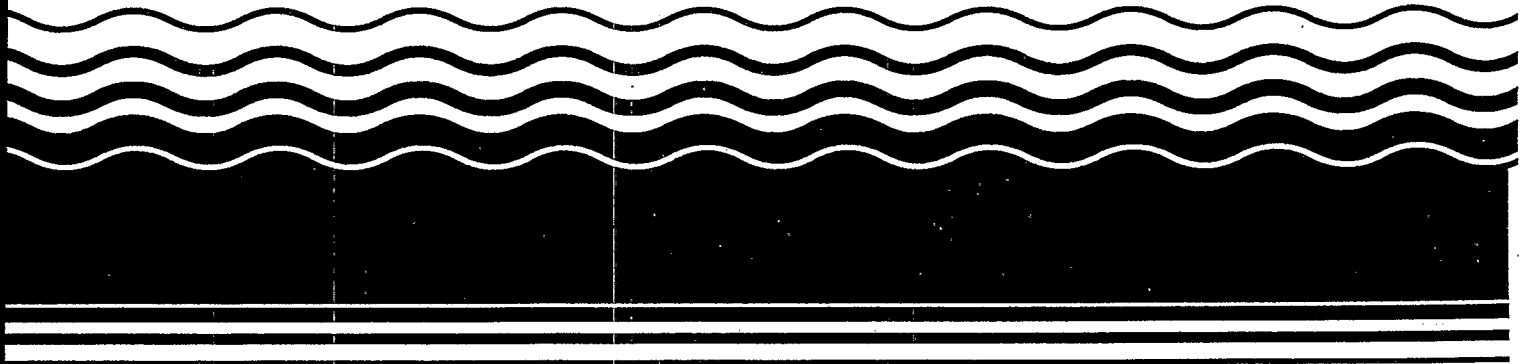
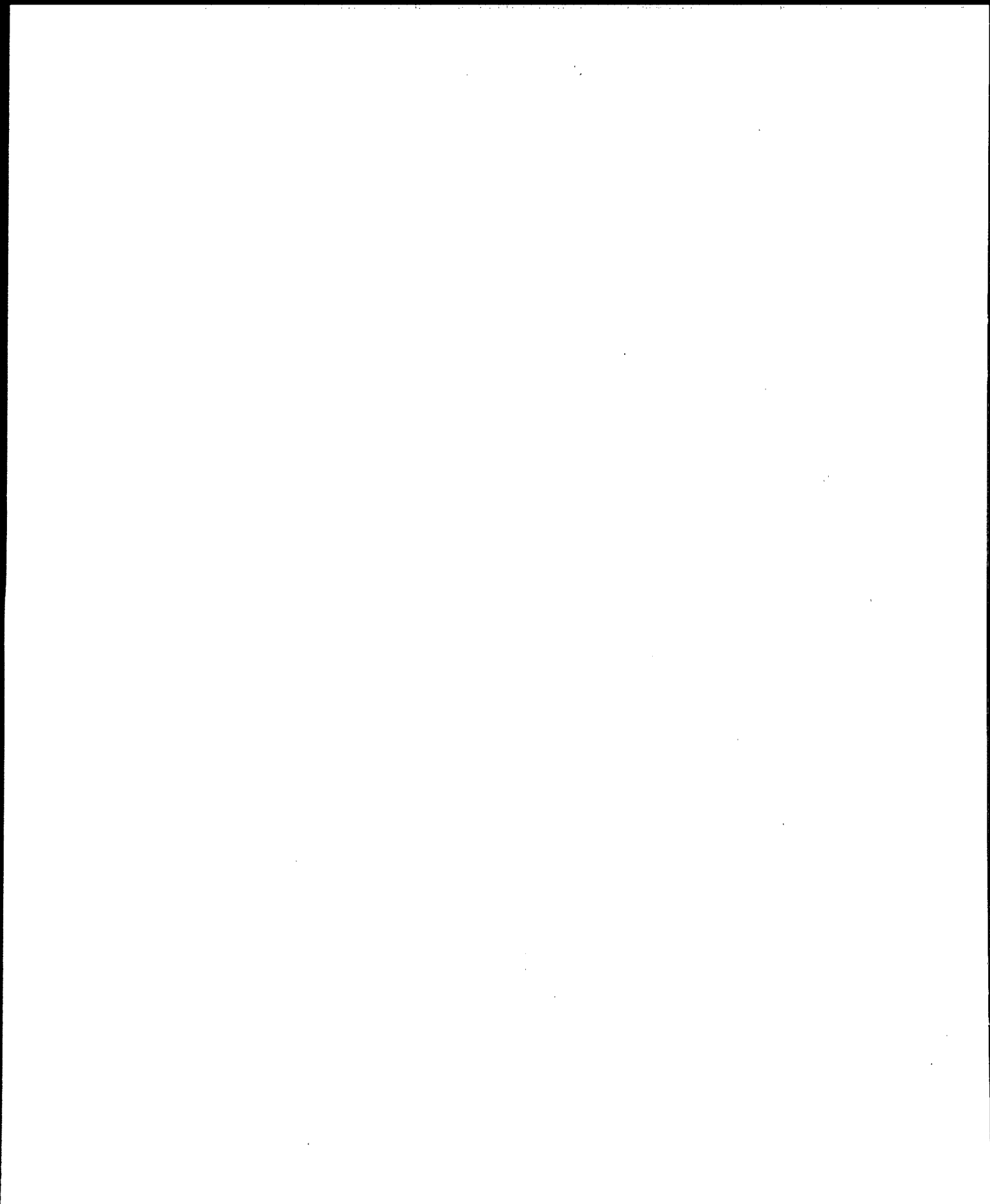




# Disaster and Emergency Response Mission Assignment Guidance

**Final**







UNITED STATES ENVIRONMENTAL PROTECTION AGENCY  
WASHINGTON, D.C. 20460

OCT 9 1997

OFFICE OF  
SOLID WASTE AND EMERGENCY  
RESPONSE

**MEMORANDUM**

**SUBJECT:** Disaster and Emergency Response Mission Assignment  
Guidance - FINAL

**TO:** See Attached

**FROM:** Jim Makris, Director  
Chemical Emergency Preparedness and Prevention Office

Stephen D. Luftig, Director  
Office of Emergency and Remedial Response

**PURPOSE:**

The purpose of this memorandum is to transmit the Agency's final guidance for the management of disaster and emergency response Mission Assignments (MAs).

**BACKGROUND:**

When a disaster or emergency occurs which triggers a Presidential Disaster Declaration under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act), the Federal Emergency Management Agency (FEMA) issues MAs to other Federal agencies through the Federal Response Plan (FRP). FEMA issues MAs to EPA for Emergency Support Function (ESF) #10, "Hazardous Materials", work.

Through a review of after-action reports and discussions at various meetings and workshops, we determined that EPA has room to improve the documentation associated with the transfer of goods and services between EPA and other Federal agencies during disaster and emergency responses.

CEPPO and OERR have worked cooperatively in this effort because of our shared program responsibilities. We entitled the effort the Mission Assignment Project and formed a Mission Assignment Project Team. Along with CEPPO and OERR, stakeholders represented on the team included: the Regions (2, 3, and 6), Office of the Chief Financial Officer, Office of Grants and Debarment, Office of General Counsel, and the Office of Radiation and Indoor Air.



Recycled/Recyclable  
Printed with Soy/Canola Ink on paper that  
contains at least 50% recycled fiber

The MA project is now complete. The Project Team developed the attached Agency guidance. In March, we sent out a draft of the document for a broad agencywide review. We received many comments, and the Project Team reviewed the comments and incorporated them as appropriate.

**OBJECTIVE:**

The guidance document has been prepared to assist EPA personnel in following disaster and emergency response procedures and financial management activities relevant to MAs under the Stafford Act and the FRP. It will be useful for those responsible for:

- Management of MAs received directly from FEMA, or MA support taskings received from other Federal agencies (OFAs);
- Financial management throughout the disaster or emergency response; and,
- Providing standardized cost documentation of disaster and emergency response costs to EPA's Cincinnati Financial Management Center to support reimbursement from FEMA or OFAs.

This guidance includes an overview of the MA life-cycle, roles and responsibilities, and requirements and procedures for managing MAs. It does not address the overall disaster or emergency response effort, that is done by the FRP.

The procedures described herein will be implemented consistently and applied to MAs generated by all program areas in EPA Headquarters and Regional Offices. It is recognized that within some Regional Offices the division of roles and responsibilities will vary and are left up to each region.

The Mission Assignment Project Team worked hard to develop guidance that will help the Agency alleviate mission assignment management problems in the future. Their effort is appreciated.

If you have any questions concerning the guidance or have specific comments, please contact the following persons:

CEPPO:       Lea Anne Gleason  
              (202) 260-7387, FAX (202) 260-7906

OERR:        Joe Rauscher  
              (703) 603-9073, FAX (703) 603-9116

Attachments

cc: See attached list

## Addressees:

Emergency Support Function #10 Regional Chairs

Regional Removal Managers

Lisa K. Friedman, Associate General Counsel  
Solid Waste and Emergency Response Division

Jack Shipley, Director  
Financial Management Division

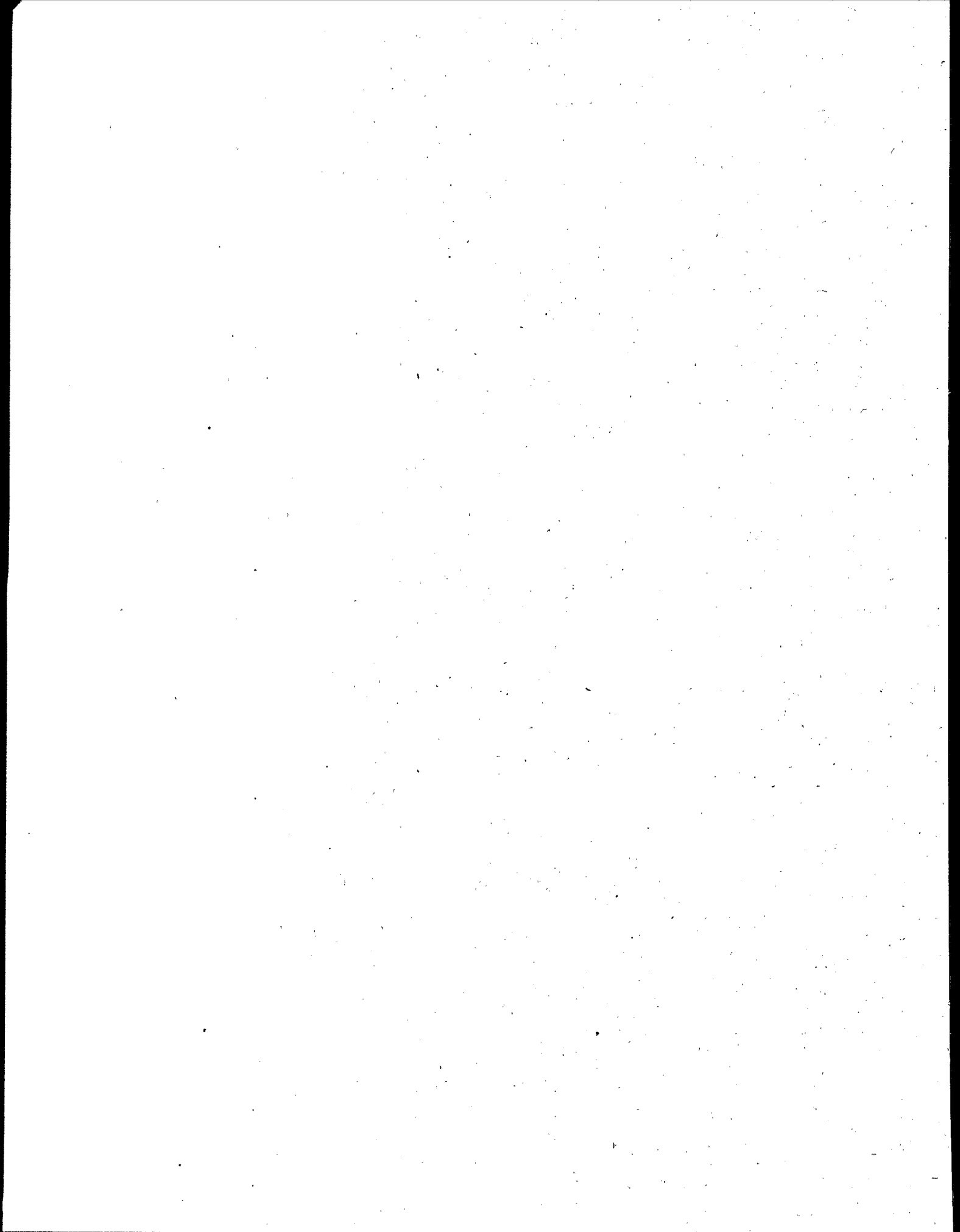
Ron Bachand, Director  
Financial Services Division

Gary M. Katz, Director  
Grants Administration Division

Lawrence G. Weinstock, Director  
Radiation Protection Division

Deborah Y. Dietrich, Acting Director  
Annual Planning and Budget Division

cc: National Incident Coordination Team  
Regional Finance Officers  
Regional Grants Management Officers  
Elaine Davies, OERR  
Ken Stroech, CEPPO  
Mark Mjones, OERR  
John Riley, OERR  
Lea Anne Gleason, CEPPO  
Joe Rauscher, OERR  
Barbara Hostage, OSWER  
Mission Assignment Project Team

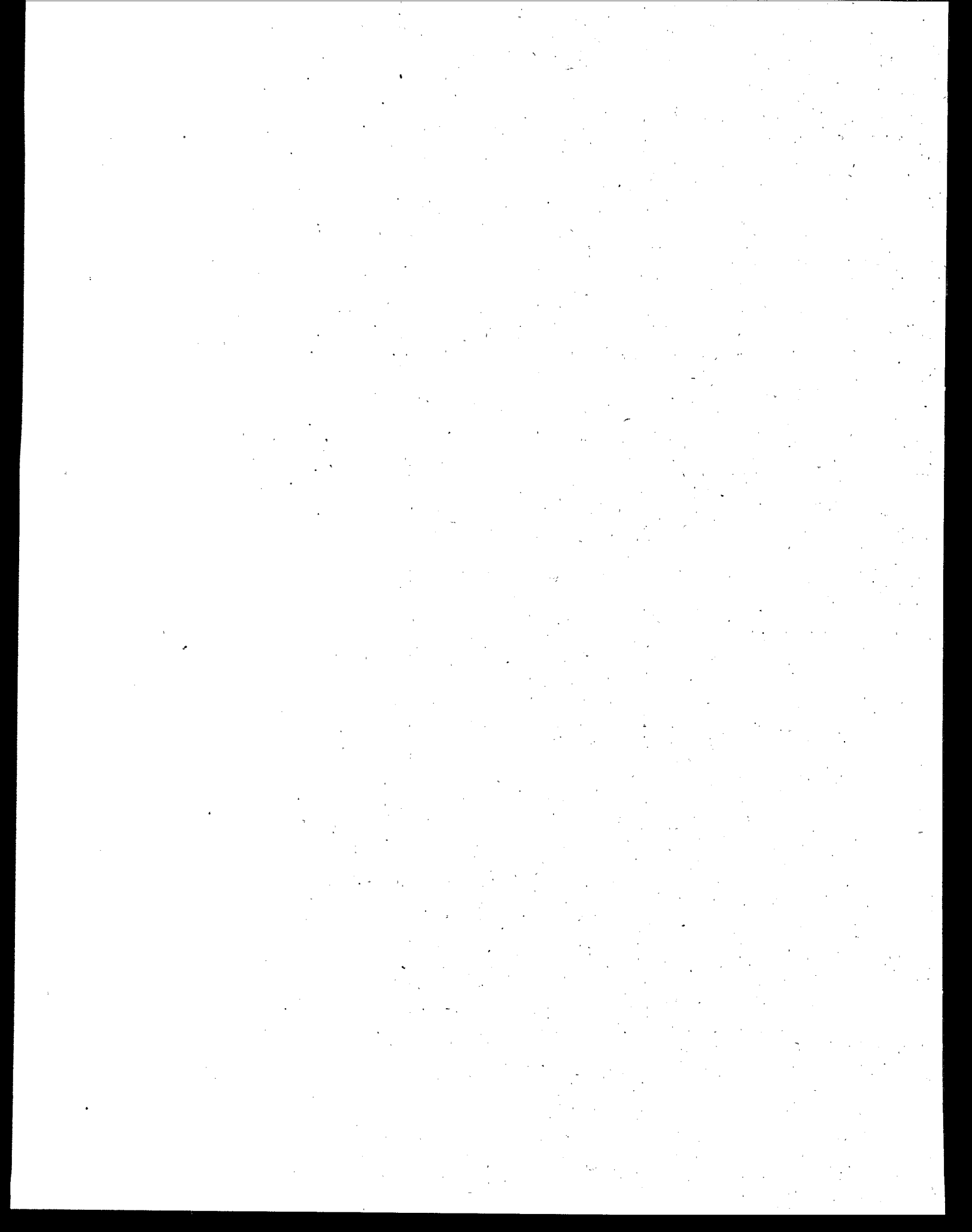


**DISASTER AND EMERGENCY RESPONSE  
MISSION ASSIGNMENT GUIDANCE**

**U.S. ENVIRONMENTAL PROTECTION AGENCY**



**October 1, 1997**





## TABLE OF CONTENTS

|   |    |
|---|----|
| NOTICE .....  | i  |
| ACRONYMS .....  | ii |
| CHAPTER ONE - OVERVIEW .....  | 1  |
| 1. MISSION ASSIGNMENT DEFINITION .....  | 2  |
| 2. PURPOSE .....  | 3  |
| 3. STATUTORY AUTHORITY FOR MISSION ASSIGNMENTS .....  | 3  |
| 4. IMPLEMENTING AGREEMENT AND REGULATION .....  | 3  |
| A. The Federal Response Plan .....  | 3  |
| B. The National Contingency Plan .....  | 4  |
| 5. CONCEPT OF INTERAGENCY COOPERATION AND FUNDING .....   | 4  |
| 6. DELEGATIONS OF AUTHORITY .....   | 5  |
| CHAPTER TWO - ROLES AND RESPONSIBILITIES .....  | 6  |
| 1. ROLES AND RESPONSIBILITIES .....   | 7  |
| A. Regional Program Office .....  | 7  |
| B. Regional Comptroller Office .....  | 7  |
| C. Regional Grants Management Office .....  | 8  |
| D. Office of Solid Waste and Emergency Response, Chemical Emergency<br>Preparedness and Prevention Office ..... | 8  |
| E. Office of Solid Waste and Emergency Response, Office of Emergency and<br>Remedial Response .....             | 8  |
| F. Office of the Comptroller, Cincinnati Financial Management Center .....                                      | 9  |
| G. Office of the Comptroller, Budget Division .....   | 9  |
| CHAPTER THREE - ESF #10-LEAD DISASTER RESPONSE AS A PRIMARY AGENCY .....  | 10 |
| 1. MISSION ASSIGNMENT LIFE-CYCLE .....  | 11 |
| A. Origination Phase .....  | 11 |
| B. Execution Phase .....  | 12 |
| C. Close-Out .....  | 14 |
| 2. REPORTING REQUIREMENTS .....   | 14 |
| 3. FINANCIAL MANAGEMENT OF MISSION ASSIGNMENTS .....  | 16 |
| A. Types of Costs .....   | 16 |
| B. Obtaining Mission Assignment-Specific EPA Reimbursable Account<br>Numbers .....                              | 17 |
| C. Bills and Supporting Cost Documentation .....  | 17 |
| 4. TASKING SUPPORT FROM OTHER FEDERAL AGENCIES .....  | 18 |
| 5. UTILIZATION OF RESOURCES FROM OTHER REGIONS OR<br>HEADQUARTERS .....   | 19 |
| 6. DETAILING OF PERSONNEL .....   | 19 |

|   |    |
|---|----|
| CHAPTER FOUR - NON-ESF #10-LEAD DISASTER RESPONSE AS A SUPPORT AGENCY .....           | 20 |
| 1. FINANCIAL MANAGEMENT OF TASKINGS FROM OTHER FEDERAL AGENCIES .....                 | 21 |
| A. Types of Costs .....   | 21 |
| B. Obtaining Mission Assignment-Specific EPA Reimbursable Account Numbers .....       | 22 |
| C. Bills and Supporting Cost Documentation .....                                      | 22 |
| CHAPTER FIVE - COST DOCUMENTATION SUPPORTING BILLS TO FEMA OR OFAs .....              | 23 |
| 1. COST DOCUMENTATION SUPPORTING BILLS TO FEMA OR OFAs .....                          | 24 |
| A. Cost Documentation Package Contents .....  | 24 |
| APPENDICES .....  | 27 |
| APPENDIX 1. ADMINISTRATIVE LINKAGES .....   | 28 |
| A. Audits .....   | 28 |
| B. Federal Acquisition Regulation .....   | 28 |
| C. Quality Assurance .....  | 29 |
| D. Suspension and Debarment .....   | 29 |
| APPENDIX 2. RECORD KEEPING .....  | 30 |
| A. Records Management .....   | 30 |
| B. Financial and Programmatic Records .....   | 31 |
| APPENDIX 3. STATUTORY AUTHORITIES .....   | 33 |
| A. Government-wide Statutory Authorities .....  | 33 |
| B. EPA Independent Program Statutory Authorities (Alternative IAG Authorities) .....  | 34 |
| APPENDIX 4. SAMPLE ACTIVATION LETTER AND REQUEST FOR FEDERAL ASSISTANCE (DRAFT) ..... | 35 |
| APPENDIX 5. EMERGENCY FUNDING AUTHORIZATION FORM .....                                | 42 |
| APPENDIX 6. MISSION ASSIGNMENT REIMBURSEMENT REQUEST (DRAFT) .....                    | 45 |
| APPENDIX 7. SAMPLE COST DOCUMENTATION PACKAGE FORMAT .....                            | 52 |

