

**National Pollution Funds
Center**

**U.S. Department of
Homeland Security**

**United States
Coast Guard**



NPFC INSTRUCTION 16451.2A

**Technical Operating
Procedures for
Incident and Cost
Documentation
on FPN, CPN, & DPN Cases**



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U.S. Department of
Homeland Security

United States
Coast Guard



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NPFCINST 16451.2A

NATIONAL POLLUTION FUNDS CENTER INSTRUCTION 16451.2A

Subj: TECHNICAL OPERATING PROCEDURES FOR INCIDENT AND COST
DOCUMENTATION ON FPN, CPN AND DPN CASES

1. PURPOSE. The enclosed Technical Operating Procedures (TOPs) for incident and cost documentation has been developed to provide guidance to users operating as, or in the support of, the Federal On-Scene Coordinator (FOSC), while using funds from the Oil Spill Liability Trust Fund, CERCLA (Superfund), or Disaster Funds. This guidance will ensure:
 - A. All costs are documented for the incident;
 - B. Responsible parties are identified for the incident; and
 - C. All incident and cost documentation are forwarded to the NPFC in a timely manner.

2. DISCUSSION.
 - A. The National Pollution Funds Center (NPFC) is Administrator of the Oil Spill Liability Trust Fund (OSLTF) and the CG use of CERCLA and Disaster Funds.
 - B. The term "removal cost" found throughout the text of this TOPs refers to the costs in mitigating a pollution incident as a "substantial threat" or "actual discharge". These costs include the costs to prevent, minimize, or mitigate oil pollution from such an incident.
 - C. Attached are instructions and job aids for the preparation and submission of incident and cost documentation.
 - D. COMDT (G-MER) has indicated that it will require Coast Guard program personnel to utilize the Incident and Cost Documentation TOPS for capturing all relevant information on a pollution incident.
 - E. EPA (OERR) has adopted the TOPs, per the CG-EPA MOU "For the Use of OSLTF, dated June 11, 2012.

- F. Other government and state agencies involved in removal activities that seek reimbursement from the OSLTF may make use of these procedures, or request NPFC approval of alternate resource documentation. Alternate systems should cover the same elements and level of detail as the NPFC's TOPs. Additionally, requests should allow sufficient time for the NPFC to review and coordinate approval.
3. DIRECTIVE AFFECTED. Technical Operating Procedures for Incident and Cost Documentation on FPN, CPN and DPN Cases, NPFCINST 16451.2, is hereby cancelled.
 4. CHANGES. This is a complete update to this Technical Operating Procedures (TOPs). When additional changes are necessary, they will be made by the Case Management Division at the NPFC. They will appear as consecutively-numbered changes implemented by a NPFCNOTE.
 5. FORMS AND REPORTS. NPFC has adopted the use of an electronic (Excel) workbook version of the CG-5136 form, now called e5136. The paper version of this form (Pollution Incident Daily Resource Record – PIDRR) for Coast Guard use is no longer available from the NPFC. However, all contractors hired by a FOSC are still required to complete CG-5136E-1 through E-4 based on their Basic Ordering Agreement (BOA) with Shore Infrastructure Logistics Command (SILC). These forms are still located on NPFC's website and included in Enclosure (1), which can be locally reproduced.

PIDRR Contractor Personnel	(CG-5136E-1)
PIDRR Contractor Equipment	(CG-5136E-2)
PIDRR Contractor/Subcontractor Materials	(CG-5136E-3)
PIDRR Contractor Short Form	(CG-5136E-4)
 6. ACTION. This Instruction and its provisions will be adhered to by all NPFC personnel.

WILLIAM R. GRAWE
 Director
 United States Coast Guard
 National Pollution Funds Center

Enclosure: (1) Technical Operating Procedures for Incident and Cost Documentation On FPN, CPN, and DPN Cases.

Request for Comments:

The NPFC desires comments concerning these technical operating procedures. Please address comments to:

Director (cm)
National Pollution Funds Center
U.S. Coast Guard Headquarters
2703 Martin Luther King Jr. Avenue SE
Washington, DC 20598-7605

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Technical Operating Procedures
For Incident and Cost Documentation

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INTRODUCTION

A. This Technical Operating Procedures (TOPS) manual has been updated to reflect changes recommended from the field and improved business practices at the NPFC. This includes basic incident documentation requirements, ensuring responsible parties are identified and the source of this identification is documented in the IRAT, and all cost are clearly documented. The IRAT includes a Financial Summary Report, which should be **submitted by the Coast Guard FOSC within 120 days after the removal activities are completed**. EPA FOSCs must submit documentation in accordance with the EPA/NPFC MOU. When unusual circumstances prevent collecting all cost documentation, the FOSC should submit a partial report, and forward remaining documentation to the NPFC Case Officer within an agreed-upon schedule.

B. During the course of a removal operation, the FOSC should track expenses and project costs to facilitate judgments on proposed actions and additional funding. In response to numerous requests from field units, the enclosed procedures provide an effective method to maintain this system. NPFC Case Officers are available to address specific case questions that may not be covered in these procedures. In addition, NPFC can deploy a Case Officer, upon a request by the FOSC, when an incident's financial matters exceeds FOSC capabilities.

C. Any alternative documentation package requires NPFC review and approval prior to acceptance for use. All forms mentioned in this manual are available from the NPFC website at www.uscg.mil/npfc unless they are specified as no longer available.

D. If you have specific questions, please contact the Regional Manager for your respective zone:

- Northeast and Great Lakes 202-795-6088
- Southeast and Caribbean 202-795-6069
- Gulf Coast and Midwest 202-795-6067
- West Coast 202-795-6073

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Chapter 1
Ceiling Management

CHAPTER 1 – CEILING MANAGEMENT

- A. **GENERAL.** The FOSC is the key individual responsible for financial management during incidents, whether oil, chemical, or disasters (ESF-10). The FOSC has a range of tools to help address this responsibility, but most important is the Finance Section Chief (FSC) who is designated through the Incident Command System (ICS) organization, which exists for every response. The FSC may be from the local unit for a small incident or brought in from an **Incident Management Assist Team (IMAT)** for a larger incident. The FSC may also activate a Cost Unit Leader position who is responsible for tracking all costs associated with the incident.
1. Ceiling management is not a difficult task to accomplish. The FOSC or his/her staff determine that a Federal Project Number (FPN) or CERCLA Project Number (CPN) must be opened to mitigate a pollution incident. During the request process through the **Ceiling And Numbering Assignment Processing System (CANAPS)** it must be determined if the response is for oil or a chemical. There are two funding sources in CANAPS: OSLTF (oil spill cases accessed by CG or EPA FOSCs) and CERCLA (for CG FOSCs that have a hazardous substance cases). An appropriate ceiling amount should be determined for the response based on anticipated obligations (direct costs against each fund accessed). If it has been determined that oil and hazardous substances could be involved, then an FPN and CPN can be requested, one after the other for a specific ceiling amount. This just doubles the FSC's workload by keeping the costs segregated between the two responses that are running concurrently. The **CANAPS** initial screen looks like the screen shot below:



2. Once you request a project through **CANAPS** (CG or EPA), a **C2OIX message** will be sent to the unit stating the unit has opened a federal project for a specific ceiling amount. In addition, an e-mail message is sent to the designated NPFC Regional Manager. An example of the **C2OIX message** is shown below:

Example of CANAPs message via C2OIX (information in red are important financial information):

Generated by OIX Gateway Norfolk VA. PTTUZYUW RHOIAA0001 3551118-UUUU—RHSSUU.

ZNR UUUUU

P 210152Z DEC 15

FM COGARD NPFC WASHINGTON DC

TO COMCOGARD SECTOR ANCHORAGE AK

INFO COGARD NATIONAL RESPONSE CENTER WASHINGTON DC

CCCGDSEVETEENJUNEAU AK//DR/DRM/DMF//

COGARD PST SAN FRANCISCO CA

COGARD SILC NORFOLK VA//PCB1//

COMDT COGARD WASHINGTON DC//CG-533//

BT

UNCLAS //N16465//

SUBJ: FPN NOTIFICATION F/V NIRVANA – J16005

1. FPN ISSUED FOR THIS RESPONSE IS J16005.

2. AUTHORIZED CEILING: \$12,000.

3. PROJECT DATES:

A. INCIDENT DATE: 20 DEC 2015.

B. FOSC ACTION COMMENCE DATE: 20 DEC 2015.

C. DATE PROJECT CREATED: 20 DEC 2015.

4. INCIDENT LOCATION: BOBBY STORRES BOAT HARBOR, AK.

5. BODY OF WATER: UNALASKA BAY.

6. SUSPECTED SOURCE: VESSEL NON-COFR.

7. ESTIMATED QUANTITY OF OIL DISCHARGED: 10 GALLONS.

8. FOSC DETERMINATION OF SUBSTANTIAL THREAT: Y.

9. DESCRIPTION OF SUBSTANTIAL THREAT: THE VESSEL IS PUMPING OILY BILGE WATER OVERBOARD.

10. EST POTENTIAL QUANTITY THAT COULD BE DISCHARGED: N/A.

11. PROJECT LONG NAME: F/V NIRVANA DISCHARGING OIL.

12. INCIDENT DESCRIPTION: BILGE DISCHARGE.

13. NPFC POINT OF CONTACT:

A. NAME: MR. GREGORY BUIE.

B. PHONE: (202) 795-6073.

C. CELL PHONE: (202) 494-9091.

D. FAX: (202) 372-8397.

E. EMAIL: GREGORY.W.BUIE@USCG.MIL.

14. FOSC POINT OF CONTACT:

A. NAME: MST1 MICHAEL SALVIATI.

B. PHONE: (907) 395-1575.

C. FAX: (907) 581-3468.

D. EMAIL: N/A.

15. CAS ACCOUNTING STRING: 2/J/SZ/117/95/0/J16005/37380/XXXX, WHERE XXXX IS OBJECT CLASS.

16. DOCUMENT CONTROL NUMBER: DD/16/35/6/J/YH/YYY. WHERE DD IS THE DOCUMENT TYPE AND YYY IS THE UNIT SEQUENCE NUMBER.

17. UNIT FOSC/FOSCR ARE TO NOTIFY THEIR ADMIN AND SUPPLY/FINC PERSONNEL OF THIS MSG TO ENSURE THAT THE APPROPRIATE PERSONNEL HAVE ACCESS TO THE ACCOUNTING STRING WITHIN THE CG FINANCIAL SYSTEM.

18. FOLLOW NPFC TOPS FOR FUND MANAGEMENT, CEILING MANAGEMENT, AND RESOURCE DOCUMENTATION.

19. POLREPS:

A. ON ALL POLREPS FOR THIS CASE, FOSC MUST INCLUDE COMCOGARD NPFC, COGARD FINCEN (OGQ), COGARD NSFCC, AND COGARD SILC NORFOLK VA//PCB-1//AS INFO ADDRESSEES.

B. INCLUDE AUTHORIZED CEILING AND DAILY COST DATA IN POLREPS.

20. CONTRACTING INFO:

A. IF HIRING A CONTRACTOR UNDER A BOA, ENSURE AN ATP (AUTHORIZATION TO PROCEED) MESSAGE IS ISSUED. OTHERWISE, IF OTHER CONTRACTING SUPPORT IS REQUIRED, CONTACT SILC. CERTIFY CONTRACTOR INVOICES IAW SILC PROCEDURES. CONTACT SILC IF QUESTIONS ARISE.

21. ALL PRFAS SHOULD BE OBLIGATED IN FPD BY THE UNIT. FORWARD PRFAS, THEIR CERTIFIED INVOICES, AND SUPPORTING COST DOCUMENTATION TO THE NPFC POC NOTED ABOVE.

22. ALL OBLIGATIONS COMPLETED BY THE UNIT (I.E., PURCHASE ORDERS) WILL BE PAID BY THE FINANCE CENTER. ENTER OBLIGATIONS IN FPD. FORWARD CERTIFIED INVOICES IAW STANDARD PROCEDURES TO THE FINANCE CENTER.

23. THIS MESSAGE WAS AUTOMATICALLY GENERATED BY THE CANAPS SYSTEM.

24. CIMS_EMAIL FPN: J16005 TYPE: CEILING AUTHORIZATION.

25. CANAPS ID 210152Z DEC 15.

BT

#0001

NNNN

3. **Ceiling management begins with the information in red in the C2OIX message on the previous page.** It is akin to keeping a checkbook or couple of checkbooks, one for each funding stream you may be using. This checkbook must be reconciled and checked regularly to ensure you do not spend more than you have been provided. The reconciliation process must be done concurrently (if more than one project is open) as often as possible to keep abreast of all the financial transactions during the response. The next section below describes two processes that should be incorporated in our standard operating procedures for reconciling your costs on a response. This is a best practice for reconciling your checkbook on a weekly basis.

Part -1 Reconciling Ledgers Between FPD and PES Reports.

- a. There are two financial systems employed during a response. The first involves comparing the FPD ledger to the PES reports from the FINCEN. The Sector serving as the FOSC is the designated Program Element Manager for those funds assigned to the response/incident. The FSC and/or Cost Unit Leader (with assistance from a FOSCR) are responsible to ensure that incident accounts are appropriately reconciled as required by COMDTINST M7100.3 (series) **Financial Resources Management Manual (FRMM)**.
- b. The unit requesting funds should ensure that the individual who will be responsible for reconciling these accounts has access to each account in FPD, and ensuring that the reconciler is an authorized reconciler on the Unit UAP. The process of reconciling these cases is no different than reconciling the unit's OE account. It is imperative, however, that the reconciler communicates with the FSC/Cost Unit Leader (and FOSCR) in order to ensure that transactions hitting the account are valid.
- c. Weekly PES reconciliation is required for these accounts to ensure FPD and CAS are in agreement. PES reports are generated when there is activity within an account. Once the incident is closed and existing transactions have processed, NPFC will execute an FTA pulling any remaining planned amount balance back into the Emergency Fund. NPFC will coordinate with FINCEN to close the cost center disabling the ability to create new obligations. Although the account will not "go away", PES reports will not be generated as long as there aren't any new transactions hitting against the account.

Part -2 - Reconciling Between FPD/CAS/PES and 5136.

- a. The Cost Unit Leader will be capturing all the obligations against the ceiling in an excel workbook called e5136. As the step above is being done, this information should be compared against FPD CAS and PES reports on a weekly basis to ensure all obligations executed on a project are captured and all databases are in agreement. If this is done, you should have an almost perfect record of all the transactions (obligations) for each project initiated.
- b. The e5136 is the official financial record for the response, but the official financial record for the Coast Guard is CAS and they should match for each project. An example of the Project Summary Page from the e5136 is shown on page 17 of this chapter. Note all the different types of obligations (called "**Direct Costs**") that can be generated on a response. Direct costs change the balance of the ceiling. All other costs (e.g. personnel, boats, aircraft, cutters) are called "**Indirect Costs**". For more detailed explanation of the complete e5136 workbook, see Chapter 4 in this TOP.

B. **CERCLA CEILING MANAGEMENT.** CERCLA ceiling management is not any different from what is described above, except for one technical requirement that must be done. CERCLA fund use requires the FSC and/or Cost Unit Leader (or designated person from the unit) to perform pipeline certification of the project funds. The documents for this are to be retained in unit files for audit purposes. This requirement is accomplished using USCG CFO Web Tools/Pipeline Certification Tool (PCT): <http://cfotools/pdt>. In addition, CG-83 may send out ALCGFINANCE messages for meeting specific pipeline certification requirements. Some general comments are provided below:

- **Pipeline definition** – all legal obligations not yet recorded in the financial system of record at the quarter or fiscal year-end. Obligations included in the pipeline are Program Element Status (PES) errors, Transaction Not Yet On PES (TNYOP), and any manual entry into the Pipeline Certification Tool (PCT).
- Pipeline is the difference between CAS and FPD total spending, calculated as TYNOP minus PES errors plus manual entries.
- All financial obligations for selected appropriations (e.g. CERCLA) must be certified at the end of each quarter of the fiscal year except the first quarter.
- **The Pipeline Certification Tool (PCT) is used to certify accounts to FPD or CAS, as determined by the Appropriation Managers.**

C. **DISASTER FUNDS FOR STAFFORD ACT INCIDENTS.** Often, Coast Guard units may be involved with supporting Emergency Support Function #10 – Oil and Hazardous Materials Response Annex from the National Response Framework (NRF). Financial guidance will be provided to the field units from messages sent out by Coast Guard Headquarters (CG-8), Area, District, and the NPFC. In addition, listed below are several Commandant Instructions that should be consulted and/or reviewed by the FSC:

- COMDTINST 3006.1 – Federal Emergency Management Agency (FEMA) Mission Assignments: Operational Acceptance and Execution, dtd August 13, 2012.
- COMDTINST M7100.3 (series), Financial Resources Management Manual (FRMM), Section 5.6.7.8 – FEMA Mission Assignments.
- COMDT (CG-CPE) Memo, dtd August 2, 2012 – FEMA Pre-Scripted Mission Assignments Catalog.
- COMDTINST 3025.1 – USCG Emergency Preparedness Liaison Officer (EPLO) Program, dtd September 30, 2009
- COMDTINST 5400.1A – Obtaining Personnel Resources To Meet Surge Requirements, dtd March 22, 2012.
- COMDTINST 16000.22 – Coast Guard Connectivity to the National Response Framework (NRF), dtd November 9, 2009.
- MER Policy letter 04-13, ESF-10 Guidance for Disaster Response, dtd May 13, 2013.

D. **POLLUTION REPORTS AND CEILING MANAGEMENT.** All POLREPs (SITREP-POL) and other messages related to an incident once OPA or CERCLA funds have been accessed shall include the NPFC, FINCEN, and SILC contracting as info addressees, in addition to current reporting requirements.

- Upon notification by the FOSC that no funding has been expended against an FPN or CPN for response/removal activities, the FOSC cancels the FPN or CPN via CANAPS and the ceiling amount will be reduced to zero.
- The FOSC ensures that obligations from the Fund remain within the ceiling and, if necessary, promptly requests increased ceilings through CANAPS.

- Reporting cost information in the POLREPS can be done as the FOSC desires to convey this information. However, the NPFC would like to see the minimum shown below:

- Current Ceiling of Project: \$0.00
- Direct Costs (Obligations): \$0.00
- Indirect Costs: \$0.00
- Ceiling Balance: \$0.00 (current ceiling minus direct costs only)

Example Showing Ceiling Adjustment using Project Summary Page of e5136 Workbook.

PROJECT SUMMARY

FPN: **J14025** Name: **FV Richard Boes, Jr.**

Current Period: **4/1/2014** to **4/30/2014**

FPN Ceiling	\$25,000,000.00
Total Coast Guard Personnel Costs:	\$118,092.00
Total Coast Guard Boats Costs:	\$3,646,206.00
Total Coast Guard Cutters Costs:	\$6,785,544.00
Total Coast Guard Aircraft Costs:	\$2,504,646.60
Total Coast Guard Equipment Costs:	*\$122,458.00
Total Coast Guard Marine Safety Lab Costs:	\$78,850.00
Total Coast Guard Vehicles Costs:	\$4,046.00
Total Coast Guard Indirect Costs:	\$13,259,842.66
Total Coast Guard Purchases (Doc Types 23 & 32):	\$92,050.00
Total Coast Guard Travel Orders (Doc Type 11 & 13):	\$241,435.00
Total Coast Guard GTR Costs (Doc Type 14):	\$75,650.00
Total Coast Guard Reserve Salary Costs (Doc Types 71 & 72):	\$53,525.00
Total Coast Guard Auxiliary Costs (Doc Type 27):	\$76,835.00
Total Coast Guard PRFA Costs (Doc Type 34):	\$2,571,000.00
Total Coast Guard MIPR Costs (Doc Type 28):	\$3,795,000.00
Total Coast Guard Contractor Costs (Doc Type 24):	\$2,340,000.00
Total Coast Guard Direct Costs:	\$9,245,495.00
Total Costs (To Date)(Direct & Indirect)	\$22,505,337.66
Ceiling Remaining (Not Obligated)	\$15,754,505.00

Project Ceiling!

Obligations are summarized here for the overall project. These values are subtracted from Ceiling amount above.

DAILY BURN RATE:	
Total Coast Guard Direct Costs (Obligations):	\$9,245,495.00
Total Days (Obligation(s) are based on)	30
Total Coast Guard Indirect Costs:	\$13,259,842.66
Total Days Coast Guard Has Been Involved:	5
Expected Duration of Spill	60
Daily Burn Rate (Direct Costs Only - For NPFC)	\$308,181.83
Daily Burn Rate (Indirect Costs Only - For NPFC)	\$2,651,968.53
Daily Burn Rate (All Costs Factored Into Equation - For Everyone's Use):	\$2,960,151.70

Remaining Project Ceiling.

ESTIMATED TOTAL PROJECT	\$177,609,101.92
<small>(Daily Burn All Costs)X(Expected Duration of Spill)+(Previous Cost)</small>	

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Chapter 2
Incident Typing Characteristics &
Documentation Flow

CHAPTER 2 – INCIDENT TYPING CHARACTERISTICS & DOCUMENTATION FLOW

- A. Starting with its commissioning in 1991, NPFC has used a basic incident classification system based primarily on dollar thresholds and other agency participation.
- Level I – Routine incidents which represented approximately 85% of all oil spill incidents, removal costs did not exceed \$50,000.00, and was localized and completed in less than two weeks.
 - Level II – Moderate complex incidents represented approximately 10% of all oil spill incidents, removal costs were between \$50,000.00 and \$200,000.00 and external resources were mobilized and lasted more than two weeks.
 - Level III – Significantly complex which represented 5% of all oil spill incidents, removal costs exceeded \$200,000.00 and multiple agency resources were utilized at several locations.
- B. The U.S. Coast Guard adopted the Incident Command System (ICS) as the all-hazard, all-risk incident management system in 1998. In 2004, the Coast Guard adopted the National Incident Management System (NIMS), which included ICS as one of the five components of NIMS. The NIMS includes a core set of concepts, principles, and terminology to provide for interoperability and capability among Federal, State, local, tribal, and private sector capabilities. One of the components of NIMS is the definitive typing of incidents, using a Five Tier description as described on the next page. The NPFC is now using this incident typing to describe the documentation requirements. The documentation requirements are the same for a Type 5 incident through a Type 1 incident, except the amount of documentation has expanded significantly with the larger class incident. Documentation from all resources is submitted to the FOSC as often as practicable (daily if possible) until final removal activities are completed. The Typing Characteristics are provided in the table on the next page.
- C. The FOSC is considered to be the best judge of the factors involved in an event and is expected to meet the level of documentation appropriate for the circumstances as described in the table on the next page. To help the FOSC staff meet NPFC's data requirements, several job aids and checklists were created to facilitate the documentation requirements. Pages 23 through 35 have job aids field personnel can use to ensure they address all of NPFC's documentation requirements.

