TL), Assistant Team Leader (ATL), and other team training.

e. Execution of Emergency Management funds are monitored on a monthly basis. P2 projects should be maintained each month, and schedules adjusted as necessary. Emergency Management funds are included in 2101 baseline locks and monthly 2101 updates, and execution is measured against the schedules provided.

f. Once a District or Division has identified excess Emergency Management funds that are no longer needed for the purpose provided, the organization should prepare a funding revocation to return the funds to HQUSACE. When processing revocations the District and Division should follow current guidance regarding classes of funds that require a revocation letter and those that are entered directly into CEFMS as a Work Allowance Transaction (WAT) at the originating organization. The revocation letter will be used for FCCE Categories 100,200 and 500 then sent to HQUSACE through their Division RCO. Categories 300, 400 and 600 revocation of funds will be initiated at the Division or District utilizing the CWA Module in CEFMS. Revocation of all NEPP funds will utilize the funding letter. The Division RCO and RCO Program Analyst should conduct regular analyses of the civil works funds, utilizing 3011A, and Civil status of funds, 58d, reports in cooperation with the District EM. These analyses will allow for timely revocation of excess funds, which is a necessary component to effective funds management at HQUSACE.

5-5. Overhead Rate Considerations.

a. Emergency Management Departmental Overhead (DOH) (Districts only, Divisions are direct funded) revolving fund account is CEFMS work item RF6109. More details regarding Departmental Overhead (DOH) can be found in ER 37-1-30; Chapter 20.

(1) Labor charges that cannot be identified to a specific program, project or reimbursable order will be charged to the overhead account. Labor related to non-EM training, conferences, staff meetings, preparing budgets are some of the items that must be charged to DOH. For a complete list of additional labor that should be charged to DOH, refer to ER 37-1-30, Chapter 20-2 (a).

(2) Non Labor charges that should always be charged to DOH include Incentive Awards, Office Supplies, Non-EM Training Tuition and Travel, IT supplies, Office Furniture and Equipment, IT Equipment and Software, General Services Administration space costs; and Postage. For a complete list of non-labor charges that should always be charged to DOH, refer to ER 37-1-30, Chapter 20-2 (b).

(3) Some costs should NOT be charged to DOH such as a Cost that solely benefits a single project. For a complete list refer to ER 37-1-30, Chapter 20-2 (c).

(4) Each District develops an Initial budget for each fiscal year, and then updates

that budget at mid-year. Under both budget development periods, the District EMs within the Regional Business Center (RBC) should be collaborating their budget submission. This will assist the RBC in gaining efficiencies across Districts as well as assist in scheduling large purchases, when necessary, in order to minimize impacts on the regional DOH rate.

b. General & Administrative Overhead (G&A) accounts are used to record costs of either a general or administrative nature, ER 37-1-30, Chapter 21 details the use and management of G&A accounts.

Labor of employees assigned to G&A organizations will be charged to the assigned G&A organization work item with the following exceptions: Overtime in support of solely a direct funded project. Regular Labor and Overtime while deployed on FEMA mission will be charged to the mission assignment; Labor for employees loaned to another USACE command or other Federal agency will be charged to the assigned command or agency.

c. Under the Regional Rate concept, Regional Business Centers (RBC) use a regional cost pool for development of regional overhead rates. Regional rates are established for many organizations to include Emergency Management. Each District formulates their initial budget requirements for direct and indirect costs. District budgets are consolidated at the Division RBC to develop the regional operating budget and determine the regional overhead rates. Each Division Budget EM PDT member should be involved in the Regional Rate process at their Division. For more detail regarding the regional business center overhead accounts refer to ER 37-1-30, Chapter 20-5.

(1) Each Region has a Regional Program Budget Advisory Committee (RPBAC) or like board. The Resource Management office usually schedules the Regional Budget Development actions. Budget Development begins in May for the next budget year. District budgets are due in CEFMS by July and pulled into Enterprise Data Warehouse (EDW). Districts also provide their projected revenue to the Division in early July. The Senior Program Budget Advisory Committee (Commander and SES) are briefed in early August and approved no later than 30 September. In beginning of October the New Regional Rates are provided to the districts taking into account the actual execution of the prior year Nominal Balances.

(2) The RPBAC or similar board will review budgeted and actual costs and income on no less than a quarterly basis. Midyear reviews are held and regional rates may be adjusted at that time by the RPBAC if needed.

APPENDIX A

References

Public Law 84-99, Flood Control and Coastal Emergency as amended, 33 USC 701n
www.publications.usace.army.mil/Portals/76/Publications/EngineerPamphlets/EP_500-1-1.pdf

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

33 CFR, Part 203, Emergency Employment of Army and Other Resources, Natural Disaster Procedures
<https://www.law.cornell.edu/cfr/text/33/part-203>

44 CFR, Part 1, Emergency Management and Assistance
<https://www.gpo.gov/fdsys/pkg/CFR-2002-title44-vol1/content-detail.html>

DOD 3025.1-M, Manual for Civil Emergencies- Jun 1994
<http://www.esd.whs.mil/DD/>

AR 11-2, Managers Internal Control Program - Mar 2012
http://www.apd.army.mil/epubs/DR_pubs/DR_a/pdf/ARN1019_AR%2011-7%20%20Final%20Web%204%20Apr%2017.pdf

AR 500-3, US Army Continuity of Operations Program, Policy and Planning – Apr 2008
http://www.apd.army.mil/epubs/DR_pubs/DR_a/pdf/web/r500_3.pdf

ER 5-1-11, Management – U.S. Army Corps of Engineers Business Process
<https://planning.erdc.dren.mil/toolbox/library/ERs/ER5-1-1.pdf>

ER 37-1-30, Financial Administration - Accounting and Reporting
http://www.publications.usace.army.mil/Portals/76/Publications/EngineerRegulations/ER_37-1-30.pdf?ver=2016-09-29-095938-690