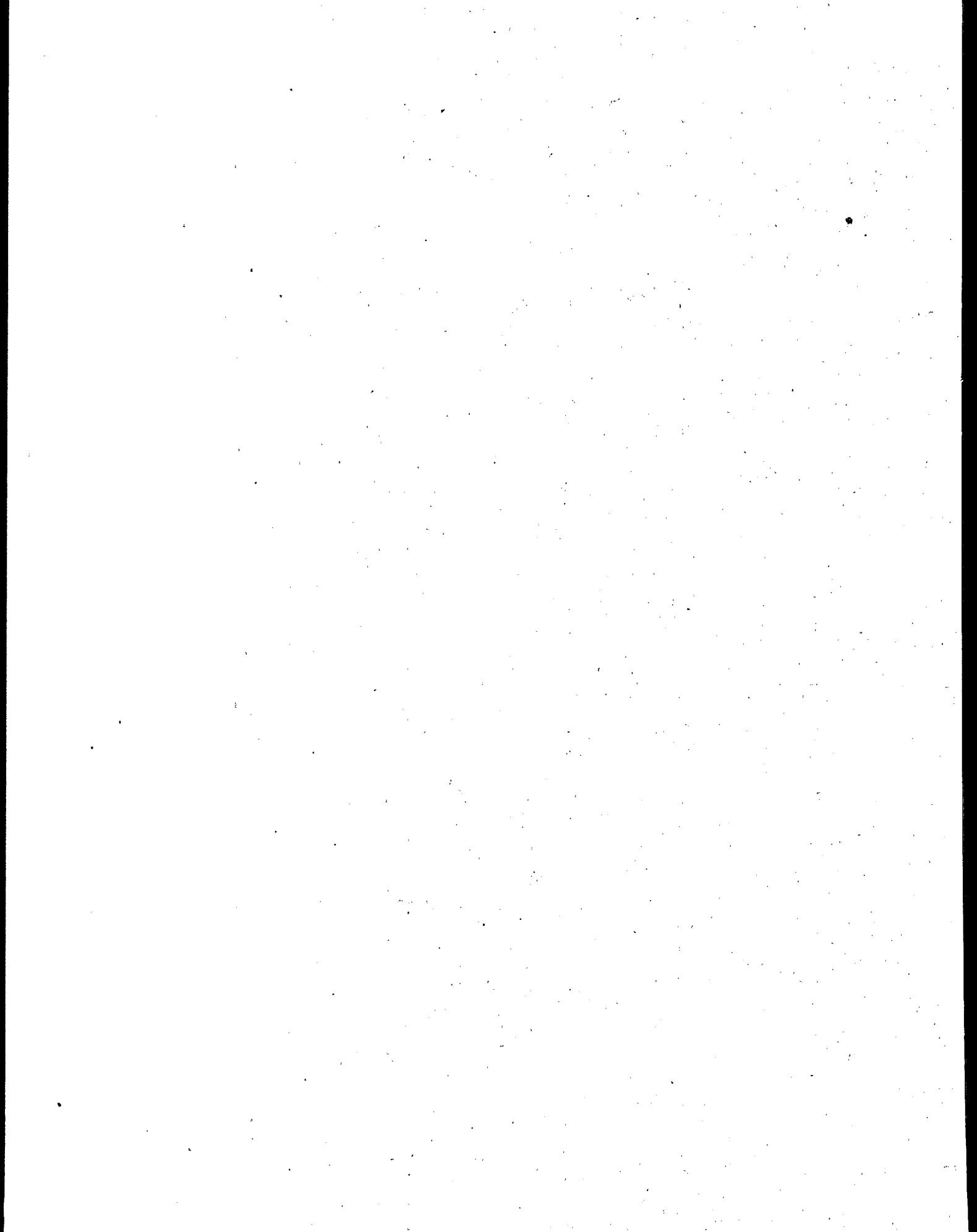
## NOTICE

This guidance does not constitute a rulemaking by the U.S. Environmental Protection Agency (EPA). The policies set forth are intended solely as internal EPA guidance. They are not intended, nor can they be relied upon, to create any substantive or procedural rights enforceable by any party in litigation with the United States. EPA officials should follow the guidance provided herein, or may take action that is at variance with the guidance, policies, and procedures, on the basis of an analysis of specific extraordinary circumstances. The Agency also reserves the right to change this guidance at any time without public notice. This guidance supersedes all existing EPA Mission Assignment (MA) guidance.

This guidance includes an overview of the MA life-cycle, roles and responsibilities, and requirements and procedures for managing MAs. It does not address the overall disaster response effort.

The procedures described herein will be implemented consistently and applied to MAs generated by all program areas in EPA Headquarters and Regional Offices. It is recognized that within some Regional Offices the division of roles and responsibilities will vary.

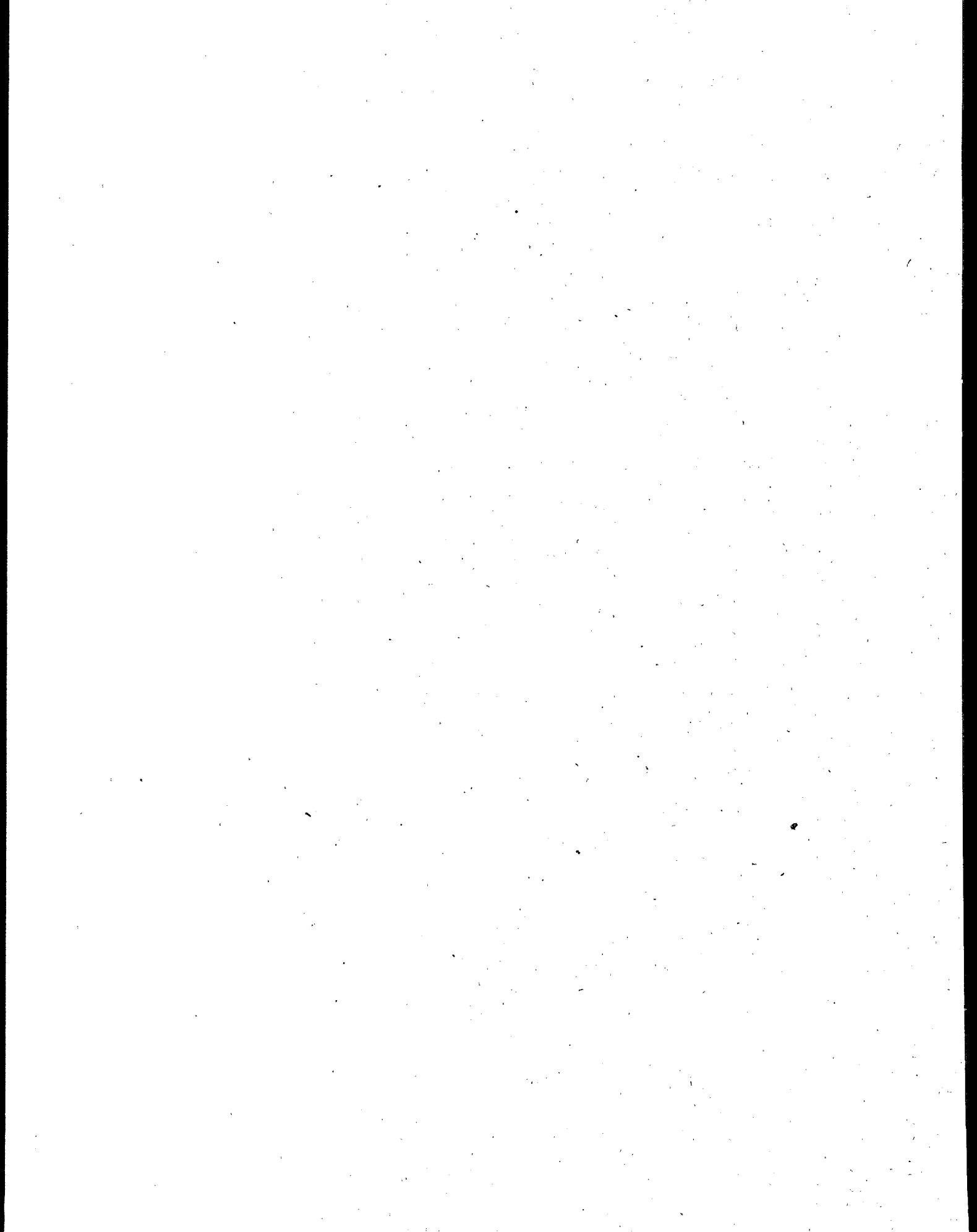
The Agency formed a Mission Assignment Project Team for development of Agency policies and procedures for the management of disaster response MAs issued by the Federal Emergency Management Agency (FEMA) to EPA for Emergency Support Function (ESF) #10, "Hazardous Materials", work. Along with the Office of Emergency and Remedial Response (OERR) and Chemical Emergency Preparedness and Prevention Office (CEPPO), stakeholders represented on the Team included the Regions, Financial Management Division, Grants Administration Division, Office of General Counsel, and the Office of Radiation and Indoor Air. The requirements and procedures developed also apply to situations when EPA receives taskings from other Federal agencies and cooperates with other Federal agencies to assist with their ESF response operations.



## ACRONYMS

(HQ or R.O. - signifies EPA Headquarters or Regional Office location)

|        |  |
|--------|--|
| CEPPO  | Chemical Emergency Preparedness and Prevention Office (HQ)                                   |
| CERCLA | Comprehensive Environmental Response, Compensation, and Liability Act                        |
| CFMC   | Cincinnati Financial Management Center (HQ)  |
| CFR    | Code of Federal Regulations  |
| DFC    | Disaster Finance Center (FEMA HQ)  |
| EFA    | Emergency Funding Authorization  |
| EPA    | U.S. Environmental Protection Agency   |
| ERRS   | Emergency and Rapid Response Services  |
| ESF    | Emergency Support Function   |
| EST    | Emergency Support Team (HQ)  |
| FAR    | Federal Acquisition Regulation   |
| FEMA   | Federal Emergency Management Agency  |
| FMD    | Financial Management Division (HQ)   |
| FRP    | Federal Response Plan  |
| GMO    | Grants Management Office (R.O.)  |
| IAG    | Interagency Agreement  |
| IFMS   | Integrated Financial Management System   |
| MA     | Mission Assignment   |
| MAID   | Mission Assignment Identification (Number)   |
| NCP    | National Contingency Plan (National Oil and Hazardous Substances Pollution Contingency Plan) |
| NSF    | National Strike Force (USCG-HQ)  |
| OERR   | Office of Emergency and Remedial Response (HQ)   |
| OFA    | Other Federal Agency   |
| OIG    | Office of Inspector General (HQ)   |
| OMB    | Office of Management and Budget  |
| OPA    | Oil Pollution Act  |
| OPAC   | On-Line Payment and Collection (System)  |
| POC    | Point of Contact (R.O.)  |
| POLREP | Pollution Report   |
| REAC   | Response Engineering and Analytical Contract   |
| SITREP | Situation Report   |
| START  | Superfund Technical and Response Team  |



## **CHAPTER ONE - OVERVIEW**

## 1. MISSION ASSIGNMENT DEFINITION

**MISSION ASSIGNMENT** - A Mission Assignment (MA) is a work order issued by the Federal Emergency Management Agency (FEMA) to an Other Federal Agency (OFA) directing that agency to complete a specific task in anticipation of, or response to, a Presidential declaration of a major disaster or emergency under the Federal Response Plan (FRP). Through the MA, FEMA may direct any OFA Emergency Support Function (ESF) to support State and local response efforts. MAs are the mechanism for these directives and are given to an OFA to provide:

- Direct Federal assistance to affected State and local jurisdictions;
- Technical assistance to State and local jurisdictions; or
- Logistical or technical support to FEMA or OFAs. A Federal agency may receive support taskings from OFAs to assist them with their MA duties.

A MA may be issued to a Federal agency with or without reimbursement provisions. If the OFA is to be reimbursed for the work performed, the MA documentation will contain a dollar amount that is not to be exceeded without prior approval of the issuing official. MAs are rarely issued without reimbursement provisions. MAs are issued in writing, or confirmed in writing as soon as possible when made orally, and identify the broad statement of work to be performed by the OFA. MA issuance documentation consists of:

- One MA Activation Letter to each activated OFA. The MA Activation Letter includes language that activates the entire agency to receive and execute the MA. Under each MA, taskings are issued to an OFA to perform a specific activity. Each tasking includes an explicit description of assistance to be provided, completion date, and funding limitations (See Appendix 4).
- One or more Request for Federal Assistance Form(s). The Request for Federal Assistance (RFA) form is a standard form used to request assistance and document every MA and tasking. Each RFA must be signed by a Federal Official (e.g., FEMA Regional Director or designee); in certain cases, the RFA must also be signed by the affected State (See Appendix 4). This form is the official obligating document for taskings by FEMA to OFAs. RFA's may be initiated by a State request for assistance, or by FEMA, OFA, or other entity.

In this guidance the term MA is understood to mean both the activation letter and the RFA(s).

Throughout this guidance, references to "MAs" encompass "taskings," as a tasking is merely one specific activity under an MA.



## 2. PURPOSE

This guidance document has been prepared to assist EPA personnel in following disaster response procedures and financial management activities relevant to MAs under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act) and the FRP. It will provide assistance to those responsible for:

- Management of MAs received directly from FEMA, or MA support taskings received from OFAs;
- Financial management throughout the disaster response; and,
- Providing standardized cost documentation of disaster response costs to EPA's Cincinnati Financial Management Center (CFMC) to support reimbursement bills to FEMA or OFAs.

A disaster or emergency may overwhelm the capabilities of State and local governments - and even those of the Federal government. Financial operations will be carried out under unusual circumstances, tight schedules and intense political pressures, necessitating expeditious (non-routine) procedures, but with no lessened requirement for sound financial management and accountability. Timely administrative (i.e., financial and interagency agreement [IAG] management) support of the response activities will be crucial to success in saving lives and property. However, it is mandatory that generally accepted Federal financial policies, principles, and regulations be employed in order to ensure against fraud, waste and abuse and to achieve the proper control and correct use of public funds.

## 3. STATUTORY AUTHORITY FOR MISSION ASSIGNMENTS

MAs are issued by FEMA under the authority of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Public Law 93-288, as amended) which provides authority for the Federal government to respond to disasters and emergencies in order to provide assistance to save lives and protect public health, safety, and property. FEMA may use Stafford Act funds to reimburse EPA and OFAs for disaster response costs for activities carried out under a MA.

## 4. IMPLEMENTING AGREEMENT AND REGULATION

### A. The Federal Response Plan

The Federal Response Plan (FRP) was developed under the authority of the Stafford Act. It sets forth the participating Federal agencies' agreements on how the Stafford Act will be implemented to provide Federal assistance to a State and its affected local governments impacted by a catastrophic or significant disaster or

emergency which results in a requirement for Federal response assistance. The FRP is applicable to natural disasters such as earthquakes, hurricanes, typhoons, tornadoes and volcanic eruptions; technological emergencies involving radiological, oil or hazardous material releases; and other incidents requiring Federal assistance under the Stafford Act. The FRP describes the basic mechanisms and structures by which the Federal government will mobilize resources and conduct activities to augment State and local response efforts. The FRP is basically a multi-agency Memorandum of Understanding.

The FRP serves as the foundation for the further development of detailed Federal agency Headquarters and Regional plans and procedures, such as this guidance, to implement Federal response activities in a timely and efficient manner to support State response activities.

The FRP is based on the fundamental assumption that a significant disaster or emergency will overwhelm the capability of State and local governments to carry out the extensive emergency operations necessary to save lives and protect property. Consequently, resources and response responsibilities and capabilities of Federal departments and agencies are grouped into ESFs to provide Federal response assistance to the States. Departments and agencies have been assigned primary (lead) and support agency responsibilities for each of these functions. EPA is the primary agency for ESF #10, "Hazardous Materials." Hazardous materials are defined to include oil and CERCLA hazardous substances, pollutants, or contaminants. ESF #10 incorporates the organizational structure and procedures for responses delineated in the National Contingency Plan.

**B. The National Contingency Plan**

The National Oil and Hazardous Substances Pollution Contingency Plan (NCP), 40 CFR Part 300, provides the organizational structure and procedures for preparing for and responding to discharges of oil and releases of hazardous substances, pollutants, and contaminants. It embodies a strongly coordinated, multi-level national response strategy.

**5. CONCEPT OF INTERAGENCY COOPERATION AND FUNDING**

Under the Stafford Act, when a disaster triggers a Presidential Emergency or Disaster Declaration, FEMA issues MAs to OFAs tasking them to provide Federal assistance to States in support of disaster response activities. Under the ESF group structure Federal agencies can receive support from - as well as give support to - other agencies during the disaster response. During a disaster, EPA as lead agency for ESF #10, "Hazardous Materials", will provide support to FEMA and may require support from other agencies to accomplish the disaster response

mission. These interagency, cooperative actions require the commitment and exchange of funds. Most of these actions are initiated in EPA's Regional Offices.

However, EPA requires the use of IAGs to transfer goods and services and related funds between it and other Federal agencies. MAs are a form of IAG under the FRP. During a disaster goods, services and funds are transferred between EPA and OFAs with a MA, Emergency Funding Authorization (EFA) form (See Appendix 5) or an IAG form (EPA Form 1610-1). The EFA is a simpler version of EPA's IAG form and should only be used for disaster response support taskings. The EFA is one page while the standard EPA IAG form is three pages. If the OFA agrees, the EFA may also be used when EPA provides support. The Appendices describe administrative requirements that must be considered when implementing disaster responses utilizing a MA, EFA or IAG. All disaster response MAs, EFAs, and IAGs must be managed in a manner consistent with EPA's Interagency Agreement Policy and Procedures Compendium of September 1988. Most of these activities occur in EPA's Regional Offices.

## 6. DELEGATIONS OF AUTHORITY

Current Agency delegation of authority requirements for IAGs still have to be met during disaster responses since EFAs are essentially IAGs. The Regional Administrators (RAs) or their designees - down to the Division Director level - are delegated under EPA Delegation #1-11, as EPA Action Officials, authority to execute all IAGs or amendments which originate in Regional Offices. In the future, if appropriate delegations of authority are in place, RAs could redelegate their authority to the ESF #10 Regional Chair for execution of EFAs. In such cases the ESF #10 Regional Chair could sign an EFA or IAG twice: first as the ESF #10 Regional Chair, and second as the Regional Action Official. The ESF #10 Regional Chair could in turn redelegate these two authorities to a designee. These redelegations may be permanent until rescinded or carry duration or other limitations. That last Action Official designee may not be someone who is also serving as an OSC responsible for that same ESF #10 disaster response. Also, if someone signs an EFA or IAG as EPA Regional Office Action Official without having a delegation of authority, then the EFA or IAG must be signed by someone delegated the authority and reissued immediately.