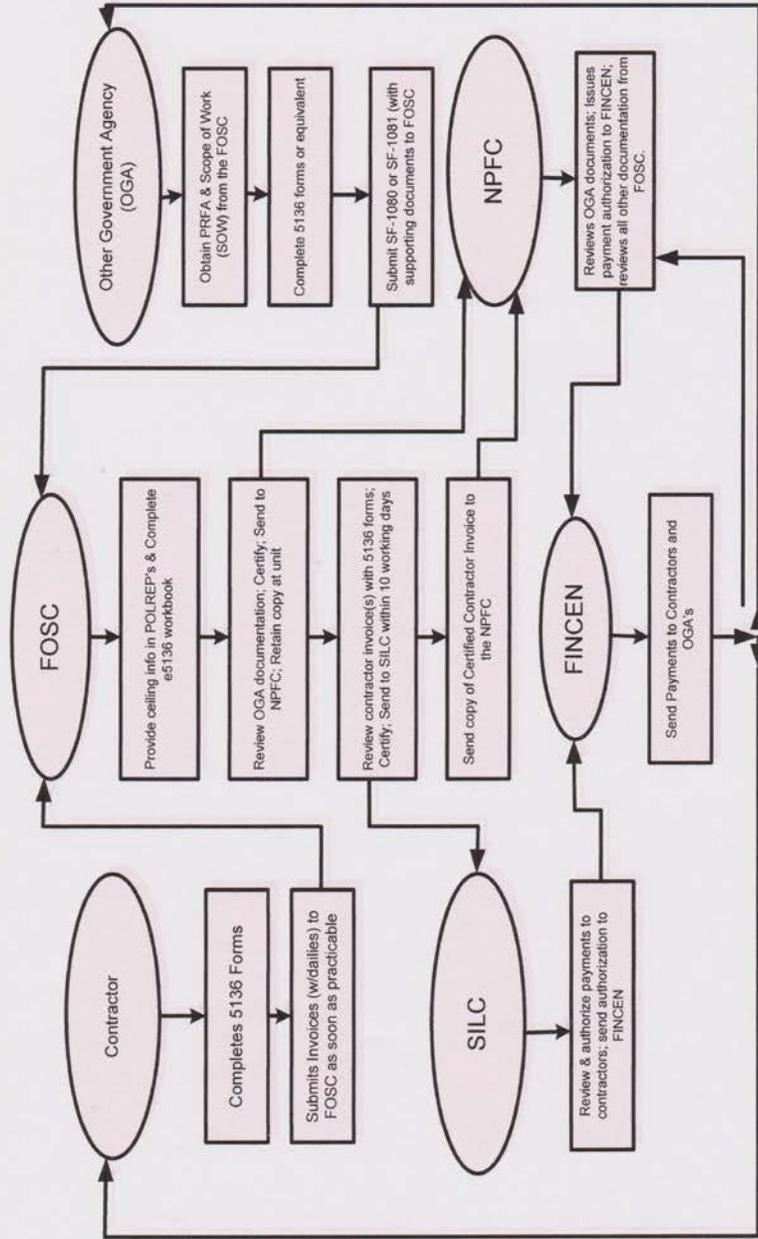
Coast Guard Incident Typing Characteristics (excerpt from
Chapter 25), USCG IMH, May 2014:

A catastrophic incident is defined as any natural or manmade incident, including terrorism, which results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environments, economy, national morale, or government functions.

Type 1	<ul style="list-style-type: none"> A. This type of incident is the most complex, requiring national resources for safe and effective management and operation. B. All command and general staff positions are filled. C. Operations personnel often exceed 500 per operational period and total personnel will usually exceed 1,000. D. Branches need to be established. E. Highly complex information management requirements including the use of one or more incident management software tools and a COP. F. A written incident action plan (IAP) is required for each operational period. G. The agency administrator will have briefings, and ensure that the complexity analysis and delegation of authority are updated. H. Use of resource advisors at the incident base is recommended. I. There is a high impact on the local jurisdiction, requiring additional staff for office administrative and support functions.
Type 2	<ul style="list-style-type: none"> A. This type of incident extends beyond the capabilities for local control and is expected to go into multiple operational periods. A Type 2 incident may require the response of resources out of area, including regional and/or national resources, to effectively manage the operations, command and general staffing. B. Most or all of the command and general staff positions are filled. C. A written IAP is required for each operational period. D. Many of the functional units are needed and staffed. E. A formal Information Management Plan is developed. F. Operations personnel normally do not exceed 200 per operational periods and total incident personnel do not exceed 500 (guidelines only). G. The agency administrator is responsible for the incident complexity analysis, agency administration briefings, and the written delegation of authority.
Type 3	<ul style="list-style-type: none"> A. Some or all of the command and general staff positions may be activated, as well as division/group supervisor and/or unit leader level positions. B. A Type 3 IMST or incident command organization is established. C. Operations personnel normally often exceed 25 per operational period and total incident personnel do not exceed 200 (guidelines only). D. The incident required multiple operational periods. E. A written IAP is required for each operational period.
Type 4	<ul style="list-style-type: none"> A. Command staff and general staff functions are activated only if needed. B. Several Resources are required to mitigate the incident, including a task force or strike team. C. The incident is usually limited to one operational period in the initial response phase. D. The agency administrator may have briefings, and ensure the complexity analysis and delegation of authority is updated. E. No written IAP is required but a documented operational and safety briefing will be completed for all incoming resources. F. The role of the agency administrator includes development of objectives and priorities. G. Examples include a maritime search and rescue case, small recoverable oil spill, or extended law enforcement boarding.
Type 5	<ul style="list-style-type: none"> A. The incident can be handled with one or two single resources with up to six personnel. B. Command and general staff positions (other than the incident commander) are not activated. C. No written IAP is required. D. The incident is contained within the first operational period and often within an hour to a few hours after resources arrive on scene. E. Examples include a maritime search and rescue case, sheen or unrecoverable oil spill, MEDEVAC of an injured person, or a law enforcement boarding.

Documentation Flow

The following flowchart shows the general documentation flow during a response, but each FOSC and staff should use the FOSC Financial Management Checklist and the Case/Cost Documentation Checklist to ensure everything is captured and submitted to SILC and/or the NPFC (see next several pages).



The **Case/Cost Documentation Checklist** was developed at the request of field personnel to ensure they include all relevant documentation upon completion of all removal activities. The FOSC's staff should use this checklist as a guide before submitting the Incident Documentation to the NPFC. This checklist is available on the NPFC's website at: <http://www.uscg.mil/npfc>.

<p>U.S. DEPARTMENT OF HOMELAND SECURITY U.S. COAST GUARD NATIONAL POLLUTION FUNDS CENTER NPFC 16480 (Rev. 09/14)</p>	<p>CASE /COST DOCUMENTATION CHECKLIST FOR FEDERAL PROJECT NUMBERS (FPNs), CERCLA PROJECT NUMBERS (CPNs), AND DISASTER PROJECT NUMBERS (DPNs)</p>
<p>Checklist for FOSCs as they collect, prepares, and finalizes cost documentation packages for submission to the NPFC</p>	
<p><input type="checkbox"/> Incident Report and Transmittal Form (IRAT) (5 pages)</p> <ul style="list-style-type: none"> <input type="checkbox"/> Page 1 – Complete all applicable sections. Identify all supplemental documents as enclosures to this IRAT. <i>Ensure this is signed by the FOSC or designated person.</i> <input type="checkbox"/> Page 2 – Complete all applicable sections. Provide name, address, and phone numbers of all involved parties (owner, operator, guarantor, or insurance representative). <input type="checkbox"/> Page 3 – Complete all applicable sections about the contractors hired by the CG. <input type="checkbox"/> Page 4 – Complete all applicable sections about other government agencies (OGAs) involved in this case. <input type="checkbox"/> Page 5 – Complete this section identifying all other key parties, including other CG units involved. 	
<p><input type="checkbox"/> Strike Team Participation</p> <ul style="list-style-type: none"> <input type="checkbox"/> Capture all members of the Strike Team on the dailies, unless they do a separate daily. <input type="checkbox"/> Collect a copy of each member's travel orders and liquidated travel claims (TVS). <i>Note: Each traveler is required to hold a copy of his/her documents for 6 years and 3 months, no exception.</i> <input type="checkbox"/> Collect a copy of the Strike Team Incident Summary Report (ISR) and include it as an enclosure to the IRAT. 	
<p><input type="checkbox"/> Ceiling Messages, Situation Reports, Pollution Reports, Strike Team Launch Messages, NRC Messages</p> <ul style="list-style-type: none"> <input type="checkbox"/> Collect copies of all these messages as they pertain to this case and include them as enclosures to the IRAT. 	
<p><input type="checkbox"/> Coast Guard Cost Documentation</p> <ul style="list-style-type: none"> <input type="checkbox"/> Ensure all the dailies are completed and signed by the FOSC/FOSCR. <input type="checkbox"/> Ensure all personnel involved in the response are listed on the dailies. <input type="checkbox"/> Ensure all equipment physically used in the response area listed on the dailies. <ul style="list-style-type: none"> <input type="checkbox"/> Aircraft, Cutters, and Boats – get copy of the ALMIS printouts for each resource. The Nav Log (CG-4380B & C) for cutters may be required to validate MEP activities in supporting FOSC. <input type="checkbox"/> Ensure all the TONOs are "accounted for or noted" on the dailies. <ul style="list-style-type: none"> <input type="checkbox"/> Include a copy of all signed travel orders. <input type="checkbox"/> Include a copy of all liquidated travel claims (Travel Voucher Summary - TVS). (Member is required to hold these records for 6 years 3 months). <input type="checkbox"/> Ensure all GTRs/SATO tickets used are "accounted for or noted" on the dailies. <ul style="list-style-type: none"> • Include a copy of flight itinerary showing payment made on GTA Account (not member's travel card). <input type="checkbox"/> Ensure all purchase requests (PRs), CG ICS 213RRs, Purchase orders (POs), and credit card purchases are "accounted for or noted" on the dailies. <ul style="list-style-type: none"> • Include copies of all obligation documents, which must be signed. • Include copies of all receipts for purchases (i.e., the receipts the vendors provide for a purchase or for services rendered). • Include all paperwork for property purchases that require disposal at a DLA's disposal sites or approved receiving agency. <input type="checkbox"/> Include any MIPR (DOD Assets). (These documents are coordinated through SILC office.) 	
<p><input type="checkbox"/> Pollution Removal Funding Authorizations (PRFAs) (All CG units must obligated in FPD. All EPA issued PRFAs will be obligated by NPFC in FPD).</p> <ul style="list-style-type: none"> <input type="checkbox"/> Include a signed copy of the PRFA(s) in the documentation. <input type="checkbox"/> Include a copy of any amendments to PRFAs in documentation. <input type="checkbox"/> Include the completed SF-1080 or SF-1081 from agency under the PRFA. <input type="checkbox"/> Include the completed cost documentation package from agency under the PRFA. <input type="checkbox"/> Ensure FOSC endorsement is evident on the agency cost documentation package. 	
<p><input type="checkbox"/> Contractor Services.</p> <ul style="list-style-type: none"> <input type="checkbox"/> Include a copy of the signed PR and OF-347 (Delivery Order) and any amendments. <input type="checkbox"/> Include a copy of the Authorization to Proceed (ATP) to contractor (if applicable) or message ATP. <input type="checkbox"/> Include a copy of the contractor's invoice, with FOSC endorsement on services rendered. <input type="checkbox"/> Include a copy of the Contractor Dailies signed by contractor and FOSCR (CG-5136 forms or equivalent as authorized by NPFC/SILC). <input type="checkbox"/> Include a copy of the Contractor's Waste Manifest for disposal. 	
<p>See NPFC's Web site (www.uscg.mil/npfc) at Home>Response>Cost Documentation for forms and instructions.</p>	
<p>NPFC 16480 (Rev. 09/14)</p>	

The **FOSC Financial Management Checklist** was developed to address all incident documentation and cost documentation issues from a “cradle to grave” perspective, regardless if it is an FPN, CPN, or DPN case. If unique circumstances are encountered, e.g., cases involving a DPN, specific guidance will be conveyed by the assigned NPFC Case Officer. This checklist does not address DPN responses, but the information in the checklist can be used to collect baseline information until subsequent guidance is provided. This checklist is located on the NPFC’s website: <http://www.uscg.mil/npfc>.

Page 1.

<p>CG NPFC-CM01</p>	<p>NPFC FOSC Financial Management Checklist Rev. January 2016</p>
<p>Department of Homeland Security U.S. Coast Guard National Pollution Funds Center 2703 Martin Luther King, Jr. Ave., SE Washington, D.C. 20593-7605 202-795-6000 www.uscg.mil/npfc</p>	<p style="text-align: center;">FOSC Financial Management Checklist for Oil Spills & HAZMAT Release</p> <p style="text-align: center;"><i>Step-by-step guidance for USCG & EPA FOSCs who are using the OPA/OSLTF or CERCLA/Superfund and must monitor cost documentation during response to a spill or release.</i></p>
<p>WHEN A DISCHARGE OR RELEASE OCCURS</p>	
<p><input type="checkbox"/> Determine funding source. ___ OPA/OSLTF ___ CERCLA/Superfund</p>	
<p><i>OSLTF Funding is available for federal oil removal activities under the authority of Section 311(c) of the FWPCA, 33 U.S.C. 1321(c). In general, when:</i></p> <ul style="list-style-type: none"> ✓ There is a discharge of oil or a substantial threat of a discharge of oil ✓ EITHER into or on U.S. navigable waters, adjoining shoreline, or the waters of the U.S. exclusive economic zone. ✓ OR that may affect natural resources belonging to the U.S. or under U.S. exclusive management authority. <p>The FOSC may:</p> <ul style="list-style-type: none"> ✓ Remove or arrange for removal of a discharge and mitigate or prevent a substantial threat of a discharge; ✓ Direct or monitor all Federal, State, and private actions to remove a discharge; ✓ Remove and, if necessary, destroy a vessel discharging or threatening to discharge (may require Commandant approval). 	<p><i>For Coast Guard FOSCs, Coast Guard CERCLA Funding applies if the requirements for Response Authorities in Section 104 of CERCLA, 42 U.S.C. 9604 are met. In general, when:</i></p> <ul style="list-style-type: none"> ✓ There is a release of a hazardous substance (other than oil) or substantial threat of a release into the environment that presents an imminent and substantial threat to public health or welfare. ✓ OR there is a release of a pollutant or contaminant that may present an imminent and substantial danger to the public health and welfare, <p>The FOSC may:</p> <ul style="list-style-type: none"> ✓ Take action to remove or arrange for the removal of and provide for remedial action relating to such hazardous substance, pollutant, or containment at any time.
<p><i>For more information on OPA, the OSLTF, CERCLA, and Superfund, see About NPFC on NPFC's home page (http://www.uscg.mil/npfc/About_NPFC/default.asp).</i></p>	
<hr/> <p>www.uscg.mil/npfc Page 1</p>	

Collect incident information.

Name of incident: _____

Date of incident or discovery: _____

Location (body of water, city, state): _____

Latitude and longitude: _____

Type of oil/substance: _____

____ Visual Observation

____ Field Testing

____ Lab analysis

____ Report by knowledgeable party

____ Other: _____

Quantity of oil/substance: _____

Description of substantial threat: _____

Potential quantity of total oil discharge/HAZMAT release: _____

Access CANAPS to get FPN/CPN and request ceilings
(<https://npfc.uscg.mil/CANAPS/>).

OSLTF Responses
Federal Project Number: _____
Final Authorized ceiling: _____

CERCLA Responses
CERCLA Project Number: _____
Final Authorized ceiling: _____

- Note:**
- (1) CG FOSC can access an FPN up to \$500,000 via CANAPS.
 - (2) EPA FOSC can access an FPN up to \$50,000.00 via CANAPS.
 - (3) Any request higher than these threshold limits requires NPFC Case Officer to approve.
 - (4) Refer to CANAPS message for accounting line and Document Control Number (DCN) construction.

If you cannot access CANAPS:

1. Contact another FOSC who can submit the request as a surrogate for you.

Any FOSC can be a surrogate for any other FOSC in their agency; any EPA FOSC can open an FPN for any other EPA FOSC, and any USCG FOSC can open a project for any other USCG FOSC. In addition, a USCG FOSC can open a project for an EPA FOSC.

2. Contact the NPFC Command Duty Officer (CDO) (*see box at bottom of this page*).
3. As the FOSC, you are authorized to obligate up to \$50,000 for response actions.

CERCLA Only. If the estimated ceiling is:

- Equal to or greater than \$250,000, contact your NPFC Regional Manager for assistance in submitting an Action Memorandum to EPA before obligating the amount,
- Less than \$250,000, document the finding of imminent and substantial endangerment in POLREP one.

<p>The finding at a minimum must include:</p> <ul style="list-style-type: none"> ➤ The hazardous substance(s), pollutant(s), or contaminant(s) involved; ➤ A description of what is affected or threatened (people, animals, crops, drinking water, etc.); ➤ A statement indicating that this situation presents an imminent and substantial threat to public health, welfare, or the environment; and ➤ A description of the response action necessary to neutralize the threat.

Contact the NPFC for assistance. Assigned Case Officer: _____

Gulf Coast & Midwest	Team I	202-795-6067
Southeast	Team II	202-795-6069
West Coast, Alaska, Hawaii	Team III	202-795-6073
Northeast & Great Lakes	Team IV	202-795-6088
<p>If your regional manager is not available: Call the duty officer's cell phone at (202) 494-9118 or e-mail at NPFC.CDO@uscg.mil. or Call the NPFC Command Duty Officer (CDO) by contacting the National Response Center (NRC) at 1-800-424-8802 or (202) 267-2675.</p>		

- Download the Electronic CG-5136 Workbook for ceiling management and for documenting all the costs on both FPN and CPN cases:**
www.uscg.mil/npfc/Response/Cost%20Documentation/cg5136.asp

The workboat consists of three levels of information:

- ◆ **Project Summary** – used to monitor ceiling, track overall costs and provides a burn rate of costs.
- ◆ **Summary Page** – provides an overall summary of cost for each day and each cost category.
- ◆ **Daily Summary** – is where all the cost data is entered which rolls up to the two levels above.

- Actively manage the funds assigned to the FPN/CPN (CG FOSCs Only)**

- CG FOSCs shall within three (3) business days after receiving an FPN/CPN and ceiling from CANAPS:
 - Open FPD and ensure access to the account line established for the incident.
 - Verify that the planned amount is the authorized ceiling from CANAPS. If it is not, contact the NPFC Case Officer.
- Upon receipt of the funds through CANAPS, the FOSC is designated as the Program Element (PE) Manager. The FOSC is responsible for the control of the OSLTF/CERCLA Funds provided for the removal.
 - PE Managers may be assigned by individual who are staff-trained in financial management. However, the PE Manager is directly accountable for funds trusted to his or her control.
 - The specific responsibilities of the PE Manager are detailed in the Financial Resources Management Manual (FRMM), COMDTINST M7100.3D, Section (3.H.10).
- Critical Functions. The FOSC shall:**
 - Record all obligations in FPD as they are incurred.
 - Ensure that reconciliation of financial management systems is performed in accordance with current CG guidance.
 - Adhere to CG UDO (Undelivered Orders) policy and procedures including maintaining source documentation for valid obligations and procurements, validating open obligations, and de-obligating open obligations that are no longer needed.

- Follow the NPFC's guidance for use of funds and to arrange response actions. Contract through SILC (cob1) and use Pollution Removal Funding Authorizations (PRFAs) for Other Government Agencies (OGAs). EPA FOSCs use their START (Superfund Technical and Response Team) or ERRS (Emergency and Rapid Response Services) contractor's, but may use USCG BOA contracts, if needed.

Resources on NPFC's Web Site (www.uscg.mil/npfc)

The NPFC's User Reference Guide (URG) includes guidance on contracting (www.uscg.mil/npfc/urg/default.asp).

PRFA forms and instructions are available on NPFC's Web site (www.uscg.mil/npfc/Response/Cost%20Documentation/prfa.asp) as well as in the URG.

During Cleanup – Every Day

- Monitor Contractors.**

- Collect contractor daily worksheets or delivery tickets and/or Pollution Incident Daily Resource Reports.
 - Oil spill response contractors may use the Parts E1 to E4 of the CG-5136 form to track and submit daily costs. These forms are available on NPFC's Web site: (www.uscg.mil/npfc/Response/Cost%20Documentation/cg5136.asp) as well as in the URG.
 - Follow the 10-10-10 Rule!

 - 1) Forward invoices to SILC (cob1) within 10 days.
 - 2) SILC (cob1) forwards payment authorization to FINCEN within 10 days of receipt.
 - 3) FINCEN pays the contractor within 10 days of receipt.
 - Date-stamp all invoices upon receipt. (Prompt Payment act applies; payment is due to the contractor within 30 days.) Within 10 days of receipt of invoices, certify that work was performed as ordered (as FOSC, you should not certify work that was not ordered) and forward to SILC (cob1).
- MIPRs (Military Interdepartmental Purchase Agreements):
- Coordinate with SILC (cob1) when DOD assets are being requested and a DD-448 must be issued. Comply with the requirements of SILC and the FINCEN's SOP. A DD-448-2 is used for Acceptance of MIPR.
 - The document number assigned to the MIPR must be unique and remain the same throughout the life of the agreement.
 - Keep NPFC Case Officer in the loop when these services are requested.

Monitor Coast Guard Units.

- Consolidate all daily reports for your unit onto the Pollution Incident Daily Resource Reports (CG-5136). (This should cover all unit resources involved in removal activity).
 - To expedite tracking all CG costs, you should use the Electronic CG-5136 Workbook. See job aid for completing the electronic 5136 workbook located at this website:

www.uscg.mil/NPFC/Response/Cost%20Documentation/CG5136.ASP

- Collect all official records for aircraft, cutters, and small boats by accessing ALMIS and print the documents. Official Navigation Record should also be collected from all cutters involved in the response.
- For a SONS or when a UAC is established, ICS-213RR CG Resource Request Forms for equipment and vehicles shall be submitted with the CG-5136 form.
- Keep copies of all travel claim packages. (Members are also required to keep copies of all travel claim packages for 6 years and 3 months.)

Each travel claim package must include:

- Copy of signed original orders (which **must** be signed by an approving official and Funds Certifying Officer, including those generated by Direct Access).
- Copy of all signed amendments.
- Copy of Travel Voucher Summary (TVS)

In addition, if a Government Travel Request (GTR) was used, include a copy of the airfare itinerary to show the GTA account was used to pay the airfare.

Monitor other government agencies (OGAs).

- Issue Pollution Removal Funding Authorizations (PRFAs) and definitive scopes of work (SOWs) to other Federal and state agencies participating in the FOSC-directed response.

PRFA forms and instructions are available on NPFC's Web site:
www.uscg.mil/npsc/Response/Cost%20Documentation/prfa.asp as well as in the URG.

- Collect OGA SF-1080 or SF-1081 vouchers and supporting documentation in accordance with the PRFA.

SF-1080 or SF-1081 forms and instructions are available on NPFC's Web site:
www.uscg.mil/npsc/Response/Cost%20Documentation/sf1080.asp as well as in the URG.

- Review OGA SF-1080 or SF-1081 voucher and certify that work was performed as ordered.

Validate all obligations and track them against the ceiling.

- Ensure all direct expenses (obligations) are entered on the CG Dailies or the Electronic CG-5136 Workbook and have been entered into Finance Procurement Desktop (FPD) by the unit.

Note: Obligations include:

- Travel orders;
- GTR's;
- Contractors;
- PFRAs (for OGAs);
- MIPRs;
- Purchase Orders;
- Credit Card Purchases;

- In addition:
 - Enter all indirect expenses (anticipated costs/estimates of Coast Guard resources based on Coast Guard Standard Rates such as CG personnel, vehicles, aircraft, boats, cutters, and Strike Team resources). CG aircraft, cutters, and boats should also be supported by official records found in ALMIS. **Note: These costs are tracked but do not impact the ceiling of the incident.**
 - During a SONS or when a UAC is established, the FSC will ensure a copy of all ICS-213RR's for equipment and vehicles are collected and attached to the 5136 dailies.

USCG Standard Rates are available on NPFC's Web site:
(www.uscg.mil/npfc/Response/Cost Documentation) as well as in the URG.

Use CANAPS if you must increase the ceiling (<https://npfc.uscg.mil/CANAPS/>)

For example, if you have reached \$40K against the \$50K ceiling, and you expect the total costs to exceed \$50K, increase your ceiling to accommodate the anticipated needs of the response.