ER 500-1-1, Emergency Management and Contingency Operations
http://www.publications.usace.army.mil/Portals/76/Publications/EngineerRegulations/ER_500-1-1.pdf

ER 500-1-18, Corps of Engineers Continuity of Operations Planning System
http://www.publications.usace.army.mil/Portals/76/Publications/EngineerRegulations/ER_500-1-18.pdf?ver=2013-09-08-233252-563

ER 500-1-28, Emergency Employment of Army and Other Resources – National

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Response Planning Guide (Emergency Employment)

http://www.publications.usace.army.mil/Portals/76/Publications/EngineerRegulations/ER_500-1-28.pdf?ver=2013-09-08-233254-423

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

http://www.publications.usace.army.mil/Portals/76/Publications/EngineerRegulations/ER_690-1-321.pdf?ver=2013-09-08-233301-873

ER 1130-2-530, Flood Control Operations and Maintenance Policies

http://www.publications.usace.army.mil/Portals/76/Publications/EngineerRegulations/ER_1130-2-530.pdf

EP 37-1-4 Cost of Doing Business.

http://www.publications.usace.army.mil/Portals/76/Publications/EngineerPamphlets/EP_37-1-4.pdf?ver=2015-08-18-102112-123

Emergency Support Function #3 Field Guide Jan 2012, Emergency Management Office

<https://www.usda.gov/sites/default/files/documents/ESF03.pdf>

National Response Framework- Updated

<https://www.fema.gov/media-library/assets/documents/117791>

APPENDIX B

Appropriation Structure for the
National Emergency Preparedness Program (NEPP)
Under Appropriation 96X3123

Feature Title	Category	Class	DIVISION AMSCO	District AMSCO
National Emergency Preparedness Program	500			
Continuity Of Operations Plan (COOP)		510	084991	084901
Catastrophic Disaster Response Planning		520	084992	084902
Emergency Operations Center Support		530	084993	084903
Emergency Water Program		540	084994	084904
Continuity of Government (COG)		550	084995	084905
Catastrophic Disaster Training & Exercise		560	084996	084906
Emergency Operations		570	084997	084997

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APPENDIX C

Request for Funds Format
Request for National Emergency
Preparedness Program Funds

(LETTERHEAD)

CEXXX-XX

Date

MEMORANDUM FOR HQUSACE (CECW-HS), Washington DC 20314-1000

THRU COMMANDER Division, ATTN: CEXXX-XX

SUBJECT: National Emergency Preparedness Program, 96X3123, CWIS 000XXX

1. Division/ District: Discussion for request. (Detailed Justification)
2. Request funds in the amount of \$XXX.XX under appropriation 96X3123, National Emergency Preparedness Program, Category 500, Class Number, CWIS 000XXX and State number.
3. The point of contact for this action is _____ at telephone _____ or email _____

FOR THE COMMANDER:

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APPENDIX C

Funds Revocation Format

(LETTERHEAD)

CEXXX-XX

DATE

MEMORANDUM FOR HQUSACE (CECW-HS), Washington, DC 20314-1000

THRU COMMANDER _____ Division

SUBJECT: Revocation of Funds, National Emergency Preparedness Program (NEPP)

1. In line with EP 11-1-320 the following adjustments to the National Emergency Preparedness Program All Categories and class (List) are submitted for revocation.

<u>CWIS</u>	<u>Class</u>	<u>PY</u>	<u>State</u>	<u>PL</u>	<u>Amount</u>
_____	_____	_____	_____	_____	\$ _____
_____	_____	_____	_____	_____	\$ _____
_____	_____	_____	_____	_____	\$ _____
_____	_____	_____	_____	_____	\$ _____

Grand Total Revocation: \$ _____

2. The point of contact for this action is _____ at telephone _____ or email _____.

_____ (STANDARD NAME LINE)
_____ (Position)

APPENDIX D.

Request Funds for National
Emergency Operations (Class 570)

(LETTERHEAD)

CEXXX-XX

DATE:

MEMORANDUM THRU (DIVISION)

FOR CECW-HS

SUBJECT: Request for Emergency Operations Class 570 Funds, AMSCO #084997

1. Request funds for the activation and operation of the Emergency Operations Center (EOC) to include pre-positioning of disaster response teams
2. A breakdown of estimated cost(s) is detailed below:

- a. Event Name:(_____)
 - b. Type of Request: Initial or Increase (circle one)
 - c. Previous funds received \$ _____
 - d. EOC Activation (Direct Labor & Overtime) \$ _____
 - e. Response Team (Labor, TDY) \$ _____
 - f. Supplies & Equipment (Itemize over \$1K) \$ _____
 - g. DTOS Support \$ _____
 - h. Other (explain) \$ _____
- Total Funds Required \$ _____

Chief, Emergency Management

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APPENDIX E

Disaster Preparedness and Response Program Appropriation
Structure for PL 84-99 Activities under Appropriation 96X3125

Feature Title	Category	Class	Budgeted Item*	DIVISION AMSCO	District AMSCO
Disaster Preparedness Program	100				
All Hazards Planning Activities		110	X	084230	000120
All Hazards Training & Exercise		120	X	084230	000120
Equipment, Facilities, & Supplies		130	X	084230	000120
National or Regional Centers of Expertise		140	X	084230	000120
Rehired Annuitant Program		150	X	N/A	N/A
Operational Preparedness		160	X	084230	000120
Emergency Operations	200				
Response Operations		210		005480	005480
After Action Report		220		005480	005480
Post Flood Response		230		005480	005480
Operational Supplies & Equipment		240		005480	005480
Support from Others		250		005480	005480
Operational		260		005480	005480
Rehabilitation Program	300				
Rehabilitation Project – Federal Flood Risk Management Project		310			Project Specific
Rehabilitation Project – Non Federal Flood Risk Management Project		320			Project Specific
Restoration Project – Coastal Storm Damage Reduction Project		330			Project Specific
Field Investigations		340			Project Specific
Initial Eligibility Inspections (IEI)		350			Project Specific
Continuing Eligibility Inspections (CEI)		360	X		030737 Bulk or Project Specific
Interagency Levee Activities(SWIF)		370	X		Project Specific
Flood Risk Management Database Activities		380			030745
Emergency Water Supplies & Drought Assistance	400				
Emergency Water Supplies (Contaminated Sources)		410			Project Specific
Drought Assistance		420			Project Specific
Field Investigations		430			Project Specific
Advance Measures	500				
Advance Measures Assistance		510			Project Specific
Field Investigations		520			Project Specific
Hazard Mitigation	600				