It should be noted that MAs issued by FEMA to EPA and OFAs through the FRP are not "signed and accepted" by EPA and OFAs since the parties to the MA are already signatories to the FRP.

1. The first part of the document discusses the importance of maintaining accurate records of all transactions and activities. It emphasizes that proper record-keeping is essential for ensuring transparency and accountability in financial operations. This section also highlights the role of internal controls in preventing fraud and errors.

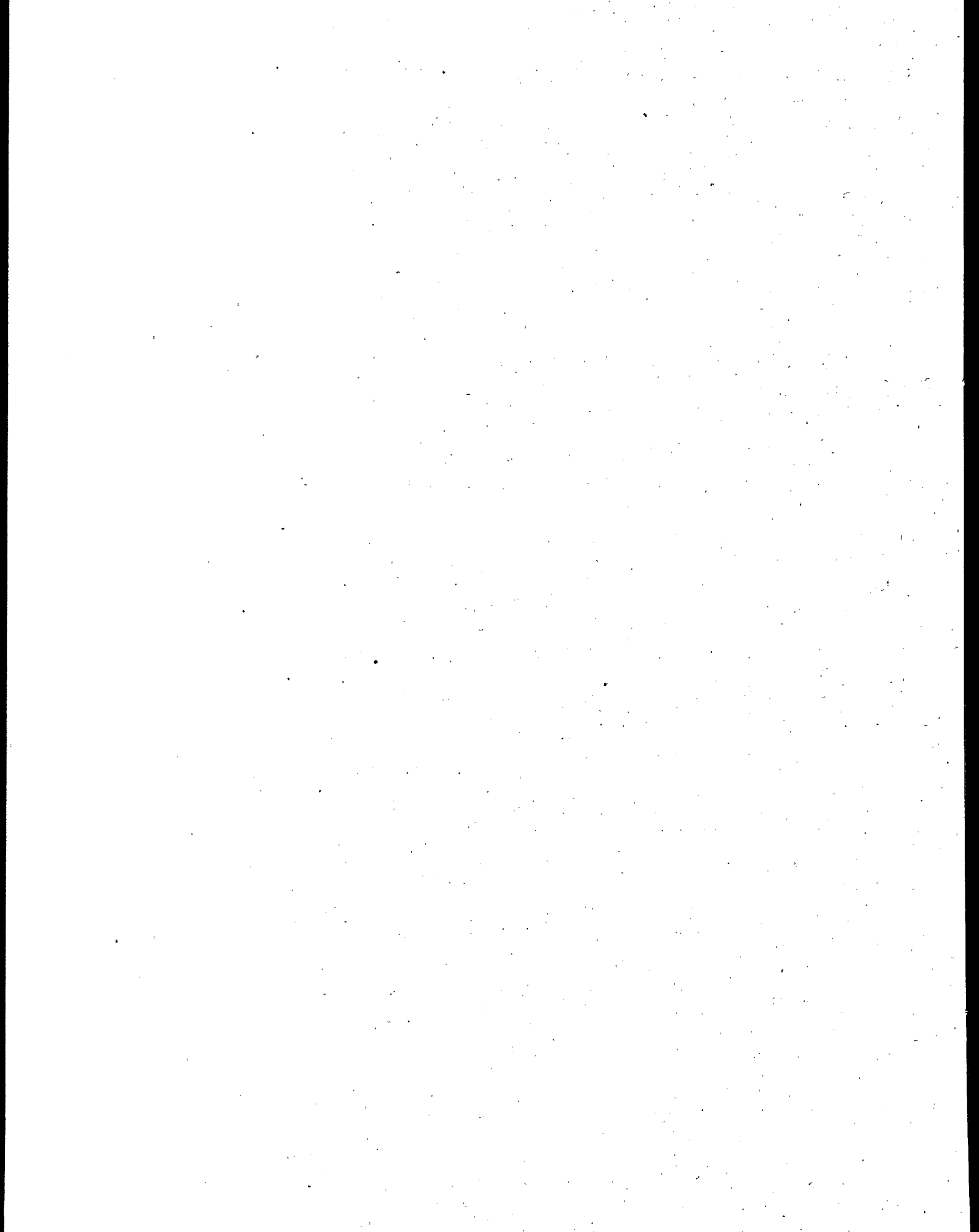
2. The second part of the document focuses on the implementation of robust risk management strategies. It outlines various risk assessment techniques and provides guidance on how to identify, measure, and mitigate potential risks. The text stresses the need for a proactive approach to risk management to protect the organization's assets and reputation.

3. The third part of the document addresses the importance of effective communication and reporting. It discusses the need for clear and concise communication channels and the role of regular reporting in keeping stakeholders informed. This section also touches upon the importance of data security and the need for strong cybersecurity measures to protect sensitive information.

4. The fourth part of the document discusses the importance of continuous improvement and innovation. It encourages organizations to regularly review their processes and procedures to identify areas for improvement and to embrace new technologies and practices. This section also highlights the importance of fostering a culture of innovation and learning within the organization.

5. The fifth part of the document discusses the importance of ethical conduct and corporate social responsibility. It emphasizes the need for organizations to adhere to high ethical standards and to be transparent in their operations. This section also touches upon the importance of contributing to the community and the environment through various social responsibility initiatives.

## **CHAPTER TWO - ROLES AND RESPONSIBILITIES**



## 1. ROLES AND RESPONSIBILITIES

EPA Headquarters and Regional Offices have roles and responsibilities during both ESF #10-lead and supporting non-ESF #10 lead disaster responses. Within some Regional Offices the division of roles and responsibilities will vary. EPA Headquarters and representative Regional Office roles and responsibilities follow:

### A. Regional Program Office

The Regional Program Office (e.g., Emergency Response Branch) is required to:

- Implement ESF #10 functions at the Regional Operations Center and Disaster Field Office and direct the assignment of EPA resources to disaster response.
- Coordinate with Federal, State and local agencies to identify and establish the response and support requirements.
- Work with State and local agencies, FEMA or OFAs to obtain an MA or tasking (e.g., EFA) for initiating a disaster response action.
- Request the Regional Comptroller Office to obtain reimbursable authority from HQ Budget Division.
- Initiate the request for reimbursable account numbers from CFMC upon receipt of a MA or tasking.
- Initiate the request for reimbursable account number roll-over to bridge fiscal years.
- Track all disaster response costs using the appropriate reimbursable account number for each MA or tasking.
- Initiate the request for IAG tracking number from Regional Grants Management Office for all disaster response related MAs, IAGs or EFAs.
- Inform FEMA or OFA, on a routine basis, of response progress.
- Assemble bills and supporting cost documentation packages on each disaster according to MA or tasking and send to the CFMC.
- Request accounting information and corrections from Regional Finance Office.
- Maintain complete Disaster Case File (MA, EFA, log books, pictures, supporting records, etc.) of a disaster response.
- Request CFMC close-out MA.

### B. Regional Comptroller Office (Financial Management or Budget Office)

The Regional Comptroller Office provides support to the Regional Program Office by:

- Requesting reimbursable authority from HQ Budget Division.

## Chapter 2 - Roles and Responsibilities

---

- Maintaining financial records and providing copies of time sheets, travel authorizations, travel vouchers and receipts upon request of Regional program office for inclusion in cost documentation packages and reports.
- Providing financial reports upon request of Regional program office for inclusion in cost documentation packages and reports.
- Reconciling MA costs to EPA's Integrated Financial Management System (IFMS).
- Making accounting adjustments in IFMS as necessary to support the billing for reimbursement.

### **C. Regional Grants Management Office (GMO)**

The Regional Grants Management Office provides support to the Regional Program Office by:

- Assigning IAG tracking numbers to disaster response related MAs, IAGs, or EFAs.
- Performing expedited legal and administrative reviews of disaster response MAs, IAGs, or EFAs.
- Tracking MAs, IAGs or EFAs in the Grants Information Control System (GICS).
- Distributing MAs, IAGs or EFAs to appropriate Regional Office components and OFAs.

### **D. Office of Solid Waste and Emergency Response, Chemical Emergency Preparedness and Prevention Office (CEPPO)**

CEPPO will:

- Coordinate and participate with FEMA HQ on national FRP issues and EPA HQ MAs (i.e., Lead Emergency Support Team ESF #10 representative).
- Serve as National ESF #10 Chair (CEPPO Director).
- Serve as National ESF #10 Lead Planner (Deputy Emergency Coordinator).
- Approve guidance and policy relating to disaster response activities.

### **E. Office of Solid Waste and Emergency Response, Office of Emergency and Remedial Response (OERR)**

OERR will:

- Provide information management and response program coordination to support Regional implementation of ESF #10.
- Provide technical support to EPA Regional emergency response personnel.



## Chapter 2 - Roles and Responsibilities

- Provide review of guidance and policy relating to disaster response activities for consistency with emergency response program guidance and policies.
- Lead and/or participate on specific FRP and EPA workgroups.
- Staff FEMA Emergency Support Team (EST) as appropriate.

### **F. Office of the Comptroller, Cincinnati Financial Management Center (CFMC)**

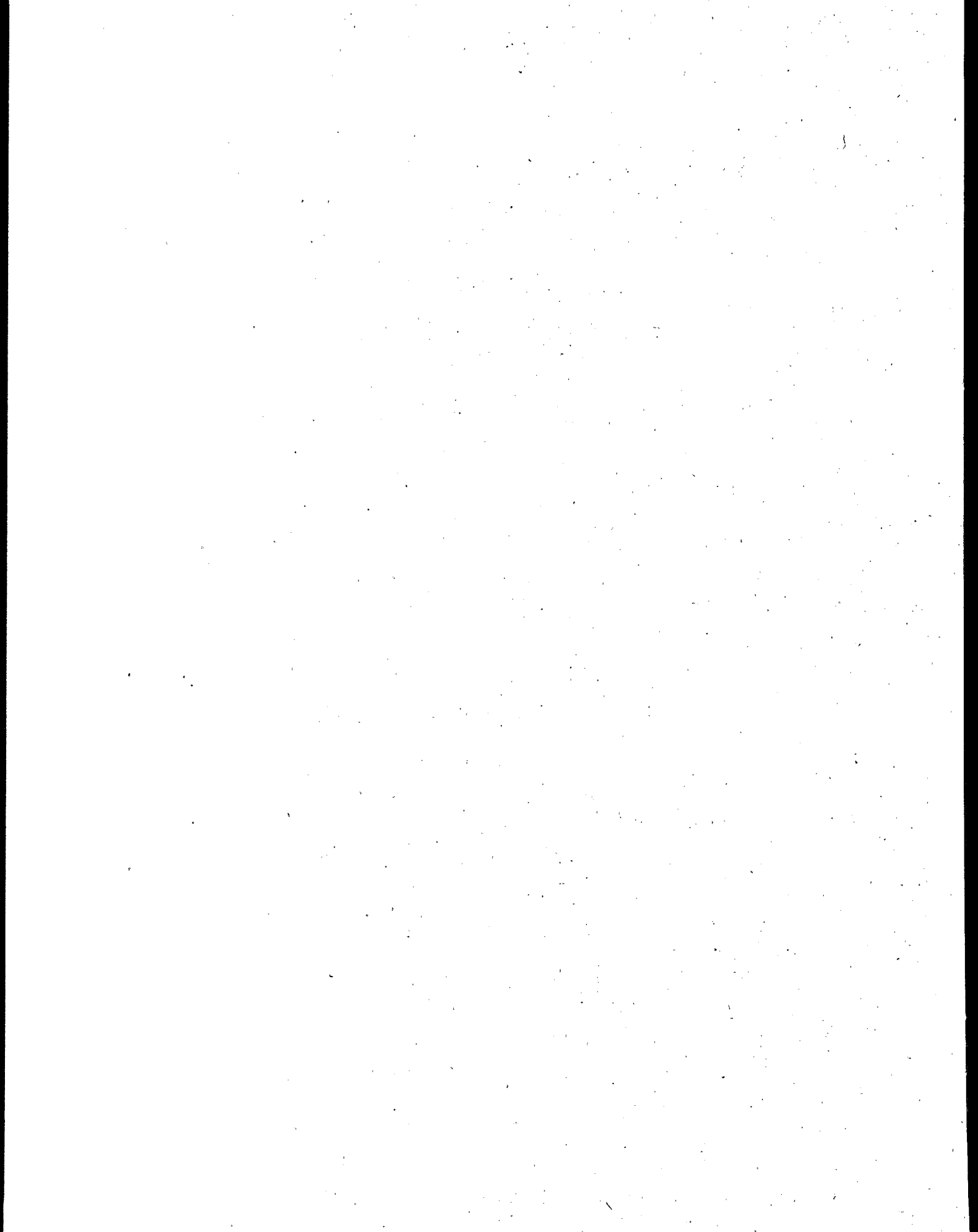
The Cincinnati Financial Management Center will:

- Issue MA-specific reimbursable account numbers.
- When requested by a Regional program office, insure that reimbursable account number is rolled over to bridge fiscal years.
- Perform reconciliations on bills and supporting cost documentation packages and ensure proper cost documentation is provided to FEMA or OFA for reimbursement.
- Request changes and corrections to cost documentation packages.
- Initiate and process reimbursement from FEMA or OFA via U.S. Treasury's On-line Payment and Collection System (OPAC).
- Retain final cost documentation package used for billing and reimbursement, with supporting documentation of reconciliations and corrections.
- Provide information to Regional and HQ personnel on disaster response and MA financial management status and close-out.
- Review and comment on disaster response financial policies and procedures.

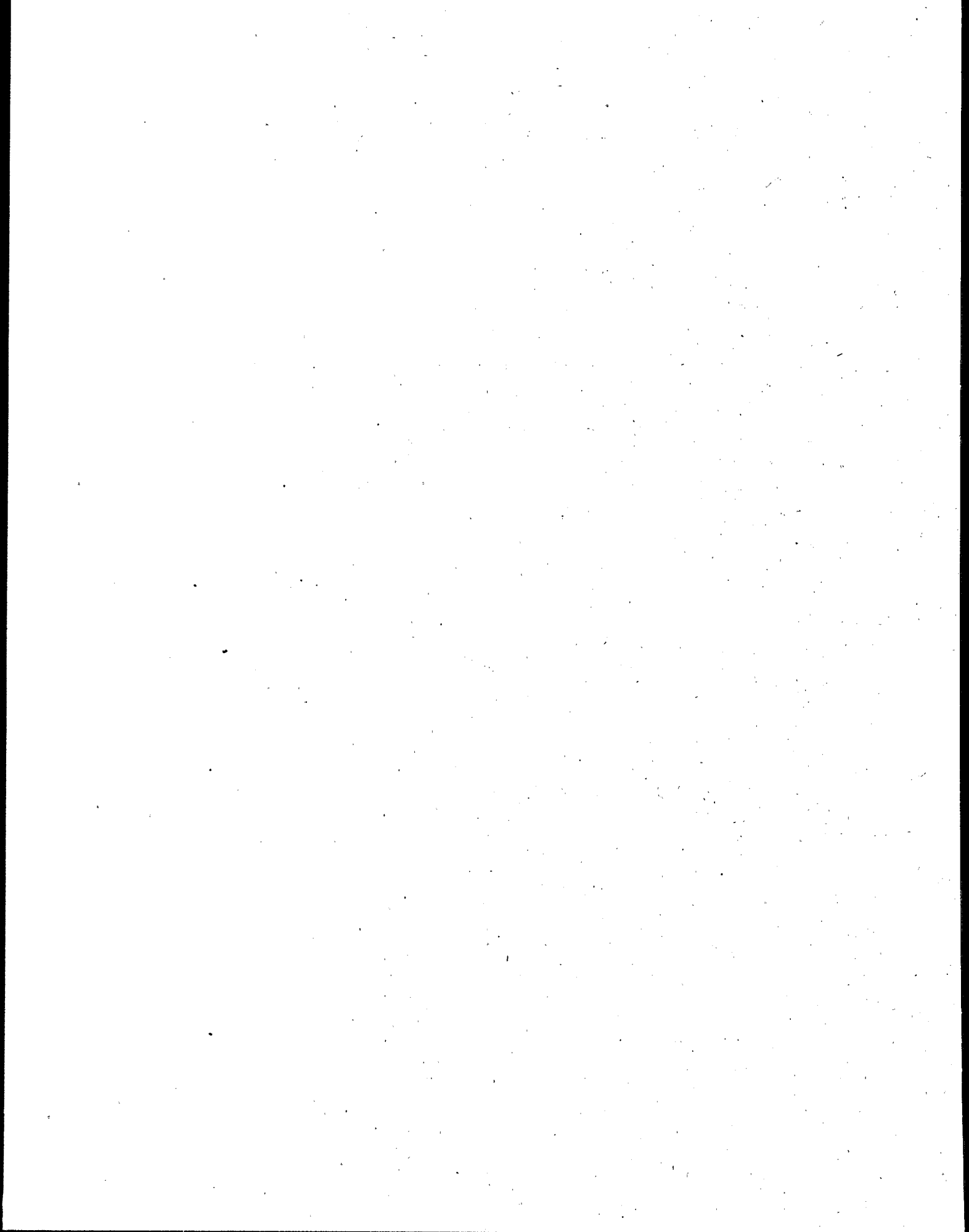
### **G. Office of the Comptroller, Budget Division (BD)**

The Budget Division will:

- Request reimbursable authority for disaster response from Office of Management and Budget (OMB) on an annual basis and insure that sufficient authority is available.
- Issue reimbursable authority in Regional operating plans upon receipt of a MA from the Regional Office.
- Reissue Regional reimbursable authority to bridge fiscal years when appropriate.



**CHAPTER THREE - ESF #10-LEAD DISASTER RESPONSE AS A PRIMARY  
AGENCY**



## 1. MISSION ASSIGNMENT LIFE-CYCLE

The following MA life-cycle phases and procedures are structured with the objective of providing timely funding and billing, and complete supporting cost documentation. If experience indicates a need for change, the procedures will be modified to meet the Federal response objectives. The procedures apply to MAs funding ESF #10-lead Stafford Act disaster responses. Procedures for non-ESF #10-lead responses (i.e., when EPA supports other ESFs) will differ slightly (See Chapter 4):

Pre-Response Costs. FEMA may issue a MA or authorize pre-deployment activities prior to issuance of a response MA. EPA may then incur pre-disaster response costs. In such cases, EPA will certify to FEMA that those pre-response costs are necessary and appropriate to the disaster response and in the government's best interests. Pre-disaster costs are only for planning and pre-positioning resources and must be charged to the appropriate MA-specific EPA reimbursable account number. If EPA performs pre-response activities under its own authorities (e.g., CERCLA, OPA) EPA should seek reimbursement from FEMA through the billing process using supporting cost documentation. If the bill is disputed CFMC may have to send the bill to the FEMA Chief Financial Officer for resolution (See "Resolution of Reimbursement Disputes," Financial Management Annex, FRP).

Headquarters Response Coordination Costs. The initial MA issued by FEMA is for staffing the FRP response coordination structure [HQ EST, Regional Operations Center, Emergency Response Team, etc.]. Since both HQ and Regional activities are issued on one MA, HQ is authorized to charge actual costs to cover staffing of the EST and Emergency Operations Center (EOC) costs. CFMC will issue the reimbursable account number to the Region, and HQ will charge against that account number after consulting with the Region.

### A. Origination Phase

1. The FEMA Regional Office in cooperation with an EPA Regional Office and the State, will develop the MA's cost estimate, budget, scope of work and special condition information. The FEMA MA identification (MAID) number will link the FEMA and EPA records and tracking systems. However, EPA will assign its own IAG tracking number and reimbursable account number to the MA.
2. FEMA will prepare the MA and forward it to the EPA ESF #10 Regional Chair or designee.
3. The ESF #10 Regional Chair or designee will send copies to the Regional Office of the Comptroller (OC) and request reimbursable authority; the CFMC and request a reimbursable account number; and to the Regional Grants Management Office (GMO) and request an IAG tracking number and an expedited legal and

administrative review. Copies are also sent to CEPPPO and to the appropriate OERR Regional Center.