Contact your NPFC Case Officer or the SILC (cob1) Contracting Officer, as appropriate, anytime you need assistance.

After the Response Action Is Completed

Certify contractor invoices within 10 "Calendar Days" of receipt of invoices.

Ensure that all certification for receipt of services is in accordance with the standard SILC (cob1) and Finance Center procedures. (Contact appropriate SILC (cob1) contracting officer if questions arise, or if invoice cannot be certified. The FOSC certifies receipt of invoiced goods and services in quantities indicated; the cognizant contracting officer verifies costs).

Forward certified contractor invoices to SILC (cob1), as appropriate.

- Keep copies of all certified contractor invoices for the unit's files.**
- De-Obligate remaining unused funds in FPD when all invoices have been paid.**
- Compile an inventory of all equipment purchases.**

- All reportable property and highly pilferable property must be disposed of at DRMS and should not be kept at the unit.
- Provide disposition reports on all property and comply with COMDTINST M4500.5 (Series)

- Within 120 days of completion of cleanup, send the Financial Summary report to the NPFC.**

- The Financial Summary report includes:
 - Incident Report and Transmittal (IRAT)
 - The Incident Report and Transmittal form serves as a coversheet to the project's Financial Summary report. It is available on NPFC's Web site: (www.uscg.mil/npfc/Response/Cost%20Documentation/irat.asp) as well as in the URG.
 - FOSC Pollution Daily Resource Reports.
 - Contractor Invoices & Daily Resource Reports
 - Other Government Agencies Resource Documentation (SF1080/1081 with invoices, Daily Resource Reports, PRFAs with SOWs)
 - Inventory of Equipment Purchased
- If you are using the Electronic CG-5136 form (i.e., the Excel spreadsheets) and you also generate or collect handwritten invoices, dailies, and notes, do not throw them away. They should become part of your case file. In court, the electronic forms may not be considered "original" documentation.

Retain records according to the USCG's Records Schedule; keep case file for:

- **Major spills** for 10 years before forwarding them to NARA as permanent records.
- **Medium and minor spills** for 20 years before destroying them.
- The NPFC may request a longer retention period for a particular case to support cost recovery or other litigation efforts.

OSLTF case files are subject to auditing by the NPFC; they must contain all paperwork relevant to the response effort, including but not limited to:

- Procurement paperwork
- Travel documentation
- News clips
- Credit card information paperwork
- Polreps

More information on OSLTF internal controls and audits is available on NPFC's Web site:
<http://www.uscg.mil/npfc/Response/Cost%20Documentation/default.asp>

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Chapter 3
Pollution Incident Report and Transmittal (IRAT)
& Financial Report

CHAPTER 3 – INCIDENT REPORT AND TRANSMITTAL (IRAT)

- A. The **Incident Report and Transmittal** serves two purposes: (1) it provides necessary incident documentation on the pollution incident, and (2) it serves as a transmittal form to forward the FOSC's Financial Summary Report to the NPFC.
- B. **The Financial Summary Report** is a component of the IRAT. It consists of all the financial information compiled on the response. The Case/Cost Documentation Checklist and the FOSC Financial Management Checklist (discussed in Chapter 2) are the best practice tools to ensure all documentation is captured on a response. Examples of information that would be included are:
- e5136 workbook for the response, which includes the Project Summary, Daily Summary, and Individual Dailies:
 - ALMIS data for boats, cutters and aircraft.
 - Documentation supporting any purchases (whether credit card or Purchase Order).
 - TONO's (Travel Order Number) & TVS's (Travel Voucher Summary).
 - All contractor documents:
 - OF-347.
 - Contractor's Invoice (with FOSC's certification stamped on it).
 - Dailies supporting contractor's invoice.
 - ATP (Authorization to Proceed) message to SILC.
 - ATP (Authorization to Proceed) form to contractor.
 - PRFA (Pollution Removal Funding Authorization) documents:
 - PRFA (with FOSC endorsement of reimbursement).
 - Scope of Work.
 - Agency Billing.
 - Documentation supporting billing.
 - SF-1080 or SF1081.
- C. **Unit Abbreviated IRAT/Financial Summary Reports**. The NPFC has allowed minimal documentation from the FOSC's in the past, but this is no longer allowed because of internal controls and audits at the National Pollution Funds Center. Consulting with your respective Regional Manager may allow a deviation from this on selective cases.
- D. **Unit out-of-pocket expenses**. A Coast Guard unit **should never incur out-of-pocket expenses on a response**. Once a report of an oil or hazardous substance spill is received, an FPN or CPN should be opened to cover any direct costs. If for some unforeseen reason, the unit incurs expenses using unit funds, the Response Department Head should contact the NPFC Regional Manager for guidance. This is usually corrected by initiating a "PES Error" to the Finance Center. But at the minimum, the same detail of "cradle to grave" financial documentation is required as described in this chapter. **The CG unit should also consult the NPFC TOPS for Determining Removal Costs Under The Oil Pollution Act of 1990** located on the NPFC's website.
- E. **Report Due Dates**. The FOSC should prepare and submit this report and appropriate enclosures **within 120 days after completion of removal activities**. Anytime a response is expected to last for an extended period of time (90 days or more), interim reports should be submitted at 30 day intervals or as required by the NPFC Regional Manager. EPA documentation is submitted in accordance with the NPFC/EPA MOU.

F. **How To Complete Page 1 – IRAT.**

1. Instructions on completing Page 1.

- **Date:** Insert the date report is completed.
- **From:** Insert the unit's name.
- **To:** Director, National Pollution Funds Center.
- **Subj:** Insert the FPN/CPN/DPN.

2. Incident Information.

- **FPN/CPN/DPN:** Insert the Federal, CERCLA, or Disaster Project Number.
- **MISLE Information:** Enter the "Case Number" and/or "Activity Number".
- **Date of Incident:** Insert the date the incident occurred, was reported, or discovered.
- **Date of OPA/CERCLA/Disaster Actions Started:** Insert the date unit commenced operations.
- **Date of OPA/CERCLA/Disaster Actions Completed:** Insert the date unit concluded removal operations.
- **Location of Incident:** Provide the location of the incident, for example, insert the St. Lawrence River, off Alexandria Bay, New York.
- **Material Involved:** Insert the type of oil(s) or hazardous substance(s) discharged or that posed a substantial threat of discharge.
- **Quantity Discharged:** Insert the amount of oil or hazardous substance discharged (best estimate).
- **Was There A Substantial Threat:** Check the appropriate block.
- **Water or Resource Affected:** Enter the body of water affected by the discharge.
- **Primary Unit Contact and phone number:** Insert the name of person designated with the responsibility to complete documentation.

3. Financial Information.

- **Total Authorized Ceiling:** Insert the dollar amount of the final removal ceiling for this incident.
- **Total CG Direct Costs:** Insert the total dollar amount of all Coast Guard obligations (contractors, PRFAs, purchases, TONOs, etc.). If these obligations are closed out (UDO's), then the true costs should be reported.
- **Total CG Indirect Costs:** Insert the total dollar amount of all CG resources (personnel, boats, aircraft, and cutters).

4. Source Designation.

- **Has Source Been Identified:** Check the appropriate block.
- **Has Source Been Designated:** Before checking this item, coordinate with the NPFC Case Officer. Checking this block means a Notice of Designation was issued for the RP to meet all the advertisement for claims requirements.

5. Signature Block.

- **Submitted By:** Signature of person completing report.
- **Approved By:** Signature of Federal On-Scene Coordinator (FOSC) or his/her designated representative.

6. Enclosures.

- **Complete as appropriate:** List all other applicable enclosures attached to this report.

Incident Report and Transmittal Page 1

Date: _____

From: _____

To: Director, National Pollution Funds Center

Subj: Forwarding of Financial Summary Report for FPN/CPN/DPN: _____

Incident Information:

Federal Project No. / CERCLA / Disaster Case No.: _____

MISLE Case Number: _____ MISLE Activity Number: _____

Date of Incident: _____ Date OPA/CERCLA/Disaster Actions started: _____

Location of Incident: _____ Date OPA/CERCLA/Disaster Actions completed: _____

Material Involved: _____ Quantity Discharged: _____

Was there a Substantial Threat? Yes No

Water or Resource Affected: _____

(Primary Unit Contact) _____ (Telephone No) _____

Financial Information

Total Authorized Ceiling: \$ _____

Total CG Direct Costs: \$ _____

Total CG Indirect Costs: \$ _____

Source Designation Information

Has source been identified? Yes No If Yes, attach "Page 2 Source Information.

Has source been designated? Yes No

FOSC's Approval

Submitted By: _____ Approved By: _____

(FOSC's Signature or Designated Rep)

Enclosures:

Incident Report (Page 2)

G. How To Complete Page 2 – Source Information.

1. **Identification – Vessel.** Complete this section when the source of the discharge is a vessel. The FOSC is required to collect as much information on the owner/operator of the source of the discharge to support liability determination efforts.
 - **Vessel Name:** Insert the name of the vessel involved in the incident.
 - **Flag/Nationality:** Insert the legal flag of the vessel involved.
 - **Official Number/Call Sign/State Number:** Insert the official number, call sign, or the state number of a vessel involved in an incident.
 - **Gross Tons:** Insert the gross tonnage of a vessel (if applicable).
 - **Home Port:** Insert the official home port of the vessel.
 - **Type of Vessel:** Insert the type of vessel (e.g., fishing vessel, tank vessel, freight vessel, or pleasure craft).
 - **Master's Name:** Insert the name of the Master of the vessel, or on small vessels, the name of the person operating the vessel (if applicable).
 - **Source Identified:** If you have identified the source of the discharge, check “yes”. This is usually followed by the Pollution Investigator issuing a Notice of Federal Interest (NOFI) to the owner of the source. If the source has not been identified, check “no”. Occasionally, this is delayed until the Marine Safety Lab (MSL) finalizes the oil sample analysis (if applicable).
 - **U.S. Agent:** For commercial vessels having an agent in port, insert the name of the agency.
 - **Address:** Insert the complete address of the local agent.
 - **Contact:** Insert the name of the contact at the U.S. agency office.
2. **Identification – Facility.** Complete this section when the source of the discharge is a facility.
 - **Facility Name:** Insert the complete legal name for the facility (e.g., ABC Facility at Bayway, NJ).
 - **Facility Address:** Insert the complete mailing street address of the facility.
 - **Type of Facility:** Insert the type of facility (i.e., tank storage, gas station, or private home).
 - **Source Identified:** Check the appropriate block.
3. **Responsible Parties.** (Owner and Operator. Can be an individual, company, or both. Each may be represented by an Insurance Company or other parties).
 - **Company Name:** Insert the name of the company that owns, operates, or insures the facility or vessel. If the owner is a private individual, insert their name.
 - **Company Address:** Insert the complete address on record for the owner, operator, or insurer.
 - **Contact Name:** Insert the name of the person at the company with whom you have made contact.
 - **Contact Phone Number:** Insert the contact person's phone number.
 - **Notice of Designation:** The Pollution Responder/FOSCR must coordinate with the NPFC Case Office for any Notice of Designation issues. This applies to all the sections below.
 - **Notified of Designation:** If the owner, operator, or insurer was notified of the need to advertise for claims, check “yes”.
 - **Date Notified:** Insert the date of the letter providing notification.
 - **Accepted Designation:** If the owner, operator, or insurer formally accepted designation as a source, check “yes”. If the owner either rejected designation, or simply did not reply to designation, check “no”.
 - **Rejected Designation:** Party formally rejected designation as a source, check “yes”. If the owner either accepted designation or simply did not reply to designation, check “no”.
 - **Advertised:** Party advertised in accordance with instruction given to him in the designation letter, check “yes”. If the owner did not advertise, or if the advertisement was not in accordance with the instructions given, check “no”. Provide copy of Ad's.

Incident Report Page 2	Source Information
Identification - Vessels	
Vessel Name _____ Official Number/ Call Sign / State Number _____ Home Port _____ Masters Name _____	Flag / Nationality _____ Gross Tons _____ Type of Vessel _____ Source Identified? <input type="checkbox"/> Yes <input type="checkbox"/> No
U.S. Agent _____ Address _____ _____ Contact _____ Phone _____	
Identification - Facility	
Facility Name: _____ Facility Address: _____ _____ Type of Facility: _____ Source Identified? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Responsible Parties	
Owner	Insurance Company
Owner Name _____ Owner Address _____ _____ _____ Contact Name _____ Contact Phone _____	Name _____ Address _____ _____ _____ Contact Name _____ Contact Phone _____
Notice of Designation (To be completed by NPFC) Notified of Designation? <input type="checkbox"/> Yes <input type="checkbox"/> No Date Notified: _____ Accepted Designation? <input type="checkbox"/> Yes <input type="checkbox"/> No Rejected Designation? <input type="checkbox"/> Yes <input type="checkbox"/> No Advertised? <input type="checkbox"/> Yes <input type="checkbox"/> No	Notice of Designation (To be completed by NPFC) Notified of Designation? <input type="checkbox"/> Yes <input type="checkbox"/> No Date Notified: _____ Accepted Designation? <input type="checkbox"/> Yes <input type="checkbox"/> No Rejected Designation? <input type="checkbox"/> Yes <input type="checkbox"/> No Advertised? <input type="checkbox"/> Yes <input type="checkbox"/> No
Operator	Other
Operator Name _____ Operator Address _____ _____ _____ Contact Name _____ Contact Phone _____	Name _____ Address _____ _____ _____ Contact Name _____ Contact Phone _____
Notice of Designation (To be completed by NPFC) Notified of Designation? <input type="checkbox"/> Yes <input type="checkbox"/> No Date Notified: _____ Accepted Designation? <input type="checkbox"/> Yes <input type="checkbox"/> No Rejected Designation? <input type="checkbox"/> Yes <input type="checkbox"/> No Advertised? <input type="checkbox"/> Yes <input type="checkbox"/> No	Notice of Designation (To be completed by NPFC) Notified of Designation? <input type="checkbox"/> Yes <input type="checkbox"/> No Date Notified: _____ Accepted Designation? <input type="checkbox"/> Yes <input type="checkbox"/> No Rejected Designation? <input type="checkbox"/> Yes <input type="checkbox"/> No Advertised? <input type="checkbox"/> Yes <input type="checkbox"/> No
Attach copies of all designation letters and any other related correspondence (Local Reproduction 06-14)	

H. How To Complete Page 3 – Contractors.

1. Complete one page for each contractor involved in the pollution incident. Attach copy of certified contractor's invoice.
 - **Company:** List the name of the company that was hired to assist and operate in removal activities under the direction of the FOSC.
 - **Address:** List the formal address of the company.
 - **Contact:** Provide the name of the person with whom the FOSC or staff dealt with on-scene.
 - **Telephone:** Provide the contact person's telephone number.
 - **Authorized Ceiling Amount:** Provide the total ceiling amount the FOSC authorized for the contractor's activity.
 - **Contract Number:** This is the document control number (DCN), normally the purchase order number assigned for the specific job under a BOA Contract (i.e., 24/16/84/6/V/XN/024). It is not the BOA contract number.
 - **Primary Function:** Provide a brief description of the activities this contractor provided. For example: "conducted general cleanup operations." An example of one that might be somewhat different would be "provided disposal services in accordance with RCRA." This section does not need to be completed for subcontractors, only for the primary contractors.
2. Use this cover page for each contractor hired on a project.
3. All Coast Guard vendors shall be registered in the **System for Award Management (SAMS)** to receive payments (see <http://www.sam.gov>). SAM is a Federal government owned and operated free web site.
4. The **Data Universal Numbering System (DUNS)** number is the primary identifier in SAMS. Contractors are identified in SAMS by the DUNS number, therefore, to facilitate payment, the contractor must ensure the DUNS number is recorded on any invoice submitted to the U.S. Coast Guard.

List Contractors that assisted in
Removal Operations
under the direction of the Pre-Designated Federal On-Scene Coordinator.
Duplicate and enumerate for multiple contractors.

Company:	_____
Address:	_____

Contact:	
Telephone:	_____
Authorized Ceiling Amount:	_____
Contract No:	_____
	Attach copy of Certified Contractor's Invoice(s)
Primary Function	_____

(Local Reproduction 01-93)

I. How To Complete Page 4 – Other Government Agencies (OGAs).

1. Complete one page for each agency involved in the pollution incident. Attach this page to each Pollution Removal Funding Authorization as a cover page.
 - **Agency:** Provide the name of the agencies involved. For example, U.S. Environmental Protection Agency, Commonwealth of Massachusetts Department of Environmental Protection, etc.
 - **Unit:** Provide the particular part or subunit that was involved in the operations. For example, Region III Emergency Response Team, Bayonne State Response Unit, etc.
 - **Address:** Provide the address of the unit responding.
 - **Contact:** Provide the name of the person with whom the FOSC or his staff dealt with at that agency.
 - **Telephone:** Provide the telephone number of the contact.
 - **Authorized Ceiling Amount:** Insert the total ceiling authorized to this agency for its activities in removal operations.
 - **Comments:** Provide explanatory comments, as necessary, so that the case team and subsequent parties involved understand the relationship of this agency to the removal effort.

2. Each State or Local agency needs to submit an SF-1080 with their reimbursement request. Each Federal agency needs to submit an SF-1081 with their reimbursement request. Each agency must also provide the following financial information (see also Chapter 7 in this TOP):
 - Federal agencies:
 - Agency Location Code (ALC).
 - Tax ID Number.
 - DUNS.
 - Treasury Account Symbol (TAS).
 - Must be registered in SAMS.

 - State and Local agencies:
 - Tax ID number.
 - DUNS.
 - Must be registered in SAMS.

3. All Coast Guard vendors (including other government agencies) shall be registered in the **System for Award Management (SAMS)** to receive payments (see <http://www.sam.gov>). SAM is a Federal government owned and operated free web site.

4. The **Data Universal Numbering System (DUNS)** number is the primary identifier in SAMS. All government agencies and contractors are identified in SAMS by the DUNS number, therefore, to facilitate payment, the government agency or contractor must ensure the DUNS number is recorded on any invoice submitted to the U.S. Coast Guard.

Incident Report	Other Government Agencies (Federal, State, and Local)	Page 4
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List Government Agencies that assisted in Removal Operations under the direction of the PreDesignated Federal On-Scene-Coordinator. Duplicate and enumerate for multiple government agencies.

Agency	_____
Unit:	_____
Address:	_____ _____ _____
Contact:	_____
Telephone:	_____
Authorized Ceiling Amount:	_____
	Attach copy of Certified Cost Documentation (PRFAs, etc.)
Comments:	_____ _____ _____ _____ _____ _____ _____ _____ _____ _____

(Local Reproduction 01-93)

J. **How To Complete Page 5 – Key Parties.**

1. This section is provided so that other people, who did not work directly for the FOISC, but were involved in removal efforts, can be identified. Examples of this type of entity would be witnesses to the removal effort; state and local agencies that assisted, but did not request funding; and private individuals or voluntary organizations that assisted, and did not request funding.
 - **Person/Agency/Company:** Provide the appropriate entry.
 - **Address:** Provide the complete address of the person/agency/company noted.
 - **Contact:** For an agency or company, provide the name of the person with whom the FOISC or his staff dealt with during the incident.
 - **Telephone:** Provide the contact person's number.
 - **Relationship To Case:** Describe what effect this person had on the removal efforts, and what the relationship of this person/agency/company is to the removal activity.
2. Use as many pages as needed.

List other person(s) or companies that are important to the case and not listed elsewhere.
Duplicate and enumerate for multiple key parties.

Person / Agency / Company:	_____
Address:	_____

Contact:	_____ Telephone: _____
Relationship to the case:	_____

Person / Agency / Company:	_____
Address:	_____

Contact:	_____ Telephone: _____
Relationship to the case:	_____

Person / Agency / Company:	_____
Address:	_____

Contact:	_____ Telephone: _____
Relationship to the case:	_____

(Local Reproduction 01-93)

Chapter 4
Electronic 5136 Workbook Job Aid

National Pollution Funds Center Job Aid For Completing The Electronic 5136 Workbook.

The electronic version of the CG-5136 form was developed in the early 1990's as a workbook in Excel to help expedite data entry at the field level. It is being referred to as the e5136 workbook. There are two versions in use: a 7-day schedule and a 31 day schedule. **It is extremely important that accuracy is used when entering information in this workbook.** Parts of this workbook are password protected to prevent the formulas from being inadvertently compromised. It has been adopted for use on any type of incident, not just oil or hazardous substances spills. This workbook is made up of three parts:

- Project Summary Page
- Daily Summary Page
- Individual Daily Page.

Page 50 through 55 show what a full day of information would look like when printed. Starting on page 55 is a more detailed discussion on each section of the workbook. Note that the example used in this job aid is a full 31-day record and the ceiling is \$25 million dollars, so you can see that accuracy and timeliness are a necessity when tracking these kinds of costs. These workbooks can be found on NPFC's website at: <http://www.uscg/mil/npfc>.

Project Summary Page.

PROJECT SUMMARY	
FPN: J16001	Name: F/V Timothy Eastman
Current Period: 4/1/2016 to 4/30/2016	
FPN Ceiling	\$25,000,000.00
Total Coast Guard Personnel Costs:	\$12,132.00
Total Coast Guard Boats Costs:	\$123,102.00
Total Coast Guard Cutters Costs:	\$614,664.00
Total Coast Guard Aircraft Costs:	\$78,527.50
Total Coast Guard Equipment Costs:	\$170.00
Total Coast Guard Marine Safety Lab Costs:	\$4,585.00
Total Coast Guard Vehicles Costs:	\$43.19
Total Coast Guard Indirect Costs:	\$833,223.69
Total Coast Guard Purchases (Doc Types 23 & 32):	\$1,777.00
Total Coast Guard Travel Orders (Doc Type 11 & 13):	\$21,770.00
Total Coast Guard GTR Costs (Doc Type 14):	\$850.00
Total Coast Guard Reserve Salary Costs (Doc Types 71 & 72):	\$8,525.00
Total Coast Guard Auxiliary Costs (Doc Type 27):	\$650.00
Total Coast Guard PRFA Costs (Doc Type 34):	\$27,000.00
Total Coast Guard MIPR Costs (Doc Type 28):	\$12,000.00
Total Coast Guard Contractor Costs (Doc Type 24):	\$110,000.00
Total Coast Guard Direct Costs:	\$182,572.00
Total Costs (To Date)(Direct & Indirect)	\$1,015,795.69
Ceiling Remaining (Not Obligated)	\$24,817,428.00
DAILY BURN RATE:	
Total Coast Guard Direct Costs (Obligations):	\$182,572.00
Total Days (Obligation(s) are based on)	14
Total Coast Guard Indirect Costs:	\$833,223.69
Total Days Coast Guard Has Been Involved:	1
Expected Duration of Spill	30
Daily Burn Rate (Direct Costs Only - For NPFC)	\$13,040.86
Daily Burn Rate (Indirect Costs Only - For NPFC)	\$833,223.69
Daily Burn Rate (All Costs Factored Into Equation - For Everyone's Use):	\$846,264.55
ESTIMATED TOTAL PROJECT	\$25,387,936.51
<small>(Daily Burn All Costs)X(Expected Duration of Spill)+(Previous Cost)</small>	

Daily Summary Page (This page should be printed on 8x14 paper or two pages of 8x11 or hide unused columns).

