Army Programs

CIVIL WORKS EMERGENCY MANAGEMENT PROGRAMS

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This regulation supersedes ER 11-1-320, dated 1 November 2009
Chapter 5. Management Controls

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CHAPTER 1

General Provisions

1-1. Purpose. This regulation prescribes policies for the Emergency Management Community of Practice (EM CoP) in the area of Office of Homeland Security (CECW-HS) programming, funding, managing and execution of United States Army Corps of Engineers (USACE) for all hazards preparedness, response, recovery and other contingency operations.

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

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

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

1-5. Responsibilities:

a. CECW-HS is the proponent for readiness, which is a core business practice for all Commanders at every level of command in USACE and throughout the spectrum of functional areas.

b. Financial administration and management of resources is a cornerstone for the successful execution of CECW-HS programs. This regulation is the primary source for CECW-HS financial management policy within the EM CoP.

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

d. Appropriations are defined, as found in ER 37-1 -30, Chapter 7. This regulation provides the most current and authoritative descriptions applicable to functional assignments derived from civil works emergency management appropriations.

e. Supplemental guidance to this regulation will be provided, as appropriate, in engineer circulars, enterprise standards, engineer pamphlets and through policy guidance letters. Supplemental instructions and guidance will be incorporated into this regulation as required. A glossary is provided in Glossary-1.

f. This regulation will be used in conjunction with ER 500-1-1, which provides non-financial policy regarding the Flood Control and Coastal Emergencies (FC&CE) Appropriations commonly referred to as Public Law 84-99 and the National Emergency Preparedness Program (NEPP), Operation and Maintenance, (O&M).
g. Re-employed Annuitant Cadre Program (RAO). The RAO program provides for hiring certain Federal civilian retirees for specific categories of work including responding to emergencies. The policy for hiring these individuals is contained in ER 11-2-293.

h. Inspection of Completed Works (ICW). The ICW program is an Operations and Maintenance (O&M) funded program within the Rehabilitation Program that addresses federally constructed flood risk management projects turned over to the non-federal sponsors for operations and maintenance. The ICW program’s critical function in the Rehabilitation Program is the funding responsibility for Continuing Eligibility Inspection (CEI) of federal projects. ICW funds are also used for technical review and approval of activities when a public sponsor seeks USACE approval for activities that may affect the integrity and or reliability of its project. ICW funds at HQ USACE are managed by CECW-HS and are budgeted on an annual basis. The ICW program may be managed at the District level through the EM CoP or another functional organization and coordinated with EM. The ICW program lead office is determined by the Operations chief at each DIVISION. Refer to ER 1130-2-530 for additional ICW program information.

i. Program Management Information Systems (PROMIS) Version 2 (P2). P2 is the Corps of Engineers Project Management Information System. It enables effective management of projects in the USACE core mission areas, including support services. P2 provides structure and support that enhances our project management business processes, maximizes decision support capability using a single database, and utilizes the Internet to the maximum extent possible. The P2 system uses Oracle Primavera Project Management software and software extensions built in-house to satisfy the project management and business process requirements of the Corps. FC&CE & NEPP Funds management within P2 shall include all non-response related programs execution and long-term recovery Federal Emergency Management Agency (FEMA) mission assignments (i.e., temporary housing and debris management). The use of P2 for response missions is not required, as emergency response operations do not meet the standard project definition.

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

k. Emergency Management Accreditation Program (EMAP). The Emergency Management Standard is a set of comprehensive standards and assessment protocol, utilized by EMAP, which can be applied to an emergency management program of any size, for assessment and assignment of a descriptive objective rating to evaluate
disaster/emergency preparedness and response activities at the program level. Components of the standards and assessment protocol address emergency preparedness, response, and recovery for terrorist acts, natural disasters, and other catastrophic incidents. **Note**: This activity is a voluntary assessment program and is approved at the Command level for each office and funded by HQs as funds are available.
CHAPTER 2

National Emergency Preparedness Program Appropriation 96X3123

2-1. **Purpose.** This chapter prescribes policies pertaining to the programming, managing and execution of the Operation and Maintenance (O&M), National Emergency Preparedness Program (NEPP). The NEPP provides funds for training, acquisitioning and staffing under the direction of the Chief Directorate of Civil Works, Headquarters, and USACE (CECW-HS).

