

Standardized Emergency Management System

APPROVED COURSE OF INSTRUCTION EMERGENCY
OPERATIONS CENTER COURSE G611

LOCAL GOVERNMENT

FINANCE/ADMINISTRATION SECTION

Function Specific Handbook

CHAPTER THREE
MARCH 2001

Standardized Emergency Management System (SEMS) Guidelines

The contents of this guideline have not been changed from the original document, however, the guideline has been reformatted to meet Americans with Disabilities Act (ADA) 508 standards.

Standardized Emergency Management System (SEMS) Guidelines

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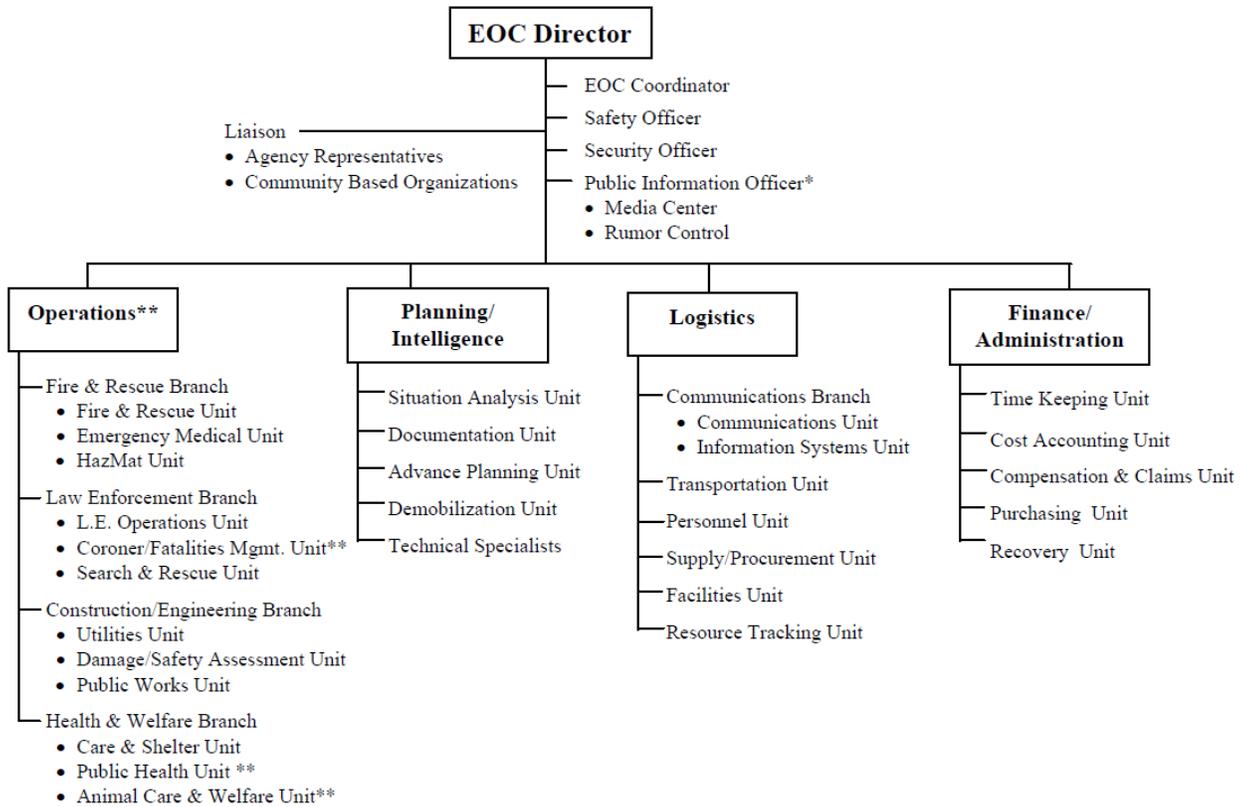
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LOCAL GOVERNMENT FINANCE/ADMINISTRATION SECTION FUNCTION SPECIFIC HANDBOOK

I. Large Local Government EOC Functional Organization Chart



* Public Information Functions may be organized through use of assistant information officers or as units if necessary.

** Normally coordinated by county, but a local coordinator may be designated if needed.

Each jurisdiction must determine the appropriate organization for the functions to be performed.

See last page of this handbook for an example of a Small Local Government EOC Functional Organization Chart.