FW Timothy Eastman		4/1/2016	Thru	4/30/2016	J16001						
DAY	DATE	USCG Personnel	USCG Boats	USCG Cutters	USCG Aircraft	USCG Equipment	USCG MSL Cost	USCG Vehicle	Total Indirect Costs	USCG Purchases	USCG Travel Cost
Cost-Last 30 Days:		\$0.00	\$0.00	\$0.00	\$0.00	\$170.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 1	1-Apr	\$12,132.00	\$123,102.00	\$614,664.00	\$78,527.50	\$0.00	\$4,585.00	\$43.19	\$833,223.69	\$1,777.00	\$21,770.00
Day 2	2-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 3	3-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 4	4-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 5	5-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 6	6-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 7	7-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 8	8-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 9	9-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 10	10-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 11	11-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 12	12-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 13	13-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 14	14-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 15	15-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 16	16-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 17	17-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 18	18-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 19	19-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 20	20-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 21	21-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 22	22-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 23	23-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 24	24-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 25	25-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 26	26-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 27	27-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 28	28-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 29	29-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 30	30-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Day 31	1-Oct	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
TOTAL		\$12,132.00	\$123,102.00	\$614,664.00	\$78,527.50	\$170.00	\$4,585.00	\$43.19	\$833,223.69	\$1,777.00	\$21,770.00

Continuation of previous page.

USCG Equipment	Rate Basis	# Units	Standard Rate	Total
Enhanced MICP (CAMSLANT)	Daily	1	\$170.00	\$170.00
Mobile Comms Vehicle (MCV)	Daily	0	\$170.00	\$0.00
Mobile Comms Vehicle (MCV)	Daily	0	\$170.00	\$0.00
All Terrain Vehicle (ATV)	HOURS	0	\$14.00	\$0.00
Enhanced MICP (CAMSLANT)	Daily	0	\$170.00	\$0.00

Coast Guard Equipment Costs \$170.00

USCG Marine Safety Lab (MSL)	Report Number	Issue Date	Lab Cost
Lab Analysis	2016-023	4/1/2016	\$4,585.00
Lab Analysis			\$0.00
Lab Analysis			\$0.00

Coast Guard MSL Cost \$4,585.00

USCG Vehicles	GSA#	Rate Basis	# Vehicles	Standard Rate	Cost Per-Day	# Miles	Total
Passenger-Compact (Daily) (Code 1200)	G62-75112	DAYS	1		\$5.90		\$5.90
Passenger-Compact (Code 1200)	G62-75112	MILES		\$0.140		24	\$3.36
SUV (4x2), 2-door (Daily) (Code 4181)	G62-45943	DAYS	1		\$7.93		\$7.93
SUV (4x2), 2-door (Code 4181)	G62-45943	MILES		\$0.208		125	\$26.00
Passenger-Station Wagon (Daily) (Code 2000)		DAYS	0		\$5.17		\$0.00
Passenger-Station Wagon (Code 2000)		MILES		\$0.145		0	\$0.00

Coast Guard Vehicle Costs \$43.19

USCG Purchase	DCN	Amount
Bulletin Board (5ft x 7 ft)	23-16-35-6-J-YH-023	\$1,252.00
Computer Paper	32-16-35-6-J-YH025	\$525.00

Coast Guard Purchases \$1,777.00

USCG Travel/Name	Travel Order Number	Issued by	Liq Amount
Hildebrand, R.	11-16-46-3-V-XZ-023	NPFC	\$4,500.00
Hahn, J.	11-16-46-6-V-XZ-024	NPFC	\$4,500.00
Poole, S.	11-16-46-6-V-XZ-025	NPFC	\$4,500.00
Boes, R.	11-16-46-6-V-XZ-026	NPFC	\$4,500.00
Wilcox, M. CDR	11-16-35-6-J-VH-078	Sector	\$2,520.00
Smith, J. Auxiliant	11-16-35-6-J-V-H-056	Sector	\$1,250.00

Coast Guard Travel \$21,770.00

Name of Traveler	GTR Number	Issued by	Amount
Applebee, B. CW03	14-16-35-6-J-YH-052	D17	\$850.00

Total GTR Costs \$850.00

Name of Traveler - Reserve Salary Costs (Doc Type 71 & 72)	DCN	Amount
Wilcox, M. CDR	Haines, Alaska 71-16-35-6-J-YH-088	\$8,525.00

Total Doc Type 71 & 72 \$8,525.00

Continuation of previous page.

Name of Auxiliariist with Patrol Orders	DCN		Amount
Smith, J. (Aviation asset -plane & pilot)	27-16-35-6-J-YH-068	Juneau Auxiliariist	\$650.00
Total Doc Type 27			\$650.00
PRFA - Agency Name	DCN		Amount
NOAA	34-16-35-6-J-YH-015		\$8,500.00
USFWS	34-16-35-6-J-YH-012		\$18,500.00
Total PRFA Costs			\$27,000.00
MIPR - Agency Name	DCN		Amount
U.S. Navy Supsalv	26-16-35-6-J-YH-001		\$12,000.00
Total MIPR Costs			\$12,000.00
Contractors	DCN (Not BOA Contract Number)		Amount
Magone Marine Services	24-16-35-6-J-YH-014		\$45,000.00
National Response Corporation (NRC)	24-16-35-6-J-YH-002		\$65,000.00
Total Contractor Costs			\$110,000.00
Total Daily Cost			\$1,015,795.69

5/23/2016

SPII DOCUMENT - ADHERE TO PROTECTION STANDARDS!

CG-5136 Electronic Workbook – In Detail

Project Summary Page.

This page summarizes the costs compiled over a period of time and is made up of three parts.

- Current Periods Totals.
- Daily Burn Rate.
- Overall Estimated Total Project.

This part only requires the following information to be entered:

- Federal Project Number.
- Name of the Case.
- Current Period.
- FPN Ceiling Amount Authorized.

Please note that the ceiling at the top only reflects a ceiling for the “direct expenses” (obligations) against this project. The first block of totals are **indirect** (non-obligation) Coast Guard costs for the Incident Command’s information, and **do not** factor into the ceiling. The next block of numbers represent the Coast Guard **direct** expenses (actual obligations entered in FPD) which **are factored** into the ceiling amount.

Note: Two important numbers are listed in this section. They are the FPN Ceiling at the top and the Ceiling Remaining at the bottom. It is important that you note the Coast Guard indirect costs are provided and made available here for the Incident Commander (IC) to have a clear financial picture of all the costs associated with this incident, but only the direct costs affect the FPN Ceiling.

PROJECT SUMMARY	
FPN: J16001	Name: F/V Timothy Eastman
Current Period: 4/1/2016 to 4/30/2016	
FPN Ceiling	\$25,000,000.00
Total Coast Guard Personnel Costs:	\$12,132.00
Total Coast Guard Boats Costs:	\$123,102.00
Total Coast Guard Cutters Costs:	\$614,664.00
Total Coast Guard Aircraft Costs:	\$78,527.50
Total Coast Guard Equipment Costs:	\$170.00
Total Coast Guard Marine Safety Lab Costs	\$4,585.00
Total Coast Guard Vehicles Costs:	\$43.19
Total Coast Guard Indirect Costs:	\$833,223.69
Total Coast Guard Purchases (Doc Types 23 & 32):	\$1,777.00
Total Coast Guard Travel Orders (Doc Type 11 & 13):	\$21,770.00
Total Coast Guard GTR Costs (Doc Type 14):	\$850.00
Total Coast Guard Reserve Salary Costs (Doc Types 71 & 72):	\$8,525.00
Total Coast Guard Auxiliary Costs (Doc Type 27):	\$650.00
Total Coast Guard PRFA Costs (Doc Type 34):	\$27,000.00
Total Coast Guard MIPR Costs (Doc Type 28):	\$12,000.00
Total Coast Guard Contractor Costs (Doc Type 24):	\$110,000.00
Total Coast Guard Direct Costs:	\$182,572.00
Total Costs (To Date)(Direct & Indirect)	\$1,015,795.69
Ceiling Remaining (Not Obligated)	\$24,817,428.00

Daily Burn Rate:

This section is probably the most important piece of information for the Incident Commander. This particular section allows the Cost Unit Leader (COST) or the Finance Section Chief (FSC) to look at projected costs using a number of different factors. The formulas are protected and should not be adjusted. There are three burn rates provided:

- The first two are used by NPFC to reflect both direct (obligations) and indirect costs –burn rates.
- The third burn rate is most important to the IC, because it captures all costs (both direct and indirect) and provides an overall burn rate (see note on the next page). In the example below, it was estimated that this response would last 30+ days. The daily direct costs – burn rate is approximately \$13,040.86/per day (with a 14-day obligation period of performance) and the indirect costs – burn rate is \$833,223.69/per day (based on the first days of CG cost information being captured). This is just an example emphasizing that the numbers in this section will change drastically as time progresses (reconciling along the way) making the projections more accurate.

As each day of indirect costs is captured, this will change the burn rate up or down over time. The last figure combines both direct and indirect burn rates for an overall burn rate per day. This number can change dramatically when resources are demobilized or additional resources are brought in for extended periods of time. See Estimated Total Project Cost at the bottom of this section that calculates an overall estimated project cost, based on expected duration of the response. Of course, this is “only an estimate” based on current information and will change as obligations/expenditures are reconciled or periods of performance are adjusted.

Note: Incident Commanders and NPFC Management like to view burn rates in different views. To accommodate both parties, a separate burn rate is provided as described below (yellow shaded rows). Any adjustments to these cell should be done with caution. IC’s can be very savvy when it comes to financial information. Make sure you provide what the Incident Command or Finance Section Chief wants to see. Remember, be careful about information you provide, because it can be easily misinterpreted.

DAILY BURN RATE:	
Total Coast Guard Direct Costs (Obligations):	\$182,572.00
Total Days (Obligation(s) are based on)	14
Total Coast Guard Indirect Costs:	\$833,223.69
Total Days Coast Guard Has Been Involved:	1
Expected Duration of Spill	30
Daily Burn Rate (Direct Costs Only - For NPFC)	\$13,040.86
Daily Burn Rate (Indirect Costs Only - For NPFC)	\$833,223.69
Daily Burn Rate (All Costs Factored Into Equation - For Everyone's Use):	\$846,264.55
ESTIMATED TOTAL PROJECT	
<i>(Daily Burn All Costs)X(Expected Duration of Spill)+(Previous Cost)</i>	
	\$25,387,936.51

Estimated Total Project:

This estimate is a good gauge for the Incident Commander to use when briefing various audiences on overall estimated costs. This figure should also be used cautiously, because it can change significantly over time. As you can see by this example, the total project cost is only an estimate, but can be an attractive number for upper management, and the more accurate this number is, the more informed management’s decisions will be.

ESTIMATED TOTAL PROJECT	\$25,387,936.51
<i>(Daily Burn All Costs)X(Expected Duration of Spill)+(Previous Cost)</i>	

Daily Summary Page.

The next two pages show the Daily Summary Page in full form. It requires printing using 8 x 14 paper or hiding columns not being used. The most important component of this section is it requires **no manual entries** because it summarizes (brings up) all financial subtotals from the Individual Dailies and brings down information from the Project Summary Page. This page is password protected and should only be unlocked to enter information in the yellow rows for continuous data information on cases beyond 30 days. The first seven columns are summarized as the total Coast Guard Daily Indirect Costs. The next eight columns summarize the total Coast Guard Direct Costs. The total between Indirect and Direct costs are summarized in the very last column called Daily Totals.

F/V Timothy Eastman		4/1/2016	Thru	4/30/2016	FPN: J16001							
DAY	DATE	USCG Personnel	USCG Boats	USCG Cutters	USCG Aircraft	USCG Equipment	USCG MSL Cost	USCG Vehicle	Total Indirect Costs	USCG Purchases	USCG Travel Cost	
Cost Last 30 Days:		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 1	1-Apr	\$12,132.00	\$123,102.00	\$614,664.00	\$78,527.50	\$170.00	\$4,565.00	\$43.19	\$833,223.69	\$1,777.00	\$21,770.00	
Day 2	2-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 3	3-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 4	4-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 5	5-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 6	6-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 7	7-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 8	8-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 9	9-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 10	10-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 11	11-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 12	12-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 13	13-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 14	14-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 15	15-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 16	16-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 17	17-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 18	18-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 19	19-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 20	20-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 21	21-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 22	22-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 23	23-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 24	24-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 25	25-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 26	26-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 27	27-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 28	28-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 29	29-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 30	30-Sep	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
Day 31	1-Oct	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
TOTAL		\$12,132.00	\$123,102.00	\$614,664.00	\$78,527.50	\$170.00	\$4,565.00	\$43.19	\$833,223.69	\$1,777.00	\$21,770.00	

As stated earlier, this section of the workbook requires very little maintenance or adjustment because it collects information elsewhere in the workbook. An important piece of information is found on this page when your response lasts longer than 30 days. At the top of the page is a yellow row that is completely blank if this is the first 30-day period. At the bottom of this page, another yellow row exists with all the subtotals of each column heading. To maintain a continuous record of all costs, you will need to copy the information from the row at the bottom onto another workbook for the second 30-day period. In this new workbook, you will unprotect this page and enter the subtotals you just copied down into the yellow row at the top of the new workbook. Once this is accomplished, you will password protect this page. As you enter new information for day 31 and beyond in this workbook, the subtotals at the bottom of the workbook will add both the previous totals (from top yellow row) plus all new entries for the next 30-day period. You then repeat this process at 60, 90, and 120 day periods or until completed. If you have problems, please contact your assigned Case Officer at the NPFC.

Individual Daily Sheet.

This is the heart and soul of the cost documentation workbook (remember not to fall into a common trap – garbage in – garbage out). **It is very important that accurate information is captured.** This section explains how information **should be entered** into each category and several pull-down menus that the Cost Unit Leader (COST) or Finance Section Chief (FSC) can select from to document the correct data elements.

Response Personnel Information.

- Note that the FOSC (Incident Commander) signature or FOSCR (his/her designated representative) signs each daily.
- Enter the correct date in the date field, which rolls up to the Daily Summary Page mentioned above.
- Enter the names in for the format shown:
 - Hildebrand, Robert N., GS-13
 - The Paygrade Column provided a pull down menu to select the proper pay-grade of the individual. The standard rate for the selected pay-grade automatically fills in and calculates the daily total.
 - The Duty Column should identify the ICS Position this person filled during the response. Some “M” type titles are still recognized, but ICS positions should be used for all entries.
 - The Coast Guard Personnel Costs are summarized on the Daily Summary Page.
- This section and page is now considered “Sensitive Personal Identification Information “SPII” and must be handled in accordance with current Coast Guard policies (ALCOAST 420/12 – DTG 201114Z SEP 12). This workbook requires that individuals be identified by their Employee Identification Number (EMPLID). See sample EMPLID’s in this document. **DO NOT REMOVE THE SPII LOGO from this page.**
- **Transmitting 5136 workbooks to the NPFC Case Officer.** Because this is now a SPII document when the EMPLIDS are entered, it must be protected from disclosure during the response and must be transmitted via password protected file or encrypted before sending over general CG e-mail system. Units can coordinate with their assigned Case Officer to use AMRDEC SAFE (Safe Access File Exchange) at <https://safe.armdec.army.mil/safe/Default.aspx>. SAFE is designed to provide AMRDEC and its customers an alternative way to send files other than via email. SAFE support file sizes up to 2 GB or 25 files or both. This system is relatively simple to use and a guide is found on the website for first time users.

USCG Boats	Boat #	Rate Basis	# Hours	Standard Rate	Total	Checked ALMIS (Yes or No)
Boats-RBM (Response Boat, Medium)	45795	HOURS	12	\$6,839.00	\$82,068.00	Yes
Boats-RBM (Response Boat, Medium)	25462	HOURS	6	\$6,839.00	\$41,034.00	Yes
Boats-SKF (Skiff)		HOURS	0	\$1,833.00	\$0.00	
Boats-SPC (LE)		HOURS	0	\$897.00	\$0.00	
Boats-TANB (Trailerable Aton Boat)		HOURS	0	\$2,872.00	\$0.00	
Coast Guard Boats Costs					\$123,102.00	

USCG Cutters	Hull # or Name	Rate Basis	# Hours	Standard Rate	Total	Checked ALMIS (Yes or No)
Cutters-Healy 420	CGC FIR	HOURS	24	\$25,611.00	\$614,664.00	Yes
Cutters-WTGB 140		HOURS	0	\$6,019.00	\$0.00	
Cutters-WTGB 140		HOURS	0	\$6,019.00	\$0.00	
Cutters-WLJ 100		HOURS	0	\$15,820.00	\$0.00	
Cutters-WHEC 378		HOURS	0	\$11,453.00	\$0.00	
Coast Guard Cutter Costs					\$614,664.00	

USCG Aircraft	A/C No. #	Rate Basis	# Hours	Standard Rate	Total	Checked ALMIS (Yes or No)
Aircraft-H65	6515	HOURS	1.5	\$10,853.00	\$16,279.50	Yes
Aircraft-H60	6025	HOURS	4	\$15,562.00	\$62,248.00	Yes
Aircraft-HC130H/J		HOURS	0	\$19,588.00	\$0.00	
Aircraft-HC130H/J		HOURS	0	\$19,588.00	\$0.00	
Aircraft-C37 LRRCA		HOURS	0	\$21,954.00	\$0.00	
Coast Guard Aircraft Costs					\$78,527.50	

Coast Guard Response Equipment Information.

This section captures all Coast Guard response equipment that may have been used during the response. This list is “incomplete” because it does not include a lot of strike team equipment that will be added after HQs and the program managers determine a standard rate for all the equipment. If something is used and not in the list, make a note of it in your file and send to NPFC, and try to capture the hours of use in a log.

USCG Equipment	Rate Basis	# Units	Standard Rate	Total
Enhanced MICP (CAMSLANT)	Daily	1	\$170.00	\$170.00
Mobile Comms Vehicle (MCV)	Daily	0	\$170.00	\$0.00
Mobile Comms Vehicle (MCV)	Daily	0	\$170.00	\$0.00
All Terrain Vehicle (ATV)	HOURS	0	\$14.00	\$0.00
Enhanced MICP (CAMSLANT)	Daily	0	\$170.00	\$0.00
Coast Guard Equipment Costs				\$170.00

USCG Marine Safety Lab (MSL) Information.

The Marine Safety Lab provides an important service to the field personnel by analyzing oil spill samples against suspected source samples. This is another indirect cost item that should be captured during the response. The sample analyses costs can add up to a lot of money and should be recorded in the workbook with the MSL Report Number, date issued, and the overall costs.

USCG Marine Safety Lab (MSL)	Report Number	Issue Date	Lab Cost
Lab Analysis	2016-023	4/1/2016	\$4,585.00
Lab Analysis			\$0.00
Lab Analysis			\$0.00
Coast Guard MSL Cost			\$4,585.00

Coast Guard Vehicle Information.

This section is used to capture all the government vehicles (CG owned not leased) used during the response. If vehicles have been leased, they should show up as a purchase under Doc Type 48 in direct costs (under purchases or contracts). This section also does not include vehicles that are rented under Travel Orders. If a vehicle is not listed in the drop down menu, make a note of the discrepancy in the file and submit it to NPFC. **You must use two lines per vehicle.** The first line records the daily vehicle rate (as shown below), which should always be “1” because it is a daily rate for one vehicle. The second line records the mileage and the mileage rate for each vehicle. Please record the vehicle license number or tag number as indicated below (helps audit the record).

USCG Vehicles	GSA#	Rate Basis	# Vehicles	Standard Rate	Cost Per-Day	# Miles	Total
Passenger-Compact (Daily) (Code 1200)	G62-75112	DAYS	1		\$5.90		\$5.90
Passenger-Compact (Code 1200)	G62-75112	MILES		\$0.140		24	\$3.36
SUV (4x2), 2-door (Daily) (Code 4181)	G62-45943	DAYS	1		\$7.93		\$7.93
SUV (4x2), 2-door (Code 4181)	G62-45943	MILES		\$0.208		125	\$26.00
Passenger-Station Wagon (Daily) (Code 2000)		DAYS	0		\$5.17		\$0.00
Passenger-Station Wagon (Code 2000)		MILES		\$0.145		0	\$0.00
Coast Guard Vehicle Costs							\$43.19

Coast Guard Purchases.

This section captures all purchases by the Incident Commander. This includes Doc Types 21, 23, 32, and 48, etc. Remember, there must be a receipt for each of the purchased items as well as the appropriate signed obligation documents. The only formula that exists in this section is the total amount of purchases.

USCG Purchase	DCN	Amount
Bulletin Board (5ft x 7 ft)	23-16-35-6-J-YH-023	\$1,252.00
Computer Paper	32-16-35-6-J-YH-025	\$525.00
Coast Guard Purchases		\$1,777.00

Coast Guard Travel Costs.

This particular section is the **most difficult cost item to keep a good record on** because personnel depart and soon forget to provide a copy of the signed travel orders (if not given upon arrival) and then soon forget to submit a copy of their liquidated “**Travel Voucher Summary (TVS)**”. Each individual must sign into “TPAX” to get a printed copy of their TVS and then send it to the Cost Unit Leader or designated person identified upon demobilization.

Important Point. Each member is required to hold onto this documentation for 6 years and 3 months. No exceptions. Read the last page of the TVS.

The Cost Unit Leader initially enters the traveler's cost as an estimated cost. As the member is demobilized and the member gets his or her travel claim processed, an updated copy is submitted to the Cost Unit Leader. The Cost Unit Leader then enters the exact amount in the spreadsheet replacing the estimated amount when the member arrived. This should be done for each member prior to submitting a Financial Summary Report to the NPFC (but sometimes it can't wait). If problems exist on getting any of the Travel Voucher Summaries, please contact the NPFC Case Officer for assistance or advise the Case Officer that you could not get all the TVS information.

USCG Travel/Name	Travel Order Number	Issued by	Liq Amount
Hildebrand, R.	11-16-46-3-V-XZ-023	NPFC	\$4,500.00
Hahn, J.	11-16-46-6-V-XZ-024	NPFC	\$4,500.00
Poole, S.	11-16-46-6-V-XZ-025	NPFC	\$4,500.00
Boes, R.	11-16-46-6-V-XZ-026	NPFC	\$4,500.00
Wilcox, M. CDR	11-16-35-6-J-VH-078	Sector	\$2,520.00
Smith, J. Auxiliarist	11-16-35-6-J-VH-056	Sector	\$1,250.00
Coast Guard Travel			\$21,770.00

Name of Traveler	GTR Number	Issued by	Amount
Applebee, B. CW03	14-16-35-6-J-YH-052	D17	\$850.00
Total GTR Costs			\$850.00

Name of Traveler - Reserve Salary Costs (Doc Type 71 & 72)	DCN	Amount
Wilcox, M. CDR	Haines, Alaska 71-16-35-6-J-YH-088	\$8,525.00
Total Doc Type 71 & 72		\$8,525.00

Generally, Doc Types 11, 13, and 14 are entered here. (Doc Type 14 (GTR) requires a member to provide a copy of his or her itinerary that shows a GTA account was used to pay for the airfare). If the unit or District maintains a record of all GTRs issued, this would be sufficient documentation to submit to the NPFC. When Reserves are mobilized for a response, either a Doc Type 71 or 72 is utilized to pay the salary costs of the Reserve member (this only needs to be captured if the Oil Spill Liability Trust Fund and NPFC's accounting line is being used to pay for this cost).

Coast Guard Auxiliary.

CG Auxiliary Units are utilized in many ports, volunteering the use of their personnel, boats and aircraft. Normally, an Auxiliary member will be issued a TONO (Doc Type 11) and/or Patrol Orders (Doc Type 27) to conduct a mission for the Sector.

Name of Auxiliarist with Patrol Orders	DCN		Amount
Smith, J. (Aviation asset -plane & pilot)	27-16-35-6-J-YH-068	Juneau Auxiliarist	\$650.00
Total Doc Type 27			\$650.00

Other Government Agency (OGA) Costs.