2-2. **Program Description.** National Emergency Preparedness Program (NEPP) (500). This category includes those administrative, supervisory and procurement actions performed at each USACE activity where funds are provided for developing and maintaining NEPP activities. This category does not fund, under any class, the acquisition or maintenance of space for Emergency Relocation Facility (ERF). See Appendix D for 96X3123 appropriation structure.

   a. **Continuity of Operations Planning (COOP) (510).**

      (1) This class applies to COOP preparedness planning and coordination. The COOP planning focuses on development of the capability for emergency relocation and reconstitution of a USACE (CONUS to include Alaska & Hawaii) activity as a result of either a natural or man-made (caused) disaster/event. 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, identification of ERS.

      (2) Reference AR 500-3, ERS Requirement. NEPP does not fund acquisition of space, maintenance, or upgrades for ERS, identification and storage of duplicate emergency files, and other considerations necessary to ensure minimum downtime of the organization(s). This also includes, in conjunction with other appropriate offices, the development of a framework for individual plans that address the continued operation of Corps civil works projects. Funding of ERS preparedness activities is a shared expense among all offices within the command that will actually use the ERS during an event.

   b. **Catastrophic Disaster Response Planning (CDRP) (520).** This class applies to scenario-specific planning activities of national significance (i.e. Hurricanes, New Madrid, Terrorist Attacks, etc.) as assigned. Activities in this class include: development of plans, in coordination with appropriate Federal, state and local entities, for response to natural/man-made disasters that are as catastrophic as to impact national security. It also applies to Port Readiness working group where the EM office is a member associated with emergency plans and maintenance of navigable waterways (EM Labor

2-1
and Travel only). Other USACE offices that are part of the working group will fund labor and travel from their respective office not EM funds.

c. Emergency Operations Center (EOC) Support (530). This class applies to those activities associated with the operation and maintenance of EOC facilities and associated office space for Division Offices. This class does not include labor costs. District offices must use departmental overhead for EOC facilities and office space in accordance with ER 37-1-30, Chapter 20, Revolving Fund Accounting for Departmental Overhead. District operating budgets and rates must include all costs to acquire and maintain the EOC facility and equipment, to include scheduled replacement and upgrades of equipment. PRIP funds are required when the cost of an asset is $250,000 or more. All requests for exception to this policy are submitted to CECW-HS. Exceptions are limited to purchases that will only be used to support a single project or appropriation. CECW-HS will coordinate the action with CERM-F for approval.

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

e. Continuity of Government (COG) (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.

f. Catastrophic Disaster Training, Exercises and Corrective Action (560). This class applies to the development of and participation in COOP and catastrophic disaster exercises and training (natural or man-made) in the inter- and intra-agency arena. The development of and participation in evaluation and corrective action programs related to catastrophic disasters will be funded under this class. Personnel external to the Readiness/Emergency Management organization, being trained in their normal duties or participating in an exercise as a functional specialist, continue to charge to their regular account. This class also funds training and exercise participation only for adjunct duties not related to an employee’s normal line of work.

g. National Emergency Response (570). This class includes activation and operations of EOC’s and the deployment of response personnel and equipment for an event of national significance. These funds are not budgeted and will be issued by HQs as the situation warrants. Utilize the form in Appendix C to request these funds. The suddenness of this type of event will require immediate actions by a District Commander. The following actions will be taken to ensure that a District will be able to begin its emergency response mission when a disaster strikes with no warning (e.g., an earthquake or terrorist event). When a verbal authorization is issued from CECW-HS for a work allowance and FAD, the Districts will use this as their authority to meet fiscal requirements (enter funds into CEFMS) in coordination with Resource Management at each command level. When an authorized verbal FAD and work allowance are
received, the responsible Division will prepare a written summary of the conversation. If the action is to be forwarded to a District, the Division will provide a copy of the summary to that District’s Emergency Manager. A copy will also be provided to the appropriate Resource Management Office. The summary will include the amount of the funds received, request number, event, CWIS XXXX, the name of the person providing the approval, and the date and time received. CECW-HS will expedite the processing of a written work allowance.