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II. General Considerations

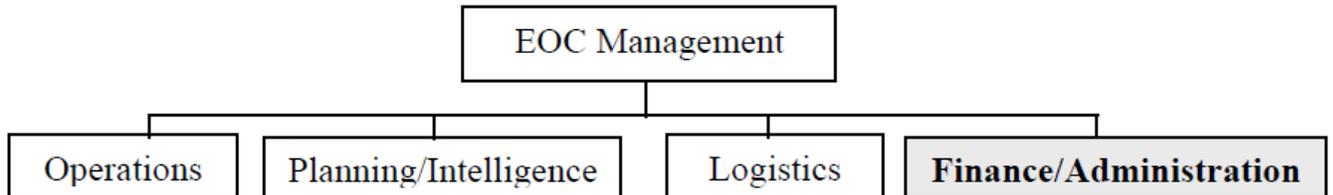
A. Content

This handbook contains functional descriptions, responsibilities, and checklists for personnel assigned to the Finance/Administration Section of an EOC. The checklists describe minimum activities that should be accomplished by personnel assigned to functional positions within the section. Agencies and jurisdictions are encouraged to supplement the responsibilities and checklists to meet their own EOC operating requirements.

B. Standardized Emergency Management System (SEMS)

The SEMS Regulation ((P)2403) requires that local governments, operational areas, regional and state level EOCs provide for the functions of: management, operations, planning/ intelligence, logistics and finance/administration. These five primary functions in SEMS provide the foundation for establishing an effective EOC management team.

C. EOC Organization



When activated, the five primary EOC functions are established as separate sections of the EOC organization. Within each section, there may be several sub-functions that may normally be established as Units. However in some jurisdictions the sub-functions may also be established as Branches or Groups.

The functions described here are those activities that may need to be activated during an EOC activation for the Finance/Administration Section at the local government EOC. Some variations in duties and responsibilities may be found at different SEMS levels.

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D. Staffing

The determination of the appropriate level of staffing and lead agency to manage the function is the responsibility of the agency or jurisdiction at each SEMS level. In general the following conditions will apply:

- Staff the section with the most qualified person in the discipline most closely aligned to the emergency (Logistics and Finance/Administration sections may have a standard designation of personnel for all emergencies).
- Maintain a span of control not to exceed one supervisor for up to seven sub functions.
- One person may have delegated authority for more than one area of responsibility (Usually this is done during the early portion of the Activation Phase or in the Demobilization Phase).
- Each of these functional areas can be expanded as needed into additional organizational units with further delegation of authority.
- If a section is not activated, the EOC Director will perform its responsibilities.

III. Generic Checklist

Checklists for each position are listed by three phases; Activation, Operational, and Demobilization. Several of the actions to be taken in the Activation and Demobilization Phases of an EOC activation common to all positions are listed below.

Activation Phase:

- Check in upon arrival at the EOC.
- Report to EOC Director, Section Coordinator, Branch Coordinator, or other assigned Supervisor.
- Set up your workstation and review your position responsibilities.

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- Establish and maintain a position log that chronologically describes your actions taken during your shift.
- Determine your resource needs, such as a computer, phone, plan copies, and other reference documents.
- Ensure RIMS (Response Information Management System) is operational.

Demobilization Phase:

- Deactivate your assigned position and close out logs when authorized by the EOC Director.
- Complete all required forms, reports, and other documentation. All forms should be submitted through your supervisor to the Planning/Intelligence Section, as appropriate, prior to your departure.
- Be prepared to provide input to the after-action report.
- If another person is relieving you, ensure they are thoroughly briefed before you leave your workstation.
- Clean up your work area before you leave.
- Leave a forwarding phone number where you can be reached.

IV. Finance/Administration Section Functional Descriptions

The EOC Director has the authority and responsibility to direct all EOC activity. The EOC Director may delegate authority to a General Staff.

Finance/Administration positions will vary depending upon the need of the EOC Director for support. The positions listed below are the more common Finance/Administration positions. Note that in some EOCs these positions may be activated at a one-person level, or at a unit level depending upon the level of activation, the work to be accomplished, and the numbers of personnel needed.

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The Finance/Administration Section positions are important in that they relieve the EOC Director of many activities that may interfere with the Director's primary responsibility for EOC management.