This section captures costs of all government agencies participating in the response that were funded by the Incident Commander under a Pollution Removal Funding Agreement (PRFA) or a Military Interdepartmental Purchase Request (MIPR). **Remember: All unit-issued PRFAs are entered into the Financial Procurement Desktop (FPD) by the unit. All MIPRs are entered into FPD by the Shore Infrastructure Logistics Command (SILC). All Coast Guard units must assign a Document Control Number (DCN) to the PRFA or MIPR from their unit log. If there is a problem, contact the assigned Case Officer. EPA FOSCs that issue PRFAs will have their accounting information assigned by the NPFC and entered into FPD.**

Depending on how the Incident Commander wants to track burn rates on this response, the agency costs can be entered on a daily basis or entered as shown for the obligated amount.

PRFA - Agency Name	DCN	Amount
NOAA	34-16-35-6-J-YH-015	\$8,500.00
USFWS	34-16-35-6-J-YH-012	\$18,500.00
Total PRFA Costs		\$27,000.00
MIPR - Agency Name	DCN	Amount
U.S. Navy Supsalv	28-16-35-6-J-YH-001	\$12,000.00
Total MIPR Costs		\$12,000.00

Coast Guard Contractor Costs.

This section captures all the contractors that were hired by the Incident Commander to respond to the incident. **It is important that the Document Control Number (Doc Type 24) is captured here.** If the Cost Unit Leader wants to list the BOA Contract Number, this can be entered in parenthesis next to the DCN. Of these two numbers, **the DCN is the most important for tracking the contractor costs.**

As mentioned above, these costs can also be entered as a daily rate provided by the contractor or as an obligated total shown below. The key point to remember is the period of performance of each contractor may be different, so the burn rate calculations on the Project Summary Page should reflect the longest period of performance. If you desire to monitor each contractor's individual burn rate, it can be accommodated in the workbook, but requires the user to modify the mechanism to capture this information. Contact the assigned NPFC Case Officer for assistance with this endeavor. Enter the total obligation amount and make a note what the expected burn rate would be (obligation amount divided by period of performance) on the page it is entered, even it is outside the margin or in the body of the DCN box (just expand the row height).

Contractors	DCN (Not BOA Contract Number)	Amount
Magone Marine Services	24-16-35-6-J-YH-014	\$45,000.00
National Response Corporation (NRC)	24-16-35-6-J-YH-002	\$65,000.00
Total Contractor Costs		\$110,000.00

Total Cost For The Day.

At the bottom of each daily is the subtotal for the day and a date. This total can be used to double check the totals on the Daily Summary Page, since each category subtotal rolls up to the higher level in the workbook. For example, the total displayed in the example below (\$1,015,795.69) should be the same total displayed in the Daily Summary Total for April 1st (see Page 59). Each of the cost category subtotals roll up to the Project Summary Page. The date at the bottom of the page is the date the last update was done to the workbook. By checking the totals between the Daily and the Daily Summary page and/or Project Summary Page, you can verify that all the values are being rolled up to the next level of the workbook. If not, a formula is not being read correctly. Check with your NPFC Case Officer.

Total Daily Cost	\$1,015,795.69	5/23/2016
SPII DOCUMENT - ADHERE TO PROTECTION STANDARDS!		

Super-User Information.

All users of this workbook can contribute to improvement by providing feedback to the NPFC Case Officer. This workbook was designed to help the field responders do their work more efficiently and maintain an audit trail. The workbook is supported by the latest Coast Guard Standard Rate Instruction (COMTDTINST 7301.1(series), which is available on the NPFC's website, as well as this job aid: <http://www.uscg.mil/npfc>.

Chapter 5
Contractor Documentation Requirements

Contractor Documentation Requirements

- References: (a) COMDTINST M4200.19 (series), Coast Guard Acquisition Procedures, SubChapter 3017.92, dtd 1 March 2014.
(b) COMDTINST 16460.5 – Emergency Contracts for Responding To Discharges Which Pose Substantial Threat to Public Health or Welfare, dtd 26 September 1995.

- A. **SILC (Shore Infrastructure Logistics Center) Guidance.** Guidance on contractor documentation is provided by the Shore Infrastructure Logistics Center (SILC) as they are the unit that maintains all the Basic Ordering Agreements (BOAs) for hiring contractors and associated documentation required for hiring and closing out a project. On the next several pages are excerpts from references (a) and (b) for using a contractor on a spill response. The Federal Water Pollution Control Act (FWPCA), Section 311 (c)(2) provides the FOSC with emergency authority to bypass the FAR and the normal agency contracting process and to execute contracts when it is necessary to protect human health and welfare from substantial harm, or the threat of substantial harm caused by a discharge of oil or hazardous substances.
- B. **The SILC, Chief of Contracting Office (COCO), Base Support and Services, Emergency Services Contract Operations Branch (COB1)** has an ongoing requirement to provide contracting support to cleanup and/or mitigate the harmful effects of oil and hazardous substance spills in waterways and adjoining shorelines. Funding to support this effort is managed by the National Pollution Funds Center (NPFC) under the Oil Spill Liability Trust Fund (OSLTF), the Superfund established in the Comprehensive Environmental Response, Compensation and Liability Act of 1980 (CERCLA) and the Stafford Act, ESF-10 Funding.
- C. **Coast Guard Federal On-Scene Coordinator (FOSC):**
1. Ensures an appropriate federal project (FPN, CPN, or DPN) is established and funded sufficiently in accordance with NPFC guidance on using CANAPS.
 - a. CG FOSCs initiate a request to the NPFC for access to the OSLTF or CERCLA by using the Ceiling and Number Assignment Processing System (CANAPS).
 - b. CG FOSCs responding to Stafford Act pollution incidents must coordinate in advance with FEMA to receive ESF-10 Mission Assignment(s) and then with NPFC to receive corresponding Disaster Project Number (DPN) and associated funding. If it appears that a delay in issuance of the Stafford Act funding could result in untimely operational response, the CG FOSC should contact the NPFC Case Officer.
 2. Develops requirements for services, equipment, and materials needed in the BOA program and advised SILC-COCO-BSS-COB1.
 3. Ensures all ordering that is done under the emergency authority is in accordance with all applicable regulations and paragraph D below.
 4. Issues Authorization to Proceed (ATP) not to exceed \$50,000.00 to contractors in accordance with reference (a) subpart 3017.9204. The FOSC MUST obtain the respective SILC Contracting Officer's approval prior to issuing an ATP in excess of \$50,000.00.
 5. Ensures the SILC-COCO-BSS-COB1 Contracting Officer is an addressee on ATP messages and that a written ATP letter in the format enclosed has been issued to the BOA contractor.
 6. Ensures SILC-COCO-BSS-COB1 is copied on all Pollution Reports (POLREPs or SITEP-POLs) in accordance with current program guidelines. POLREPs inform the Contracting Officer and others of significant events taking place regarding each use, including completion of case.

7. Directs, monitors, and inspects work. The CG-5136 E-1 through E-4 forms are used to both summarize in detail all personnel, equipment, and other resources used during the removal activities of an incident. The FOSC/FOSCR verifies services, equipment and materials per the CG Form 5136E (series) dailies in accordance with the BOA's terms and conditions. Details on using and completing all parts of the form are included in this chapter. When a difference of opinion between the FOSC and the Contractors occurs, the FOSC must notify the Contracting Officer or the Contract Specialist immediately for resolution. The FOSC ensures that the personnel being used by the Contractor are of the same caliber that was originally bid by the Contractor to the government. The experienced personnel contracted for and/or approved by the government should not be diluted by the use of personnel with less experience. However, you may permit changes, substitutions, or additions to personnel. Any decrease in or lack of performance shall be brought to the attention of the Contracting Officer or Contract Specialist.
8. Monitors expenditures via dailies to ensure the ceiling price of each individual order/contract is not exceeded. Monitors combined expenditures and obligations for the federal project to ensure they do not exceed the response ceiling.
9. PRIOR to initiating or requesting any contract actions or modifications, the FOSC/FOSCR must ensure incident funding is available to cover anticipated contract changes and coordinate funding increases with the NPFC Case Officer if request will exceed \$500,000.00. The FOSC has access up to \$500,000.00 via CANAPS without assistance from the NPFC Case Officer.
10. Reviews and certifies invoices for accuracy of labor, equipment and materials.

D. Procedures.

1. Basic Ordering Agreement (BOA) Procedures:

- a. Selection of a BOA contractor by the FOSC is made by evaluating which BOA meets the technical and response time requirements and offers the lowest evaluated price for the BOA priced items initially determined to comprise the cleanup response.
- b. Initiate the order to the BOA contractor by issuing a written ATP. FOSCs are authorized to issue ATPs against SILC BOAs for services, equipment and materials priced in the BOA up to and including \$50,000.00. A verbal ATP may be issued if followed within 24 hours with a written ATP to the BOA contractor IAW reference (a).
- c. Issue an ATP message via C2OIX to NPFC, CG FINCEN, SILC, NSFCC Elizabeth City and other units as appropriate within 24 hours of issuance of initial (verbal or written) ATP to the BOA contractor. The ATP message shall contain:

EXAMPLE OF INITIAL ATP MESSAGE

DTG (make sure you change to current Date Time Group)
FM: Originator
To COGARD SILC NORFOLK VA
COMCOGARD NPFC WASHINGTON DC
COGARD NSFCC ELIZABETH CITY
CCGDistrict//DR/DRM/DMF// (add additional addressees as appropriate)
BT
UNCLAS//N16450//
SUBJ: AUTHORIZATION TO PROCEED, FPN/CPN: XXXXX
1. FPN/CPN XXXXX WAS OPENED WITH A CEILING OF \$00.000.00 (Description of incident and location, e.g. To remove and dispose of all fuel and oil residue from the F/V Smith. The F/V Smith sank outside the Chesapeake Bay Ship Channel, a U.S. navigable waterway).
2. DETAILS are:
A. CONTRACTOR NAME:
B. BOA NUMBER: HSCGXX-XX-A-XXXXX
C. REASON FOR SELECTED CONTRACTOR: Give reason here, e.g. “(Ability to respond soonest, technical capability/response time)” Select one.
D. FPN/CPN/DPN PROJECT NO: XXXXX
E. DATE OF ATP: XX XXX XX (Must be on or after the date in #3B of CANAPS message (FOSC action).
F. DATE OF WORK STARTED: XX XXX XX (on or after ATP date).
G. CONTRACTOR NOT TO EXCEED: \$00,000.00.
H. SECTOR/UNIT POC/FOSCR:
I. SPECIAL REQUIREMENTS:
3. REQUEST YOU ISSUE ORDER.
BT
NNNN

EXAMPLE OF INCREASE TO CEILING ATP MESSAGE

DTG (make sure you change to current Date Time Group)
FM: Originator
To COGARD SILC NORFOLK VA
COMCOGARD NPFC WASHINGTON DC
COGARD NSFCC ELIZABETH CITY
CCGDistrict//DR/DRM/DMF// (add additional addressees as appropriate)
BT
UNCLAS//N16450//
SUBJ: INCREASE AUTHORIZATION TO PROCEED, FPN/CPN: XXXXX (Use correct FPN).
1. FPN/CPN XXXXX WAS OPENED WITH A CEILING OF \$00.000.00 DOLLARS.
2. DETAILS are:
A. CONTRACTOR NAME:
B. BOA NUMBER: HSCGXX-XX-A-XXXXX
C. REASON FOR SELECTED CONTRACTOR: Give reason here, e.g. “(additional resources required due to emergent nature of the work and unforeseen site conditions).
D. FPN/CPN/DPN PROJECT NO: XXXXX
E. DATE OF INITIAL ATP: XX XXX XX
F. DATE OF ATP INCREASE: XX XXX XX.
G. CONTRACTOR NOT TO EXCEED: INCREASED FROM \$0.00 TO \$0.00.
H. SECTOR/UNIT POC/FOSCR:
I. SPECIAL REQUIREMENTS:
J. REQUEST YOU ISSUE ORDER.
BT
NNNN

EXAMPLE OF ATP LETTER TO THE CONTRACTOR

**United States Coast Guard Authorization To Proceed With Removal And Disposal
Of Oil or Hazardous Material Spill**

FPN/CERCLA Number: _____

Date Issued: _____

This is an authorization to proceed with work as ordered by the Federal On-Scene Coordinator (FOSC) to Contractor _____ under Basic Ordering Agreement (BOA) Number HSCG84- _____ pending execution of an order under the BOA identified above or to non-BOA Contractor _____ as verbally approved by the Contracting Officer. **When Contractor reaches 85% of the overall ATP amount, the Contractor shall notify the FOSC and Contracting Officer.**

SERVICES REQUIRED

You are to provide all necessary supervision, labor, equipment, and materials, as priced in the BOA or negotiated by the Contracting Officer for non-BOA Contractors, for performance of work ordered, in writing, by the FOSC. Termination of service shall be at the convenience of the Government and at the discretion of the FOSC or the Contracting Officer.

The maximum dollar value of this commitment is **NOT TO EXCEED \$** _____

. NEGOTIATION OF NON-BOA ITEM OR SUBCONTRACTOR REUIREMENTS:

If directed by the FOSC to provide a non- BOA item or subcontract for personnel, equipment, and/or material, you shall proceed with providing the item and submit your proposed price to the respective Shore Infrastructure Logistics Center (SILC-COB1) Contracting Officer as soon as practicable (generally within 1 business day). The SILC Contracting Officer will evaluate the proposed price and negotiate, if necessary, and provide approval once the final price is agreed upon. **The FOSC is not authorized to negotiate prices for these items.**

INVOICE SUBMISSION

#1 SUBMIT COPY OF INVOICE TO (FOSC)
Coast Guard Federal On-Scene Coordinator
Representative (FOSCR) for certification

#2 SUBMIT ORIGINAL TO:
U.S. Coast Guard
Shore Infrastructure Logistics Center
SILC-COCO-BSS-COB1
300 East Main Street, Suite 965
Norfolk, VA 23510-2112

#3 PAYMENTS will be made by:
Commander
U.S. Coast Guard Finance Center
1430A Kristina Way
Chesapeake, VA 23316-0324

(Name of Federal On-Scene Coordinator)

(Received by BOA Contractor)

(Signature) /Date

(Contractor Authorized Signature/Date)

EXAMPLE OF POLREP/SITEP-POL MESSAGE VIA C2OIX

Generated by OIX Gateway Norfolk VA. PTTUZYUW RHOIAA0001 3551118-UUUU—RHSSUU.

DTG (Use correct date time group is used)

FM ORIGINATOR

TO CCGDISTRICT//DR/DRM/DMF//

INFO COGARD SILC NORFOLK VA

COMCOGARD NPFC WASHINGTON DC

COGARD NSFCC ELIZABETH CITY NC

COMDT COGARD WASHINGTON//CG-533//

(Add additional addresses as appropriate)

BT

UNCLAS

SUB: SITREP-POL FPN _____, ACTUAL MINOR DISCHARGE, SUNKEN VESSEL, CHESAPEAKE BAY SHIP CHANNEL, M/V JOE SMITH, MISLE CASE 965697, NRC 234543 (If final polrep is sent, make sure it is noted as final polrep).

REF/A/MSG/COMCOGARD NPFC WASHINGTON DC /P _____ (CANAPS msg)

REF/B/MSG/MY R _____ (Unit ATP msg to SILC)

NARR/REF A IS INTIAL OBLIGATION OF POLLUTION FUNDS//REF/B IS THE AUTHORIZATION TO PROCEED FOR JOE HOLLYWOOD CLEANUP, LLC//RUPTURED JACKET WATER LINE. THE VESSEL HAS 500 GALLONS – SUBSTANTIAL THREAT OF DISCHARGE OF OIL. THE OWNER IS CONTACTING INSURANCE REP AND REFUSES TO HIRE CONTRACTOR UNTIL CONTACT IS MADE. JOE HOLLYWOOD, LLC HAS BEEN HIRED TO REMOVE FUEL FROM THE VESSEL AND FOR MITIGATING ANY OTHER POLLUTION ISSUES.

1. SITUATION.

- A. OVERVIEW:
- B. O/S WX:
- C. VESSEL DATE:
- D. OWNER/OPERATOR:
- E. SAR STATUS:
- F. CG RESOURCES SUMMARY:
- G. RESOURCES AT RISK:
- H. ECONOMIC IMPACT:
- I. HEALTH AND SAFETY FACTORS:
- J. MEDIA INTEREST:
- K. CASUALTY INFORMATION:
- L. INCIDENT/UNIFIED COMMAND STATUS:

2. ACTION TAKEN.

- A.– Z. TIME LINE.

3. ADDITIONAL.

- A. BRIGHT-LINE TEST:
- B. FPN INFORMATION:
- C. BOAT CONTRACTOR:
- D. FPN CEILING/DIRECT COSTS/INDIRECT COSTS:
- E. CONTRACTOR RESOURCES:

4. FUTURE PLANS AND RECOMMENDATIONS.

- A. SUBMIT COST DOC PACKAGE TO NPFC.
- B. INITIATED ENFORCEMENT ACTION AGAINST RP.

BT

#0001

NNNN

Things SILC is looking for in SITREP-POL:

- Potential Responsible Party
- Subcontracting Items
- Disposition of empty drums (if not disposed, please state this information).

d. **Invoice Certification.** The payment cycle under the Prompt Payment Act is thirty (30) days from receipt of proper invoice. In order to prevent interest payments, **the FOSC is responsible for ensuring that all invoices are date stamped upon receipt at the FOSC's units and are processed and forwarded to the Contracting Officer within ten (10) days.** Responding within that timeframe allows the Contract Specialist/Contracting Officer ten (10) days to review the invoice after certification and FINCEN ten (10) days to process payment. Invoices may be certified by the FOSC or his designated representative for:

- Acceptance,
- Recommended for rejection, or
- Partial acceptance/Partial Rejection.

A recommendation for rejection (partial or full) must be sent to the Contract Specialist/Contracting Officer and address in detail the charges being rejected and the grounds for the rejection.

Invoice submissions to the Contracting Officer shall contain the following:

- The invoice with all attachments as submitted by the Contractor. When the FOSC is required to maintain an original document contained with the invoice (e.g. manifests); clear, legible copies are to be provided.
- **FOSC Certification** of acceptance or rejection of the services, equipment and materials and the quantity of those items being invoiced. This certification is made either directly on the first page of the invoice or a separate cover memo from the FOSC or designated representative stating the “services, equipment, materials and quantity of those items invoiced is authorized and were received in conjunction with Phase III and Phase IV removal actions and are proper for payment from the Oil Spill Liability Trust Fund (OSLTF) or CERCLA. **The FOSC does NOT certify contractor rates or costs.**

e. **Emergency Non-BOA Items and Subcontractor Procedures.**

- Pricing for non-BOA items and subcontractors requires approval from the SILC (COB1) Contracting Officer at the time of the incident.\
- The FOSC may order the BOA contractor to provide non-BOA priced items or subcontracts for services, equipment and materials. The contractor is required to notify SILC (COB1) of any non-BOA items or subcontracts. The FOSC/FOSCR shall direct the contractor to contact the respective Contracting Officer as soon as possible with pricing information on the non-BOA item(s) or subcontract(s).

f. **Special Contracting Procedures:**

- In the event BOA contractors have been contacted and cannot provide the requisite labor equipment and material required within a timeframe determined necessary by the FOSC, the FOSC shall contact the Contracting Officer who is authorized to award a contract to a non-BOA contractor at the recommendation of the FOSC.
- There are major pollution incidents that required protracted response after the immediate discharge has been contained. In those circumstances, the FOSC shall work with the Contracting Officer to identify long-term requirements and determine the most efficient contracting response.

- The **Pollution Removal Funding Authorization (PRFA)** is another tool available to the FOSCs to quickly obtain needed services and assistance from Other Government Agencies (OGAs) in oil spill and hazardous substances responses. If it is determined a PRFA is needed, the FOSC shall coordinate with the assigned NPFC Case Officer as well as review information in Chapter 7 of this TOP.

E. POLLUTION INCIDENT DAILY RESOURCE REPORT – CG-5136E-1 – CONTRACTOR PERSONNEL

1. This form should be completed by the contractor to document personnel costs incurred for each day of removal activity as required in the BOA and submitted to the FOSC daily for review and concurrence.
2. **How to complete form:**
 - **FPN/CPN/DPN:** The Federal, CERCLA, or Disaster Project Number assigned to the incident.
 - **Date:** Report the date costs were incurred.
 - **Contractor:** Name of contractor, indicate if supporting documentation is attached.
3. **Contractor Personnel:** Provide the following information for each individual.
 - **CLIN:** The applicable contract line item number.
 - **Name:** First and Last names of contract personnel involved in removal activity.
 - **Job Description:** What was the employee's job (i.e., supervisor, equipment operator, laborer). This may require an abbreviation to be entered.
 - **Hours Employed:** The starting and ending times during which the personnel were performing removal activities.
 - **Total Hours:** Hours spent performing removal duty.
 - **Hourly Rate:** The hourly rate of pay for personnel.
 - **Rate Charge:** The number of hours multiplied by the hourly rate of pay.
 - **Per Diem:** Per diem (MI&E costs only) incurred by the personnel is allowable under the Joint Travel Regulations (JTR). Lodging costs (in accordance with the JTR) should be documented as sub-contract expenses on the CG-5136E-3 forms.
 - **Total Cost:** The sum of the Rate Charge and the Per Diem costs.
 - **Total Personnel Costs For This Date:** The sum of the amount entered in the Total column.
 - **Contractor's Certification:** Contractor's certification of the validity of the information presented.
 - **FOSC/FOSCR/Trustee Signature:** Certification by the FOSC/FOSCR/Lead Trustee. The FOSC/FOSCR certifies that personnel listed were authorized for the date reported. **The FOSC/FOSCR does not certify contract rates or costs.**

F. POLLUTION INCIDENT DAILY RESOURCE REPORT – CG-5136E-2 – CONTRACTOR EQUIPMENT

1. This form should be completed by the contractor to document equipment costs incurred for each day of removal activity as required in the BOA and submitted to the FOSC daily for review and concurrence.
2. **How to complete form:**
 - **FPN/CPN/DPN:** The Federal, CERCLA, or Disaster Project Number assigned to the incident.
 - **Date:** Report the date costs were incurred.
 - **Contractor:** Name of contractor, indicate if supporting documentation is attached.
3. **Contractor Equipment:** Provide the following information for each piece of equipment used in the removal activities.
 - **CLIN:** The applicable contract line item number.
 - **Item Description:** Description of the equipment used for removal activities.
 - **Rate Basis:** The base used for charging equipment costs (i.e., hourly, daily, weekly).
 - **Employed From/To:** The period of time equipment was used.
 - **Units:** The number of units the equipment was used for expressed in terms of the rate bases (i.e. number of hours, days, weeks).
 - **Rate/Unit:** The rate charged per unit.
 - **Rate Charges:** The rate per unit multiplied by the number of units.
 - **Non Rate Charges:** Total charges related to the equipment, not charged on a per unit basis (i.e. mileage, fuel, setup/takedown charges).
 - **Total Cost:** The sum of the Rate Charges and the Non-Rate Charges.
 - **Total Equipment Costs For The Day:** The sum of the amounts entered in the Total Costs column.
 - **Contractor's Certification:** Contractor's certification of the validity of the information presented.
 - **FOSC/FOSCR/Trustee Signature:** Certification by the FOSC/FOSCR/Lead Trustee. The FOSC/FOSCR certifies that equipment listed were authorized for the date reported. **The FOSC/FOSCR does not certify contract rates or costs.**

E. POLLUTION INCIDENT DAILY RESOURCE REPORT – CG-5136E-3 – CONTRACTOR/SUBCONTRACTOR/MATERIAL/OTHER EXPENSES

1. This form should be completed by the contractor to document cost incurred by subcontractors, and for material and other expenses for each day of removal activity and submitted to the FOSC daily for review and concurrence.
2. **How to complete form:**
 - **FPN/CPN/DPN:** The Federal, CERCLA, or Disaster Project Number assigned to the incident.
 - **Date:** Report the date costs were incurred.
 - **Contractor:** Name of contractor, indicate if supporting documentation is attached.
3. **Subcontractors:** Indicate whether subcontractors were hired. If marked “Yes”, completed the remainder of the subcontractors section and attach copies of the subcontractor’s Daily Resource Reports. Subcontractors should complete CG-05136 (E-1 through E-3) or CG-5136 E-EZ forms as applicable.
 - **CLIN:** The applicable contract line item number.
 - **Subcontractor’s Name:** Name of the subcontractor.
 - **Cost:** Cost incurred by the subcontractor for this date.
 - **Admin Fee:** Fee charged for administering the subcontractor.
 - **Total Cost:** The sum of subcontractor costs and administration costs.
 - **Total Cost Of Subcontractors For This Date:** The sum of the amount entered in the Total Cost Column.
4. **Materials Used/Other Expenses.**
 - **CLIN:** The applicable contract line item number.
 - **Description:** Description of material or item used or purchased.
 - **Units:** Units of material or items used (e.g. pads, rolls, feet, etc.)
 - **Units Used:** Unit of material or items used or purchased.
 - **Unit Cost:** Cost per unit.
 - **Total Cost:** Units used multiplied by the Unit Cost.
 - **Total Cost Of Materials Used/Other Expenses For This Date:** The sum or the amount entered in the Total Cost Column.
 - **Subcontractor’s Name:** Name of the subcontractor.
 - **Contractor’s Certification:** Contractor’s certification of the validity of the information presented.
 - **FOSC/FOSCR/Trustee Signature:** Certification by the FOSC/FOSCR/Lead Trustee. The FOSC/FOSCR certifies that personnel listed were authorized for the date reported. **The FOSC/FOSCR does not certify contract rates or costs.**

POLLUTION INCIDENT DAILY RESOURCE REPORT

FPN/CPN/DPN _____ DATE _____

CONTRACTOR: _____ PO/CONTRACTOR NO: _____

If information described below is documented separately, in a form or format previously reviewed and found acceptable by the National Pollution Funds Center and the Contracting Officer, this form need not be completed

SUBCONTRACTORS

Were any subcontractors hired? YES NO If yes, list them below and attach subcontractor Daily Reports

CLIN	SUBCONTRACTOR'S NAME	COST	ADMIN FEE	TOTAL COST

TOTAL COST OF SUBCONTRACTORS FOR THIS DATE: _____

MATERIALS USED/OTHER EXPENSES

CLIN	DESCRIPTION	UNITS	UNITS USED	UNIT COST	TOTAL COST

TOTAL COST OF MATERIALS USED/OTHER EXPENSES FOR THIS DATE _____

CONTRACTOR'S CERTIFICATION

I certify that this report is a true and complete record of the materials, labor, equipment and subcontractors provided by the contractor on the date listed above for the project number cited above for the project number cited above:

Contractor's Authorized Representative

ON SCENE COORDINATOR'S/LEAD TRUSTEE'S REVIEW:

I certify that inspection and acceptance of the listed items has been made by me or under my supervision, except as noted herein or on supporting documents.