2-3. Programming. All programming requests will be coordinated with HQUSACE. Use form in Appendix C. NEPP programming at the HQUSACE level applies to all category/Classes 500.
CHAPTER 3

Flood Control and Coastal Emergencies Appropriation 96X3125

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

3-2. Program Description.

a. The six functions covered within this appropriation are Disaster Preparedness, Emergency Operations, Rehabilitation Program (to include non-structural alternatives), Emergency Water Assistance (Contaminated Water Source or Drought), Advance Measures, and Hazard Risk Management.

b. Labor Use: A Expense or district overhead employee, who performs normal duties on behalf of categories 200-600, will charge only overtime and TDY to categories 200-600. “Straight time” (i.e., regular labor) continues to be charged to Expense or overhead, as normal. An FC&CE Category 100- or project- or reimbursable-funded employee, who performs duties under Categories 200-600, will charge all time (including applied overhead) and TDY to Categories 200-600. Active military-funded personnel, diverted from their normal assignment, will charge only TDY to Categories 200-600. Active Civil Project-Funded military personnel, diverted from their normal assignment, will charge Labor and TDY to Categories 200-600. Reservists on Active Duty will charge labor and TDY to Categories 200-600. Reference EP 37-1-6.

c. Disaster Preparedness Program (DPP) (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, response exercises, supplies and equipment, operations and maintenance, and program management costs. Funding for labor of a Major Subordinate Command (DIVISION) emergency manager or RCO Chief (whether permanent, temporary, or detailed) must be funded under the GE appropriation.

(1) All Hazards Planning Activities (110). This class includes the planning, preparation, and publication of supplements to ER 500-1-1, flood fight plans, hurricane or coastal storm response plans, earthquake response plans, tsunami response plans, emergency water supply and drought plans, emergency contact lists and telephone directories, field pocket manuals, and required Standard Operating Procedures (SOP) for PL 84-99 response and recovery activities. Program management activities that support preparedness, such as labor for selected emergency management personnel at the district and Division, disaster program cadre, Subject Matter Experts (SME),

3-1
Planning and Response Team readiness (PRT), Emergency Support Function #3 (ESF #3) readiness, medical screening, general coordination (e.g. conferences, workshops, public meetings, etc.), supervision, and administration. Professional development authorized in accordance with guidance provided by HQUSACE. Also included are preparedness planning actions associated with response, recovery and mitigation operations under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121, et seq), and other like activities under other statutory authorities. Activities may include the development of local/regional disaster response plans and related program management.

(2) All Hazard Training and Exercises (120). This class includes the development of, and participation in, exercises and training in the inter- and intra-agency arena. Personnel external to the Readiness/Emergency Management organization, being trained in their normal duties or participating in an exercise as a functional specialist, continue to charge to their regular account. This class funds training and exercise participation only for project funded employees where their emergency duties are not related to an employee’s normal line of work. This class includes labor and travel for the training/exercise development staff at the Readiness Support Center.

(3) Equipment, Facilities, Supplies (130). This class applies to those activities associated with the operation and maintenance of EOC facilities and associated office space for Division Offices. This class does not include labor costs. District offices must use departmental overhead for EOC facilities and office space in accordance with ER 37-1-30, Chapter 20, Revolving Fund Accounting for Departmental Overhead. District operating budgets and rates must include all costs to acquire and maintain the EOC facility and equipment, to include scheduled replacement and upgrades of equipment. PRIP funds are required when the cost of an asset is $250,000 or more. All requests for exception to this policy are submitted to CECW-HS. Exceptions are limited to purchases that will only be used to support a single project or appropriation. CECW-HS will coordinate the action with CERM-F for approval.

(4) Readiness Support Center (RSC) (140). This class supports the management and administrative activities for the Readiness Support Center. See classes 120, 160 and 220 for other RSC activities. This class supports facilities and leases for the RSC. Other classes used for the RSC: 160, 220.

(5) Reemployed Annuitant Office Program (RAO) (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 supporting HQ will be funded appropriately thru 210 or FEMA mission assignments.