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Feature Title	Category	Class	Budgeted Item*	DIVISION AMSCO	District AMSCO
Interagency Flood Risk Management Activities and HIRA Plans		610			Project Specific
* Any item not marked as a budgeted item will be funded through an out-of-cycle funding request.					

APPENDIX F

Request for Funds Format
Request for: Flood Control & Coastal Emergencies (FCCE) Funds
FCCE Category 100

(LETTERHEAD)

CEXXX-XX

Date

MEMORANDUM FOR HQUSACE (CECW-HS), Washington DC 20314-1000

THRU COMMANDER Division, ATTN: CEXXX-XX

SUBJECT: Request for Funds, Flood Control & Coastal Emergencies, Disaster Preparedness, All Natural Hazard Planning Activities, 96X3125, 910-110, CWIS 000XXX

1. Division/ District: Discussion for request. (Detailed Justification)
4. Request funds in the amount of \$XXX.XX under appropriation 96X3125, Flood Control and Coastal Emergencies, Code 910-Class Number, CWIS 000XXX and State number.
5. The point of contact for this action is _____ at telephone _____ or email _____

FOR THE COMMANDER:

Chief, Emergency Management

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APPENDIX F

Request Funds for Emergency Operations (Class 210)



REPLY TO
ATTENTION OF

DEPARTMENT OF THE ARMY
ROCK ISLAND DISTRICT, CORPS OF ENGINEERS
CLOCK TOWER BUILDING - P.O. BOX 2004
ROCK ISLAND, ILLINOIS 61204-2004

MEMORANDUM THRU Commander,

FOR CECW-HS, ATTN: PL 84-99 Program Manager

SUBJECT: Request for Flood Control and Coastal Emergencies (FCCE) Class 210 Funds, CWIS 005480

1. Request Class 210 funds for the activation and operation of the Emergency Operations Center (EOC) and for field operations, as detailed below.

- a. Event name:
- b. Type of Request: (1) Initial ☒ (2) Second ☐ (3) Third or greater ☐
- c. Previous funds received for this event:
- d. EOC Activation (Direct Labor & Overtime):
- e. Field Operations (labor, TDY):
- f. Supplies & Equipment (itemize if over \$1K):
- g. DTOS/LERT Support:
- h. Contracts:
- i. Other (specify)
- TOTAL FUNDS REQUIRED THIS REQUEST: (Sum of d. through i.)

2. Justification for funding:
3. Date of declaration of this emergency: (If none, explain.)
4. The point of contact for this action is
- at telephone or email

APPENDIX F

Funds Revocation Format

(LETTERHEAD)

CEXXX-XX

DATE

MEMORANDUM FOR HQUSACE (CECW-HS), Washington, DC 20314-1000

THRU COMMANDER _____ Division

SUBJECT: Revocation of Funds, Flood Control and Coastal Emergencies (FCCE)

1. In line with EP 11-1-320 the following adjustments to the Flood Control & Coastal Emergencies Program All Categories and class (List) are submitted for revocation.

<u>CWIS</u>	<u>Class</u>	<u>PY</u>	<u>State</u>	<u>PL</u>	<u>Amount</u>
_____	_____	_____	_____	_____	\$ _____
_____	_____	_____	_____	_____	\$ _____
_____	_____	_____	_____	_____	\$ _____
_____	_____	_____	_____	_____	\$ _____
Grand Total Revocation:					\$ _____

2. The point of contact for this action is _____ at telephone _____ or email _____.

_____ (STANDARD NAME LINE)
_____ (Position)

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APPENDIX F

Request FCCE Class 220/230/240 funds
LETTERHEAD

MEMORANDUM THRU Commander, _____ Division

FOR CECW-HS, ATTN: PL 84-99 Program Manager

SUBJECT: Request for Flood Control and Coastal Emergencies (FCCE) Class
220/230/240 Funds

1. Request Class 220/230/240 funds, CWIS 005480, as detailed below.

- a. Event name: _____
- b. Previous funds received for this event: \$ _____
- c. Class 220 Funds (After Action Report) \$ _____
- d. Class 230 Funds (Post Flood Response) \$ _____
- e. Class 240 Funds (Operational Supplies & Equipment) List \$ _____
 - (1) _____ \$ _____
 - (2) _____ \$ _____
 - (3) _____ \$ _____

TOTAL FUNDS REQUIRED: \$ _____

2. Justification for funding: _____

3. Date of declaration of this emergency: _____ (If none, explain.)

4. The point of contact for this action is _____ at telephone _____ or email _____.

_____ (STANDARD NAME LINE)
_____ (Position)

APPENDIX F

Request Funds for Rehabilitation Projects
(Class 310/320/330/340)



REPLY TO
ATTENTION OF

DEPARTMENT OF THE ARMY
XYZ DISTRICT, CORPS OF ENGINEERS
STREET OR PO ADDRESS
CITY, STATE, ZIP

MEMORANDUM THRU Commander,
FOR CECW-HS, ATTN: PL 84-99 Program Manager

SUBJECT: Request for Flood Control and Coastal Emergencies (FCCE) Class 310 Funds