FOSC/FOSCR/Lead Trustee

This form is available as an Excel spreadsheet from the [NPFC Web site](#) or as a fillable form from the [USCG Adobe Forms](#).

H. POLLUTION INCIDENT DAILY RESOURCE REPORT – CG-5136E-4 – CONTRACTOR SHORT FORM

1. This form can be used in lieu of long forms CG-5136 (E-1 through E-3).
2. **How to complete form:**
 - **FPN/CPN/DPN:** The Federal, CERCLA, or Disaster Project Number assigned to the incident.
 - **Date:** Report the date costs were incurred.
 - **Contractor:** Name of contractor, indicate if supporting documentation is attached.
3. **Contractor Personnel:** Provide the following information for each individual.
 - **CLIN:** The applicable contract line item number.
 - **Name:** First and Last names of contract personnel involved in removal activity.
 - **Job Description:** What was the employee's job (i.e., supervisor, equipment operator, laborer). This may require an abbreviation to be entered.
 - **Hours Employed:** The starting and ending times during which the personnel were performing removal activities.
 - **Total Hours:** Hours spent performing removal duty.
 - **Hourly Rate:** The hourly rate of pay for personnel.
 - **Rate Charge:** The number of hours multiplied by the hourly rate of pay.
 - **Per Diem:** Per diem (MI&E costs only) incurred by the personnel is allowable under the Joint Travel Regulations (JTR). Lodging costs (in accordance with the JTR) should be documented as sub-contract expenses on the CG-5136E-3 forms.
 - **Total Cost:** The sum of the Rate Charge and the Per Diem costs.
 - **Total Personnel Costs For This Date:** The sum of the amount entered in the Total column.
4. **Contractor Equipment:** Provide the following information for each piece of equipment used in removal activities.
 - **CLIN:** The applicable contract line item number.
 - **Item Description:** Description of the equipment used for removal activities.
 - **Rate Basis:** The base used for charging equipment costs (i.e., hourly, daily, weekly).
 - **Employed From/To:** The period of time equipment was used.
 - **Units:** The number of units the equipment was used for expressed in terms of the rate bases (i.e. number of hours, days, weeks).
 - **Rate/Unit:** The rate charged per unit.
 - **Rate Charges:** The rate per unit multiplied by the number of units.
 - **Non Rate Charges:** Total charges related to the equipment, not charged on a per unit basis (i.e. mileage, fuel, setup/takedown charges).
 - **Total Cost:** The sum of the Rate Charges and the Non-Rate Charges.
 - **Total Equipment Costs For The Day:** The sum of the amounts entered in the Total Costs column.
5. **Subcontractors.** Indicate whether subcontractors were hired. If marked "Yes", completed the remainder of the subcontractors section and attach copies of the subcontractor's Daily Resource Reports. Subcontractors should complete CG-05136 (E-1 through E-3) or CG-5136 E-EZ forms as applicable.
 - **CLIN:** The applicable contract line item number.
 - **Subcontractor's Name:** Name of the subcontractor.
 - **Cost:** Cost incurred by the subcontractor for this date.
 - **Admin Fee:** Fee charged for administering the subcontractor.
 - **Total Cost:** The sum of subcontractor costs and administration costs.
 - **Total Cost Of Subcontractors For This Date:** The sum of the amount entered in the Total Cost Column.
6. **Materials Used/Other Expenses.**
 - **CLIN:** The applicable contract line item number.
 - **Description:** Description of material or item used or purchased.
 - **Units:** Units of material or items used (e.g. pads, rolls, feet, etc.)
 - **Units Used:** Unit of material or items used or purchased.
 - **Unit Cost:** Cost per unit.
 - **Total Cost:** Units used multiplied by the Unit Cost.
 - **Total Cost Of Materials Used/Other Expenses For This Date:** The sum or the amount entered in the Total Cost Column.
 - **Subcontractor's Name:** Name of the subcontractor.
 - **Contractor's Certification:** Contractor's certification of the validity of the information presented.
 - **FOSC/FOSCR/Trustee Signature:** Certification by the FOSC/FOSCR/Lead Trustee. The FOSC/FOSCR certifies that personnel listed were authorized for the date reported. **The FOSC/FOSCR does not certify contract rates or costs.**

DEPARTMENT OF
HOMELAND SECURITY
U.S. COAST GUARD
CG-5136E-4 (06-04)

POLLUTION INCIDENT DAILY RESOURCE REPORT

CONTRACTOR
SHORT FORM
Page ___ of ___
(RCN-16451-1)

FPN/CPN/DPN _____ DATE _____

CONTRACTOR: _____ PO/CONTRACT NO: _____

If information described below is documented separately, in a form or format previously reviewed and found acceptable by the National Pollution Funds Center and the Contracting Officer, this form need not be completed

PERSONNEL

CLIN	NAME (LAST, FIRST)	HOURS FROM TO	TOTAL HOUS	HOURLY RATE	RATE CHARGE	PER DIEM	TOTAL COST

TOTAL COST THIS DATE: _____

EQUIPMENT

CLIN	ITEM DESCRIPTION	RATE BASIS	EMPLOYED FROM TO	# UNITS	RATE/ UNIT	RATE CHARGE	NON-RATE CHARGE	TOTAL

TOTAL COST THIS DATE: _____

SUBCONTRACTORS

Were any subcontractors hired? YES NO If yes, how many: _____

CLIN	SUBCONTRACTOR'S NAME	COST	ADMIN FEE	TOTAL COST

TOTAL COST OF SUBCONTRACTORS FOR THIS DATE: _____

MATERIALS USED/OTHER EXPENSES

CLIN	DESCRIPTION	UNIT DESC.	UNITS USED	UNIT COST	TOTAL COST

TOTAL COST OF MATERIALS USED/OTHER EXPENSES FOR THIS DATE: _____

CONTRACTOR'S CERTIFICATION:

I certify that this report is a true and complete record of the materials, labor, equipment and subcontractors provided by the contractor on the date listed above for the project number cited above for the project number cited above:

Contractor's Authorized Representative

ON SCENE COORDINATOR'S/LEAD TRUSTEE'S REVIEW:

I certify that inspection and acceptance of the listed items has been made by me or under my supervision, except as noted herein or on supporting documents.

FOSC/FOSCR/Lead Trustee

F. MILITARY INTERDEPARTMENTAL PURCHASE REQUEST (MIPR)

1. Any time Department of Defense resources are being requested to assist in the pollution response, a DD-448 must be used. MIPRS can be used to acquire assistance from DOD and civilian agencies either by providing direct assets (agency personnel/equipment) or by providing indirect/contractor assets via existing agency contracts. Depending on the type of requirement, either a Comptroller or Contracting Officer signs the MIPR which must also include an Interagency Agreement. The deciding factors are:
 - a. Financial Transaction requiring the Comptroller's signature: the other government agency is providing direct assets (agency personnel/equipment) or,
 - b. Assisted Acquisition Transaction requires a Contracting Officer's signature: the other government agency will be awarding a Task/Delivery Order against an existing agency contract.
2. The FOSC shall confer with the assigned NPFC Case Officer when direct assets from another government agency is required to determine if the Sector or District Comptroller will sign the MIPR.
3. The FOSC shall contact SILC-COCO-BSS (COB1) as soon as it is known that a MIOR is required where the other government agency will be awarding a Task/Delivery Order against an existing agency contract.

An example of a MIPR is on the next two pages. Any time services are agreed upon, the Sector Commander must coordinate with the official issuing the MIPR on completing the DD-448-2 (Acceptance of MIPR), as well as keeping the NPFC Case Officer informed.

4. The FINCEN also has some critical processing requirements:
 - a. The ALC 70-06-0000 must be in block 14 of the DD-448.
 - b. The proper Treasury Account Symbol must be included in block 14 (under appropriations) on the DD-448 (see below).
 - Emergency Fund – 70X8349
 - c. Completed MIPR's must be forwarded to:
 - Interagency Agreements
USCG Finance Center
P.O. Box 4116
Chesapeake, VA 23327-4116
5. DOD entities are usually paid by IPAC via DFAS.
6. MIPRs issued in response to a pollution incident must be Category I, Reimbursement Cost Documentation is required to be submitted to the FOSC for certification similar to a contractor's cost documentation PRIOR to the IPAC request being submitted to FINCEN. Coordination will be required between FINCEN, the supporting Sector/Unit and NPFC for certification and authorization to IPAC.

ACCEPTANCE OF MIPR

1. TO (Requiring Activity Address)/(Include ZIP Code)			2. MIPR NUMBER		3. AMENDMENT NO.
			4. DATE (MIPR Signature Date)	5. AMOUNT (As Listed on the MIPR)	
6. The MIPR identified above is accepted and the items requested will be provided as follows: (Check as Applicable)					
a. <input type="checkbox"/> ALL ITEMS WILL BE PROVIDED THROUGH REIMBURSEMENT (Category I)					
b. <input type="checkbox"/> ALL ITEMS WILL BE PROCURED BY THE DIRECT CITATION OF FUNDS (Category II)					
c. <input type="checkbox"/> ITEMS WILL BE PROVIDED BY BOTH CATEGORY I AND CATEGORY II AS INDICATED BELOW					
d. <input type="checkbox"/> THIS ACCEPTANCE, FOR CATEGORY I ITEMS, IS QUALIFIED BECAUSE OF ANTICIPATED CONTINGENCIES AS TO FINAL PRICE. CHANGES IN THIS ACCEPTANCE FIGURE WILL BE FURNISHED PERIODICALLY UPON DETERMINATION OF DEFINITIZED PRICES, BUT PRIOR TO SUBMISSION OF BILLINGS.					
7. <input type="checkbox"/> MIPR ITEM NUMBER(S) IDENTIFIED IN BLOCK 13, "REMARKS" IS NOT ACCEPTED (IS REJECTED) FOR THE REASONS INDICATED.					
8. TO BE PROVIDED THROUGH REIMBURSEMENT CATEGORY I			9. TO BE PROCURED BY DIRECT CITATION OF FUNDS CATEGORY II		
ITEM NO. a.	QUANTITY b.	ESTIMATED PRICE c.	ITEM NO. a.	QUANTITY b.	ESTIMATED PRICE c.
d. TOTAL ESTIMATED PRICE		\$0.00	e. TOTAL ESTIMATED PRICE		\$0.00
10. ANTICIPATED DATE OF OBLIGATION FOR CATEGORY II ITEMS			11. GRAND TOTAL ESTIMATED PRICE OF ALL ITEMS \$0.00		
12. FUNDS DATA (Check if Applicable)					
a. <input type="checkbox"/> ADDITIONAL FUNDS IN THE AMOUNT OF \$ _____ ARE REQUIRED (See justification in Block 13)					
b. <input type="checkbox"/> FUNDS IN THE AMOUNT OF \$ _____ ARE NOT REQUIRED AND MAY BE WITHDRAWN					
13. REMARKS					
14. ACCEPTING ACTIVITY (Complete Address)			15. TYPED NAME AND TITLE OF AUTHORIZED OFFICIAL		
			16. SIGNATURE		17. DATE

DD FORM 448-2, JUL 71

PREVIOUS EDITION WILL BE USED UNTIL EXHAUSTED.

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Chapter 6
Accounting Data For Pollution Response Funds

This job aid was developed for teaching the ICS-351 Logistics and Finance Section Course. The information in this job aid came from the U.S. Coast Guard Finance Center's Standard Operations Procedures (SOP). It is updated as financial changes are promulgated by the U.S. Coast Guard. This job aid provides all the necessary information you need to develop accounting strings and document control numbers (DCNs) for FPN, CPN, and DPN projects. It is available on NPFC's website at <http://www.uscg.milnpfc>.

NOTE: THE U.S. COAST GUARD WILL BE INITIATING A NEW ACCOUNTING SYTEM IN THE NEAR FUTURE THAT WILL MAKE THIS CHAPTER ALMOST OBSOLETE. THIS CHAPTER WILL THEN BE UPDATED.

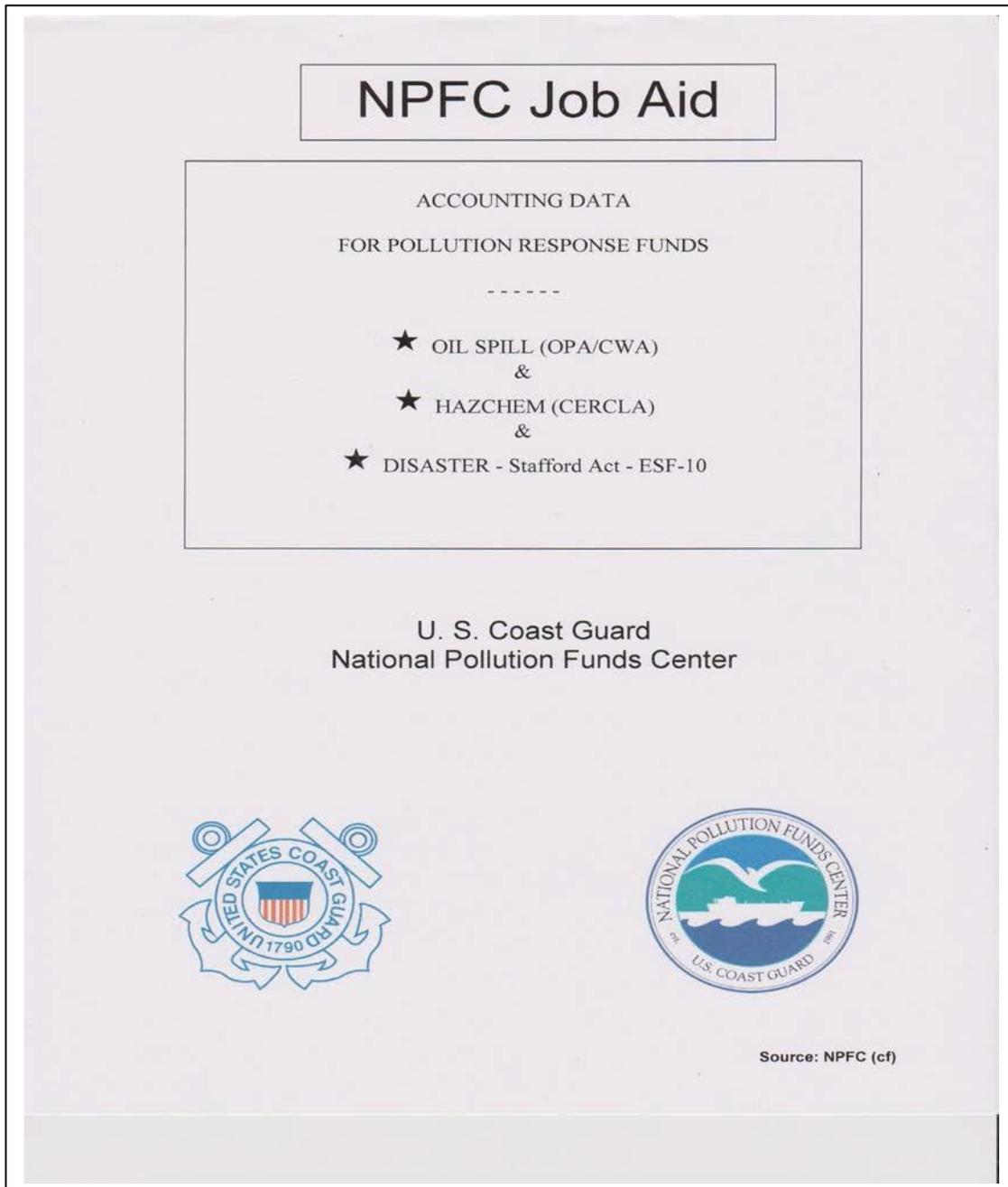


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Appendix G -- Project Number Construction (all types) 12-15

Source: NPFC (Cf)

ACCOUNTING STRINGS FOR OIL SPILL RESPONSE FUNDING*
&
OPA CLAIMS

FORMAT:

2 X XX 1XX XX 0 XXXXXX XXXX XXXX
(1) (2) (3) (4) (5) (6) (7) (8) (9)

(1)	Agency	1 character	= "2" (USCG)
(2)	District/Region	1 character	= Varies: 1/24/12 & Future (See Appendix A) = "V" for FY-09 to 1-23-2012 = "H" for FY-08 & before
(3)	Appropriation	2 characters	= "SZ" for Oil Response; INRDA = "SX" for OPA Claim
(4)	Appropriation Limitation Code (LIM Code)	3 characters	#1 = "1" (direct funds) #2-3 = FOSC's ATU (1/24/12 & Future) #2-3 = "72" (FY-09 to 1/23/12) #2-3 = FOSC's ATU (Before FY-09) (See Appendix A)
(5)	Allotment Fund Control (AFC)	2 characters	= "95" for Oil Response; INRDA = "00" for OPA Claim
(6)	Allotment Level Indicator (ALI)	1 character	= "0" (This field is not used by USCG)
(7)	Program Element	6 characters	= the Assigned FPN = Claim Proj. No. for orphan claim
(8)	Cost Center	5 characters	= OPFAC No. of the FOSC who is assigned the funds (See Appendix B) = "74100" (NPFC) for INRDA & when EPA is the FOSC;
(9)	Object Class	4 characters	= Std. USCG Object Class Code (See Appendix C)

** The Account line for oil response funds is supplied in the official FPN Notification Message from NPFC or CANAPS.*

Source: NPFC (Cf)

ACCOUNTING STRINGS FOR CERCLA & ESF-10 DISASTER RESPONSE FUNDING*

FORMAT:

2 X X01 8XX 80 0 XXXXXX XXXXX XXXX
 (1) (2) (3) (4) (5) (6) (7) (8) (9)

- (1) Agency 1 character = "2" (Coast Guard)
- (2) District/Region 1 character = Varies: 1/24/12 & Future (**See Appendix A**)
 = "V" for FY-09 to 1-23-2012
 = "H" for FY-08 & before
- (3) Appropriation 3 characters #1 = Last digit of current FY
 #2-3 = "01" (Operating Expense)
- (4) Appropriation Limitation Code (LIM Code) 3 characters #1 = "8" (reimbursable funds)
 #2-3 = FOSC's ATU (1/24/12 & Future)
 #2-3 = "72" (FY-09 to 1/23/12)
 #2-3 = FOSC's ATU (Before FY-09)
 (See **Appendix A**)
- (5) Allotment Fund Control (AFC) 2 characters = "80" (reimbursable funds)
- (6) Allotment Level Indicator (ALI) 1 character = "0"
 (This field is not used by USCG)
- (7) Program Element 6 characters = CPN for a CERCLA Case
 = DPN for a Disaster Case
- (8) Cost Center 5 characters = OPFAC # of the FOSC who is assigned the funds (**Appendix B**)
- (9) Object Class 4 characters = Std. USCG Code (**Appendix C**)

Reimbursable Agreement Number (RAN): Use the CPN or DPN assigned.
 The RAN is a required part of a reimbursable Account Line in FPD. It goes in the System Data Field. It is the same as the CPN or DPN. For Cases that extend across Fiscal Years, the RAN is the CPN or DPN with the newer Fiscal Year Appropriation Code added at the end. (Eg. 2008 case C08049 becomes RAN C08049901 in 2009). The system needs an "R" in the front and the "R" should already be in the FPD window. Enter the CPN or DPN in the RAN window and click the "•••". The same CPN or DPN should appear in the window that opens. Select it and accept it. You may see a long list of RANs in the window that opens. Carefully select the same CPN or DPN assigned to your case.