(6) 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) (e.g., GIS/RS Center; Engineering Research and Development Center (ERDC); Deployable Tactical Operations Systems (DTOS), ENGLink, HF radio and EOC design; DTOS includes custodial district support leases(CDSL), U.S. Army Corps of Engineers Finance Center (UFC); operation and maintenance of ENGLink, Advanced Contract Initiative (ACI) and the Indefinite-delivery, Indefinite Quantity Contract (IDIQ)).

d. Emergency Operations (200). This category provides for response to disasters includes field investigations of potential natural disasters, flood fighting and rescue operations, protecting Federally authorized and completed shore and hurricane protection projects, preparation of After Action Reports, Post Flood Response, operational supplies and equipment, support from others, and operational support. Note: During an event where Category 200 funds are used for regular EM labor, the responding District will coordinate with HQ to adjust 110 funding on a quarterly basis, if required. Achievement awards will consist of Honorary medals, certificates and/or pins for exceptional work performed by any USACE employee incidental to a disaster when performed under FC&CE or the Stafford Act. Monetary awards will require pre-approval from Deputy, and/or Director, CECW-HS.

(1) Response Operations (210). This class includes activation and operation of EOCs for all hazards, provision of technical assistance incidental to disasters, flood fighting activities (to include emergency contracting), loan of flood fighting equipment, materials and innovative flood fighting materials, liaison officer activities and limited flood data collection. This class also provides for the issuance of funds prior to the Commander’s emergency declaration in anticipation of pre-event activities. With the exception of such pre-event costs, an emergency declaration by the District Commander is required before this authority may be invoked. This class, when pre-approved by CECW-HS, may be used to elevate the level of support by a supporting district. Mississippi Valley Division (MVD): For the Mississippi River, Mississippi River and Tributaries (MR&T) geographical area, all flood fight costs will be funded with MR&T funds when such funds are available. If no MR&T funds are available, use of FC&CE funds is appropriate and must be approved by CECW-HS. (NOTE: Activation and movement of Planning and Response Teams will be under a FEMA Mission Assignment.) When a verbal authorization is issued from CECW-HS for a work allowance and FAD, the Districts will use this as their authority to meet fiscal requirements (enter funds into CEFMS) in coordination with Resource Management at each command level. When an authorized verbal FAD and work allowance are received, the responsible Division will prepare a written summary of the conversation. If the action is to be forwarded to a District, the Division will provide a copy of the summary to that District’s Emergency Manager. A copy will also be provided to the appropriate Resource Management Office. The summary will include the amount of the funds received, request number, event, CWIS XXXX, the name of the person providing the approval, and the date and time received. CECW-HS will expedite the processing of a written work allowance.
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(2) After Action Report (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); USACE Independent Assistance and Assessment Team (IAAT) activities not otherwise funded via FEMA mission assignment(s); and the preparation and publication of after action reports at District in accordance with existing policy in ER 500-1-1.

(3) Post Flood Response (230). This class includes all costs associated with response to a Governor’s request for assistance, reference ER 500-1-1, paragraph 4-6. Included are costs for investigations to determine eligibility of requested work and contract costs. NOTE: Post Flood Response assistance is limited to 10 days.

(4) Operational Supplies and Equipment (240). This class provides for purchase, maintenance, and repair of equipment (e.g., sandbag filling machines, pumps, Geographic Information System/Remote Sensing (GIS/RS) hardware and software, DTOS, high frequency radios). This class also provides for purchase of flood fight supplies (e.g., sandbags, plastic, pump hoses, innovative flood fighting materials, and high visibility items) to replenish and augment the stocks used during an event. This class also includes replenishment of office equipment and supplies, but only if used during activation of the EOC. Expedient Flood Fight Products (EFFP) are located in the following locations: Sacramento, Omaha, Rock Island and Philadelphia Districts. They are designated as custodians of the national stockpile of HQ and will be funded by 240. Reference ER 500-1-1.

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

(6) Operational Response (260). This class provides for CECW-HS identified personnel and/or organizations providing ongoing operational support incidental to known or potential threat(s) (e.g., GIS/RS Center ERDC; DTOS staff; U.S. Army Corps of Engineers Finance Center (UFC); operation and maintenance of ENGLink).

e. Rehabilitation and Inspection Program (RIP) (300). This category includes costs for investigation of and rehabilitation of damaged Federal and non-Federal flood damage reduction project (FDR), Federally authorized and constructed hurricane or shore protection projects, and the eligibility inspections of non-Federal FDR projects.