Finance/Administration Section Coordinator

Function Description:

The Finance/Administration function in the EOC manages all financial, administrative and cost analysis aspects of the emergency. Initially, this work may be done in the EOC, but in later stages of the emergency this function may be accomplished at other locations.

Responsibilities:

1. Ensure that all financial records are maintained throughout the emergency.
2. Ensure that all on-duty time is recorded for all emergency response personnel.
3. Ensure that all on-duty time sheets are collected from EOC assigned personnel and that departments are collecting this information from Field Level Supervisors or Incident Commanders and their staffs.
4. Ensure there is a continuum of the payroll process for all employees responding to the emergency.
5. Determine purchase order limits for the procurement function in Logistics.
6. Ensure that workers' compensation claims, resulting from the response are processed within a reasonable time, given the nature of the situation.
7. Ensure that all travel and expense claims are processed within a reasonable time, given the nature of the situation.
8. Provide administrative support to all EOC Sections as required, in coordination with the Personnel Unit.
9. Activate units within the Finance/Administration Section as required; monitor section activities

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10. continuously and modify the organization as needed.

11. Ensure that all recovery documentation is accurately maintained during the response and submitted on the appropriate forms to the Federal Emergency Management Agency (FEMA) and/or the Governor's Office of Emergency Services.

12. Supervise the Finance/Administration Section.

Activation Phase:

Follow the generic Activation Phase Checklist.

- Ensure that the Finance/Administration Section is set up properly and that appropriate personnel, equipment, and supplies are in place.
- Based on the situation, activate units within section as needed and designate Unit Coordinators for each element:
 - Time Keeping Unit
 - Recovery Unit
 - Compensation & Claims Unit
 - Purchasing Unit
 - Cost Accounting Unit
- Ensure that sufficient staff are available for a 24-hour schedule, or as required.
- Meet with the Logistics Section Coordinator and review financial and administrative support requirements and procedures; determine the level of purchasing authority to be delegated to Logistics Section.
- Meet with all Unit Leaders and ensure that responsibilities are clearly understood.
- In conjunction with Unit Leaders, determine the initial Action Planning objectives for the first operational period.
- Notify the EOC Director when the Finance/Administration Section is operational.

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- Adopt a proactive attitude, thinking ahead and anticipating situations and problems before they occur.

Operational Phase:

- Ensure that Finance/Administration Section position logs and other necessary files are maintained.
- Ensure that displays associated with the Finance/Administrative Section are current, and that information is posted in a legible and concise manner.
- Participate in all Action Planning meetings.
- Brief all Unit Leaders and ensure they are aware of the EOC objectives as defined in the Action Plan.
- Keep the EOC Director, General Staff, and elected/other officials aware of the current fiscal situation and other related matters, on an on-going basis.
- Ensure that the Recovery Unit maintains all financial records throughout the emergency.
- Ensure that the Time Keeping Unit tracks and records all agency staff time.
- In coordination with the Logistics Section, ensure that the Purchasing Unit processes purchase orders and develops contracts in a timely manner.
- Ensure that the Compensation & Claims Unit processes all workers' compensation claims, resulting from the emergency, in a reasonable time-frame, given the nature of the situation.
- Ensure that the Time-Keeping Unit processes all time-sheets and travel expense claims promptly.
- Ensure that the Finance/Administration Section provides administrative support to other EOC Sections as required.
- Ensure that all recovery documentation is accurately maintained by the Recovery Unit during the response, and submitted on the appropriate forms to Federal

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Emergency Management Agency (FEMA) and/or the Governor's Office of Emergency Services.

Demobilization Phase:

- Follow the generic Demobilization Phase Checklist.

Time Keeping Unit Leader

Responsibilities:

1. Track, record, and report all on-duty time for personnel working during the emergency.
2. Ensure that personnel time records, travel expense claims and other related forms are prepared and submitted to budget and payroll office.
3. Supervise the Time Keeping Unit.

Activation Phase:

- Follow the generic Activation Phase Checklist.

Operational Phase:

- Establish and maintain a position log and other necessary files.
- Initiate, gather, or update time reports from all personnel, to include volunteers assigned to each shift; ensure that time records are accurate and prepared in compliance with policy.
- Obtain complete personnel rosters from the Personnel Unit. Rosters must include all EOC personnel as well as personnel assigned to the field level.
- Provide instructions for all supervisors to ensure that time sheets and travel expense claims are completed properly and signed by each employee prior to submitting them.