 * The Account line for CERCLA or ESF-10 Disaster response funds is supplied in the official FPN Notification Message from NPFC or CANAPS

Source: NPFC (Cf)

DOCUMENT CONTROL NUMBERS

For OSLTF (FPN), CERCLA (CPN) & ESF-10 Disasters (DPN) Transactions

FORMAT:

XX XX XX X X XX XXX
 (1) (2) (3) (4) (5) (6) (7)

(1)	Document Type	2 characters	= Std. FINCEN document type (See Appendix D)
(2)	Fiscal Year (Funding Year)	2 digits	= Last two digits of current fiscal year or funding year.
(3)	Procurement Site Code	2 characters	(See Appendix E)
(4)	Fiscal Year	1 digit	= Last digit of the year of initial contract award (normally the same FY)
(5)	Region/District	1 character	= Varies: 1/24/12 & Future (See Appendix A) = "V" for FY-09 – 1/23/2012 = "H" for FY-08 & before
(6)	Program Element	2 characters	= NPFC ID Code for Unit (See Appendix F)
(7)	Document Sequence Number	3 digits	= Unique sequential number assigned by the unit preparing the document

 Source: NPFC (Cf)

APPENDIX A

REGION and ADMINISTRATIVE TARGET UNITS (ATUs)

**For Constructing Region and Appropriation Limitation (LIM) Codes
1/24/12 and Forward**

	<u>REGION</u>	<u>ATU #</u>
D1	1 -----Boston, MA	01
D5	5 ----- Portsmouth, VA	05
D7	7 -----Miami, FL	07
D8	8 -----New Orleans, LA	08
D9	C ----- Cleveland, OH	09
D11	L ----- Alameda, CA	11
D13	S ----- Seattle, WA	13
D14	4 ----- Honolulu, HI	14
D17	J ----- Juneau, AK	17
NSFCC	X ----- NSFCC/PIAT/Strike Teams (* effective 10/1/2013)	20*

(FY-10 & subsequent)

Shore Infrastructure Logistics Center (SILC)-----37

CG Finance Center----- Chesapeake, VA----- 36

National Strike Force & NSFCC: REGION D, ----ATU 58
(FY10 through FY13)

NPFC----- Arlington, VA: REGION V, --ATU 72

CG Headquarters -----99

(Prior to FY-10)

MLC – Atlantic ----- Portsmouth, VA ----- 32

MLC – Pacific ----- Alameda, CA----- 33

Source: NPFC (Cf)

APPENDIX B

OPFAC NUMBERS For Use as Cost Center in Account Lines

<i>DISTRICT OFFICES:</i>	<i>OPFAC #</i>	<i>OTHER UNITS</i>	<i>OPFAC #</i>
D-1 Boston	71101	NPFC	74100
D-5 Portsmouth	71105	SILC (Norfolk, VA)	52100
D-7 Miami	71107		
D-8 New Orleans	71108		
D-9 Cleveland	71109	NSFCC	34359
D-11 Alameda	71111	Atlantic Strike Team	34361
D-13 Seattle	71113	Gulf Strike Team	34340
D-14 Honolulu	71114	Pacific Strike Team	34360
D-17 Juneau	71117		
CG FOSCs (Sectors unless noted)	OPFAC #	CG FOSCs (Sectors unless noted)	OPFAC #
Anchorage	37380	Mobile	37160
Baltimore (see Maryland National Capital Region)	----	Morgan City (MSU)	33272
Boston	37010	New Orleans	37150
Buffalo	37210	New York	37040
Charleston	37090	North Carolina	37080
Chicago (NOT FOSC)	----	North. New England	37000
Cleveland (NOT FOSC)	----	Ohio Valley	37200
Columbia River WA	37400	Paducah (NOT FOSC)	----
Corpus Christi	37180	Pittsburgh (MSU)	33256
Delaware Bay	37050	Port Arthur (MSU)	33274
Detroit	37220	Portland OR (MSU)	33270
Duluth (MSU)	33262	Puget Sound WA	37320
Guam	37350	San Diego	37250
Hampton Roads	37070	San Francisco	37270
Honolulu	37340	San Juan	37120
Houston/Galveston	37170	Sault Ste Marie	37230
Huntington (NOT FOSC)	----	Savannah (MSU)	33264
Jacksonville	37100	SE New England	37020
Juneau	37360	St. Petersburg	37130
Key West	37140	Toledo (NOT FOSC)	----
Lake Michigan	37240	Texas City (MSU)	33277
Long Island Sound	37030	Upper Miss. River	37390
Los Angeles/Long Beach	37260	Valdez (MSU)	33283
Lower Miss. River	37190		
Maryland - National Capital Region (6/2016)	37060		
Miami	37110		

Source: NPFC (Cf)

NOTE: New units are highlighted. Converted (changed) units are in italics.

APPENDIX C

**SELECTED OBJECT CLASS CODES
(From Appendix F to Fincen's SOP)**

Recommended Codes *(but not exclusive)*

2100	CONUS Travel - Site Visit - Ops Travel
2110	OVERSEAS Travel - Site Visit - Ops Travel
2170	Lease of aircraft
2172	Lease of vehicle - commercial
2523	Contracts – Other [Use for State or Local PRFA]
2532	Contracts – Government [Use for Federal Agency PRFA, all INRDA]
2656	Marine Environmental Response Equipment
2669	Safety Supplies
4202	Indemnities & Claims

Notes:

- (1) These object class codes are often used for pollution cases. If a transaction does not fit one of these, the full list available to the Coast Guard is in Appendix F of the FINCEN SOP.*
- (2) These codes are valid a/o the date of revision. Always validate object codes against the current edition of Appendix F.*

Source: NPFC (Cf)

APPENDIX D**DOCUMENT TYPES**
For Use in Document Control Numbers

- | | |
|--|--|
| 11 - TAD/TDY/Local Travel Orders | 37 - Printing & Pubs (DOD/GSA/GPO) |
| 13 - Continuous Travel Orders | Medical Payments (NIPS) |
| 14 - GTR & GTA (PCS & TAD) | 48 - GSA Vehicle Charges |
| 15 - GBL (PCS & TAD) | 71 - Reserve Orders (Contingency Recall) |
| 21 - Procurement Request (Brown Sheet) | IADT, Emergency Involuntary Recall |
| 23 - Purchase Order / Delivery Order | ADSW-AC/RC > 180 Days |
| 24 - Contracts | Voluntary Recall > 180 Days |
| 27 - Auxiliary Patrol Orders | 72 - Reserve Orders: |
| 28 - ISSA-MIPR-IAG, UNICOR | ADT-AT/OTD |
| 32 - Credit Cards, Express Shipments | ADSW-AC/RC <= 180 Days |
| 33 - Miscellaneous Costs, etc., [CLAIMS] | Voluntary Recall <= 180 Days |
| 34 - GSA Job Order - RWA (bldg. repair) | ADSE-AC Reimb. by Other Agency |
| [PRFA, INRDA] | |
| 35 - ARMS (MILSTRIP), SERVMART | |
| OGA Bills (SF-1080), Aviation fuel, | |
| etc. | |

Source:

Based on Appendix G to the FINCEN SOP.

These Document Types are valid a/o the date of revision. Always validate Document Types against the current edition of Appendix G.

Source: NPFC (Cf)

APPENDIX E

PROCUREMENT SITE CODES

For Use in OPA & CERCLA Document Control Numbers

23	CG HQ, CG-912
24	CCGD1, BSU Boston
26	National Strike Force & NSFCC
27	CCGD5, BSU Portsmouth
28	CCGD7, BSU Miami
29	CCGD8, BSU New Orleans
30	CCGD9, BSU Cleveland
31	CCGD11, BSU Alameda
33	CCGD13, BSU Seattle
34	CCGD14, BSU Honolulu
35	CCGD17, BSU Ketchikan
41	USCG Training Center Yorktown
46	NPFC [EPA PRFA, INRDA, NPFC TONO]
84	USCG SILC

(SEE FINCEN SOP, Appendix H for additional codes (ISCs, CEUs & other USCG units).

Source: NPFC (Cf)

APPENDIX F

NPFC SPECIAL PROGRAM ELEMENT CODES
For Use in OPA & CERCLA Document Control Numbers Only

<u>X1</u>	<u>District-1 Office, Boston</u>	<u>Y9</u>	<u>District-9 Office, Cleveland</u>
XB	Sector Boston	YT	Sector Buffalo
XE	Sector Long Island Sound	YQ	Sector Detroit
XD	Sector New York	YP	MSU Duluth
XA	Sector Northern New England	YN	Sector Lake Michigan
XC	Sector Southeast New England	YK	Sector Sault Ste. Marie
<u>X5</u>	<u>District-5 Office, Portsmouth</u>	<u>Y1</u>	<u>District-11 Office, Alameda</u>
XM	Sector Baltimore	YA	Sector Los Angeles/Long Beach
XP	Sector Delaware Bay	YB	Sector San Diego
XN	Sector Hampton Roads	YC	Sector San Francisco
XK	Sector North Carolina	<u>Y3</u>	<u>District-13 Office, Seattle</u>
<i>XQ</i>	<i>Reserved (ex MSU Wilmington)</i>	YD	Sector Portland, OR
<u>X7</u>	<u>District-7 Office, Miami</u>	YE	Sector Seattle
XV	Sector Charleston	<u>Y4</u>	<u>District-14 Office, Honolulu</u>
XS	Sector Jacksonville	XX	Sector Guam
XG	Sector Key West	YF	Sector Honolulu
XR	Sector Miami	<u>Y7</u>	<u>District-17 Office, Juneau</u>
XW	Sector San Juan	YH	Sector Anchorage
XU	MSU Savannah	YG	Sector Juneau
XT	Sector St. Petersburg	YJ	MSO Valdez
<u>Y8</u>	<u>District-8 Office, New Orleans</u>	<u>XZ</u>	<u>NPFC</u>
YX	MSO Corpus Christi	<u>X8</u>	<u>Reserve Orders in Direct Access</u>
YW	MSU Texas City (<i>ex Galveston</i>)	<u>E1</u>	<u>NSFCC</u>
XY	Sector Houston-Galveston	E2	AST
XJ	Sector Lower Mississippi River	E3	GST
YV	Sector Mobile	E4	PST
YY	MSU Morgan City		
YZ	Sector New Orleans		
XH	Sector Ohio Valley		
XK	<i>Reserved (ex MSO Paducah)</i>		
XL	MSU Pittsburgh		
YU	MSO Port Arthur		
XF	Sector Upper Miss. River		

NPFC Use Only

- X2 Site Specific IAG with EPA Region*
- X3 NRDA Initiate Agreement*
- X4 State Access Cooperative Agreement*
- X6 NRD Claims payments & costs*
- XZ Damage Claims Payments*

Source: NPFC (Cf)

APPENDIX G

NPFC Project Number Construction (all types)

1. FEDERAL PROJECT NUMBER – FOSC Oil Spill Removal

A) USCG FOSC (Coastal Zone):

X XX XXX
 (1) (2) (3)

- (1) DISTRICT Issuing the FPN (1 letter – see table below)
- (2) FY the case began and the FPN was established (2 numbers).
- (3) SEQUENCE # of the incident in that district for that fiscal year (3 characters).

DISTRICT ID

- D-1 Boston, MA -----B
- D-5 Portsmouth, VA -----P
- D-7 Miami, FL -----M
- D-8 New Orleans, LA-----N
- D-9 Cleveland, OH -----G
- D-11 Alameda, CA -----A
- D-13 Seattle, WA -----S
- D-14 Honolulu, HI -----H
- D-17 Juneau, AK -----J
- EPA -----E. (began 2002 when CANAPS started)

B) EPA FOSC (Inland Zone):

In FY-2002 (CANAPS launched), EPA project numbers begin with “E”.

E XX X XX
 (1) (2) (3) (4)

- (1) “E” for EPA.
- (2) FY the case began, when the FPN was established.
- (3) Identifier for the EPA Region (See Table below).
- (4) Sequence # of the incident in that USCG District for that year.

	ID #		ID #
Region 1 Boston, MA	1	Region 6 Dallas, TX	6
Region 2 New York ,NY	2	Region 7 Kansas City, KS	7
Region 3 Philadelphia, PA	3	Region 8 Denver, CO	8
Region 4 Atlanta, GS	4	Region 9 Alameda, CA	9
Region 5 Chicago, IL	5	Region 10 Seattle, WA	0

Source: NPFC (Cf)

2. OLD FEDERAL PROJECT NUMBER FOSC OIL REMOVALS 1984-1998

XX X XXX
(1) (2) (3)

- (1) District Issuing the FPN.
- (2) FY the case began and the FPN was established.
- (3) Sequence # of the incident in the respective District for that year.

DISTRICT ID NUMERALS

CCGD1	Boston, MA	01
CCGD2	St. Louis, MO	02 (Closed FY 1994)
CCGD3	New York, NY	03 (Closed FY 1986)
CCGD5	Portsmouth, VA	05
CCGD7	Miami, FL	07
CCGD8	New Orleans, LA	08
CCGD9	Cleveland, OH	09
CCGD11	Long Beach CA	11
CCGD12	San Francisco, CA	12 (Closed FY 1994)
CCGD13	Seattle, WA	13
CCGD14	Honolulu, HI	14
CCGD17	Juneau, AK	17

3. OPA CLAIMS PROJECT NUMBER – Oil Fund Claim(s) Paid by NPFC for claims not associated with a removal case. Claims linked to a removal case use the same FPN as the removal case. (1993 & after)

9 XX XXX
(1) (2) (3)

- (1) "9" signifies a Claim(s)-only incident.
- (2) FY the first claim was received for the incident.
- (3) SEQUENCE # of the incident for that year – established in the Claims Processing System (CPS) and NPFC Oracle Project Accounting (PA).

The Project No. (1, 2 and 3) is the Program Element in the Account Line

9 XX XXX -- XXX
(1) (2) (3) (4)

- (4) Suffix -- sequential identifier for individual claims within a project (used only in CPS and on a Claims Authorization to Pay (ATP))

Source: NPFC (Cf)

4. CERCLA PROJECT NUMBER (CPN) For USCG FOSCs (1994 & after):

		X	XX	XXX
		(1)	(2)	(3)
(1)	Case Type	1 character		C = CERCLA
(2)	Fiscal Year	2 characters		FY the case began & CPN was established
(3)	Sequence #	3 characters		Sequence # of the incident for that FY

NOTE: CPNs for USCG FOSCs are assigned by CANAPS

5. STRIKE TEAM CERCLA PROJECT NUMBER (CPN)

USCG NSF Strike Team Support to an EPA FOSC for CERCLA response only (1999 & after)

		X	XX	X	XX
		(1)	(2)	(3)	(4)
(1)	Case Type	1 character			C = CERCLA
(2)	Fiscal Year	2 characters			FY the case began & CPN was established
(3)	Strike Team ID	1 character			A = AST G = GST P = PST
(4)	Sequence #	2 characters			Sequence # of the incident for that FY For that Strike Team

NOTE: Strike Teams are authorized to issue their own CPNs for assisting EPA FOSCs. Strike Team CPNs are generated manually by the Strike Team and sent via USCG message or email to NPFC.

Source: NPFC (Cf)

6. DISASTER / ESF-10 PROJECT NUMBER (DPN)

X XX X X X
 (1) (2) (3) (4) (5)

(1)	Case Type	1 character	D = DISASTER
(2)	Fiscal Year	2 digits	Last two digits of the FY the Disaster was declared by FEMA.
(3)	Disaster	1 character	A, B, C, etc (identifies disasters in chronological sequence in that FY)
(4)	State	1 character	A, B, C, etc. (identifies state for which the Mission Assignment is issued in same disaster)
(5)	Sequence Number	1 digit	Sequential number identifying Mission Assignments issued for a particular state and disaster

IMPORTANT

1. FEMA issues Mission Assignments that are unique to a specific Disaster, a specific State, and a specific ESF. There may also be multiple specific mission assignments within an ESF. Each of these is a separate funding stream (pot of money) that requires separate management. Each funding stream requires a unique account line.

Each DPN is based specifically on the corresponding FEMA Mission Assignment or the related EPA IAG or EFA providing the Mission Assignment funding to the USCG. Each Mission Assignment (“pot of money”) must have a unique DPN.

This assures Coast Guard spending follows the same logic and is documented and billed according to this structure. Otherwise, FEMA will disallow Coast Guard billings for reimbursement. A failure to recover costs would force the Coast Guard to cover the costs out of its own OE Appropriation.

2. ESF-10 DPNs are generated manually by the NPFC Financial Management Division and sent via official USCG message to the Coast Guard unit being assigned the funds. The message identifies the disaster by name, the state, allowed use based on tasking in the mission assignment, and other management information.

Source: NPFC (Cf)

Chapter 7

Pollution Removal Funding Authorizations (PRFA)

Pollution Removal Funding Authorizations (PRFAs)

- A. **General.** The Pollution Removal Funding Authorization (PRFA) is a tool available to FOSCs to quickly obtain needed services and assistance from other government agencies (federal, state or local) in oil spill and hazardous substances response actions. There are two types of PRFA forms, one for Federal agencies and one for Non-Federal agencies.
- B. **Financial Obligation Document.** The PRFA obligates the OSLTF to payment, by reimbursement, of costs incurred in pollution response activities undertaken by another government agency working for the FOSC. The other government agency's response costs must not exceed the amount obligated in the PRFA.
- C. **Agency Reimbursement.** Under the terms of a PRFA, an FOSC may agree to reimburse another government agency for costs incurred in providing any agreed upon removal services and assistance to the FOSC, consistent with the NCP. Some of the costs which are reimbursable under a PRFA include, but are not necessarily limited to:
 - 1. Personnel salary costs, including overtime;
 - 2. Travel and per diem expenses;

3. Appropriate charges for the utilization of other government agency owned equipment or facilities; and
 4. Actual expenses for contractor or vendor supplied goods and services obtained by the other government agency, through its own purchasing process, to provide agreed upon assistance and support to the FOSC.
- D. **Clear Agreement as to Support Provided.** The FOSC and the other government agency must agree upon and document:
1. The specific goods and/or services to be provided; and
 2. A good faith estimate of the total anticipated costs, with a line item breakdown of the principal expense categories. This need not be more than a single page, and can be made an attachment to the PRFA.
- E. **Amendment.** A PRFA makes funding available to another government agency for costs incurred up to the maximum amount authorized. The FOSC may amend the PRFA: (1) to change the scope of work, (2) increase the authorized maximum reimbursement ceiling if additional assistance and support is desired, and (3) if the cost of services is expected to exceed the original estimate.
- F. **Other Government Agency Cost Tracking.** The Other Government Agency (OGA) that is acting under a PRFA must track costs as they are incurred and ensure costs do not exceed the authorized maximum ceiling, when additional assistance and support is needed, or if the cost of OGA services is expected to exceed the original estimate.
- G. **Other Government Agency Cost Documentation.** The Other Government Agency (OGA) receiving a PRFA must track its costs and provide documentation to support reimbursement and federal cost recovery actions against RPs, as appropriate. Cost documentation must follow the guidance stated in Chapter 5 of this manual or equivalent agency documentation. All alternative documentation schemes must be pre-approved by the NPFC prior to use.
1. **NOAA.** The NOAA Scientific Support Coordinator (SSC) and their associated services are the most frequently called upon other government agency resources which participate in Coast Guard pollution responses. Unless NOAA specifically declines the need for a PRFA, the FOSC must prepare a PRFA each time the SSC is called upon for incident specific response support. Based on input from the SSC for each prospective PRFA, NOAA's Office of Ocean Resources Conservation and Assessment (ORCA) in Seattle, Washington will provide the FOSC with a spreadsheet showing the estimated costs for the PRFA. The FOSC shall attach the spreadsheet to the PRFA using it to support the maximum funding authorized by the PRFA.
 2. If the level of services provided by NOAA changes, e.g., either by shortening or lengthening the response, changing the nature of NOAA's support, NOAA will issue a new estimate which becomes part of the PRFA package. If the funding authorization increases, a PRFA amendment must be issued to show the increase in the authorized funding (decreases do not need to have an amendment issued). Following the completion of a response, NOAA will issue a final cost spreadsheet to the FOSC. Under an agreement with the NPFC, this document will serve as NOAA's resource and cost documentation for inclusion with the FOSC's Financial Summary Report to the NPFC. NOAA has agreed to provide NPFC with a more detailed report upon request to support cost recovery action.
- H. **Accounting Date for PRFA.** PRFAs are a Doc Type "34" document. Construct the Document Control Number (DCN) on all authorizations using the format found in Chapter 6 of this TOPS.
- I. **Authorizing Officer.** Signature of the FOSC/IC or authorized representative (e.g., Deputy IC) must sign the PRFA or amendments. FOSCR's are not authorized to sign PRFAs.
- J. **Invoicing.** Each agency must provide the following financial information, when a PRFA is issued:

- Federal agencies (Submits SF-1081 with):
 - Agency Location Code (ALC)
 - Tax ID Number
 - DUNS
 - Treasury Account Symbol (TAS)
 - Must be registered in SAM
- State and Local agencies (Submits SF-1080 with):
 - Tax ID Number
 - DUNS
 - Must be registered in SAM

K. The NPFC will not approve payment of charges against a PRFA for:

1. Costs that exceed the maximum dollar amount authorized in the PRFA and amendments;
2. Services provided that fall outside the scope of work that the FOSC authorized; and
3. Costs that are not documented adequately.

L. **FOSC Certification.** In certifying an invoice for reimbursement against a PRFA, the FOSC is not verifying the various cost categories, but is attesting that the goods and services are consistent with those agreed upon and authorized. An example that can be used is:

- I certify that this agency performed removal activities in accordance with the issued Pollution Removal Funding Authorization and reimbursement of costs is authorized, unless otherwise indicated.

FOSC's signature and Date

M. **Limitations on use of PRFAs.** The PRFA may not be used by the FOSC to obtain goods or services directly from private individuals, groups, or companies. It should also not be used to obligate funds for the Initiation of Natural Resources Damage Assessments (NRDA), further assessment actions, or payment of damages.

**Federal Agency
Pollution Removal Funding Authorization**

Recipient Agency	
Address	
Agency Locator Code (ALC)	
Agency DUNS	
Agency Tax ID	
Treasury Account Symbol (TAS)	

1. Purpose

This document authorizes reimbursement to the Recipient Agency from the Oil Spill Liability Trust Fund or CERCLA funds for certain removal costs incurred in response to the following pollution incident, _____.

Federal Project Number/CERCLA Project Number, _____.

This funding authorization is expressly contingent on the Recipient Agency's compliance with all requirements contained herein.

2. Approved Functions and Reimbursement Limit

Costs will be reimbursed only for actions that are directed or approved in advance by the FOSC. Approval may be verbal or written. Assessment, restoration, rehabilitation or replacement of natural resources damaged by the spill are not covered.

Maximum limit of authorization: \$ _____.

3. Conditions

See attached page(s) for scope of work, special conditions, date of performance, directions or approvals.

4. Period of Authorization

This authorization shall remain in effect until the completion date specified by the FOSC (which normally corresponds to the date of final removal activities).

5. Reimbursement Procedure

Upon completion of removal activities, the Recipient Agency will submit a SF-1080/1081 to the FOSC with detailed records of expenditures and activities for which reimbursement is sought. The agency may elect to use its own records providing an equivalent amount of documentation which has NPFC approval, or the agency may elect to use NPFC's Resource Cost Documentation package. The agency must submit the final request for reimbursement, supported by the required documentation, within 90 days following the completion date. If OMB Circular A-87 cost rates apply, cost certifications must be included. If at the end of the 90 days from final removal activities, there are any costs for which reimbursement has not been requested, written notice will be sent to the agency and 30 days later any balance remaining in the account will be deobligated.

**Federal Agency
Pollution Removal Funding Authorization**

6. Accounting Data

Document Control Number:	
Accounting String:	

7. Points of Contact

Federal On-Scene Coordinator	Telephone:
	FAX:
	Email:
Recipient Agency Representative	Telephone:
	FAX:
	E-Mail:
NPFC Case Officer	Telephone:
	FAX:
	E-Mail:

8. Authorizing Official

Federal On-Scene Coordinator

Signature: _____ Date _____

Attachments: (1) Scope of Work

**Non-Federal Agency
Pollution Removal Funding Authorization**

Recipient Agency	
Address	
Agency DUNS	
Agency Tax ID	

1. Purpose

This document authorizes reimbursement to the Recipient Agency from the Oil Spill Liability Trust Fund or CERCLA funds for certain removal costs incurred in response to the following pollution incident, _____.

Federal Project Number/CERCLA Project Number, _____.

This funding authorization is expressly contingent on the Recipient Agency's compliance with all requirements contained herein.