(1) Rehabilitation Project - Federal Flood Risk Management Project (310). This class includes the costs for the rehabilitation of eligible Federal projects.
(2) Rehabilitation Project - Non-Federal Flood Risk Management Project (320). This class includes costs for the rehabilitation of eligible non-Federal projects.

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

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

(5) Initial Eligibility Inspections (IEI) (350). This class includes performing Initial Eligibility Inspections (IEI) of non-Federal Flood Risk Management projects.

(6) Continuing Eligibility Inspections (CEI) (360). This class includes performing Continuing Eligibility Inspections (CEI) of non-Federal Flood Risk Management projects.

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

(8) Flood Damage Reduction Database Activities (380). This class includes costs associated with maintaining and updating the national GIS Levee database with project information resulting from Continuing Eligibility Inspections (CEI) and Initial Eligibility Inspection (IEI) inspections and periodic inspections for non-federal projects. Cost for database maintenance and updating associated with Federal projects is funded from Inspections of Completed Works (ICW) and O&M funds.

f. Emergency Water Supplies and Drought Assistance (400). This category includes investigations to determine the eligibility for assistance; the provision of emergency water due to contaminated source problems; 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 Assistant Secretary of the Army for Civil Works (ASACW).

(1) Emergency Water Supplies (Contaminated Source) (410). This class includes the costs of providing emergency water to a political sub-Division confronted with a source of contaminated water causing or likely to cause a substantial threat to public health and welfare.
(2) Drought Assistance (420). This class includes the costs for the transportation of water from a source to 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.

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

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

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

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

h. Hazard Risk Management (600). This category includes costs associated with 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 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 accordance with a Presidential disaster declaration. Other activities would provide for actions under the direction of FEMA in response to a presidential declared disaster or emergency.

3-3. Programming. All programming requests will be in coordination with HQUSACE. This applies to all classes within Category 100.


a. General rules for funding Classes.

(1) All Class 200. Utilize the form at Appendix C. Request funding to activate EOC operations to include regular labor and overtime.
(2) Classes 310, 320 or 330. Utilize the form at Appendix E.

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

(4) Class 350. Utilize the form at Appendix E of this ER

(5) Class 360. Utilize the form at Appendix E of this ER.

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

b. Category 400 and 500 requests for funds require a formal memorandum from a District using the memorandum form outlined in Appendix E of this ER. All requests within these two categories must be accompanied by a request for assistance signed by the Governor. (If for Class 430 or Class 520 technical assistance only, the request may be signed by an appropriate state official). 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 Region, the request will be faxed to CECW-HS for review and action. If the action is approved, the work allowance document will be issued to the DIVISION (and the regional office if appropriate) via fax, with copy furnished to the requesting office. The original will be maintained in the CECW-HS files. The FAD will be issued directly to the requesting office by CERM.

c. The suddenness of an event may require immediate actions by a District Commander. The following actions will be taken to ensure that a District will be able to begin its emergency response mission when a disaster strikes with little or no warning (e.g., an earthquake). For MVD Only: Flooding on the Mississippi River will result in utilization of appropriation 96X3112, MR&T.

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

e. 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 E of this ER will be used to request Classes 310, 320, and 330 funds.

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

g. 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, a CWIS will be established for that flood or drought season. For Classes 430 and 520, a CWIS 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. See Appendix E.
CHAPTER 4

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

1. **Purpose.** This chapter supplements guidance in FEMA’s operating procedures for the management of mission assignments (MA), the Financial Management (FM) Annex to the National Response Framework (NRF) and the Memorandum of Agreement (MOA) between USACE and FEMA. These documents prescribe policies pertaining to the funding and financial accounting for Disaster Assistance. Additional information regarding Disaster Assistance is contained in the ESF #3 Field Guide.