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- Establish a file for each employee or volunteer within the first operational period; to maintain a fiscal record for as long as the employee is assigned to the response.
- Keep the Finance/Administration Section Coordinator informed of significant issues affecting the Time-Keeping Unit.

Demobilization Phase:

- Follow the generic Demobilization Phase Checklist.

Cost Accounting Unit Leader

Responsibilities:

1. Responsible for collecting cost information, performing cost-effectiveness analyzes and providing cost estimates and cost savings recommendations.
2. Supervise the Cost Accounting Unit.

Activation Phase:

- Follow the generic Activation Phase Checklist.

Operational Phase:

- Establish and maintain a position log and other necessary files.
- Establish (or implement) an accounting system and special cost codes associated with this emergency.
- Monitor all emergency expenditures.
- Ensure that all sections and units are documenting cost related information.
- Collect, and compile cost information at the end of each shift.
- Obtain and record all cost data to cover:

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- Personnel
- Equipment
- Rental/Contract Equipment
- Supplies from outside vendors
- Contracts for special or emergency services
- Coordinate with the Documentation Unit on content and format of cost related files to be transferred.
- Review existing documentation to determine if there are additional cost items that may have been overlooked.
- Prepare cost estimates related to EOC objectives and strategies. Be prepared to discuss these at EOC Planning Meetings if required.
- Compile cumulative cost records on a daily basis.
- Ensure that departments are compiling cost information using any special agency/jurisdiction cost codes.
- Ensure that estimate costs are replaced with actual costs where known.
- Provide verbal or written reports to the Finance/Administration Section Coordinator upon request.
- Prepare and maintain a cost report to include cumulative analysis, summaries and total expenditures related to the emergency.
- Organize and prepare records for audits as necessary.
- Act as the liaison for the EOC with county and other disaster assistance agencies to coordinate the cost recovery process.

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- Prepare all required state and federal documentation as necessary to recover allowable costs.

Demobilization Phase:

- Follow the generic Demobilization Phase Checklist.

Compensation and Claims Unit Leader

Responsibilities:

1. Oversee the investigation of injuries and property/equipment damage claims arising out of the emergency.
2. Complete all forms required by worker's compensation program.
3. Maintain a file of injuries and illnesses associated with the emergency which includes results of investigations.
4. Supervise the Compensation and Claims Unit.

Activation Phase:

- Follow the generic Activation Phase Checklist.

Operational Phase:

- Establish and maintain a position log and other necessary files.
- Maintain a chronological log of injuries and illnesses, and property damage reported during the emergency.
- Investigate all injury and damage claims as soon as possible.
- Prepare appropriate forms for all verifiable injury claims and forward them to Workmen's Compensations within the required time frame consistent with jurisdiction's policy & procedures.

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- Coordinate with the Safety Officer regarding the mitigation of hazards.
- Keep the Finance/Administration Coordinator informed of significant issues affecting the Compensation and Claims Unit.
- Forward all equipment or property damage claims to the Recovery Unit.

Demobilization Phase:

- Follow the generic Demobilization Phase Checklist.

Purchasing Unit Leader

Responsibilities:

1. Coordinate vendor contracts not previously addressed by existing approved vendor lists.
2. Coordinate with Supply/Procurement Unit on all matters involving the need to exceed established purchase order limits.
3. Supervise the Purchasing Unit.

Activation Phase:

- Follow the generic Activation Phase Checklist.

Operational Phase:

- Establish and maintain a position log and other necessary files.
- Review the emergency purchasing procedures.
- Prepare and sign contracts as needed, be sure to obtain concurrence from the Finance/ Administration Section Coordinator.
- Ensure that all contracts identify the scope of work and specific site locations.
- Negotiate rental rates not already established, or purchase price with vendors as required.

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- Admonish vendors as necessary, regarding unethical business practices, such as inflating prices or rental rates for their merchandise or equipment during emergencies.
- Finalize all agreements and contracts, as required.
- Complete final processing and send documents to Budget and Payroll for payment.
- Verify costs data in the pre-established vendor contracts and/or agreements.
- In coordination with the Logistics Section, ensure that the Purchasing Unit processes purchase orders and develops contracts in a timely manner.
- Keep the Finance/Administration Section Coordinator informed of all significant issues involving the Purchasing Unit.

Demobilization Phase:

- Follow the generic Demobilization Phase Checklist.