1. Request Class 310 funds for the Federal project as detailed below.

a. Project name and CWIS #:

b. Year and name of flood or storm:

c. Was there a FEMA presidential disaster declaration? Yes: ☐ No: ☐ Number:

d. Background Information	Project Cost Estimate	Funds Previously Received
(1) E&D	\$ 0	\$ 0
(2) S&A	\$ 0	\$ 0
(3) Real Estate	\$ 0	\$ 0
(4) Contracting	\$ 0	\$ 0
(5) Construction	\$ 0	\$ 0
(6) Contingency	\$ 0	\$ 0
(7) Other (specify)	\$ 0	\$ 0
Total ((1) through (7)):	\$ 0	\$ 0

e. Funds being requested:

(1) E&D	\$ 0
(2) S&A	\$ 0
(3) Real Estate	\$ 0
(4) Contracting	\$ 0
(5) Construction	\$ 0
(6) Contingency	\$ 0
(7) Other	\$ 0
Total of Funds Being Requested (sum of (1) through (7)):	\$ 0

2. Justification for funding:

3. The POC for this action is at telephone or email

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APPENDIX F

Request Funds for Initial/Continuing Eligibility Inspections
(Class 350/Class 360)

(LETTERHEAD)

CEXXX-XX

DATE:

MEMORANDUM THRU (DIVISION)

FOR CECW-HS

SUBJECT: Request for Initial/Continuing Eligibility Inspections Funds, Class 350/360

1. Initial Eligibility Inspections (IEI): CLASS 350 AMSCO # _____

Not Applicable

2. Re-inspections CLASS 360 AMSCO # _____
(Continuing Eligibility Inspections (CEI) (If bulk funds, request new.)

(a) Number of Non-Federal flood risk management project active in the
Rehabilitation Program. _____

(b) Number of FCW CEIs to be conducted during FY____ For which funds are being
requested.

Total Funds Required \$ _____

Chief, Emergency Management

*To be assigned by HQ by Fiscal Year

APPENDIX F

Request Funds for Emergency Water Supplies and Drought Assistance Field Investigations (Class 430) or Request Funds for Advance Measures Field Investigation and Report Preparation Costs (Class 520)

(LETTERHEAD)

CEXXX-XX

DATE:

MEMORANDUM THRU (DIVISION)

FOR (DIVISION or Regional Commander, ATTN: (Emergency Management Branch/Division)

SUBJECT: Request Funds for Field Investigations, Emergency Water and Drought Assistance, Investigation and Report Preparation (or) Request Funds for Advance Measures Investigation and Report Preparation

1. (Outline event resulting in request for assistance. Note whether investigation resulted in an approved/disapproved project. Complete Appendix F and include as an enclosure to this memo). If appropriate, include AMSCO number with this request.
2. Request signed by an appropriate state official is enclosed.
3. The costs for investigation and report preparation activities are \$_____. (Note: Further justification may be required).
4. Request an increase in work allowance and funds in the amount of \$_____ be made available under the appropriation 96X3125, Flood Control and Coastal Emergencies, Class 430 or 520.

FOR THE COMMANDER:

Enclosure

(Signature Block)

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APPENDIX H

Work Allowance Transaction (WAT)

The screenshot shows the 'Work Allowance Transaction' application window, version 2.1.6.1, with the transaction ID WA.025. The window has four tabs: 'Transaction' (selected), 'Item', 'Applied Rules', and 'Approval Action History'. The 'Transaction' tab contains several input fields for transaction details. At the top, there are fields for 'FY' (fiscal year) and 'Status'. Below these are 'Last Action' and 'Next Action' fields. The 'Contributing' and 'Receiving' fields are followed by a 'Total' field. A section titled 'APPROPRIATION' contains fields for 'Public Law', 'Program Year', 'Approp Symbol', and 'Limitation'. Below this is a row of fields for 'Approp Dept', 'Trans Dept', 'Approp FY', and 'LOA'. A section titled 'Misc. Transaction data (display only)' contains a table with columns for 'FOA', 'Last Action Taken', 'Date Taken', and 'Taken By'. Below the table are fields for 'MSC/RIT Req', 'HQ AM Req', 'Committee Notif', 'Business Rules Last Applied', and 'Applied By'. Further down are fields for 'Calculation FY', 'Calculation PL DOE', and 'Batch'. At the bottom of this section are fields for 'Created Date', 'Created By', 'Last Update', and 'Updated By'. A large text area for 'TRANSACTION REMARK(S)' is located below the 'Misc. Transaction data' section. At the bottom of the window, there are buttons for 'Transaction Edit Rules', 'Approval Actions Required', and 'Submit for Approval'. A navigation bar at the very bottom includes 'Prev Page', 'Execute', 'Cancel', 'Query', 'List', 'Save', 'Exit', and 'Next Page'. A status bar at the bottom shows 'Action Record: 1/1' and 'Enter-Qu...'.

v2.1.6.1 Work Allowance Transaction WA.025

Transaction Item Applied Rules Approval Action History

FY: - Status: -

Last Action: Next Action:

Contributing: Receiving: Total:

APPROPRIATION

Public Law: Program Year: Approp Symbol: Limitation:

Approp Dept: Trans Dept: Approp FY: LOA:

Misc. Transaction data (display only)

FOA	Last Action Taken	Date Taken	Taken By
MSC/RIT Req: ☐			-
HQ AM Req: ☐			-
Committee Notif: ☐			-

Business Rules Last Applied: Applied By: -

Calculation FY: Calculation PL DOE: Batch:

Created Date: Created By: -

Last Update: Updated By: -

TRANSACTION REMARK(S)

Transaction Edit Rules Approval Actions Required Submit for Approval

Prev Page Execute Cancel Query List Save Exit Next Page

Action Record: 1/1 Enter-Qu... List of Valu...