2. **Monetary Control.**

   a. **Requests for Federal Assistance.** In the event the Department of Homeland Security Federal Emergency Management Agency (FEMA) requests disaster assistance support requiring USACE personnel to travel with notice of 24 hours or less, the following process is available to the supported district only after receipt of a Verbal/Mission Assignment from FEMA. This process only applies to individuals (early responders) leaving with 24 hours or less notice, after receipt of a Verbal/Mission Assignment from FEMA. After 24 hours, a “Verbal MFR” from supported to supporting activity is no longer valid.

   b. **Verbal Authorization:** Once a FEMA Verbal/Mission Assignment has been received, the supported District may issue a verbal Memorandum For Record (MFR) to a supporting District for early responder(s) to depart. The supporting District must receive the Government Order (GO) from the supported District through CEFMS within 48 hours after issuance of the “Verbal MFR” from the supported District. If the GO has not been received within the time frame provided, the supporting District must contact the Chief, Emergency Management and/or the Chief, Finance and Accounting Office from the supported District and obtain the GO. After the supported District has officially recorded the GO in CEFMS, they will attach the “Verbal MFR” behind the GO for supporting documentation and future audit purposes. The supported 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 District, the supporting 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, event name description, disaster state, time, date, and estimated completion date, amount authorized and tracking
number. The USACE memo authorizing a “Verbal MFR” is provided in EP 37-1-6, Appendix C-21 and a sample “Verbal MFR” requiring both the signature of the Chief, Emergency Management and the Chief, Finance and Accounting Office and/or his/her designee(s). (FEMA verbal authorizations will be followed up with an official mission assignment within 2 to 3 days.)

c. FEMA distinguishes between pre-declaration, emergency declaration and post-declaration costs. Therefore, FEMA may issue 3 separate mission assignments per mission (e.g., commodities, water, and emergency power). USACE will bill against each mission assignment separately.

d. Funding and Financial Accounting.

(1) The source appropriation for disaster assistance is 70X0702, “Disaster Relief, Federal Emergency Management Agency.”

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

(3) Each MA is an individual financial instrument and may be amended by FEMA. Work performed under each MA, and its amendments, is subject to provisions of the Anti-Deficiency Act. Funds may only be used for the MA activity for which the MA was originally issued.

e. Civil Works Revolving Fund (96X4902) will not be used.
CHAPTER 5
Management Controls

5-1. **Purpose.** The purpose of the USACE Managers' Internal Control Program (MICP) is to identify and manage risks in the areas of financial reporting, financial systems, and non-financial operations via the use of routine analysis and checks that ensure the appropriate internal controls are in place and operating properly to mitigate those risks.

5-2. **Checklists.** Management control checklists at Appendices F, G, and H should be completed and forwarded to the District Director of Resource Management for inclusion in the command’s annual assurance statement.

FOR THE COMMANDER:

8 Appendices
(See Table of Contents)

R. MARK TOY, P.E.
Colonel, Corps of Engineers
Chief of Staff
APPENDIX A

References

Public Law 84-99, Flood Control and Coastal Emergency, Codified at 33 USC 701n


33 CFR, Part 203, Emergency Employment of Army and Other Resources, Natural Disaster Procedures – Feb 2002

Title 44 CFR, Emergency Management and Assistance. – Oct 2010

National Response Framework- Updated 2013


AR 11-2, Managers Internal Control Program - Mar 2012


ER 37-1-30, Financial Administration - Accounting and reporting – Sep 2002

ER 500-1-1, Emergency Management and Contingency Operations Sep 2001

ER 500-1-18, Corps of Engineers Continuity of Operations Planning System Mar 1985


ER 690-1-321, Staffing for Civilian Support to Emergency Operations, Nov 1993


Emergency Support Function #3 Field Guide Jan 2012
### APPENDIX B

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

<table>
<thead>
<tr>
<th>Feature Title</th>
<th>Category</th>
<th>Class</th>
<th>DIVISION CWIS</th>
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</tr>
</thead>
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<tr>
<td>National Emergency Preparedness Program</td>
<td>500</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Continuity Of Operations Plan (COOP)</td>
<td>510</td>
<td>084991</td>
<td>084901</td>
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<tr>
<td>Catastrophic Disaster Response Planning</td>
<td>520</td>
<td>084992</td>
<td>084902</td>
<td></td>
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<tr>
<td>Emergency Operations Center Support</td>
<td>530</td>
<td>084993</td>
<td>084903</td>
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<tr>
<td>Emergency Water Program</td>
<td>540</td>
<td>084994</td>
<td>084904</td>
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<tr>
<td>Continuity of Government (COG)</td>
<td>550</td>
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<td>084905</td>
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<tr>
<td>Catastrophic Disaster Training &amp; Exercise</td>
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<td>084996</td>
<td>084906</td>
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<tr>
<td>Emergency Operations</td>
<td>570</td>
<td>084997</td>
<td>084997</td>
<td></td>
</tr>
</tbody>
</table>
APPENDIX C

Request for National Emergency Preparedness Program Funds (Category 500)

CE- DATE:

MEMORANDUM THRU (DIVISION)

FOR CECW-HS

SUBJECT: Request for National Emergency Preparedness Program Funds

1. In accordance with EC 11-2-XXX the following adjustments to the FY XX National Emergency Preparedness Program are submitted for approval.