2. Approved Functions and Reimbursement Limit

Costs will be reimbursed only for actions that are directed or approved in advance by the FOSC. Approval may be verbal or written. Assessment, restoration, rehabilitation or replacement of natural resources damaged by the spill are not covered.

Maximum limit of authorization: \$ _____.

3. Conditions

See attached page(s) for scope of work, special conditions, date of performance, directions or approvals.

4. Period of Authorization

This authorization shall remain in effect until the completion date specified by the FOSC (which normally corresponds to the date of final removal activities).

5. Reimbursement Procedure

Upon completion of removal activities, the Recipient Agency will submit a SF-1080/1081 to the FOSC with detailed records of expenditures and activities for which reimbursement is sought. The agency may elect to use its own records providing an equivalent amount of documentation which has NPFC approval, or the agency may elect to use NPFC's Resource Cost Documentation package. The agency must submit the final request for reimbursement, supported by the required documentation, within 90 days following the completion date. If OMB Circular A-87 cost rates apply, cost certifications must be included. If at the end of the 90 days from final removal activities, there are any costs for which reimbursement has not been requested, written notice will be sent to the agency and 30 days later any balance remaining in the account will be deobligated.

6. Hold Harmless and Indemnify

By performing any action or seeking any reimbursement under this funding authorization, the Recipient Agency agrees that the United States of America and all of its departments and

**Non-Federal Agency
Pollution Removal Funding Authorization**

agencies, including, but not limited to, the U.S. Coast Guard and the Oil Spill Liability Trust Fund ("United States"), shall not be liable to any party for damage, injury or loss to persons or property resulting from the acts or omissions of Recipient Agency, its employees, agents or contractors, related to the Recipient Agency's performance of this Agreement. The Recipient agency agrees to indemnify and hold harmless the United States from all actions, claims or suits for damage, injury or loss to persons or property resulting from the acts or omissions of Recipient Agency, its employees, agents or contractors related to Recipient Agency's performance of this Agreement. This agreement to hold harmless and indemnify the United States is subject to the availability of Recipient Agency funds. The Recipient agrees in good faith to use available Agency funds and to undertake all reasonable effort to acquire such funds if not otherwise available.

7. No Agency

Nothing in this funding authorization is intended to create an agency relationship between the Recipient Agency and the United States of America (or any of its departments, agencies, or employees). Nor shall anything in this funding authorization be construed as creating an agency relationship. By performing any action or seeking any reimbursement under this funding authorization, the Recipient Agency agrees that it has not been authorized to act as an agent of the United States, and shall not act in any such capacity.

8. Accounting Data

Document Control Number:	
Accounting String:	

7. Points of Contact

Federal On-Scene Coordinator	Telephone:
	FAX:
	Email:
Recipient Agency Representative	Telephone:
	FAX:
	E-Mail:
NPFC Case Officer	Telephone:
	FAX:
	E-Mail:

8. Authorizing Official

Federal On-Scene Coordinator

Signature: _____ Date _____

Attachments: (1) Scope of Work

**AMENDMENT TO
POLLUTION REMOVAL FUNDING AUTHORIZATION**

Issued to (Recipient Agency): _____

Address: _____

By FOOSC: _____

Date of Original Authorization: _____

Document Control Number (DCN) of Original Authorization: 34- _____

The Authorization cited above is amended as follows:

New Document Control Number of this Amendment: 34- _____

Authorized Official

Signature: _____

Title: Federal On-Scene Coordinator (FOOSC) Date: _____

PRFA

Statement of Work For Removal Actions

FPN/CPN: _____
DCN/PRFA: _____
CG/EPA FOSC: _____
Incident Name/Site Name: _____
Site ID (EPA): _____

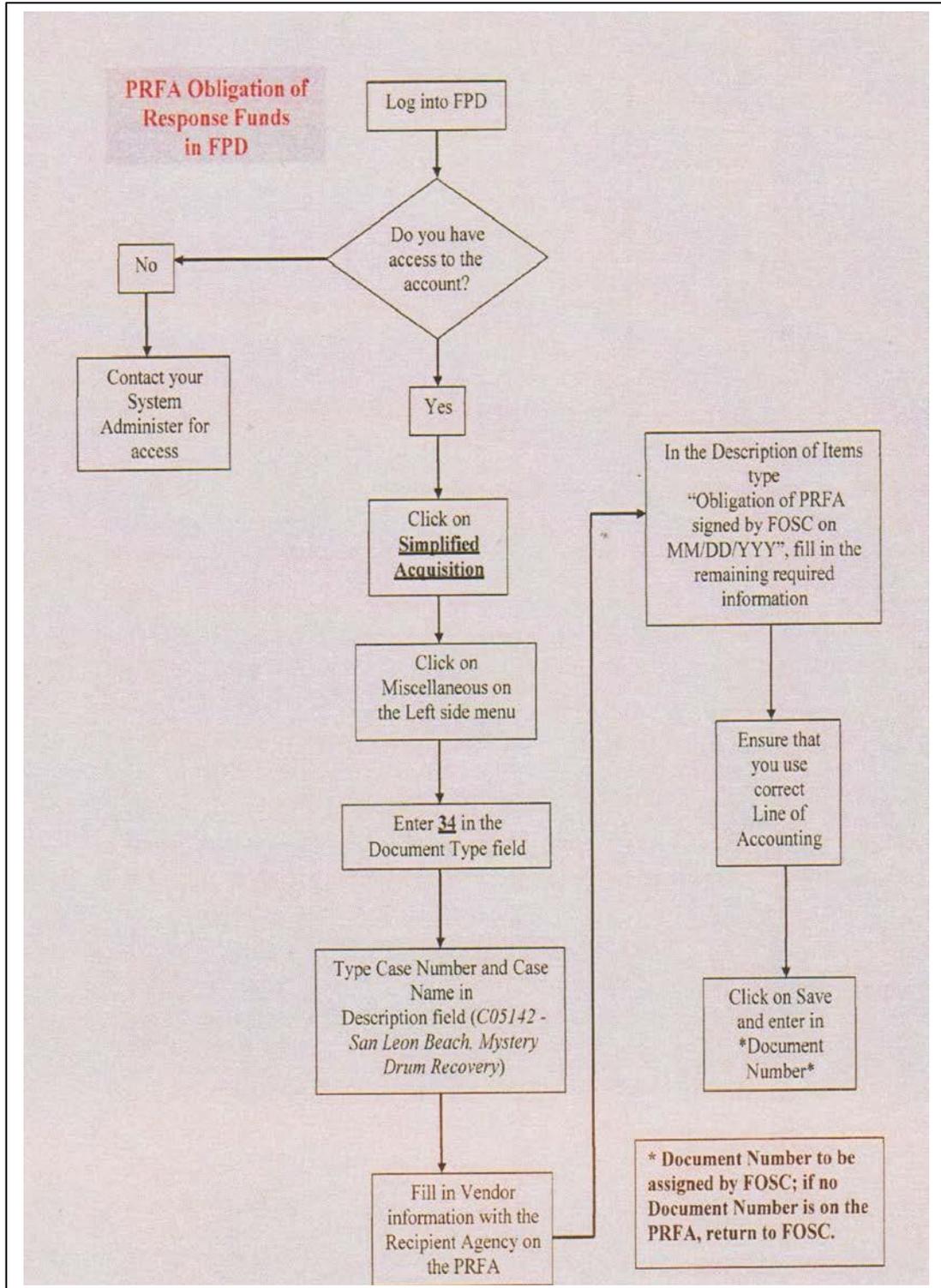
The task list below addresses the specific removal actions that are ordered through PRFA's in support of FOSC's. When modification or amendment to this PRFA is required the "Amendment to PRFA" shall be used and a new or updated task list shall be assigned if new tasking is identified. A narrative written scope of work can be drafted if more specific information is needed to clarify specific activities being authorized to support the response activities, otherwise, this checklist can be a starting point. The recipient agency of the PRFA shall perform the following (as identified by the appropriate check marks below):

- collect facts regarding the discharge of oil into navigable waters, to include its source and cause;
- identify potentially responsible parties (RPs), including any "deed and title court record search;
- analyze the nature, amount, and location of discharged oil;
- analyze the probable direction and time of travel of discharged oil;
- identify pathways to human and environmental exposure;
- provide analysis of discharges posing a substantial threat to the public health or welfare of the United States;
- provide temporary/permanent stabilization prior to the mobilization of other responders;
- provide appropriate personnel, equipment, and supplies to contain and remove discharged oil from navigable waters and shoreline;
- document all site-specific costs incurred by the contractor and the recipient agency for the removal actions;
- identify active or historical facility processes or operations that may have contributed to the discharge of oil
- prepare a sampling plan that describes the number, type, and location of samples and the type of analysis (for example, sampling and analysis plans for collection of multi-media environmental samples; petrochemical product or waste oil or crude oil);
- collect representative oil sample(s) and submit them to the U.S. Coast Guard Marine Safety Lab (MSL) for appropriate analysis;
- develop site specific Health and Safety Plans (HSP's);

- ___ - review, prepare, and submit all required accounting/accounting records in accordance with this TOPS;
- ___ - submit Pollution Reports (POLREPs) at periodic intervals as specified by the issuing FOSC;
- ___ - provide daily progress reports and/or consultations to the FOSC, as necessary;
- ___ - develop health and safety procedures for response activities, such as OSHA levels of Protection associated with a site;
- ___ - recommend cleanup and disposal options;
- ___ - review completeness of disposal documentation, such as manifests, waste profile data, and other information;
- ___ - obtain permits from local, state or federal agencies, associated with the contractor's Response activities;
- ___ - provide or arrange for site security to prevent unauthorized access of any persons or Animals to preserve public safety, such as armed or unarmed security services;
- ___ - identify concerned local and elected officials;
- ___ - conduct waste profile analysis;
- ___ - perform and advise on wildlife capture, recovery, and stabilization;
- ___ - perform other duties as specified below: (narrative or bullet items).

N. Entering PRFAs into FPD. The flowchart below shows the steps Coast Guard personnel should

follow for using FPD to obligate OSLTF, CERCLA, and Disaster funds for PRFAs.



O. Local and State Agencies Use of SF-1080

The SF-1080 is used by local and state agencies to request reimbursement from the Coast Guard. Documentation should be organized and summarized, to provide a clear audit trail from the detail to the SF-1080 or invoice submitted for reimbursement. These submittals will be reviewed by the NPFC Case Officer for continuity and propriety. Incomplete submittals will be returned to the sender for corrective action.

How to Complete the SF-1080 – General Information:

1. **Voucher No:** Leave blank.
2. **Schedule No:** Leave blank.
3. **Department, establishment, bureau, or other receiving funds:** Enter complete mailing address of the agency receiving the funding and submitting the SF-1080.
4. **Bill No:** Enter the Federal Project Number (FPN).
5. **Department, establishment, bureau, or office charged:** Enter the following:

Director
National Pollution Funds Center
2703 Martin Luther King Jr. Avenue SE
Washington, DC 20593-7605

6. **Paid By:** Leave blank.
7. **Order No:** Enter the number “1”.
8. **Date of Delivery:** Enter the date work began and was completed.
9. **Articles or Services:** Enter the following:

Completion of removal activities supporting CG or EPA FOSC on case number: (Enter FPN), with inclusive dates of _____ to _____.

10. **Quantity:** Enter the number “1”.
11. **Unit Price:** Enter the total cost of agency’s services.
12. **Amount – Dollars and Cents:** Enter the same as in 11.
13. **Total:** Same as in 11 and 12.

Note: On large responses, on a case-by-case basis, it may be appropriate to break out services and costs indicated in items 7 through 12 into separate line items with the total amount requested noted in item 13.

14. **Remittance in payment hereof should be sent to:** Enter the mailing address of the agency requesting reimbursement and submitting the SF-1080 (Probably the same as item 3).
15. **Accounting Classification – Office Receiving Funds:** Enter the agency’s Tax ID number and DUNS number, Point of Contact (POC) and e-mail address.
16. **Certificate of Office Charged:** The FOSC should fill in his/her name and title, sign and date to certify that the services were provided as specified in the PRFA Scope of Work.
17. **Accounting Classification – Office Charged:** This section is completed by the NPFC Case Officer. This usually includes the PRFA accounting string and document control number.

ALC – Agency Location Code – applies to Federal Agencies only.

DUNS – Data Universal Numbering System. The USCG Finance Center requires that all agencies receiving payments have a DUNS number obtained from Dun and Bradstreet, <http://smallbusiness.dnb.com/establish-you-business/1234338-1.html>. To facilitate payment, the vendor

must ensure their DUNS number is recorded on every invoice submitted to the U.S. Coast Guard. **SAM** – All Coast Guard vendors shall be registered in the **System for Award Management (SAM)** to receive payments. Register on-line at <http://www.sam.gov> or call U.S. Coast Guard Finance Center Customer Service line at (757) 523-6940. SAM is a Federal Government owned and operated free website.

The SF-1080 form can be found on the NFPC's website: <http://www.uscg.mil/npfc>.

P. Federal Agencies Use of SF-1081

The SF-1081 is used by Federal agencies to request reimbursement from the Coast Guard. Documentation should be organized and summarized, to provide a clear audit trail from the detail to the SF-1081 or invoice submitted for reimbursement. These submittals will be reviewed by the NPFC Case Officer for continuity and propriety. Incomplete submittals will be returned to sender for corrective action.

How To Complete the SF-1081 – General Information:

1. **Transaction Date:** Enter the date the SF-1081 is prepared.
2. **Document No:** Enter the Document Control Number (DCN) from the PRFA.
3. **Charge and Credit Information:** Leave blank.
4. **Customer Agency – Agency Location Code:** – for NPFC, enter 70-06-0000.
5. **Customer Agency Voucher No:** Enter the PRFA DCN.
6. **Billing Agency Location Code:** – Enter the Federal Agency’s ALC.
7. **Billing Agency Voucher No:** Enter the PRFA DCN.
8. **Customer Agency Department, Bureau, and Address:** Enter the following:
 - National Pollution Funds Center
Attn: Case Management Division
2703 Martin Luther King Jr. Avenue SE
Washington, D.C. 20593-7605
9. **Billing Agency Department, Bureau, and Address:** Enter the PRFA Recipient Agency’s information. This information must match the name and address information recorded in SAM data files.
10. **Customer Agency Appropriation, Fund, or Receipt Symbol:** Enter the following:
 - Completion of removal activities supporting CG or EPA FOSC on FPN/CPN: _____.
11. **Customer Agency Amount:** Enter total costs for Billing Agency’s services.
12. **Customer Agency Total:** Enter total amount (must agree with total for Billing Agency – Item #15).
13. **Billing Agency Appropriation, Fund, or Receipt Symbol:** – Enter the following:
 - Completion of removal activities supporting CG or EPA FOSC on FPN/CPN: _____.
14. **Billing Agency Amount:** Enter the total costs for Billing Agency’s services.
15. **Billing Agency Total:** Enter total amount (must agree with total for Customer Agency – Item #12).
16. **Details of charges or reference to attached supporting documents:** Use this item to provide additional information:
 - Short narrative of removal activities with inclusive dates of _____ to _____, reimbursement of pollution removal costs associated with FPN _____ and PRFA # (enter DCN, see Item #2).
 - Billing Agency’s Tax ID Number: _____
 - Billing Agency’s DUNS Number: _____
 - Billing Agency’s TAS (Treasury Account Symbol): _____
 - NPFC’s Tax ID Number: 54-6010204.
 - NPFC DUNS Number: 806754677.
 - NPFC TAS: 70X8349.

Note: The SF-1081 summary blocks should be identical on both the Customer Agency side and the Billing Agency side of the form. Please note the statement at the bottom of the Summary Box “Must Agree With Billing Agency”.

17. **Billing Agency Contact, Prepared By, Approved By, Telephone No: Provide Billing Agency’s information.** This is important so that agency personnel can be contacted if questions arise concerning the SF-1081 submission.
18. **Certification of Customer Office:** The CG or EPA FOSC should fill in his/her name an title, date, telephone number and sign to certify that the services were provided as specified in the

PRFA Scope of Work and that the submitted costs are appropriate for those services.

ALC – Agency Location Code – applies to Federal Agencies only.

DUNS – Data Universal Numbering System. The USCG Finance Center requires that all agencies receiving payments have a DUNS number obtained from Dun and Bradstreet, <http://smallbusiness.dnb.com/establish-your-business/1234338-1.html>. To facilitate payment, the vendor must ensure their DUNS number is recorded on every invoice submitted to the U.S. Coast Guard.

SAM – All Coast Guard vendors shall be registered in the **System for Award Management (SAM)** to receive payments. Register on-line at <http://www.sam.gov> or call U.S. Coast Guard Finance Center Customer Service line at (757) 523-6940. SAM is a Federal government owned and operated free website.

The SF-1081 form can be found on the NFPC's website: <http://www.uscg.mil/npfc>.

STANDARD FORM 1081 Revised September 1982 Department of the Treasury ITFRM 2-2500		VOUCHER AND SCHEDULE OF WITHDRAWAL AND CREDITS						
CHARGE AND CREDIT WILL BE REPORTED ON CUSTOMER AGENCY STATEMENT OF TRANSACTION FOR ACCOUNTING PERIOD ENDING					3	Transaction Date		1
						Document No.		2
CUSTOMER AGENCY					BILLING AGENCY			
Agency Location		Customer Agent		Order No.	Agency Local	(ALC)	Billing Agency	
70-06-0000	4		5				7	
DEPARTMENT BUREAU ADDRESS	National Pollution Funds Center Attn: Case Management Division 4200 Wilson Blvd, Suite 1000 Arlington, VA 20598-7100				8	DEPARTMENT BUREAU ADDRESS		9
SUMMARY				SUMMARY				
APPROPRIATION, FUND, OR RECEIPT SYMBOL		AMOUNT		APPROPRIATION, FUND, OR RECEIPT SYMBOL		AMOUNT		
Completion of removal activities supporting CG or EPA FOSS on FPN/CPN: _____		\$0.00		Completion of removal activities supporting CG or EPA FOSS on FPN/CPN: _____		\$0.00		
10		11		13		14		
		12				15		
(MUST AGREE WITH BILLING AGENCY) TOTAL				(MUST AGREE WITH BILLING AGENCY) TOTAL				
Details of charges or reference to attached supporting documents								
Short narrative of removal activities with inclusive dates of _____ to _____								
16								
NPFC DCN from PRFA: _____								
BILLING AGENCY CONTACT: PREPARED BY APPROVED BY TELEPHONE NO.		17						
CERTIFICATION OF CUSTOMER OFFICE								
I certify that the items listed herein are correct and proper for payment from and to the appropriation(s) designated.								
(Date)			18			(Authorized administrative or certifying officer)		
(Telephone)								

PREVIOUS EDITION NOT USABLE

Original - Forward to Customer for Payment

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Chapter 8
Acquisition Of Property Using OSLTF

Acquisition of Property Using OSLTF

A. Acquisition of Property.

1. FOSCs should only purchase property with OSLTF funds when operational necessity directly related to the removal dictates or when it is clearly more beneficial to the government than leasing. When making decisions to buy versus leasing property, and operational conditions permit, units should factor in the costs necessary to acquire, maintain, and dispose of the property, not just the purchase price versus the costs of leasing. Many of these considerations are appropriately addressed through the planning process before a spill occurs. Except in unusually urgent situations, the FOSCs should contact the NPFC Regional Manager or assigned Case Officer prior to beginning process of procuring/purchasing property with OSLTF funds.
2. Documentation of the factors considered in purchasing property during a spill are critical in cost recovery and litigation efforts and shall be documented to the greatest extent possible. FOSCs should be aware that property purchased for removal activities will be billed to the RP at 100% of the cost. Accordingly, whenever feasible, the FOSC should provide the responsible party the opportunity to purchase or otherwise directly supply the property needed for removal activities. Upon case completion, any property purchased and provided by the responsible party shall be returned to the responsible party. Property purchased with the OSLTF, however, shall be disposed of in accordance with the procedures outlined below.
3. All mandatory and sensitive personal property shall be recorded and tracked in the official property record, **ORACLE FAM** and its appropriate subsidiary system (i.e., **ALMIS, AOPS**). **ORACLE FAM is the system of record for all capitalized and non-capital, but reportable, personal property in the Coast Guard.** All property purchased must also be accounted for in the cost documentation portion of the FOSC IRAT (Financial Summary Report).
4. **Mandatory Accountable Personal Property** – is any item, excluding those under Command Security (COMSEC) that must be accounted for in the CG financial system of record, which include:
 - All aircraft;
 - All electronics;
 - General Purpose Property:
 - Greater than \$5,000 in historical cost, or
 - Less than \$5,000 in historical cost, but highly pilferable.
 - All Boats;
 - All Internal-Use Software greater than \$2,500 in historical costs;
 - All Vehicles (including trailers);
 - All Vessels;
 - All Sensitive Personal Property;
 - All Leased, rented, or borrowed property; and
 - All Heritage Assets.
5. **Disposal**. Disposition procedures must follow stipulated Federal requirements as stated in 41 CFR 102.34.30. FOSC or assigned Accountable Property Officer, Property Custodian (or under ICS, Property Unit Leader) must identify which of the following three administrative processes is appropriate:
 - Report of Survey process (CG-5269);
 - Excess Property process (CG-4501);
 - Abandonment and Destruction process (CG-5598).

Most likely, the FOSC's staff will use the excess property process and contact the closest DLA Disposition Services site by the following procedures below:

- a. Contact DLA prior to any transfer to determine specific requirements. Document the transfer of each group of like items to DLA using form DD-1348 or other form acceptable to the specific DLA.
 - b. After the transfer, forward the original transfer document to the NPFC as part of the FOSC Interim or Final IRAT (Financial Summary Report). The FOSC should maintain a copy of the form for local records.
 - c. All lost, stolen, or damage property which is not available or suitable for transfer to the DLA must be surveyed in accordance with agency property management guidelines. Copies of approved survey reports shall be forwarded to the NPFC to provide the evidence of disposition.
 - d. **Consumable items** (boxes of Xerox paper, toilet paper, bales of sorbent pads, etc.) remaining at the end of the removal activity should be disposed of in the most cost-effective manner. Unused consumable property shall require the same documented disposal action as other property.
 - e. If questions arise on a particular item or process, FOSCs should contact the NPFC Case Officer for guidance.
6. Items which meet requirements for capitalization may be charged to the OSLTF, but the amount charged to the specific incident shall be based upon an appropriate standard cost or allocation of the acquisition cost to the useful life. FOSCs should identify such items separately in the documentation. The NPFC shall make appropriate adjustments to the incident specific costs. Any such items purchased with the OSLTF, belongs to the OSLTF until properly disposed of as excess property.
 7. Purchase of major property items (land, buildings, structures, etc.) or major pieces of equipment that will remain in use for long periods of time, presents special problems not only for disposition, but in planning for maintenance and operation as well. FOSCs contemplating such acquisitions should contact their NPFC Regional Manager or assigned Case Officer to ensure that proper financial planning and analysis is performed.

B. Replenishment Of Inventory And/Or Repair Of Damaged Equipment.

1. FOSCs routinely draw on existing inventory of response equipment for specific responses. The OSLTF may be used to return that equipment to inventory after the response to the same condition it was before the response. Inventory items used up in the response or damaged beyond economical repair may be replaced. The unit replacing inventory items must follow existing agency guidance regarding survey of lost or damaged property. Any survey should establish whether the damages were directly due to a specific response or otherwise due to manufacturer defect, improper maintenance, improper use of the equipment, or the actions of others unrelated to the removal.
2. If the equipment is replaced as a result of damage incurred during the response, the OSLTF will pay for the replacement. Before any purchase is made, check with your NPFC Regional Manager or assigned Case Officer. The project should not, however, be charged the standard rate for use of that particular item of equipment during the response.