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APPENDIX I

Bi-Weekly Pay Cap Waiver
(LETTERHEAD)

(Office Symbol)

MEMORANDUM FOR

Defense Finance and Accounting Service (DFAS-DE/PCP),
6760 E. Irvington Place, Denver, CO 80279

SUBJECT: Waiver of Limitation on Biweekly Civilian Pay

1. Reference: Memorandum, Assistant G-1 for Civilian Personnel Policy, 4 April 2003,
subject: Premium Pay Limitations

2. Effective the date listed below, the following employee(s) are no longer subject to the
biweekly pay limitation until the listed end date or otherwise notified.

<u>DOD ID</u>	<u>Name</u>	Start	End(if known)
---------------	-------------	-------	---------------

3. The POC for this action is (name), (office symbol), (DSN number), (E-mail address).

(SIGNED BY DIRECTOR)

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APPENDIX I

Bi-Weekly Pay Cap Waiver



REPLY TO
ATTENTION OF

DEPARTMENT OF THE ARMY
U.S. ARMY CORPS OF ENGINEERS
WASHINGTON, DC 20314-1000

26 Sept 05

CEHR-E

MEMORANDUM FOR COMMANDERS, MAJOR SUBORDINATE COMMANDS

SUBJECT: Waiver of Biweekly Pay Limitation

1. Reference memorandum, Acting Deputy Under Secretary of Defense (Civilian Personnel Policy), 13 September 2005, subject: Waiver of the Biweekly Limitation on Premium Pay.
2. Addressees are authorized to waive the biweekly pay limitation for those employees performing work in connection with an emergency or the aftermath of Hurricane Rita. This authority is applicable regardless of where the work is performed. It has been determined that the work is necessary because of an emergency posing a direct threat to life and/or property. The provisions of 5 USC 5541(b) and OPM regulation 5 CFR 550.106 are therefore applicable. An employee performing this work will be subject to an annual pay limitation rather than a biweekly limitation.
3. Questions may be addressed to Denise P. Michel, 202-761-0331.

FOR THE COMMANDER:


SUSAN L. DUNCAN
Director of Human Resources

Printed on  Recycled Paper

APPENDIX J

Request for Verbal's Memo
MFR for FEMA Verbal Mission Assignment

Memorandum for
Record

SUBJECT: FEMA Verbal Mission Assignment for (ESF#3 Mission Name) – (FEMA Object Class).

1. On _____, verbal funding authority for the following mission assignment has been issued by (FEMA Official Name) at FEMA's (location) in (office physical location) for the U.S. Army Corps of Engineers.

Mission: (ESF #3 Mission Name) – (FEMA Object Class Code)

Scope to Read: (Enter scope issued)

FEMA Program Code: (Surge/Disaster Code Number) – (Type of Declaration)

FEMA Fund citation:

Mission Assignment Number: COE-(USACE Division)-(Mission Assignment number)

Event and Name Description: (Name of Event)

Disaster State (2 letter designation):

Estimated Completion Date:

Amount Authorized: \$

Total Amount Authorized for the Mission: \$

Federal Approving Official: Name of FEMA Official

2. Funding for this mission assignment may be entered into the Corps of Engineers Financial Management System (CEFMS) accounting system based upon a verbal authority. The funding citation is (Fiscal Year)-06-(Disaster Code) (Declaration Code)-

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FEMA office location –FEMA object class-D. The source appropriation is 70X0702. A written Mission Assignment (MA) will follow up this verbal mission assignment within 2-3 days.

FEMA Official Name
Title
FEMA Approving Official

ESF#3 Official Name
Title
U.S. Army Corps of Engineers

* *FEMA Program Code (For Pre-Declaration MAs the program code will be generated and assigned when the first MA is issued by FEMA for that Pre-Dec event. The Pre-Dec Fund citation will still use "7220-SU", but the MA number will use an 8-digit number generated out of NEMIS. For Post-Declaration MAs the code will be either be 3XXX-EM for Emergency Declaration MAs or 4XXX-DR for Presidential Disaster Declaration MAs (Post Declarations)

APPENDIX K

Managers' Internal Control Evaluation Checklist Procedures O&M Appropriation NEPP Administration

1. Function. The functions covered are financial and logistic administration of the NEPP.
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 annually. Certification that this evaluation has been conducted must be accomplished on DA Form 11-2 (Internal 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 NEPP 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 Army Corps of Engineers-Information Technology (ACE-IT) 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 line with policy?
 - f. Are NEPP obligations promptly recorded by the Resource Management (RM)?
 - 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?

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APPENDIX L

Managers' Internal Control Evaluation Checklist Procedures FCCE Appropriation Administration

1. Function. The functions covered are financial and logistic administration of the FCCE.
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 annually. Certification that this evaluation has been conducted must be accomplished on DA Form 11-2 (Managers' Internal 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 FCCE 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 ACE-IT 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 line 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 de-committed/de-obligated?

m. Is there a procedure and was it followed to expeditiously request funding through the DIVISION, to HQUSACE for emergency operations?

n. Are erroneous charges to the FCCE appropriation quickly corrected and properly documented?

o. Were requests for reimbursement submitted in a timely manner?

p. Are lack of funds situations being resolved by authorized reprogramming or by requesting funds rather than by cost transfers?

q. Is final accounting for cost-shared levee repair projects accomplished in a timely manner?

APPENDIX M

Managers' Internal Control Evaluation Checklist Procedures Readiness/Emergency Management National Regional Centers of Expertise 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 annually. Certification that this evaluation has been conducted must be accomplished on DA Form 11-2 (Managers' Internal 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 FCCE 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 and technically approved by the ACE-IT 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 line 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?