<table>
<thead>
<tr>
<th>Program</th>
<th>Revised Code 903</th>
<th>Authorized Change Program</th>
<th>(+ or -)</th>
</tr>
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<tbody>
<tr>
<td>Continuity of Operations</td>
<td>510</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Catastrophic Disaster Response Planning</td>
<td>520</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Emergency Operations Center Support</td>
<td>530</td>
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<td>Emergency Water Program</td>
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<td>$</td>
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<tr>
<td>Continuity of Government</td>
<td>550</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Catastrophic Disaster Training &amp; Exercise</td>
<td>560</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>National Emergency Operations</td>
<td>570</td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

2. (Detail purpose of change, justification and impacts).

3. Request the revised program be approved.

Signature Block
Request Funds for National Emergency Operations (CLASS 570)

MEMORANDUM THRU (DIVISION)

FOR CECW-HS

SUBJECT: Request for Emergency Operations Class 570 Funds, CWIS #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 for this Request: $ __

   Total Funds Requested to Date: $ __

Chief, Emergency Management
APPENDIX D

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

<table>
<thead>
<tr>
<th>Feature Title</th>
<th>Category</th>
<th>Class</th>
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<td><strong>Disaster Preparedness Program</strong></td>
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<td>All Hazards Planning Activities</td>
<td>110</td>
<td>084230</td>
<td>000120</td>
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<tr>
<td>All Hazards Training &amp; Exercise</td>
<td>120</td>
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<tr>
<td>Equipment, Facilities, &amp; Supplies</td>
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<td>084230</td>
<td>000120</td>
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<td>National or Regional Centers of Expertise</td>
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<td>Rehired Annuitant Program</td>
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<td>Operational Preparedness</td>
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<td><strong>Emergency Operations</strong></td>
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<td>Response Operations</td>
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<tr>
<td>After Action Report</td>
<td>220</td>
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<td>Post Flood Response</td>
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<td>Operational Supplies &amp; Equipment</td>
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<td>Support from Others</td>
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<td>Operational</td>
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<td><strong>Rehabilitation Program</strong></td>
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<tr>
<td>Rehabilitation Project – Federal Flood Risk Management Project</td>
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<td>Rehabilitation Project – Non Federal Flood Risk Management Project</td>
<td>320</td>
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<td>Rehabilitation Project – Shore Protection</td>
<td>330</td>
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<td>Field Investigations</td>
<td>340</td>
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<td>Initial Eligibility Inspections (IEI)</td>
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<td>Continuing Eligibility Inspections (CEI)</td>
<td>360</td>
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<td>Bulk or Project Specific</td>
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<td>Interagency Levee Activities</td>
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<td>Flood Risk Management Database Activities</td>
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<td>Emergency Water Supplies (Contaminated Sources)</td>
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<td>Field Investigations</td>
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<td>Hazard Risk Management</td>
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<tr>
<td>Interagency Flood Risk Management Activities and HIRA Plans</td>
<td>610</td>
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<td>Project Specific</td>
</tr>
</tbody>
</table>
APPENDIX E

Request Funds for Emergency Operations (CLASS 200)

CE _____

MEMORANDUM THRU Commander, _____ Division

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: _____
   c. Previous funds received for this event: $ _____
   d. EOC Activation (Direct Labor & Overtime): $ _____
   e. Field Operations (labor, TDY): $ _____
   f. Supplies & Equipment (itemize over $1K): $ _____
   g. DTOS/LERT Support: $ _____
   h. Other: $ _____

   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)
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) (itemize) $____
      (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)
Format for Requesting Funds

CLASS 310/CLASS 320/CLASS 330/CLASS 340
REHABILITATION PROJECTS

FROM:___________(DISTRICT)
THRU: _______________(DIVISION)