4. CFMC will issue a MA-specific reimbursable account number to the Region for each MA received.
5. GMO will assign an IAG tracking number and perform an expedited legal and administrative review. Because of the need to avoid disaster response delays, this step should occur within one workday or less; or it may take place after the response has begun. The IAG number will permit the GMO to track each MA in GICS.

**B. Execution Phase**

1. Initial Report

Within 24 hours following initiation of a MA, the EPA ESF #10 Regional Chair will provide FEMA with information on the disaster and with a cost estimate for both pre-disaster and response activities.

2. Disaster Case File

The EPA ESF #10 Regional Chair will maintain the region's disaster case file. For each EPA disaster response the case file contains documentation of all EPA resources used and financial transactions associated with the disaster and taskings of OFAs for ESF #10 support.

3. Reimbursable Expenditures

As the disaster response occurs, EPA will charge eligible costs to the MA-specific reimbursable account number. Those costs will be billed to FEMA.

4. Prior Notification of Costs/MA Amendments

The EPA ESF #10 Regional Chair should notify FEMA before EPA incurs costs in excess of 80% of the total budget amount for any MA in anticipation of a need for additional funds. In such cases, FEMA and EPA will negotiate the need for an amendment to the MA for increased funding.

5. Equipment

Equipment may be purchased as part of an ESF #10 response. In such cases the following procedures should be followed:

- A. Purchase of equipment costing over \$5,000 per item or of a "sensitive" nature to support a response will be recorded separately in EPA's property management system and the cost documentation records placed in the case file. Sensitive items

include microcomputers, pagers, cellular phones, TVS, microwaves and other appliances.

- B. Replacement of items in the National Strike Force (NSF) inventory will be subject to the NSF CERCLA inventory controls.
- C. Replacement of EPA equipment or assets is an Agency reimbursement and should not be accounted for as FEMA property. Replacement equipment should still be recorded in EPA's property management system.
- D. All equipment purchase records and the equipment inventory will be available for audit.

6. Billing

EPA may bill FEMA on a monthly basis as disaster response work progresses. The Regional OC will reconcile and adjust MA costs to IFMS. The ESF #10 Regional Chair or designee will submit the bill and supporting financial reports from IFMS to the CFMC (See Chapter 5). Within 10 days of receipt of each bill from the Region, CFMC will review and submit the bill to:

Disaster Finance Center  
ATTENTION: Mission Assignments  
Federal Emergency Management Agency  
P.O. Box 800  
Berryville, VA 22611

Each bill should be on FEMA's "Mission Assignment Reimbursement Request" form (See Appendix 6) and include: 1) the FEMA assigned MAID number of the MA providing the funding, and 2) a financial report showing a MA-specific breakdown of charges by object class. CFMC will forward the bill to FEMA for review, approval and payment. If requested, CFMC will provide the ESF #10 Regional Chair and FEMA additional cost documentation supporting the costs on the bill.

7. FEMA Review

FEMA will review the billing package and will approve the payment or, if questions arise, contact CFMC for clarification. FEMA will not pay inadequately supported bills, or in the case of the On Line Payment and Collections (OPAC) system if supporting documentation is not received within 22 days of the OPAC transaction FEMA will charge back the amount. FEMA may request a cost documentation package to verify costs claimed. A sample format of a cost documentation package is included as Appendix 7.

**C. Close-Out**

1. Final Bill to FEMA

Within 30 days following the disaster response completion date (i.e., 30 days after EPA receives last contractor invoice or OFA bill) the ESF #10 Regional Chair will submit the final bill to CFMC and request close-out. CFMC will then review and submit the final bill to FEMA.

2. Extension of Close-out Period

If after one year from the date of disaster declaration the Region needs additional time to complete the remaining work, the ESF #10 Regional Chair will need to negotiate for more time in consultation with CFMC and DFC, FEMA.

3. Reimbursement

Upon receipt of EPA's final bill for a disaster, FEMA will initiate final reimbursement to EPA and close-out the MA.

4. Property Disposition

EPA will consult with FEMA prior to disposition of property costing over \$5,000 per item or of a "sensitive" nature acquired under the MA to assure that the disposition method properly reflects Federal policies.

5. CFMC

During the final MA close-out phase, CFMC performs the following:

- A. Verifies that CFMC has billed FEMA and received final payment.
- B. Records receipt of reimbursement in the CFMC MA Tracking Report and IFMS.
- C. Notifies ESF #10 Regional Chair and GMO that final payment was received and MA closed out, with copies to CEPPO and the appropriate OERR Regional Center.

**2. REPORTING REQUIREMENTS**

A. Disaster Reports

The EPA ESF #10 Regional Chair should provide disaster reports to FEMA as requested, on the overall disaster response progress and cost information. The report may be provided initially on a daily basis, eventually down to weekly as appropriate to the disaster response. The reports may take the form of POLREPs or SITREPs.



## Chapter 3 - ESF #10-Lead Disaster Response as a Primary Agency

After completion of each disaster response, the EPA may hold a disaster response follow-up meeting, if appropriate, to capture significant lessons learned. The ESF #10 Regional Chair should forward a final report on the EPA follow-up meeting to FEMA for inclusion in FEMA's disaster case file.

### B. Quarterly and End of Fiscal Year Response Progress Reports

Each EPA ESF #10 Regional Chair will submit quarterly MA summary response progress reports to FEMA showing obligations by each MA, balance remaining, and summary of activities. Reports will be cumulative by MA and the fourth quarterly report of the year will be the final report for the fiscal year and should include a list of funded disasters showing open/closed status and whether further expenditures will occur. Copies will be sent to CFMC, CEPO and the appropriate OERR Regional Center.

### C. Mission Assignment-Specific Cost Report

A detailed MA-specific financial report for each MA will be provided by the ESF #10 Regional Chair to FEMA with each quarterly report. Each MA-specific financial report will detail costs by the elements which constitute the budget categories appearing on FEMA's "Mission Assignment Reimbursement Request" form (See Appendix 6) and all items of equipment purchased costing over \$5,000 or of a "sensitive" nature. Sensitive items include microcomputers, pagers, cellular phones, TVs, microwaves and other appliances.

### D. CFMC MA Tracking Report

#### a. Documentation

The CFMC MA Tracking Report provides a synopsis of all MAs and taskings (i.e., EFAs) for a given disaster. It is a standard report format which includes the disaster number, other agency, date assigned, and funding limitations per tasking, per mission assignment, per agency, and per disaster.

#### b. Applicability

The MA Tracking Report is the running tally sheet and the "checkbook" for all MAs and taskings for the disaster response.

### E. CFMC Fiscal Year Financial Status Report

CFMC will submit to FEMA, within 60 days after the fiscal year ends, the fiscal year MA financial status report. That report will serve as an annual report to FEMA and include:

1. A list of MAs funded, showing the FEMA MAID number and total cost incurred for each disaster.

2. A summary of each MAs expenditures by budget object class and the balance of funds remaining.

### 3. FINANCIAL MANAGEMENT OF MISSION ASSIGNMENTS

This section elaborates on elements introduced in "MA Life-Cycle."

During an ESF #10 activation EPA will receive MAs from FEMA. EPA will usually utilize contractors and OFAs to implement the MAs. EPA requires the use of an authorized Agency agreement to transfer goods and services and related funds between EPA and OFAs. During disasters EPA will task OFAs for goods and services with an IAG or an Emergency Funding Authorization (EFA) form (See Appendix 5). Also, EPA will strive to receive or disburse funds in a timely manner. EPA will seek reimbursement from FEMA. When EPA requests reimbursement from FEMA, EPA will do so in a timely manner. EPA will make every effort to charge appropriate disaster response costs to the Agency reimbursable account number provided for each MA.

#### A. Types of Costs

As with EPA's emergency response costs under CERCLA and OPA, EPA will incur both extramural and intramural costs during disaster responses.

##### 1. Extramural Costs

These include:

- a) all support and cleanup contractor costs, including but not limited to START, REAC, and ERRS; and
- b) response costs for OFA support if funded through an IAG or EFA. Examples of OFA costs include: U.S. Coast Guard Strike Team; U.S. Navy Supervisor of Salvage; and General Services Administration, Department of Health and Human Services and U. S. Army Corps of Engineers support activities.

##### 2. Intramural Costs

These include total EPA direct and indirect costs. Eligible direct costs for EPA include: EPA salary costs for temporary personnel assigned to work directly on MA tasks, overtime and travel for all employees, equipment usage and miscellaneous supplies. Indirect costs are those costs that are necessary to support the disaster response efforts, but may not be directly attributable to the efforts for any one disaster. In general, indirect costs are estimated using an

established indirect cost rate multiplier. However, since no indirect cost rate has been established yet for disaster responses, Regions should not include any indirect costs until an indirect rate has been determined by EPA Headquarters.

**B. Obtaining Mission Assignment-Specific EPA Reimbursable Account Numbers**

After obtaining an MA, the ESF #10 Regional Chair or designee must contact both the Regional Comptroller Office to obtain reimbursable authority from the HQ Budget Division (HQ BD), and the CFMC to obtain a MA-specific EPA reimbursable account number. CFMC will issue a reimbursable account number for each MA under a disaster. All costs associated with each MA must be tracked separately and documented properly. The appropriate EPA MA-specific account number is used on all funding documents (e.g., EFAs, IAGs, Procurement Requests, Delivery Orders, Technical Direction Documents, etc.) and on travel authorizations and time sheets, etc. This procedure will permit EPA to track costs by each MA linked to each disaster.

If the disaster response activities cross over from one fiscal year to the next, at the ESF #10 Regional Chair's request, CFMC will insure that the reimbursable account number is rolled over to bridge both fiscal years after reimbursable authority has been issued by the HQ BD for the new fiscal year. That way the region can continue to make charges to the reimbursable account number without interruption.

**C. Bills and Supporting Cost Documentation**

Regional program offices must submit bills and supporting financial reports of disaster response costs to CFMC (See Chapter 5). Each billing package should be forwarded to:

USEPA  
Cincinnati Financial Management Center  
Cincinnati, Ohio 45268.

Phone: (513) 366-2080

CFMC will reconcile the billing package for final costs and either forward the package to FEMA for reimbursement or return the package to the Region for corrections. The billing package should include financial reports detailing all eligible costs by object class and may include a cost summary (See Appendix 7, page 1). The bill and supporting financial reports should classify costs by object class category. The region will maintain supporting documentation: copies of all time sheets, travel authorizations, travel vouchers and receipts, contractor invoices, contractor (e.g., START) cost letter reports, and any other supporting documentation for charges related to the response which have been charged to

the reimbursable account number. FEMA may request a Cost Documentation Package to verify costs claimed. A sample format of a Cost Documentation Package is included as Appendix 7.

#### **4. TASKING SUPPORT FROM OTHER FEDERAL AGENCIES**

Within two hours of notification the national-level ESF #10 is operational. Then the ESF #10 National Chair will notify support agencies of activation. Support agencies are those Federal departments or agencies designated to assist the primary (lead) agency with available resources, capabilities, or expertise in support of ESF response operations. Each support agency will provide representatives to support both the national and Regional ESF. Each of the Federal support agencies has duties established by statute, executive order, or Presidential directive which may be relevant to Federal response actions following a release of a hazardous material. During the planning or implementation of a response, the support agencies should be prepared to provide assistance in their respective areas of expertise. The assistance provided by each agency is consistent with its capability and legal authority.

A tasking is a directive issued by EPA to an OFA to obtain specific support under an MA. The tasking will include an explicit description of assistance to be provided, completion date, and funding limitations. The authority for EPA to task and reimburse an OFA will typically be under the Economy Act and the Stafford Act. NOTE: Throughout this guidance, references to "MAs" encompass "taskings," as a tasking is merely one specific activity under an MA. Tasking preparation should consider:

a. Documentation.

Taskings are in writing, or confirmed in writing as soon as is possible when made orally and are documented on an EFA (See Appendix 5).

b. Applicability.

Taskings are issued to establish a specific requirement for an activity to be performed by an OFA to support an ESF #10 response under an MA.

c. Tasking Language.

Tasking language must be as specific as possible to protect the interests of both agencies signatory to the tasking EFA.

Examples of taskings are:

- 1) Task US Coast Guard (USCG) to provide river assessment support (e.g., boats, personnel)
- 2) Task US Army Corps of Engineers (USACE) for heavy equipment and operators to build a dam around a lagoon.

## 5. UTILIZATION OF RESOURCES FROM OTHER REGIONS OR HEADQUARTERS

If an EPA Region's disaster response requires the use of resources from more than one Regional Office or Headquarters, the ESF #10 Regional Chair is responsible for coordinating those response resources and collecting all cost records, consolidating and verifying them; and sending the consolidated bill to CFMC for submission to FEMA. Usually, FEMA Regional Offices issue individual MAs to the corresponding EPA Regional Offices.

If after consultations are held, other Regional Offices and/or Headquarters wish to charge a region's reimbursable account number, they must contact that region to obtain the number and inform the ESF #10 Regional Chair of the type and amount of charges. Within 15 days following disaster response completion date (i.e., 30 days after EPA receives last contractor invoice or OFA bill) the other regions and/or Headquarters personnel must send that region all appropriate cost documentation supporting those charges or negotiate for additional time.

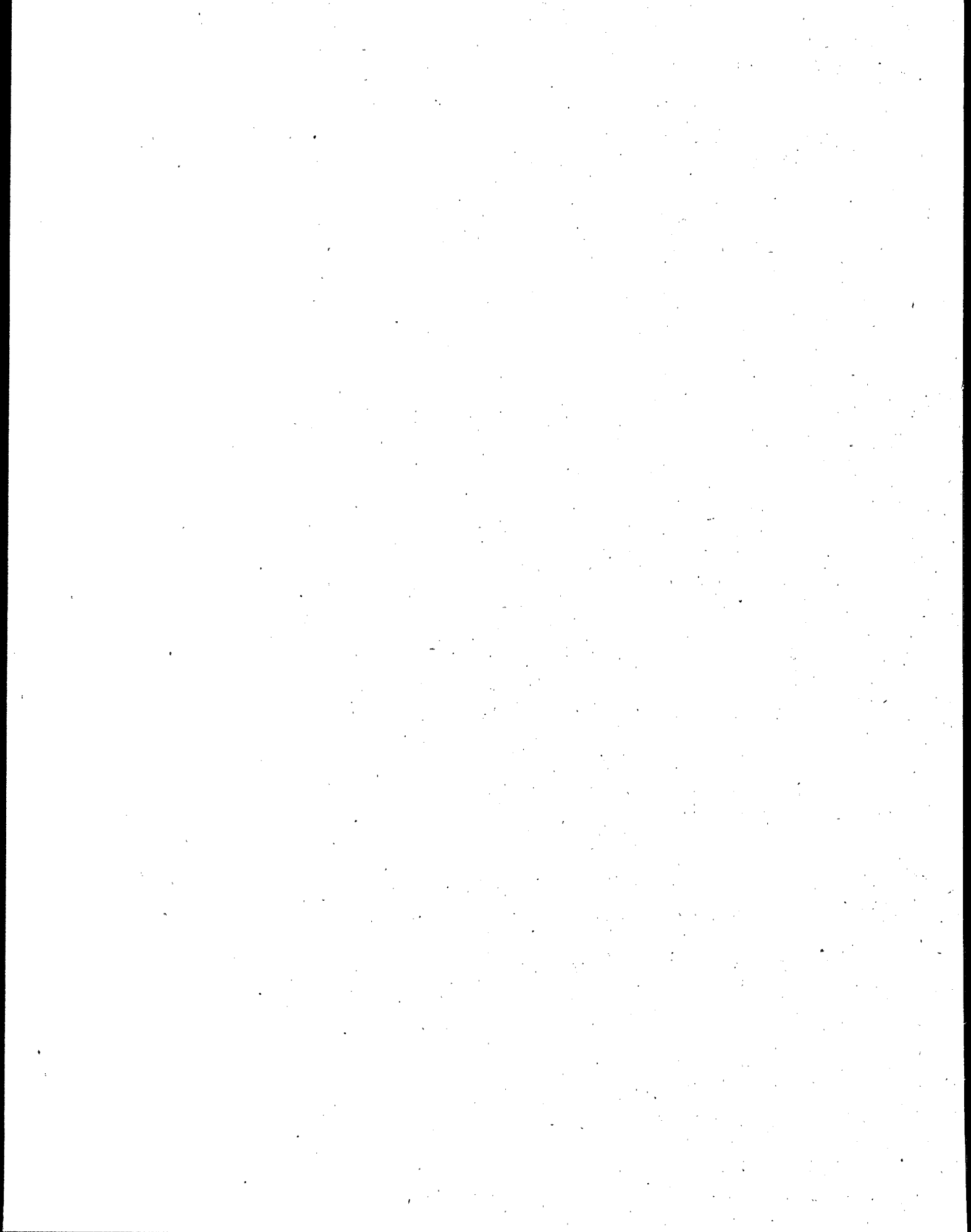
## 6. DETAILING OF PERSONNEL

Before EPA personnel can be detailed under a MA for a period of more than 30 days, a Request for Personnel Action (SF52) and a Notice of Personnel Action (SF50) must be prepared and approved. The case file, and all MA bills and supporting cost documentation packages involving personnel details must contain an SF52 and SF50.

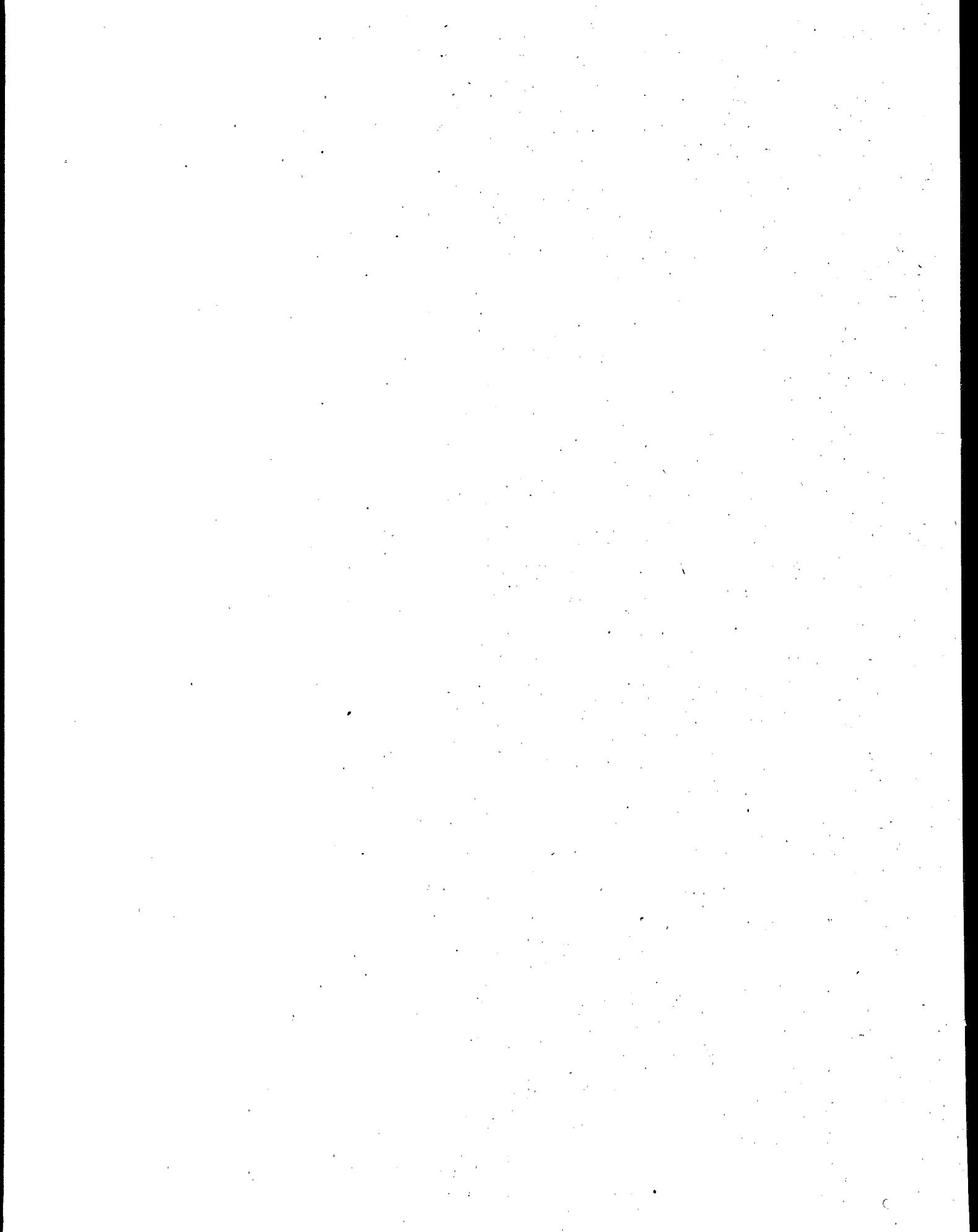
Details to OFAs must be made on a reimbursable basis, unless the requesting program office can justify that the detail meets the following criteria:

- 1) The employee will be performing functions that are EPA-related and his/her services will aid in accomplishing the purpose for which the EPA appropriation was established; or
- 2) The detail will have a negligible fiscal impact on EPA's appropriation.