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APPENDIX N

Direct Charge Matrix

The matrix below provides guidance for charges of Corps employees performing duties in support of all disasters. *(This does not include back filling deployed or reassigned personnel):*

REGULAR CHARGE	LOCATION	STRAIGHT TIME	OVERTIME	TDY
General Expense HQ USACE (96X3124) (Includes Civil Funded Military)				
	Home Organization (A) UOC* Permanent & Temporary Assigned Personnel	96X3124	96X3125, CCS 210	N/A
	<i>(Example: Headquarters RM (Resource Management) employee working in the UOC full-time as supplemental staffing.)</i>			
	(B) Other	96X3124	96X3125, CCS 210	N/A
	<i>(Example: HQ RM employee working from desk in RM performing incidental support.)</i>			
	(C) TDY to Supported Division/District EOC	96X3124	96X3125, CCS 210	96X3125, CCS 210
	<i>(Example: HQ HR employee is deployed to South Atlantic Division EOC as supplemental staffing.)</i>			
	(D) TDY to RRCC, ERT-A, JFO, RFO, or Disaster Site	96X3124	FEMA Mission	FEMA Mission
	<i>(Note: Straight time for supervision and oversight visits will be charged to 96X3124 and are not chargeable to FEMA.) (Example: HQ RM employee on TDY to RFO.)</i>			

*UOC – U.S. Army Corps of Engineers Headquarters Emergency Operations Center

REGULAR CHARGE	LOCATION	STRAIGHT TIME	OVERTIME	TDY
General Expense – Divisions (96X3124) (Includes Civil Funded Military)				
	Home Organization (E) EOC Permanent & Temporary Assigned Personnel	96X3124	96X3125, CCS 210	N/A
(Example: RM employee working in the EOC full-time as supplemental staffing.)				
	(F) Other	96X3124	96X3125, CCS 210	N/A
(Example: RM employee working from desk in RM performing incidental support.)				
	(G) TDY to Supported Division/District EOC	96X3124	96X3125,C CS 210	96X3125, CCS 210
(Example: Great Lakes and Ohio River Division HR employee deployed to South Atlantic Division EOC.)				
	(H) TDY to RRCC, ERT-A, JFO, RFO, or Disaster Site	96X3124	FEMA Mission	FEMA Mission
(If charge is to FEMA Mission, supervision and oversight is not included.) (Example: North Atlantic Division Information Management (IM) employee deployed to RFO in San Juan, Puerto Rico.)				
General Expense Labs (96X3124) (Includes Civil Funded Military)				
	(I) TDY to Supported Division/District EOC	96X3124	96X3125, CCS 210	96X3125, CCS 210
(Example: HR employee is deployed to Jacksonville District EOC.)				
	(J) TDY to RRCC, ERT-A, JFO, RFO, or Disaster FEMA Mission	96X3124	FEMA Mission	FEMA Mission
(Example: IM employee is deployed to RFO in San Juan, Puerto Rico.)				

REGULAR CHARGE	LOCATION	STRAIGHT TIME	OVERTIME	TDY
Operations & Maintenance, Army (21X2020)				
	Home Organization (K) HQ's USACE	21X2020	96X3125, CCS 210	N/A
	<i>(Example: Real Estate Specialist assisting with an Emergency Event.)</i>			
	Home Organization (K1) Division/ District OMA Funded Personnel	21X2020	96X3125, CCS 210	N/A
	(L) TDY to Supported Division/District EOC	21X2020	96X3125, CCS 210	96X3125, CCS 210
	<i>(Example: HR employee is deployed to Jacksonville District EOC)</i>			
	(M) TDY to RRCC, ERT- A, JFO, RFO, or Disaster site	21X2020	FEMA Mission	FEMA Mission
	<i>(Example: Real Estate Specialist is deployed to RFO in San Juan, Puerto Rico.)</i>			

REGULAR CHARGE	LOCATION	STRAIGHT TIME	OVERTIME	TDY
General & Administrative (96X4902) <i>-Revolving Fund-</i>				
	(N) Home District Office	96X4902	FEMA Mission	N/A
	<i>(Example: District Budget Officer loads funds from RM.)</i> Note: Straight-time for employees assigned to and performing G&A functions of Counsel, Equal Employment Opportunity, Safety and Occupational Health, and Contracting will be in line with ER 37-2-10, Chapter 24, paragraph 24-2d, 2g, 2h, and 2l and will exclude the cost of supervising and directing the contracting activities.			
	(O) Home District Areas of Responsibility	96X4902	FEMA Mission	FEMA Mission
	<i>(Example: Non-PRT Jacksonville District Logistics Management employee TDY to disaster site in San Juan, Puerto Rico. Includes any G&A field office employee.)</i> NOTE: Straight-time for PRT members may be charged to a FEMA mission only under the following exceptions reflected below as (O1) and (O2) :			
	(O1) <u>EXCEPTION 1</u>	FEMA Mission	FEMA Mission	FEMA Mission
	NOTE: PRT member is deployed with TDY orders in line with applicable PRT rotation policy to perform PRT duties under a FEMA Mission. <i>(Example: Jacksonville District Logistics Management employee is deployed to San Juan, Puerto Rico, as a member of the Emergency Power PRT.)</i>			
	(O2) <u>EXCEPTION 2</u>	FEMA Mission	FEMA Mission	N/A
	NOTE: PRT member is assigned full-time in line with applicable PRT rotation policy to perform PRT duties under a FEMA mission to a disaster/emergency response site within the same geographical location as the PRT member's home office of assignment. <i>(Example: Deputy Chief of Staff for Resource Management assigns Wilmington District Resource Management PRT member to RFO which is co-located with the Wilmington District home office.)</i>			