TO:  CECW-HS

SUBJECT:  Request for Rehabilitation Project Funds, Class 310/320/330/340

CLASS: ____
CWIS #____
PROJECT COSTS ESTIMATE:*
Engineering & Design $

(When requesting E&D only, provide projected date of bid opening and estimated cost of contract)

Construction Contracts  $____
Contingency (request no more than 10% without justification)  $____
Supervision and Administration  $____
Total Amount Required  $____
E&D Received (-)  $____
Other Amounts Received (-)  $____
Total Funds Required  $____

_________________________________________
Chief, Emergency Management

*If cost shared, list only Federal share.
Format for Requesting Funds Class 350/Class 360 Initial/Continuing Eligibility
Inspections

FROM: ___________________________(DISTRICT)

THRU: __________________(DIVISION)

TO: CECW-HS

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

Request funds as follows:

a. Initial Eligibility Inspections (IEI):    CLASS 350   CWIS #__________

b. Re-inspections    CLASS 360   CWIS #__________
(Continuing Eligibility Inspections (CEI) (If bulk funds, request new.)

(1) Number of Non-Federal Flood Damage Reduction Project (FDRP) active in
the Rehabilitation & Inspection Program (RIP).    ____________

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

(3) Total funds required $_______________

Chief, Emergency Management

*To be assigned by HQ by Fiscal Year
Format for Requesting Funds
Class 430 - Emergency Water Supplies and Drought Assistance Field Investigations
or
Class 510/520 - Advance Measures Field Investigation and Report Preparation Costs

FROM: ___________________________(DISTRICT)

THRU: __________________________(DIVISION)

TO: CECW-HS, 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 G and include as an enclosure to this memo). If appropriate, include CWIS 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)
APPENDIX F

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 accordance 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?
APPENDIX G

Managers' Internal Control Evaluation Checklist Procedures FC&CE Appropriation Administration

1. **Function.** The functions covered are financial and logistic administration of the FC&CE.

2. **Purpose.** The purpose of this checklist is to assist resource, logistics, and program managers in evaluating the key management controls listed below. It is not intended to cover all controls.

3. **Instructions.** Answers must be based on the actual testing of key management controls (e.g., document analysis, direct observation, sampling, simulation, other). Answers which indicate deficiencies must be explained and corrective action indicated in the supporting documentation. These management controls must be evaluated 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 FC&CE purchase requests, monitored the progress of all obligations, and reviewed labor distribution reports?
   
   c. Are all automation and communication equipment purchases reviewed and approved by the EM (or their designee) as essential to meet the emergency needs of the district and technically approved by the 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 accordance with policy?
   
   f. Is there a periodic inventory of physical property items?
   
   g. Are written procedures in place to account for loaned supplies/equipment, lost accountable items, and surplus supplies and equipment?
h. Is there a procedure to ensure new supplies and equipment received are added to the inventory?

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 FC&CE 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 H

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 FC&CE purchase requests, monitored the progress of all obligations, and reviewed labor distribution reports?
   c. Are all automation and communication equipment purchases reviewed and approved by the EM (or their designee) as essential to meet the emergency needs 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 accordance with policy?
   f. Is there a periodic inventory of physical property items?
   g. Are written procedures in place to account for loaned supplies/equipment, lost accountable items, and surplus supplies and equipment?
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


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

CWIS – Civil Works Information System
ER 11-1-320
28 Feb 14

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
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

Glossary-2
EWP - Emergency Water Program
FAD - Funding Authorization Document
FC&CE - 96X3125 Flood Control and Coastal Emergencies
FCW - Flood Control Works
FEMA - Federal Emergency Management Agency
FDR – Flood Damage Reduction
FM - Financial Management
FOA - Field Operating Activity
FY - Fiscal Year
G&A - General and administrative
GAO - General Accounting Office
HIRA – Hazard Identification and Risk Assessment
HRM - Hazard Risk Management
HQUSACE - Headquarters, U.S. Army Corps of Engineers
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

MFR - Memorandum for Record

MOA - Memorandum of Agreement

MR&T - Mississippi River and Tributaries

MSC - Major Subordinate Command

MSCA - Military Support to Civil Authorities

MVD - Mississippi Valley Division

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

POM – Program Objective Management

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
WAD - Work Allowance Document