Questions concerning personnel details, or assignments, between EPA offices or between EPA and OFA's should be directed to the servicing personnel office.



**CHAPTER FOUR - NON-ESF #10-LEAD DISASTER RESPONSE AS A SUPPORT  
AGENCY**





**1. FINANCIAL MANAGEMENT OF TASKINGS FROM OTHER FEDERAL AGENCIES**

This section elaborates on elements introduced in "MA Life-Cycle" (See Chapter 3). During a non-ESF #10 activation, EPA may receive taskings from OFAs to support non-ESF #10 lead disaster responses. EPA requires the use of an executed EPA/OFA agreement authorizing the transfer of support goods and services from EPA to OFAs. During disasters EPA will provide support goods and services to an OFA using an IAG or, if the OFA agrees, EPA may use an Emergency Funding Authorization (EFA) form (See Appendix 5). EPA will make every effort to seek reimbursement from the OFA. When EPA does request reimbursement from the OFA, EPA will do so in a timely manner.

The OFA will initiate the tasking after coordinating with the EPA ESF #10 Regional Chair. EPA must get the OFA's funding document with accounting information, and complete either an EPA IAG or EFA form and attach it to the OFA's documentation. The ESF #10 Regional Chair or designee must contact both the Regional Comptroller Office to obtain reimbursable authority from the HQ BD and the CFMC to obtain the EPA reimbursable account number. The ESF #10 Regional Chair must then complete, sign, and submit the tasking package to the Regional Action Official for signature and then forward it to the GMO. The GMO will assign an IAG tracking number, and perform an expedited legal and administrative review. Because of the need to avoid disaster response delays, this GMO step should occur within one workday or less - or may take place after the response has begun.

**A. Types of Costs**

As with ESF #10-lead response costs, EPA will incur both extramural and intramural costs when providing disaster response support to non-ESF #10 activities.

**1. Extramural Costs**

These include:

- a) all support and cleanup contractor costs, including but not limited to START, REAC, and ERRS; and
- b) response costs for OFA support funded through an IAG or EFA.

**2. Intramural Costs**

These include total EPA direct and indirect costs. Eligible direct costs for EPA include appropriate EPA salary costs for work directly associated with providing support to OFAs, overtime, travel, and equipment usage. Indirect costs are those costs that are

necessary to support disaster response efforts, but may not be directly attributable to the efforts for any one disaster. In general, indirect costs are estimated using an established indirect cost rate multiplier. However, since no indirect cost rate has been established yet for disaster responses, Regions should not charge any indirect costs until an indirect rate has been determined by EPA Headquarters.

**B. Obtaining Mission Assignment-Specific EPA Reimbursable Account Numbers**

The ESF #10 Regional Chair must contact the CFMC to obtain a MA-specific EPA reimbursable account number and to insure that reimbursable authority has been issued. CFMC will issue a reimbursable sub-account number for each tasking under the disaster. All costs associated with each disaster response must be tracked MA-specifically and documented properly. The appropriate EPA MA-specific account number is used on all extramural funding documents (e.g., EFAs, IAGs, Procurement Requests, Delivery Orders, Technical Direction Documents, etc.) and on travel authorizations and time sheets, etc. This procedure will permit EPA to track costs by each disaster and by each support tasking linked to each disaster.

**C. Bills and Supporting Cost Documentation**

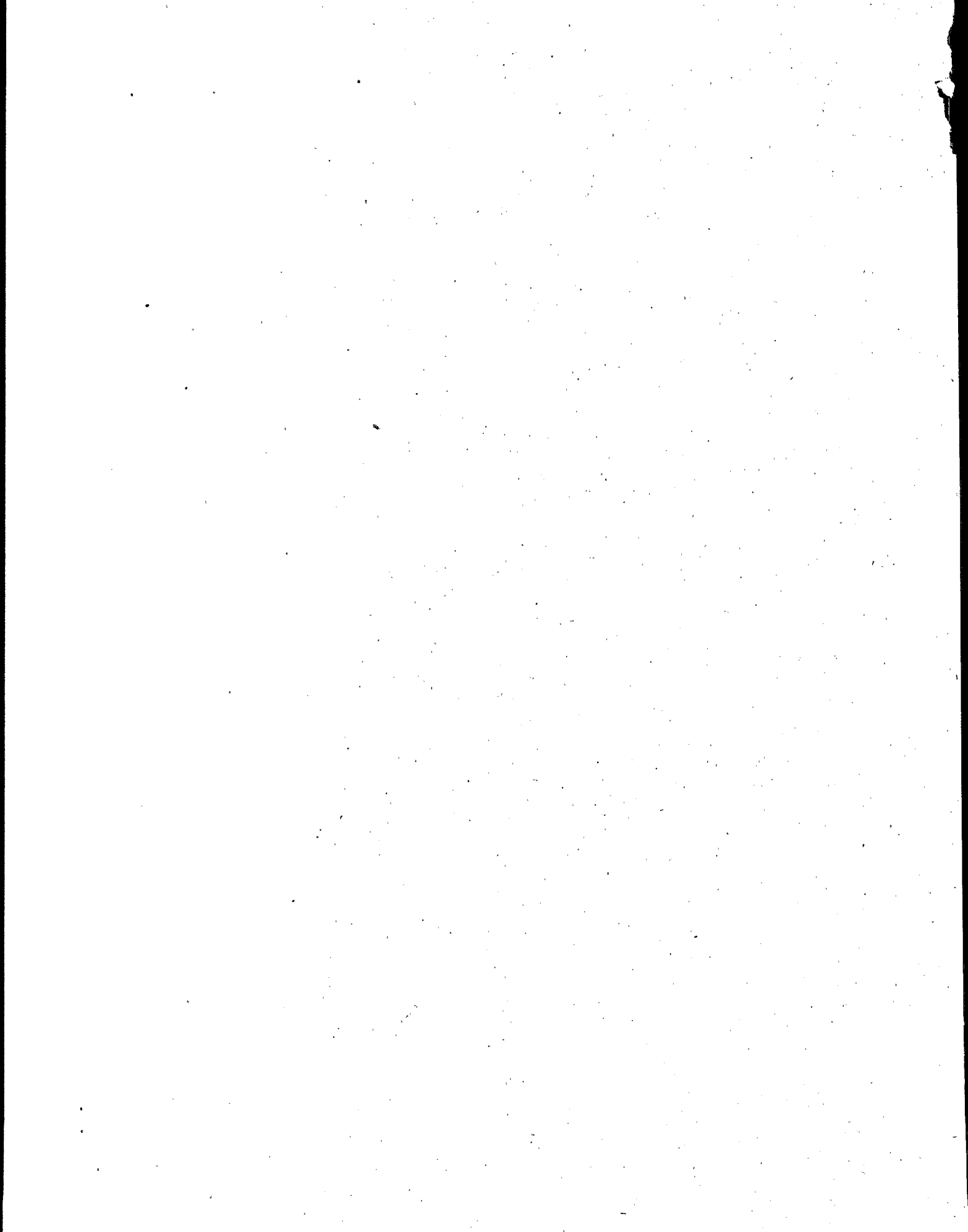
Regional program offices must prepare, reconcile and submit bills and supporting financial reports of disaster response costs to CFMC (See Chapter 5). Each billing package should be forwarded to:

USEPA  
Cincinnati Financial Management Center  
Cincinnati, Ohio 45268.

Phone: (513) 366-2080

CFMC will reconcile the billing package for final costs and either forward the package to the OFA for reimbursement or return the package to the Region for corrections. The billing package should include financial reports detailing all eligible costs by object class and may include a cost summary (See Appendix 7, page 1). The bill and supporting financial reports should classify costs by object class category. The region will maintain supporting documentation: copies of all time sheets, travel authorizations, travel vouchers and receipts, contractor invoices, TAT/START cost letter reports, and any other supporting documentation for charges related to the response which have been charged to the reimbursable account number. The OFA may request a Cost Documentation Package to verify costs claimed. A sample format of a Cost Documentation Package is included as Appendix 7.

**CHAPTER FIVE - COST DOCUMENTATION SUPPORTING BILLS TO FEMA OR  
OFAs**



**1. COST DOCUMENTATION SUPPORTING BILLS TO FEMA OR OFAs**

The ESF #10 Regional Chair is responsible for assuring the preparation and submission of bills to CFMC and the maintenance of cost documentation supporting disaster response costs. Each bill package should be forwarded to:

USEPA  
Cincinnati Financial Management Center  
Cincinnati, Ohio 45268

Phone: (513) 366-2080

CFMC will reconcile the bill for final costs and either forward the bill to FEMA or an OFA for reimbursement or consult with the Region for additional information. Also, FEMA or an OFA may request a supporting cost documentation package in order to verify billed costs.

Each billing package and the attached financial reports should classify costs by object class category and be supported by cost documentation maintained in the Regional Office. The supporting cost documentation should include copies of all time sheets, travel authorizations, travel vouchers and receipts, contractor invoices, contractor cost reports defining the disaster response costs, and any other supporting documentation for charges related to the response which have been charged to the reimbursable account number. A sample format of a cost documentation package prepared in response to a FEMA request is included as Appendix 7.

The ESF #10 Regional Chair is responsible for creation and maintenance of each MA case file. The case file should contain copies of all bills and supporting cost documentation (See Appendix 2).

**A. Cost Documentation Package Contents**

If FEMA requests a cost documentation package to support a bill, it should contain the following:

Summary Statement of Cost Documentation

The statement should briefly summarize the information included in the cost documentation package. This statement should be signed by the ESF #10 Regional Chair and should certify all disaster costs and provide line item costs for each major cost category (e.g., salary, travel, contractor expenses, etc.). The statement should also provide any explanations necessary and appropriate to explain cost elements or issues that may require clarification such as pre-deployment costs. As appropriate, the following attachments will support each major object class cost category:

EPA Personnel Costs.

This should include a summary of Regional and Headquarters personnel costs identifying the employees' names, hours directly associated with the disaster response, appropriate subtotals, and an overall total indicating reimbursable costs. Copies of the time sheets for all employees participating in the disaster response should also be included. These time sheets must include the MA-specific account number(s), disaster name, and all regular and overtime hours applicable to the disaster. Finally, this section should also include a detailed payroll report for each pay period for all hours applicable to the disaster. These payroll reports may be obtained from the Regional Financial Management Office. To obtain a sample of a standard payroll report, please contact CFMC at 513-366-2080. *(NOTE: Time sheets and payroll reports must be redacted to remove data protected by the Privacy Act, such as social security numbers.)*

EPA Personnel Travel Costs.

Include a summary which indicates employee name, travel authorization (TA) number, dates of travel, employee amount subtotal, and overall disaster total. Documentation must include copies of each TA and liquidated travel vouchers with receipts for MA-specific travel. *(NOTE: TAs and receipts must be redacted to remove data protected by the Privacy Act, such as social security numbers.)*

EPA Contractor Costs.

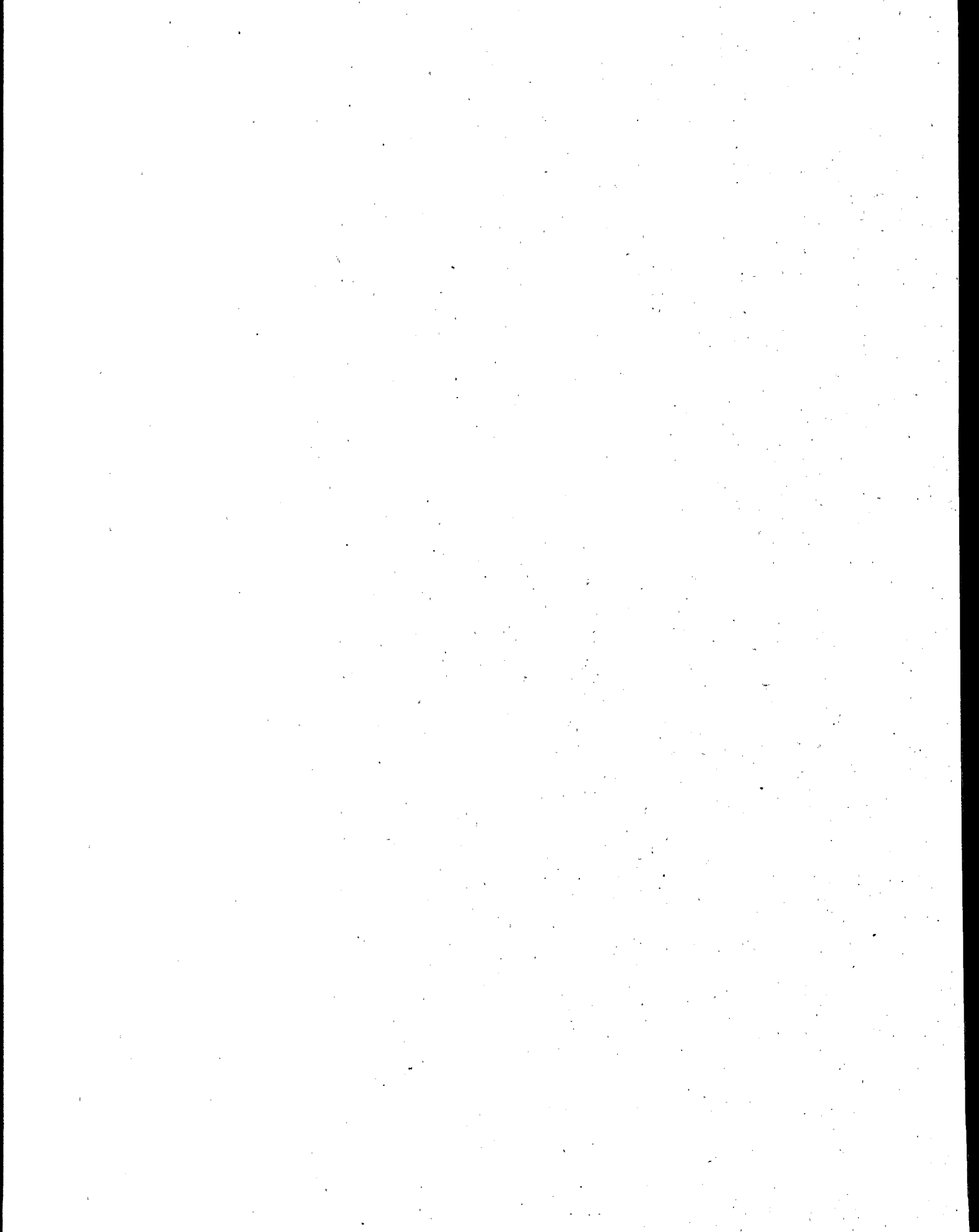
Provide a cover sheet detailing disaster name, the applicable tasking document number(s), date(s) of contractor work performance, labor costs, travel costs, other direct contractor costs, total direct and indirect contractor costs, total contractor hours, number of contractor personnel supporting the tasking documents(s), and a brief description of the contractor activity performed under the tasking document(s). This should also include copies of each tasking document and any amendments for contractor-related response activity. Finally, the ESF #10 Regional Chair or designee should provide copies of all contractor billing statements which enumerate the final cumulative legitimate direct and indirect costs by applicable tasking document number with the applicable line item underlined. *(NOTE: If the cumulative cost totals for any tasking document numbers listed on the billing statement are not the final costs, the contractor cover sheet must clearly state this with an estimate of anticipated additional costs and the date expected to be provided to the Region.)* If there are any adjustments to the actual contractor payment, the cover sheet must state the tasking document number and actual amount paid. Generally, contractor cost reports will fulfill these requirements.

Other EPA Costs.

These costs might include use of EPA vehicles and other government-owned equipment. Documentation for these costs should include a description of the item, unit of use (i.e., per hour or day, etc.), applicable depreciation and expense rates (i.e. a pro-rata share of the cost for the useful life of the item chargeable on a unit basis to the MA), and the total charge. Government-owned equipment utilization should be recorded on a daily basis.

Other Federal Agency Costs.

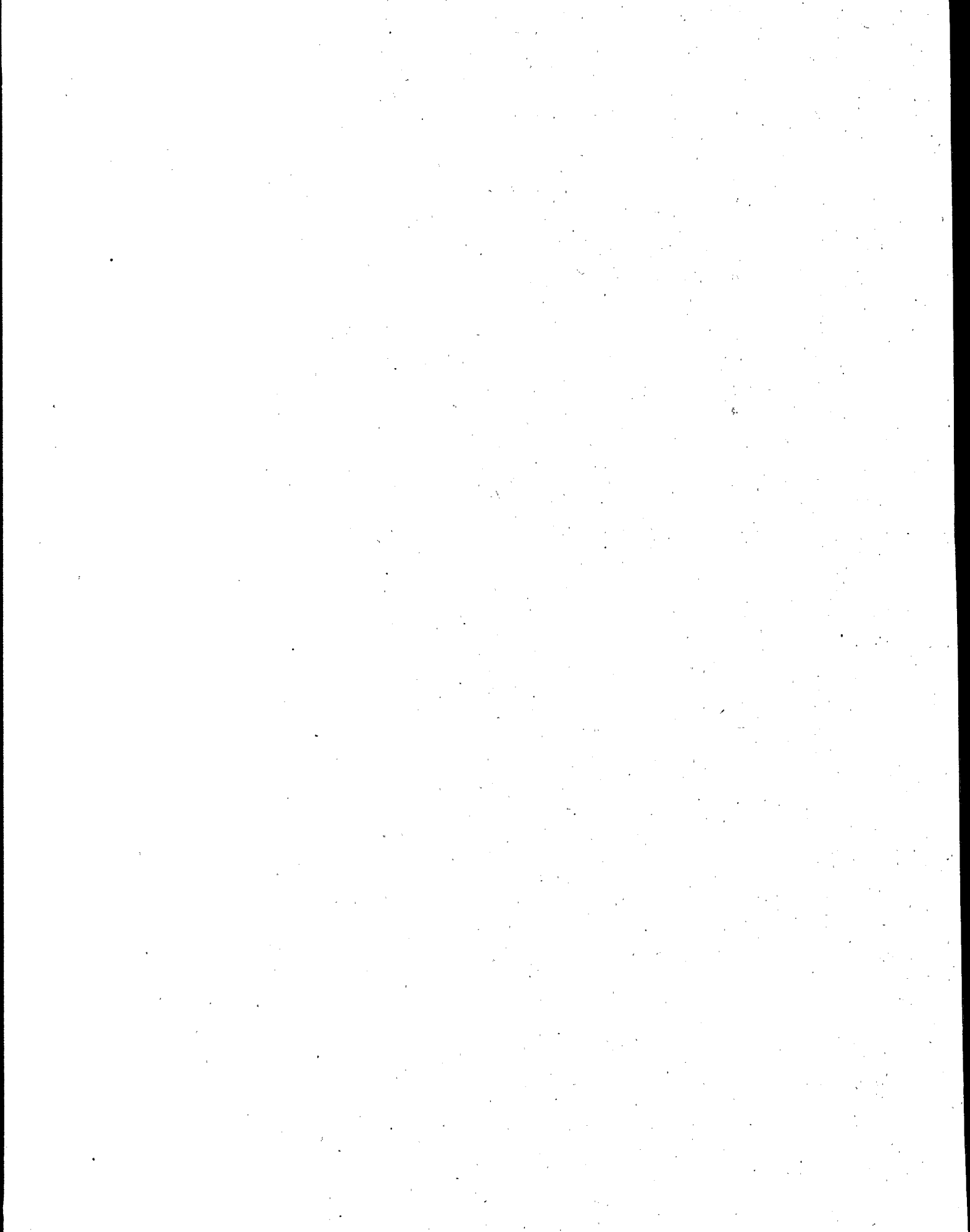
Each Federal agency supporting an ESF #10-lead disaster response under the direction of an EPA Region should document costs in accordance with the requirements specified in the applicable EPA/OFA agreement. Where an EPA/OFA IAG or EFA is utilized, the EPA will reimburse the other agency and FEMA will reimburse EPA. Support agency cost documentation reporting is necessary to enable EPA to support the OFA costs included in the EPA bill to FEMA for a given disaster response.