REGULAR CHARGE	LOCATION	STRAIGHT TIME	OVERTIME	TDY
General & Administrative (96X4902) (Cont'd)				
	(P) Home District – EOC	96X4902	96X3125, CCS 210	N/A
	(Example: Resource Management secretary is assigned full-time to the EOC.)			
	(Q) TDY from Supporting District to Supported District EOC	96X3125, CCS 210	96X3125, CCS 210	96X3125, CCS 210
	(Example: Los Angeles District Logistics Management employee is deployed to Jacksonville District EOC.)			
	(R) TDY to RRCC, ERT-A, JFO, RFO, or Disaster Site	FEMA Mission	FEMA Mission	FEMA Mission
	(Example: Los Angeles District Logistics Management employee is deployed to RFO in San Juan, Puerto Rico.) (Note: Straight-time charges for Supported District employees TDY to RFO/Disaster Site located within the District's area of responsibility will be in line with (O) and (O1) above.)			
Project/Reimbursable Funded Employees				
	(S) HQ USACE, Supported Division/ District EOC	96X3125, CCS 210	96X3125, CCS 210	96X3125, CCS 210
	(Example: San Francisco District Project Manager is deployed to Wilmington District EOC.)			
	(T) TDY to RRCC, ERT-A, JFO, RFO, or Disaster Site	FEMA Mission	FEMA Mission	FEMA Mission
	(Example: Savannah District Engineer is deployed to disaster site.)			

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REGULAR CHARGE	LOCATION	STRAIGHT TIME	OVERTIME	TDY
Military-Funded Military Member				
	(U) Supported Division/District EOC	Defense Approp Act	N/A	96X3125, CCS 210
	(Example: Mobile District-PM Captain is pulled off of Redstone Arsenal project and is assigned to the EOC.)			
	(V) TDY RRCC, ERT-A, JFO, RFO, or Disaster Site	Defense Approp Act	N/A	FEMA Mission
	(Example: Mobile District-EN Captain is pulled off of Redstone Arsenal project and is deployed to RFO in Virgin Islands, Puerto Rico.)			
Civil-Funded Military Member				
	W) Supported Division/District EOC	96X3125, CCS 210	N/A	96X3125, CCS 210
	(Example: Jacksonville District Project Manager is pulled off of Central & Southern Florida Ecosystem Restoration Project and is assigned to South Atlantic Division EOC.)			
	(X) TDY to RRCC, ERT-A, JFO, RFO, or Disaster Site	FEMA Mission	N/A	FEMA Mission
	(Example: Jacksonville District Project Manager is pulled off of Central & Southern Florida Ecosystem Restoration Project and is assigned to RFO.)			

(Includes Civil-Funded Military Members assigned to G&A organizations, i.e., Acting Deputy Resource Management Officer (Major).)

REGULAR CHARGE	LOCATION	STRAIGHT TIME	OVERTIME	TDY
Reservists on Active Duty				
	(Y) TDY to HQ USACE, Supported Division/District EOC	96X3125, CCS 210	N/A	96X3125, CCS 210
	(Example: Individual Mobilization Augmentee activated and deployed to Jacksonville District EOC.)			
	(Z) TDY to RRCC, ERT-A, JFO, RFO, Disaster Site	FEMA Mission	N/A	FEMA Mission
	(Example: Individual Mobilization Augmentee activated and deployed to Disaster Site.)			
Operations & Maintenance, Army (21X2020) DA Intern				
	(AA) Home District – EOC	21X2020	96X3125, CCS 210	N/A
	(BB) TDY from Supporting District to Supported District EOC	21X2020	96X3125, CCS 210	96X3125, CCS 210
	(CC) TDY from Supporting District to Supported Disaster Site	FEMA Mission	FEMA Mission	FEMA Mission
	(DD) TDY to RRCC, ERT-A, JFO, RFO, or Disaster Site	21*2020	FEMA Mission	FEMA Mission

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REGULAR CHARGE	LOCATION	STRAIGHT TIME	OVERTIME	TDY
Hiring Lag Funds (Not Budgeted – Any appropriation) SCEP/STEP				
	(EE) Home District – EOC	96X3125	96X3125, CCS 210	N/A
	(FF) TDY from Supporting District to Supported District EOC	96X3125	96X3125, CCS 210	96X3125, CCS 210
	(GG) TDY from Supporting District to Supported Disaster Site	FEMA Mission	FEMA Mission	FEMA Mission
	(HH) TDY to RRCC, ERT-A, JFO, RFO, or Disaster Site	FEMA Mission	FEMA Mission	FEMA Mission

APPENDIX O

National Flood Fight Materiel Center Funding and Support Process

1. Purpose. This appendix provides policies pertaining to the funding, management and execution of the U.S. Army Corps of Engineers (USACE) National Flood Fight Material Center (NFFMC) of expertise. The NFFMC is the Corps' national supplier of flood fight supplies and equipment before during and after a flood event. The NFFMC helps enhance the US Army Corps of Engineers preparedness and reduce the Nations risk from flooding and coastal storm events. The Rock Island District serves as the Program Manager of the NFFMC. As such, the District is responsible for centrally managing national flood fight materiel assets and executing Indefinite Delivery Indefinite Quantity (IDIQ) contracts to improve national readiness to respond to flood events. Support provided by the NFFMC is meant to be supplemental to support provided by the impacted districts/MSCs.

2. Program Description. The NFFMC is financed by appropriation 96X3125. Management and execution of the program are covered under the Disaster Preparedness Program (100) and Emergency Operations (200).

a. The NFFMC utilizes Category 100 funds to ensure operational preparedness to support flood emergencies. Activities such as planning, contracting and inventory control are funded with Category 100 funds.

(1) The Emergency Management personnel will utilize Class 110 funds for routine program management activities associated with the readiness of the NFFMC. Program management activities may include, but are not limited to development of plans, SOP's, contracts, outreach, and coordinating requests for assistance during normal operations. Contracting Office support for preparedness activities will be funded through the budget cycle for class 160 funds. These activities include update to specifications and contract documents, advertising and awarding IDIQ contracts, industry inquiries, sources sought actions, and regular program management team meeting, etc.