Recovery Unit Leader

Responsibilities:

1. Determine impacts of the emergency requiring recovery planning.
2. Initiate recovery-planning meetings with appropriate individuals and agencies.
3. Develop the initial recovery plan and strategy for the jurisdiction.
4. Ensure that all appropriate agencies are kept informed and have the opportunity to participate in the recovery planning process.
5. Develop the strategy to transition from recovery planning in the EOC to a wider post-emergency recovery effort.
6. Supervise the Recovery Unit.

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Activation Phase:

- Follow the generic Activation Phase Checklist.

Operational Phase:

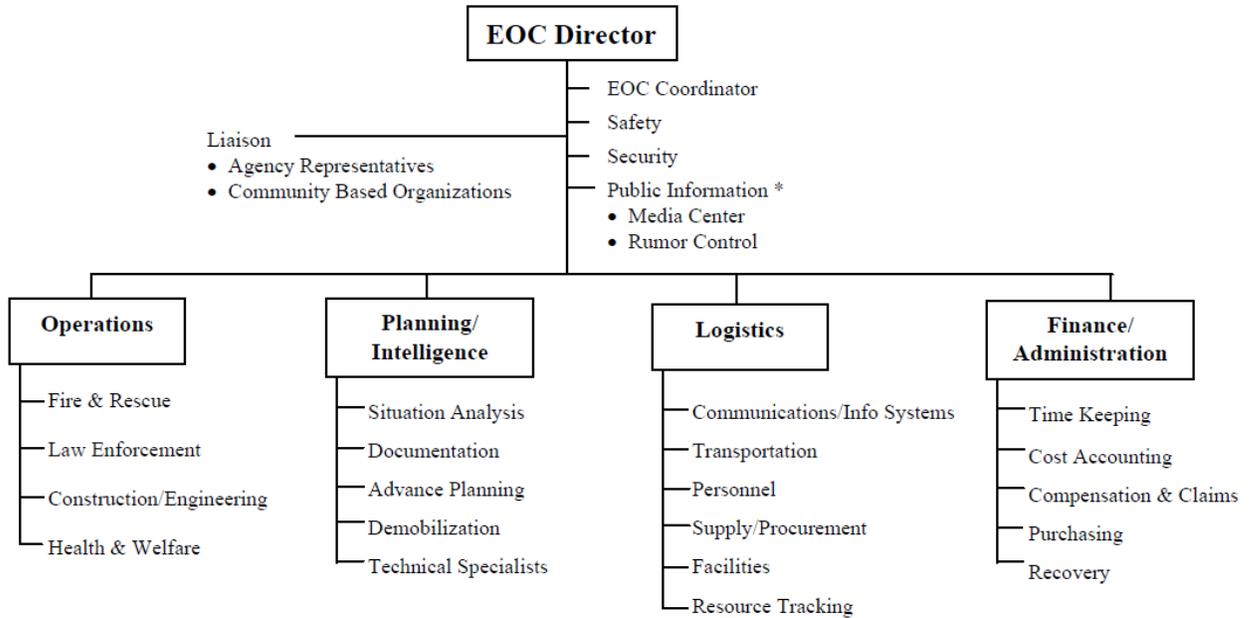
- Establish and maintain a position log and other necessary files.
- Monitor the current situation report to include recent updates and determine overall impacts of the emergency.
- Based on available information, prepare an initial estimate of likely recovery issues that must be addressed. Document these in a preliminary report.
- Coordinate with the Advance Planning Unit to determine major mid-to-long range social, economic, environmental and political impacts.
- Assist the Operational Area as necessary in determining appropriate sites for Disaster Application Centers.
- Facilitate recovery planning meetings involving appropriate Management and General Staff personnel and other agencies as needed.
- Develop a recovery plan and strategy for the jurisdiction or agency.
- Coordinate with Finance/Administration to ensure that FEMA, OES and other public reimbursement source documents and applications are consistent with the recovery strategy.
- In conjunction with Finance/Administration, ensure that specific project timelines are developed to meet the goals and objectives of the recovery plan.

Demobilization Phase:

- Follow the generic Demobilization Phase Checklist.

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V. Small Local Government EOC Functional Organization Chart



* Public Information functions may be organized through use of assistant information officers or as units if necessary.

Each jurisdiction must determine the appropriate organization for the functions to be performed.