## APPENDICES

- APPENDIX 1. ADMINISTRATIVE LINKAGES
- A. Audits
  - B. Federal Acquisition Regulation
  - C. Quality Assurance
  - D. Suspension and Debarment
- APPENDIX 2. RECORD KEEPING
- A. Records Management
  - B. Financial and Programmatic Records
- APPENDIX 3. STATUTORY AUTHORITIES
- A. Government-wide Statutory Authorities
  - B. EPA Independent Program Statutory Authorities (Alternative IAG Authorities)
- APPENDIX 4. ACTIVATION LETTER AND REQUEST FOR FEDERAL ASSISTANCE (DRAFT)
- Form  
Instructions
- APPENDIX 5. EMERGENCY FUNDING AUTHORIZATION (DRAFT)
- Form  
Instructions
- APPENDIX 6. MISSION ASSIGNMENT REIMBURSEMENT REQUEST (DRAFT)
- Form  
Instructions
- APPENDIX 7. SAMPLE COST DOCUMENTATION PACKAGE FORMAT



## APPENDIX 1. ADMINISTRATIVE LINKAGES

The purpose of this appendix is to present information about various existing Agency administrative systems which exert control and/or oversight over certain aspects of the MA life-cycle.

### A. Audits

The EPA Office of Inspector General (OIG) considers EPA/other agency agreements (i.e., MAs, EFAs, or IAGs) in the same vein as contracts - that is to say, as instruments the Agency can use to transfer funds to obtain or provide support goods or services. Those agreements should be planned for and managed in the same manner as any other extramural agreement. The ESF #10 Regional Chair or designee has the responsibility to monitor performance to assure compliance with the terms and intent of the agreement, just as they would in case of a contract.

The EPA OIG conducts periodic internal audits of EPA's management of EPA/other agency agreements as part of its overall responsibility. There exists no requirement in either EPA's own guidelines or the Federal government in general, singling out those agreements for special auditing attention. Any questions concerning audits may be directed to the OIG.

#### Audit of ESF #10 Response Support Agreements

The OIG is the proper element of EPA to formally request the OIG of the OFA to audit support cost charges made to the EPA. The ESF #10 Regional Chair may ask the EPA OIG to request the OFA OIG for an audit of that OFA's costs for support of ESF #10 responses. In order for EPA to reimburse the other agency, any cost charged to an agreement must be adequately supported and documented in the books of account of the agency or department providing the service. If, based on an audit by the OFA OIG, the OFA determines that any direct or indirect costs charged to EPA are unallowable, the OFA will immediately notify the EPA and promptly reimburse EPA.

#### Audit of EPA Support to Non-ESF #10 Responses

An OFA OIG may ask the EPA OIG to audit EPA costs for support of non-ESF #10 responses. EPA cost records will be available for audit or verification upon request of the EPA OIG. If, based on an audit by the EPA OIG, the EPA determines that any direct or indirect costs charged to the OFA are unallowable, the EPA will immediately notify the OFA and promptly reimburse it.

### B. Federal Acquisition Regulation (FAR)

Although interagency acquisition under the Economy Act is the only specific subject addressed in the FAR relating directly to the interagency agreement process, there are many more sections which have potential bearing on contracts for support of disaster response. Consequently, when contracting is used as a method of supporting a response, program personnel should refer to FAR for guidance under each topic of concern, and ensure that all terms of a contract funded through

an MA, EFA or IAG are acceptable to both parties. Questions on the policies provided by FAR on acquisition should be directed to the Regional GMO, the Grants Administration Division (GAD) HQ, or the contracting officer servicing the program office as early in the disaster response process as possible. EPA can utilize its contractors to assist with EPA support of non-ESF #10 responses if EPA's goods and services need to be supplemented.

### **C. Quality Assurance**

The EPA will comply with its internal Quality Assurance (QA)/chain of custody policies and procedures in responding to releases of hazardous materials, pollutants and contaminants (e.g., EPA Order 5360.1, "Requirements for the Mandatory Quality Assurance Program"). These policies and procedures address the conduct of operations; personnel protection associated with operations; decision making; identification and disposal of recovered hazardous materials, pollutants, and contaminants; and supporting documentation. The same QA requirements apply to support agencies' contractors, OFAs and States whenever environmentally related sampling or monitoring for EPA occurs. Note: EPA's START, REAC, ERCS and ERRS contracts all have QA provisions.

The EPA utilizes its laboratories as well as commercial laboratories to identify substances involved in pollution incidents. To assure that the information obtained from these laboratories is reliable, the EPA will utilize all available information, including EPA performance data, to evaluate candidate laboratories.

The EPA will assure that the quality of physical, chemical, and biological data developed in the assessment and operational phases of a response is addressed per the NCP and will be addressed as needed in response contracts. However, not all disaster sampling and analysis activities may be covered under the NCP. The EPA QA Order does cover all environmental data collection activities, including extramural agreements (e.g., contracts and assistance agreements). There should be some coordination between the disaster response field teams and the Regional QA Manager responsible for the activity. EPA will include QA clause(s), or other language suitable for use in contractual statements of work and in EPA/other agency agreements (e.g., EFAs or IAGs).

### **D. Suspension and Debarment**

The ESF #10 Regional Chair must be sensitive to assistance and procurement issues that may have relevance to EFAs, IAGs and MAs such as suspension and debarment. The ESF #10 Regional Chair should not award agreements to an individual, firm or organization which has been declared ineligible to participate in a Federally funded activity. Questions concerning this subject should be directed to the Office of Grants and Debarment, EPA HQ[(202) 564-5387]. The General Services Administration, "List of Parties Excluded From Federal Procurement and Nonprocurement Programs" is available on the Internet at: [www.ARNet.gov/epl/](http://www.ARNet.gov/epl/).

## APPENDIX 2. RECORD KEEPING

The EPA will make every effort to recover disaster response costs from FEMA and OFAs, including investigatory, cleanup, enforcement and administrative costs. The EPA intends to bill for all such costs which are directly related to the disaster response.

The EPA will follow the financial management and record keeping guidelines contained in this guidance. Consistent with this, the ESF #10 Regional Chair will create a case file for each MA funded. The case file will contain a complete set of cost records. However, the following requirements apply to both Regional and HQ records:

### A. Records Management

The EPA records for disaster response activities will meet the following criteria:

1. Consistent Filing Protocol:

The EPA will maintain consistent records showing uses of Stafford Act funds. The EPA will use its own filing protocols.

2. Timely Response to Cost Documentation Requests:

The EPA will provide these records to the FEMA and OFAs upon request within 30 days, unless otherwise agreed.

3. Financial Records Retained:

The EPA will retain records on the following:

A. Direct Costs:

Standard Personnel Costs (Including Fringe Benefits)  
Travel  
Extramural (e.g., contractor)  
Materials and Supplies  
Equipment  
Construction

B. Indirect Costs

C. MA/EFA/IAG Documents

4. Reconciliation:

Periodically the Regional Financial Management Offices and CFMC will reconcile cost records with data produced by EPA's accounting system.

5. Storage Media & Record Safety:

EPA records will be located in the offices where they are used or other areas as secure as possible from fire, water and other damage. Similar provision will be made for safe long-term storage of inactive records.

6. Imaged Documents:

Use of imaged documents for cost records, billing, and all audit resolution is acceptable under the following conditions:

- A. The imaging system is used in the normal course of business.
- B. The EPA can certify the accuracy of the system.

7. Record Retention:

Records must be accessible to duly authorized representatives of EPA, FEMA and the U.S. Comptroller General for the purpose of making audits, excerpts, and transcripts, for a period of 6 years and 3 months from the date of submission of the final bill, or for appropriate periods as set by National Archives-Records Administration (NARA) standards for government records retention. Under NARA, the retention period for records such as transportation, payroll, and procurement will vary. FEMA requests that the RFA be maintained with bill records to show FEMA's authorization of work performed under each MA. If legal action regarding a disaster is initiated within the retention period, records will be retained until the conclusion of legal action.

**B. Financial and Programmatic Records**

The EPA Regional Office financial and program management offices will maintain their appropriate disaster response records. Those records will include, when applicable:

1. Financial Records

- MA/EFA/IAG forms executed by both agencies.
- Invoices and payment records.

- Close-out documentation, if different from above.

2. Program Records

- Record of discussions and contacts and the resulting decisions.
- MA/EFA/IAG forms executed by both agencies.
- Reports
- Invoices and payment records.
- Close-out documentation, if different from above.

3. Regional Disaster Case File

When EPA conducts disaster response activities under the FRP, the ESF #10 Regional Chair in the appropriate region(s) should maintain the Regional disaster case file(s). The case file contains information on determining and conducting disaster response activities and associated costs. The case file will contain documentation of all resources used and financial transactions associated with both ESF #10 and non-ESF #10 disaster responses.





## **APPENDIX 3. STATUTORY AUTHORITIES**

### **A. Government-wide Statutory Authorities**

#### **The Stafford Act**

Robert T. Stafford Disaster Relief and Emergency Assistance Act (Public Law 93-288, as amended) provides the authority for the Federal Government to respond to disasters and emergencies in order to provide assistance to save lives and protect public health, safety, and property. FEMA uses Stafford Act funds to reimburse EPA and OFAs for disaster response costs. EPA uses Stafford Act funds to reimburse OFAs for ESF #10 support.

#### **The Economy Act**

The Economy Act, as amended, (31 USC 1535) is the primary authority for EPA to enter into IAGs with other Federal agencies. It is designed to further economy and efficiency in government, allows Federal agencies with greater capabilities in given areas to provide related services or procure specialized materials for other agencies with less experience. Although the Economy Act is the primary authority for IAGs, EPA also has independent "cooperation" statutory authorities to enter into IAGs.

#### **The Intergovernmental Cooperation Act**

The Intergovernmental Cooperation Act (ICA)(31 USC 6501) was passed to encourage intergovernmental cooperation in providing Federal specialized or technical services, assistance and facilities essential to State and local governmental activities, to avoid unnecessary duplication of special service functions, and to provide such service on a reimbursable basis. If EPA provided services to a State during a disaster response the State could reimburse EPA under this Act.

#### **The Federal Grant and Cooperative Agreement Act**

The Federal Grant and Cooperative Agreement Act of 1977 (FGCA)(31 USC 6301 et seq.) was enacted to distinguish between Federal assistance and procurement relationships. The law requires a procurement contract to be used when the principal purpose is to acquire goods which will become Federal property or services for the direct benefit of the Federal government. When the principal purpose is to transfer money, property or services to a State or local government for the principal purpose to support or stimulate activities, the law permits use of a grant or cooperative agreement. If there will be no substantial

Federal involvement, collaboration, or participation, a grant agreement is the proper instrument. If substantial Federal involvement is expected, a cooperative agreement should be used. EPA could provide disaster response assistance to a State under a grant or cooperative agreement if the proposed project qualifies as assistance under the FGCA and is authorized by an existing EPA assistance authority [e.g., Clean Air Act (CAA), Clean Water Act (CWA)].

**B. EPA Independent Program Statutory Authorities (Alternative IAG Authorities)**

Although the Economy Act is the primary authority for IAGs, EPA also has independent "cooperation" statutory authorities to enter into IAGs [e.g., CWA, Section 104(b)(2); CAA, Section 103(b)(2); Resource Conservation and Recovery Act]. Under ESF #10 CERCLA or OPA may serve as additional independent authority:

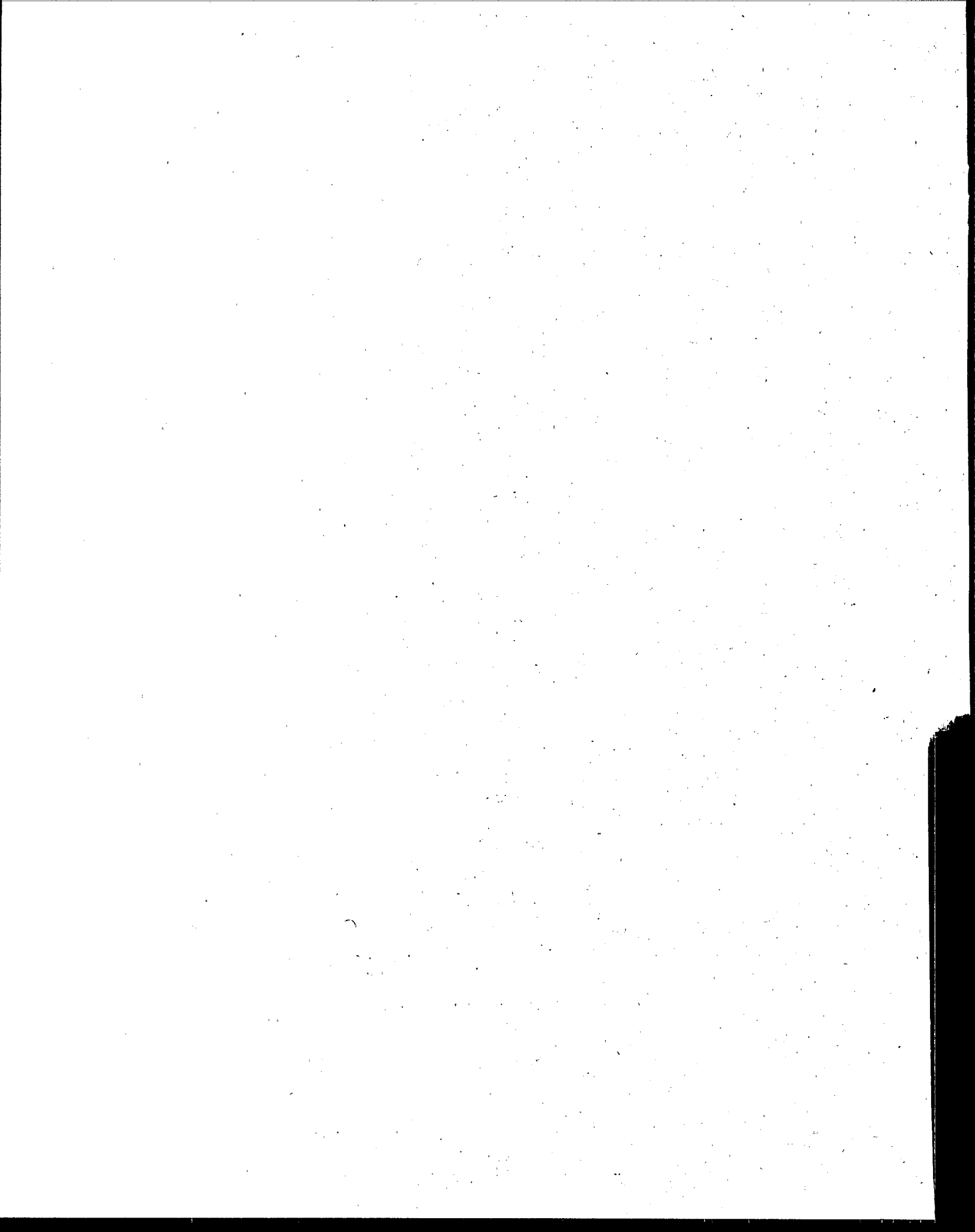
**CERCLA**

EPA is the fiduciary for Superfund as established under the Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA), as amended. Section 104 of CERCLA (42 USC 9604) authorizes the President to act "... whenever (A) any hazardous substance is released or there is a substantial threat of such a release into the environment, or (B) there is a release or substantial threat of release into the environment of any pollutant or contaminant which may present an imminent and substantial danger to the public health or welfare..." Executive Order 12580 delegates certain authority and responsibility for response to the Administrator of EPA and the Secretary of the Department of Transportation (DOT). On October 9, 1981, and May 27, 1988, the USCG redelegated authority back to EPA for certain response actions at hazardous waste sites that require response action. The EPA "cooperation" authority which is the basis for transfer of funds is: CERCLA, as amended, including Sections 105(a)(4) and 115; and Executive Order 12580 superseding Executive Order 12316.

**OPA**

The Oil Pollution Act of 1990 (OPA), 33 USC 2701 et seq., as implemented by E.O. 12777 (and subsequent delegations), authorizes Federal agencies to carry out oil removal activities under the Clean Water Act and the National Contingency Plan (NCP). The EPA "cooperation" authority which is the basis for transfer of funds is: CWA, Section 311, as amended by OPA.

**APPENDIX 4. SAMPLE ACTIVATION LETTER AND REQUEST FOR FEDERAL ASSISTANCE (DRAFT)**



**SAMPLE ACTIVATION LETTER**

Mr./Ms. (ESF #10 Regional Chair)  
U.S. Environmental Protection Agency  
Office of Health & Emergency Planning  
75 Hawthorne Street, Mail Code H8  
San Francisco, CA 94105-3901

Dear Mr./Ms. \_\_\_\_\_:

The Governor of the State of California has requested a major disaster declaration as a result of severe winter storms and flooding.

Pursuant to the provisions of Public Law 93-288, as amended by PL 100-707; Executive Order 12148; and Title 44, Code of Federal Regulations (CFR) Subpart 206 (Federal Disaster Assistance); and the Federal Response Plan, your agency is hereby mission assigned to receive taskings and provide the following technical assistance outlined in the enclosed Request for Federal Resource Assistance form (RFA).

Reimbursement for expenses incurred in complying with this request shall be in accordance with the provisions of 44 CFR 206.8, Subpart A. Reimbursement of Other Federal Agencies, and shall not exceed the amount indicated for each tasking identified. Expenses incurred for activities not expressly requested or above the stated limitation will not be eligible for reimbursement unless approved by the Federal Emergency Management Agency (FEMA) Regional Director through the Disaster Recovery Manager by amendment to this letter and enclosed RFA. In order to receive additional obligating authority above the cited limitations, your agency must, prior to the time the limitation is reached, submit a request to the Disaster Recovery Manager, for revision of that limitation to include:

- 1) An accounting of actual costs incurred to date under the cited limitation and any amendment thereto;
- 2) An estimate of the revised total cost of the project; and,
- 3) Any specific information necessary to support this request.

Additional funding may then be authorized for that specific tasking and/or tasking category by amendment to this letter.

Request for reimbursement (SF 1080, SF 1081, and On-Line Payments and Collection process) must be submitted in accordance with

Section 206.8 of the previously cited regulations and contain sufficient detailed information on which to base an approval. The request for reimbursement will be accompanied by documentation which specifically details personnel services, travel, equipment, and all other expenses by object class, as specified in Office of Management and Budget (OMB) Circular A-12, and by any sub-object classification used in the agency's accounting system. All reimbursement requests should cite the specific letter of activation, tasking number, and funding limitation under which the tasking was performed.

Any single item for materials, equipment, or supplies costing \$5,000.00 or more must be specifically identified and referenced to a material requisition number, purchase order number, canceled check, or voucher number. Prior to final billing, non-expendable materials, equipment, and supplies purchased in accomplishment of this mission will be properly accounted for and either turned over to FEMA, or retained by your office with an appropriate reduction indicated in the request for reimbursement.

The final billing for each line item tasking against this assignment should be received in accordance with specified requirements. This bill should be clearly identified as a final bill to facilitate closing of the tasking once final payment has been forwarded to your agency.

All financial records, supporting documents, statistical records, and other documents pertinent to the assignment shall be retained and shall be accessible to duly authorized representatives of FEMA and the U.S. Comptroller General for a period of six years and three months, starting from the date of submission of the final billing.

In accordance with the provisions of Title 44, CFR, Section 206.11, you shall assure that the activities authorized to be performed by this letter and attachments are accomplished in an equitable and impartial manner without discrimination on the grounds of race, color, religion, nationality, sex, age, or economic status.