If a district plans to restock, increase or add new types of flood fight materiel to their inventory during normal operations the Emergency Management personnel will charge labor to class 110 funds to provide support. Requesting districts will charge labor to Class 110 funds when requesting purchase of flood fight materiel, if the purchase is not associated with a specific event, or the event has been financially closed-out. Class 110 funds will cover EM labor only for the coordination of the materiel. Funds for the NFFMC to purchase and/or transport flood fight materiel, post event, to requesting districts will be funded by Class 240 funds, to include Contracting Office labor.

(2) The NFFMC will utilize Class 120 funds for training involving internal and external

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personnel related to the demonstration of flood fight materiel (i.e. pumps, sandbags, polyethylene, HESCO, etc.).

b. Districts requesting the assistance of the NFFMC during response operations will utilize Class 210 funds to coordinate, receive, and track supplies and equipment. Class 210 funds will also be used during an event when the NFFMC is utilizing vendor technical support for an Impacted District. Activation of the Rock Island District EOC will only occur if augmentation of staff is required to address requests for assistance. The NFFMC will utilize Class 210 funds to support emergency operations elsewhere in the nation. Class 210 funds will be requested by the NFFMC to cover labor, transportation, and contract purchases when supporting an Impacted District. The Division/District event will be referenced within the funding request.

c. The NFFMC will utilize Class 160, funds for maintenance and repair/refurbishment and purchase and transportation of all flood fight materiel during normal operations. A work allowance will be provided to the NFFMC annually to cover costs associated with maintenance and repair, and anticipated national restock.

The NFFMC may utilize contract trucking services to transport materiel to requesting districts. It is the responsibility of the receiving district to submit an electronic copy of the Bill of Lading (BOL) for each shipment received to the NFFMC in order to process payment for transportation services.

GLOSSARY OF TERMS/DEFINITIONS/ACRONYMS

ACE-IT - Army Corps of Engineers-Information Technology

ACI - Advanced Contracting Initiative

AR - Army Regulation

ASA CW - Assistant Secretary of the Army for Civil Works

BCR - Benefit Cost Ratio

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

CCS - Category Class Subclass

CDRP - Catastrophic Disaster Response Plan

CECW-HS - Office of Homeland Security Civil Works Directorate, Headquarters, U.S. Army Corps of Engineers

CEFMS - Corps of Engineers Financial Management System

CEI - Continuing Eligibility Inspection

CEQ - President's Council on Environmental Quality

CERAP - U.S. Army Corps of Engineers Remedial Action Program

CFR - Code of Federal Regulations

COG - Continuity of Government

CDO - Consolidated Departmental Overhead

COOP - Continuity of Operations

COR - Contracting Officer's Representative

CRREL - Cold Regional Research and Engineering Laboratory

AMSCO - Civil Works Information System

CW-IFD - Civil Works – Integrated Funding Database

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DA - Department of the Army

DFC - Disaster Finance Center

DOH - Departmental Overhead

DoD - Department of Defense

DoDD - Department of Defense Directive

DFAS - Defense Finance and Accounting Service

DOMS - Directorate of Military Support, Headquarters, U.S. Army

DPP - Disaster Preparedness Program

DTOS - Deployable Tactical Operations System

E- 96X3124 Expenses.

E.O. - Executive Order

EC - Engineer Circular

ECA - Evaluation and Corrective Action

E&D - Engineering and Design

EM - Emergency Management or Emergency Manager

EMAP - Emergency Management Accreditation Program

EOC - Emergency Operations Center

EP - Engineer Pamphlet

ER - Engineer Regulation

ERDC - Engineers Research and Development Center

ERF - Emergency Relocation Facility

ESF #3 - Emergency Support Function #3

EWP - Emergency Water Program

FAD - Funding Authorization Document

FCCE - 96X3125 Flood Control and Coastal Emergencies

FCW - Flood Control Works

FEMA - Federal Emergency Management Agency

FM - Financial Management

FOA - Field Operating Activity

FY - Fiscal Year

G&A - General and administrative

GAO - General Accounting Office

GIS/RS - Geographic Information System/Remote Sensing.

GPS - Global Positioning System

HIRA - Hazard Identification and Risk Assessment

HRM - Hazard Risk Management

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

IAA - Inter Agency Agreement

IAAT - Individual Assistance and Assessment Team

ICW - Inspection of Completed Works

IDIQ - Indefinite-Delivery, Indefinite Quantity Contract

IEI - Initial Eligibility Inspection

IHMT - Interagency Hazard Mitigation Team

ILTF - Interagency Levee Task Force

JFO - Joint Field Office

MA - Mission Assignment

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MATOC - Multiple Award Task Order Contract

MFR - Memorandum for Record

MOA - Memorandum of Agreement

MR&T - Mississippi River and Tributaries

MSC - Major Subordinate Command

MVD - Mississippi Valley Division

NFFMC - National Flood Fight Materials Center

NLD - National Levee Database

NRF - National Response Framework

NEPP - National Emergency Preparedness Program

OMA - Operations and Maintenance, Army

O&M - 96 X 3123, Operation and Maintenance

OMB - Office of Management and Budget

PIR - Project Information Report

PL - Public Law

POC - Point of Contact

PRIP - Plant Replacement & Improvement Program

RAO - Reemployed Annuitant Office

RFA - Request for Federal Assistance

RFO - Recovery Field Office

RIP - Rehabilitation and Inspection Program

RM - Resource Management

RSC - Readiness Support Center

SOP - Standard Operating Procedure

SME - Subject Matter Expert

TDY - Temporary Duty

USACE - U.S. Army Corps of Engineers

UFC - U.S. Army Corps of Engineers Finance Center

UOC - USACE Operations Center

WAT - Work Allowance Transaction