All reimbursement requests and other communications related to this assignment must cite the specific tasking number under which the work was performed, the funding limitation, and the major disaster or emergency declaration number. Please forward all bills for payment to: FEMA Disaster Finance Center, P.O. Box 800, Berryville, Virginia 22611, ALC: 5801-0020.

Sincerely,

---

FEMA Regional Director

DRAFT

REQUEST FOR FEDERAL ASSISTANCE FORM (RFA)

Tracking Information (FEMA Use Only)

|                       |                                   |
|-----------------------|-----------------------------------|
| State:<br>Disaster #: | Request/Log #<br>Date/Time Rec'd: |
|-----------------------|-----------------------------------|

I. Assistance Requested

| Internal Reference # | Assistance Requested | Qty | Date/Time Needed | Deliver to: Name/Address/Phone |
|----------------------|----------------------|-----|------------------|--------------------------------|
|                      |                      |     |                  |                                |
|                      |                      |     |                  |                                |
|                      | •See attached        |     |                  |                                |

Requestor/Phone #:  
State Approving Official (if applicable):

II. Description

Assigned Agency: • New MA • Amendment to MA#

Mission Statement:

Cost Share: • Yes • No •See attached

Total Cost Estimate: \$ Projected completion date:

Agency POC and Phone #:

III. Coordination (FEMA Use Only)

| Type of Assistance         | State Cost Share | Fund Citation                          |
|----------------------------|------------------|--|
| • Direct Fed'l Assistance  | 0, 10, 25 %      | 1997 - 06 - _____ - 4400 - 250 ___ - D |
| • Technical Assistance     | 0%               |  |
| • Fed'l Operations Support | 0 %              |  |

Mission Assignment Coordinator (preparer) \_\_\_\_\_

FEMA Project Officer/Branch Chief (program approval) \_\_\_\_\_

Funds Control (funds review) \_\_\_\_\_

IV. Approval

State Approving Official: \_\_\_\_\_

Federal Approving Official: \_\_\_\_\_

V. Obligation (FEMA Use Only)

|                         |                     |                |
|-------------------------|---------------------|----------------|
| Mission Assignment No.: | Amt This Action: \$ | Date Obligated |
| Amendment Number:       | Cumulative Amt: \$  | Initials       |

**DRAFT**  
**REQUEST FOR FEDERAL ASSISTANCE FORM (RFA) (Continued)**

**Purpose**

This form is the official obligating document for taskings by FEMA to other Federal agencies (OFAs). RFA's may be initiated by a State request for assistance, FEMA, OFA, or other entity. This form is used to record Taskings and obligations before and after Presidential declarations of a major disasters or emergency.

**Specific Instructions by Section**

**Location**

To be completed for all requests. Enter State or territory. If a disaster has been declared enter DR-xxxx-State.

**I. Assistance Requested**

Assistance Requested: Completed by requestor; should detail the what, where, when, how, quantity, date/time needed, and specific deliverables.

Deliver to: Should be completed if items are for delivery. Attach any additional information.

Requestor/Phone #: The action officer for any further information for the request.

State Approving Official: Signs certifying that the request is valid and beyond the capability of State and local government to provide.

**II. Description**

Assigned Federal Agency: Completed by FEMA for all requests whether initiated by the State or in support of Federal operations.

Statement of Work: Developed by OFA; should detail the specific requirements to complete the request.

Project Completion Date: When work is expected to be complete.

Total Cost Estimate: Self explanatory.

OFA POC Name and Phone #: Action Officer.

**III. Coordination (FEMA Use Only)**

Type: The MAC determines if the type of assistance is Direct Federal, Technical or Federal Operations Support.

State Cost Share %/\$: The MAC records the Federal/State cost share percentage and dollar amount.

Fund Citation: The MAC assigns the appropriate fund citation.

Mission Assignment Coordinator (preparer): MAC signature.

FEMA Project Officer/Branch Chief (program approval): Project Officer/Branch Chief signature.

Funds Control (funds review): Mission Assignment Analyst verifies funds availability.



**DRAFT**  
**REQUEST FOR FEDERAL ASSISTANCE FORM (RFA) (Continued)**

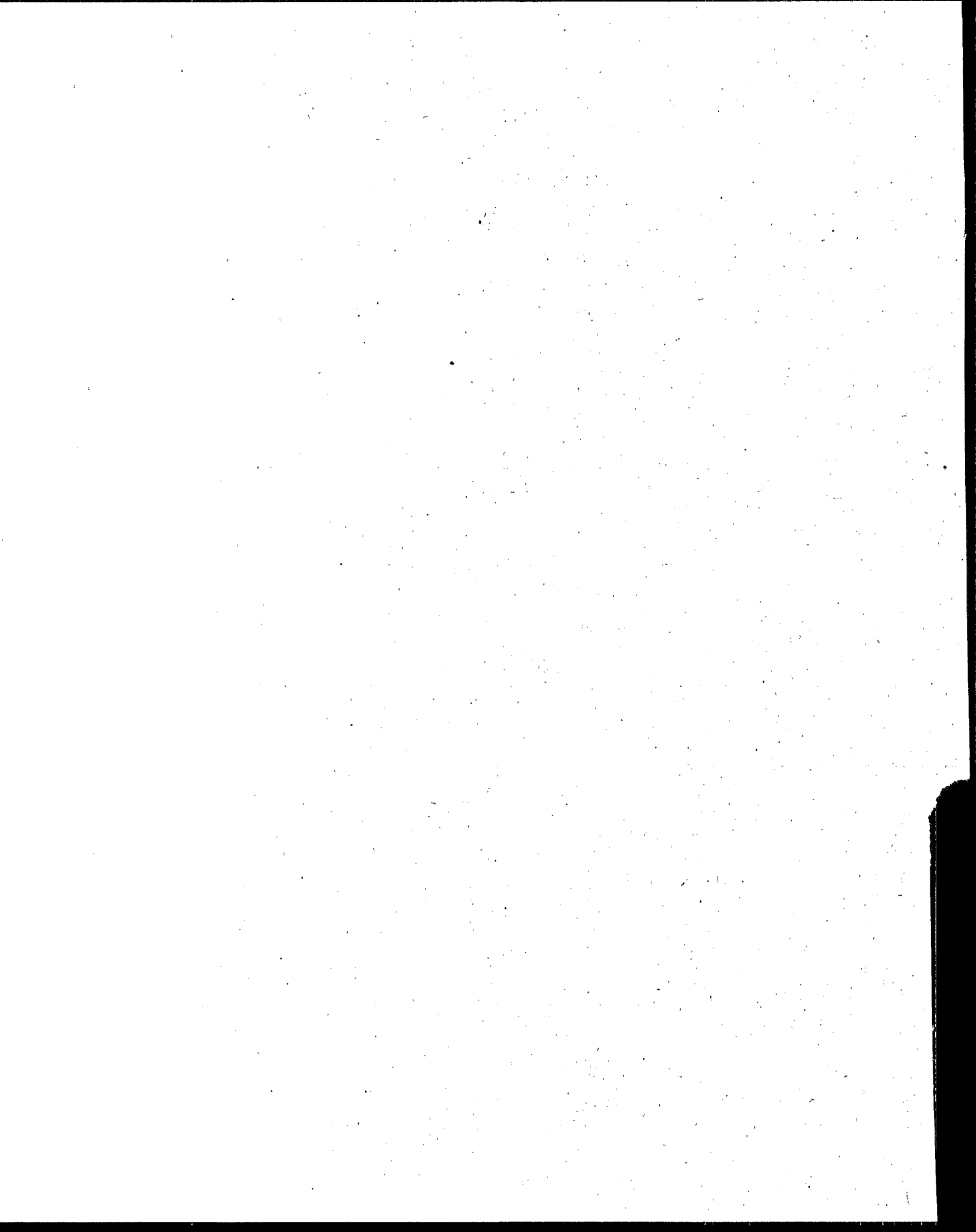
**IV. Approval**

State Approving Official: Signs for Direct Federal Assistance and Technical Assistance to State and local governments.

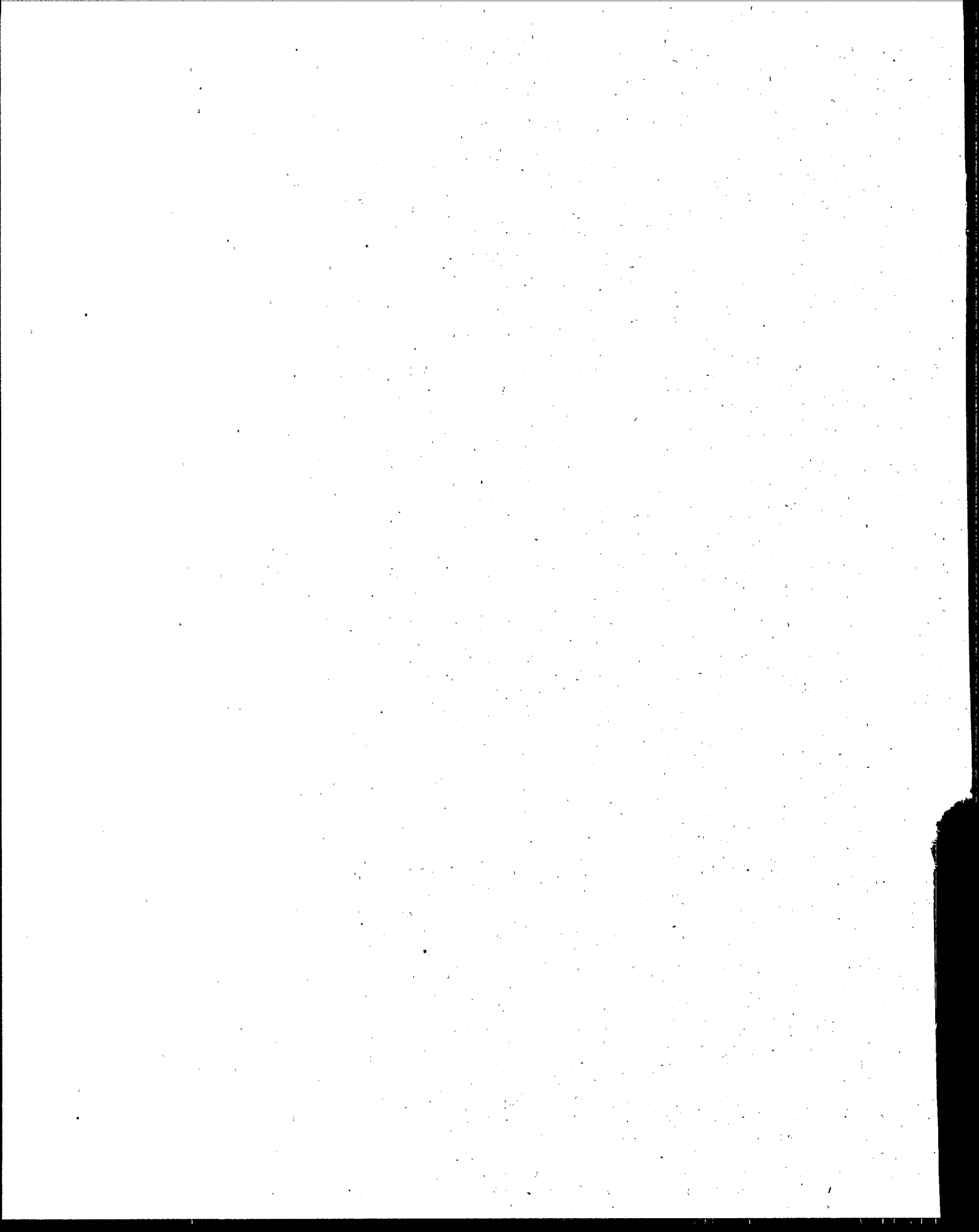
Federal (FEMA) Approving Official: Signs ALL RFA's.

**V. FEMA Use Only**

MAC enters MA#, Amendment #, Amount for this action, and cumulative amount and forwards to the Finance Branch. Finance Branch records obligation, date and initials.



**APPENDIX 5. EMERGENCY FUNDING AUTHORIZATION FORM**





# U.S. ENVIRONMENTAL PROTECTION AGENCY EMERGENCY FUNDING AUTHORIZATION

- 1. Other Federal Agency (OFA):
- 2. OFA's Project Identification Number:
- 3. OFA's Point of Contact: Telephone: (    )
- 4. Address:

- 5. EPA (IAG) Identification Number:
- 6. EPA Point of Contact: Telephone: (    )
- 7. FEMA Mission Assignment Identification Number:

8. Scope of Work and Reimbursement Limit:

9. Project Period:

**10. Reimbursement Procedure:** Upon completion of scope of work, the recipient other Federal agency will submit a bill with detailed records of expenditures and activities for which reimbursement is sought. The agency must submit the final request for reimbursement within 60 days following the disaster response completion date to the EPA ESF#10 Regional Chair or designee.

**11. Statutory Authority:** Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1988, as amended, 42 U.S.C. 5121-5201; and Economy Act of 1932, as amended, 31 U.S.C. 1535

12. Authorizing Officials:

|  |      |  |      |
|--|------|--|------|
| ESF #10 Regional Chair or Designee<br>U.S. Environmental Protection Agency | Date | Action Official on behalf of<br>U.S. Environmental Protection Agency | Date |
|--|------|--|------|

|   |      |
|---|------|
| Authorizing Official on behalf of<br>Other Federal Agency | Date |
|---|------|

13. Accounting Data:

| Site Name | DCN | FY | Approp. | Budget<br>Org. | Prg.<br>El. | Object | Site Project | Cost<br>Org. | Obligation |
|-----------|-----|----|---------|----------------|-------------|--------|--------------|--------------|------------|
|           |     |    |         |                |             |        |              |              |            |

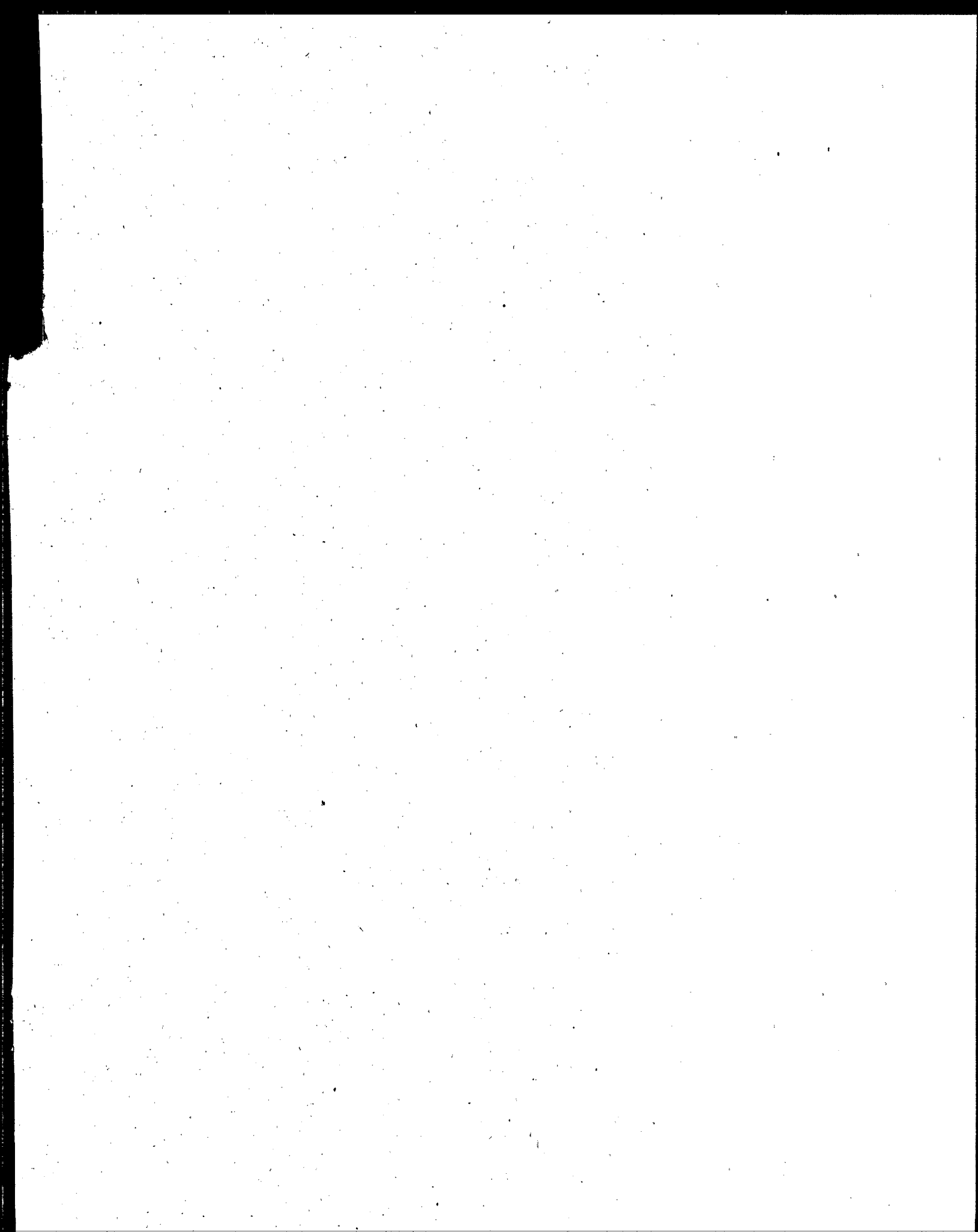
## EMERGENCY FUNDING AUTHORIZATION (EFA) FORM INSTRUCTIONS

This form is a simpler version of EPA's interagency agreement (IAG) form (EPA Form 1610-1) and should only be used to task other Federal agencies (OFAs) for disaster response support. The EFA is one page while the standard EPA IAG form is three pages. If the OFA agrees, the EFA may also be used when EPA provides support to non-ESF #10 lead disaster responses. All EFAs must be managed in a manner consistent with EPA's Interagency Agreement Policy and Procedures Compendium of September 1988.

This form is to be used in conjunction with EPA's Mission Assignment Guidance and any other supplemental information.

1. Enter the other Federal agency's (OFA's) name.
2. Enter the OFA's project (e.g., IAG) identification number (if known).
3. Enter name and telephone number of the OFA's point of contact (e.g., project officer).
4. Enter the OFA's point of contact mailing address.
5. The EPA (IAG) identification number will be assigned by the Regional Grants Management Office servicing the Regional program office initiating the action. This may occur after the disaster response has begun.
6. Enter name and telephone number of the EPA's point of contact (e.g., project officer).
7. Enter the FEMA mission assignment identification number.
8. Provide a brief description of the support tasking scope of work to be performed by the OFA under the EFA, including the dollar amount limit of EPA reimbursement to the OFA.
9. Enter the beginning and ending dates of entire period needed for OFA support.
10. Self explanatory.
11. Self explanatory.
12. Enter the names of the EPA ESF #10 Regional Chair or Designee, EPA Action Official (Regional Administrator or designee - can be delegated down to and including the Regional Division Director level), and the name and title of the OFA's authorizing official.
13. Enter the appropriate fiscal information identifying the funds being used. If the EFA is being used when EPA provides support to another Federal agency identify the funds received.

**APPENDIX 6. MISSION ASSIGNMENT REIMBURSEMENT REQUEST (DRAFT)**





**DRAFT**  
**MISSION ASSIGNMENT REIMBURSEMENT REQUEST**

| SECTION I: ESF AGENCY SUBMISSION  |  |                |
|---|--|----------------|
| Agency:   | Current bill amount _____  |                |
| Address:  | Fiscal POC:<br>Phone _____ Fax _____   |                |
| Type of billing: <input type="checkbox"/> SF 1080 <input type="checkbox"/> SF 1081 (OPAC) <input type="checkbox"/> Other Treasury-approved form _____   |  |                |
| Agency Location Code:   | ESF #:   |                |
| ESF Agency Bill ID Number:  | <input type="checkbox"/> Primary ESF tasking <input type="checkbox"/> Support ESF tasking                            |                |
| MA Number:  | FEMA Disaster Number:  |                |
| Mission Description:  |  |                |
| Projected Completion Date (from RFA):   | Revised Completion Date:   |                |
| This bill is a <input type="checkbox"/> Partial <input type="checkbox"/> Resubmittal <input type="checkbox"/> Final bill with no further obligations pending.<br><input type="checkbox"/> The expenditures claimed have been reviewed and are relevant to the mission assigned; costs are reasonable and supported by records maintained by this agency. [Include applicable signatures.] |  |                |
| _____<br>Primary ESF Agency Project/Program Administrator   | _____<br>Date  | _____<br>Phone |
| _____<br>Support ESF Agency Project/Program Administrator   | _____<br>Date  | _____<br>Phone |
| _____<br>Primary ESF Agency Financial Officer   | _____<br>Date  | _____<br>Phone |
| _____<br>Support ESF Agency Financial Officer   | _____<br>Date  | _____<br>Phone |
| Attachments: Reimbursement Forms<br><input type="checkbox"/> SF 1081 (OPAC) <input type="checkbox"/> Other Treasury approved<br><input type="checkbox"/> SF 1080                      form  | Attachments: Purchase of Equipment Forms<br>Refer to the Financial Management Annex to the FRP for applicable forms. |                |
| SECTION II: FEMA USE ONLY   |  |                |
| Log # _____   | PAYMENT AMOUNT APPROVED \$ _____<br>State Cost Share % _____ Amount _____  |                |
| ROUTING   | SIGNATURE AND DATE   |                |
| Financial Review  |  |                |
| Exception: Returned to Agency   | Reasons:   |                |
| Program Review  |  |                |
| Mission Assignment Coordinator Review   |  |                |
| Logistics Review <input type="checkbox"/> Yes <input type="checkbox"/> No   |  |                |
| DRM Approval  |  |                |
| Forward for Reimbursement/Payment   |  |                |
| Final Payment/Deobligation  | Deobligated amount:  |                |

To receive reimbursement, completion of this form is required.

# MISSION ASSIGNMENT REIMBURSEMENT REQUEST (Continued)

## SECTION III: BILL SUBMISSIONS

ESF Agency Bill ID Number: \_\_\_\_\_ Previously billed cumulative total \_\_\_\_\_

Number of bills submitted for this MA (including this bill): \_\_\_\_\_ Current bill amount \_\_\_\_\_

Total MA obligation (from RFA): \_\_\_\_\_ Total billed to date (including this bill) \_\_\_\_\_

| CURRENT CHARGES                                      | \$           | AMOUNT |
|--|--------------|--------|
| 11xx Salaries and OT (total from the block below)    |              |        |
| Regular hours _____                                  | Amount _____ |        |
| Overtime or premium pay hours _____                  | Amount _____ |        |
| 21xx Travel of persons                               |              |        |
| 22xx Transport of things                             |              |        |
| 25xx Service contracts                               |              |        |
| 25xx Equipment lease contracts                       |              |        |
| 26xx Materials                                       |              |        |
| 31xx Equipment                                       |              |        |
| 31xx: "Sensitive" items                              | Amount _____ |        |
| 31xx: Agency stock replacement/repair <sup>(1)</sup> | Amount _____ |        |
| Overhead (List each line item)                       | Rate _____   |        |
|  |              |        |
|  |              |        |
|  |              |        |
|  |              |        |
|  |              |        |
| All other (list each line item)                      |              |        |
|  |              |        |
|  |              |        |
|  |              |        |
|  |              |        |
| <b>TOTAL AMOUNT BILLED</b>                           | <b>\$</b>    |        |

<sup>(1)</sup> After FEMA reimburses an agency for equipment, FEMA usually assumes ownership. However, agencies may be reimbursed for equipment purchases to replace their own equipment stocks consumed, lost, stolen, or damaged during performance of an MA by completing FF 61-5, Report of Survey. Agencies may be reimbursed for purchases of property subsequently lost, damaged or stolen by submitting the original invoice or receiving report and completing FF 61-5, Report of Survey.

**MISSION ASSIGNMENT REIMBURSEMENT REQUEST** (Continued)

**SECTION IV: ITEMIZED COSTS**

**OBJECT CLASS 25xx: SERVICE CONTRACT COSTS**

| Contract Name | Contract # | Purpose | \$ Billed to Date | Contract Total |
|---------------|------------|---------|-------------------|----------------|
|               |            |         |                   | \$             |
|               |            |         |                   |                |
|               |            |         |                   |                |
|               |            |         |                   |                |
|               |            |         |                   |                |
|               |            |         |                   |                |
|               |            |         |                   |                |
|               |            |         |                   |                |
|               |            |         |                   |                |
|               |            |         |                   |                |
|               |            |         |                   |                |
| <b>TOTAL</b>  |            |         |                   |                |

**OBJECT CLASS 25xx: EQUIPMENT LEASE CONTRACTS**

| Vendor       | Description | Serial # | Cost |
|--------------|-------------|----------|------|
|              |             |          |      |
|              |             |          |      |
|              |             |          |      |
|              |             |          |      |
|              |             |          |      |
|              |             |          |      |
|              |             |          |      |
|              |             |          |      |
| <b>TOTAL</b> |             |          |      |

# MISSION ASSIGNMENT REIMBURSEMENT REQUEST (Continued)

## OBJECT CLASS 31xx: EQUIPMENT COSTS: ITEMS OVER \$5000/SENSITIVE ITEMS<sup>(1)</sup>

| INVOICE/<br>REC RPT<br>ATTACHED <sup>(2)</sup> | Vendor | Description | Serial # | Equipment<br>Location | PLANNED<br>RELEASE<br>DATE | Cost |
|--|--------|-------------|----------|-----------------------|----------------------------|------|
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |
|  |        |             |          |                       |                            |      |

<sup>(1)</sup>Sensitive items include microcomputers, pagers, cellular telephones, tape recorders, video equipment and TVs, calculators and office equipment, cameras, and microwaves and other appliances.

<sup>(2)</sup>Completion of the vendor, description, serial number and cost columns is not required if the invoice or receiving report is attached and includes these items. Complete the Equipment Location and Planned Release Date columns.

Provide appropriate equipment cost documentation as follows:

- To receive reimbursement for procured property, attach the original acquisition document or receiving report.
- To retain custody of property after reimbursement, coordinate with FEMA Operations and Logistics officials to receive and complete FEMA Form 61-9, Custody Receipt for Government Property on Personal Charge.
- If property is lost, damaged, stolen, or consumed in the performance of an MA, attach the following documentation:
  - Original acquisition document or receiving report.
  - FEMA Form 61-5, Report of Survey.

## MISSION ASSIGNMENT REIMBURSEMENT REQUEST [Reverse of page 1]

Complete FF \_\_\_\_\_, Request for Reimbursement with the following information.

### SECTION I: ESF AGENCY SUBMISSION

- a. Your agency name and address.
- b. Current bill amount: the amount of the bill you are submitting.
- c. The name, fax number, and telephone number of your agency's fiscal point of contact with FEMA.
- d. The type of billing form being submitted: SF 1080, SF 1081 or other approved Treasury form.
- e. Agency Location Code (ALC) for OPAC billings.
- f. ESF Number. (Example: ESF-1), if applicable, or FEMA program that the mission assignment is supporting (Example: Public Information or Human Services).
- g. ESF Agency-assigned Bill ID Number: Your agency's
- h. Primary ESF Agency Project/Program Administrator identification of the work performed as a primary ESF tasking or a support ESF tasking.
- i. Mission Assignment/Tasking number under which the work was performed (Example: GSA-001).
- j. FEMA-assigned disaster number (Example: DR-1008-CA).
- k. Mission Description. A description of the mission accomplished.
- l. Projected Completion Date. The estimated date on the Request for Federal Assistance.
- m. Revised Completion Date. The latest estimated completion date for a task.
- n. Checkmark to indicate whether the bill is a partial, a resubmission, or a final bill.
- o. Certification by the ESF Agency Project/Program Administrator that the expenditures are in support of the work tasked and that supporting documentation is accurate and adequate. The Support ESF Agency Project/Program Administrator must certify the same to the primary ESF agency. The Primary or Support ESF Agency Financial Officer also may sign the Mission Assignment Reimbursement Request form, but this signature is optional. The financial point of contact will certify on the 1080, 1081 (OPAC) or other approved Department of Treasury form for Transfer of Appropriations between agencies.
- p. Checkmarks to identify the attachments submitted with the Mission Assignment Reimbursement Request in this block.

### SECTION II: FEMA USE ONLY

This section will be used to route the Mission Assignment Reimbursement Request within FEMA for financial review, program review, logistics review (if required), mission assignment coordinator review and Disaster Recovery Manager approval for payment. FEMA will assign a log number, the amount approved for payment, and the amount of State cost-share, if any.

## MISSION ASSIGNMENT REIMBURSEMENT REQUEST [Reverse of page 2]

### SECTION III: BILL SUBMISSIONS

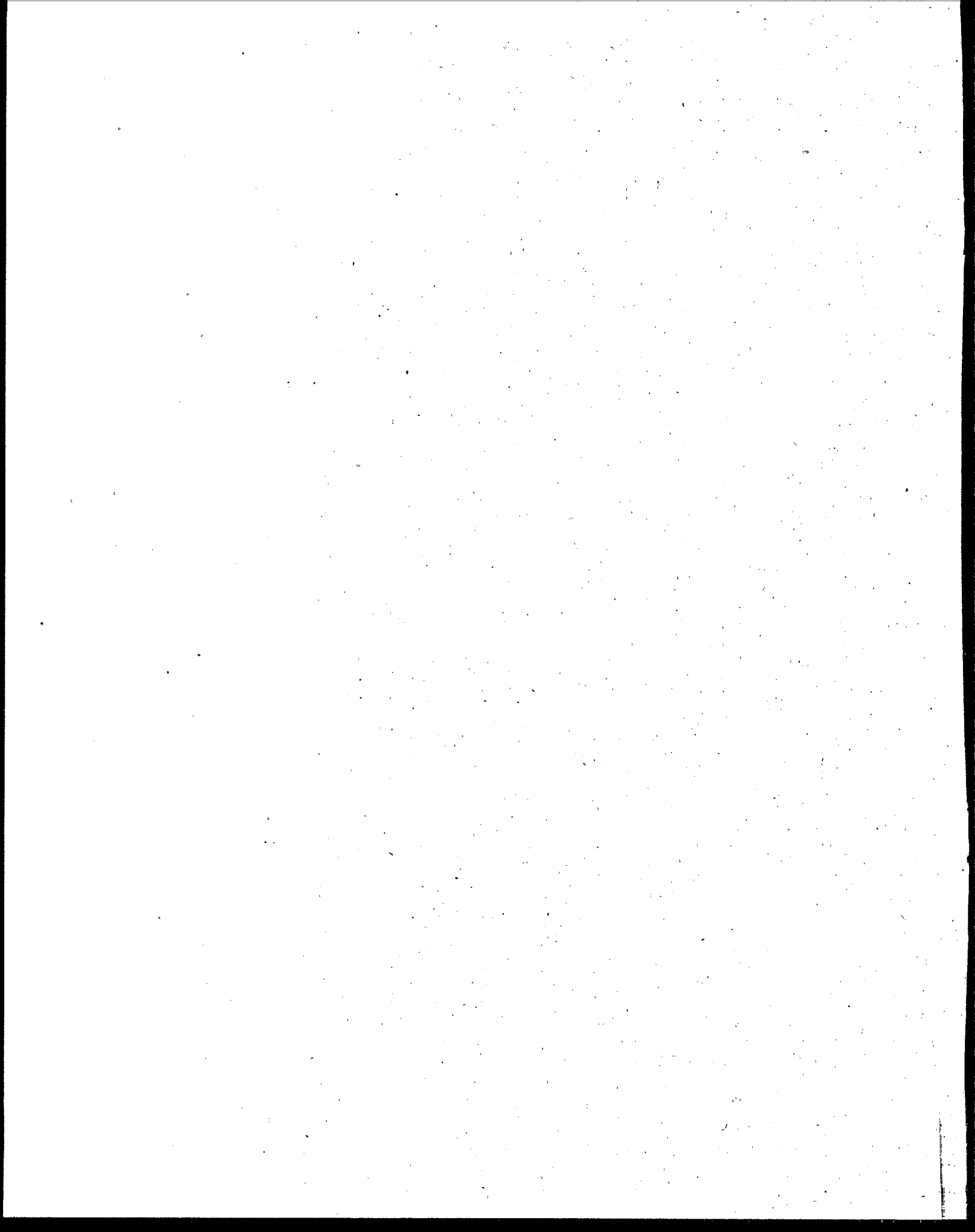
Agencies may use computer-generated spreadsheets to replace Section III provided that all the data items are incorporated in the spreadsheets. Agencies should submit proposed spreadsheets to the DFC and receive prior approval for use as reimbursement documentation.

- a. ESF Agency Assigned Bill ID Number.
- b. Total number of bills submitted against the billing mission assignment number, including the current bill.
- c. Total mission assignment obligation (from RFA).
- d. Previously billed cumulative total.
- e. Current bill amount.
- f. Total billed to date (including this bill).
- g. An explanation of charges broken down by OMB major object classes:
  - (1) 11xx Salaries and OT. Personnel Services including regular time (if eligible) and overtime or other premium pay category with the number of hours and total cost.
  - (2) 21xx Travel of persons.
  - (3) 22xx Transport of things.
  - (4) 25xx Service contracts. List separately the costs of contracts for services by contract name, contract number, purpose of contract, amount billed to date and contract total. Costs for rental space should be listed separately.
  - (5) 25xx Equipment lease contracts. List separately the costs of contracts for equipment by vendor, equipment description, serial number, and cost.
  - (6) 26xx Materials. Materials and supplies. Any single item costing \$5,000 or more must be identified. Items of expendable property or supplies costing less than \$5,000 need not be identified but should be accounted for.
  - (8) 31xx Equipment. All non-expendable items with a cost greater than \$5000 and "sensitive" items should be listed separately on page 4 of this form. Sensitive items include microcomputers, pagers, cellular telephones, tape recorders, video equipment and TVS, calculators and office equipment, cameras, and microwaves and other appliances.  
To request reimbursement for equipment that will not become FEMA property because the purchase replaced agency stocks, enter the total cost after "31xx: Agency stock replacement/repair" and attach FEMA Form 61-5, Report of Survey. To seek reimbursement for purchases of equipment subsequently lost, damaged, or stolen, attach the original acquisition document or receiving report and FEMA Form 61-5, Report of Survey.
  - (9) Agency overhead costs reimbursable per an agreement with FEMA.
  - (10) All other.

### SECTION IV: ITEMIZED COSTS

Agencies may use computer-generated spreadsheets to replace Section IV provided that all the data items are incorporated in the spreadsheets. Agencies should submit proposed spreadsheets to the DFC and receive prior approval for use as reimbursement documentation.

**APPENDIX 7. SAMPLE COST DOCUMENTATION PACKAGE FORMAT**





# U.S. Environmental Protection Agency Cost Documentation Package

**Disaster Name:** \_\_\_\_\_

**FEMA Mission Assignment Identification Number:** \_\_\_\_\_

**Date:** \_\_\_\_\_



Disaster Name: \_\_\_\_\_

FEMA Mission Assignment Identification Number: \_\_\_\_\_

EPA Reimbursable Account Number: \_\_\_\_\_

BFY Appr Bud/Org PE

| PROJECT COST SUMMARY       |                    |
|----------------------------|--------------------|
| CATEGORY                   | REIMBURSABLE COSTS |
| EPA Personnel Costs        |                    |
| EPA Personnel Travel Costs |                    |
| EPA Contractor Costs       |                    |
| Other EPA Costs            |                    |
| Other Federal Agency Costs |                    |
|                            |                    |
| <b>TOTAL COSTS</b>         |                    |

Total Project Cost: \_\_\_\_\_

**ESF #10 Regional Chair Summary Statement of Cost Documentation**

This package presents a summary of and supporting documentation for costs incurred on the disaster response noted above. All costs are final unless noted in the package.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Printed Name: \_\_\_\_\_

ESF #10 Regional Chair

Disaster Name: \_\_\_\_\_

| EPA PERSONNEL COSTS |                 |            |          |                    |       |
|---------------------|-----------------|------------|----------|--------------------|-------|
| Name                | Fixed Acct. No. | Reg. Hours | OT Hours | Reimbursable Costs | TOTAL |
|                     |                 | *****      |          |                    |       |
|                     |                 | *****      |          |                    |       |
|                     |                 | *****      |          |                    |       |
|                     |                 | *****      |          |                    |       |
|                     |                 | *****      |          |                    |       |

Total EPA Personnel Costs: \_\_\_\_\_

**ATTACHMENTS:**

\_\_\_\_\_ Time sheets (Copies)

(NOTE: Time sheets and payroll reports must be redacted to remove information protected by the Privacy Act, including Social Security Numbers, etc.)

\_\_\_\_\_ Payroll Report

Disaster Name: \_\_\_\_\_

| EPA PERSONNEL TRAVEL COSTS |           |                  |                |
|----------------------------|-----------|------------------|----------------|
| Name                       | TA Number | Period of Travel | Voucher Amount |
|                            |           |                  |                |
|                            |           |                  |                |
|                            |           |                  |                |
|                            |           |                  |                |
|                            |           |                  |                |
|                            |           |                  |                |
|                            |           |                  |                |

EPA Personnel Travel Costs Total: \_\_\_\_\_

**ATTACHMENTS:**

\_\_\_\_\_ Travel Authorizations (Copies)

\_\_\_\_\_ Travel Vouchers with receipts (Copies)

(Note: TA's and Vouchers must be redacted to remove information protected by the Privacy Act, including Social Security Numbers, Home Addresses, etc.)

**EPA CONTRACTOR COSTS**

Contract Name: \_\_\_\_\_

Contract Number: \_\_\_\_\_

| Company Name/<br>TDD Number(s) | Contractor<br>Personnel Name(s) | Labor Costs | Travel Direct<br>Costs | Other Direct<br>Costs | Total |
|--------------------------------|---------------------------------|-------------|------------------------|-----------------------|-------|
|                                |                                 |             |                        |                       |       |
|                                |                                 |             |                        |                       |       |
|                                |                                 |             |                        |                       |       |
|                                |                                 |             |                        |                       |       |
|                                |                                 |             |                        |                       |       |

Total Contract Costs: \_\_\_\_\_

This IS \_\_\_\_\_ /IS NOT \_\_\_\_\_ a final cost total.

The total is estimated to be \_\_\_\_\_.

**ATTACHMENTS:**

\_\_\_\_ Letter Report

\_\_\_\_ Technical Direction Document(s) (TDDs) and Amendments

\_\_\_\_ ESF #10 Regional Chair Certification and Invoice Summary

\_\_\_\_ Acknowledgment of Completion (AOC)

Disaster Name: \_\_\_\_\_

**OTHER CONTRACTOR COSTS**

| Contractor Name | Contract Number | Total Cleanup Contractor Cost |
|-----------------|-----------------|-------------------------------|
|                 |                 |                               |
|                 |                 |                               |
|                 |                 |                               |
|                 |                 |                               |
|                 |                 |                               |

**ATTACHMENTS:**

\_\_\_ ESF #10 Regional Chair Certification and Invoice Summary

\_\_\_ Authorization to Proceed

\_\_\_ Daily Cost Summaries (These are not required unless other documentation cannot be provided.)

Disaster Name: \_\_\_\_\_

| OTHER EPA COSTS |                     |      |      |
|-----------------|---------------------|------|------|
| Description     | Usage (Hours, Days) | Rate | Cost |
|                 |                     |      |      |
|                 |                     |      |      |
|                 |                     |      |      |
|                 |                     |      |      |
|                 |                     |      |      |
|                 |                     |      |      |
|                 |                     |      |      |

Total Other EPA Costs: \_\_\_\_\_

Disaster Name: \_\_\_\_\_

| OTHER FEDERAL AGENCY COSTS |                      |             |
|----------------------------|----------------------|-------------|
| Agency Name                | Activity Description | Total Costs |
|                            |                      |             |
|                            |                      |             |
|                            |                      |             |
|                            |                      |             |
|                            |                      |             |
|                            |                      |             |

Total Other Federal Agency Costs: \_\_\_\_\_

**ATTACHMENTS:**

\_\_\_ Interagency Agreement (IAG)

\_\_\_ Emergency Funding Authorization (EFA)

\_\_\_ Other Federal Agency Cost Summary



