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# Emergency Operations Plan

## Functional Annex: Financial Management

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Financial Management Annex Responder Roles	
Agency Role	Agencies
Primary Agencies	<ul style="list-style-type: none"><li>• Finance</li></ul>
Supporting Agencies	<ul style="list-style-type: none"><li>• New Hanover County Emergency Management</li></ul>

### External Plan Alignment to Financial Management Annex:

- *New Hanover County Financial Management Annex*

## Table of Contents

External Plan Alignment to Financial Management Annex .....	1
Introduction.....	3
Purpose .....	3
Scope.....	3
Situation.....	3
Planning Assumptions .....	3
Concept of Operations .....	4
General .....	4
Specific .....	4
Finance and Administration Section .....	4
Financial Controls and Guidance.....	5
Organization and Assignment of Responsibilities.....	5
Preparedness Actions Checklist.....	6
Monitoring/ Initial Incident Actions Checklist .....	7
Response Actions Checklist.....	8
Recovery Actions Checklist.....	10
Direction, Control, and Coordination .....	11
Annex Activation.....	11
Annex Development and Maintenance .....	11
Acronyms .....	11

## Introduction

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### Purpose

The purpose of *Functional Annex: Financial Management* is to coordinate the planning, tracking, and documentation essential to successful emergency response and recovery efforts. This annex provides guidance for the Town of Carolina Beach to ensure funds are provided appropriately for response and recovery operations following an event in accordance with local, state, and federal regulations.

This annex is a functional component of the Town of Carolina Beach's Emergency Operations Plan (EOP). This plan is not intended to take the place of any emergency plans and procedures that the agencies tasked in this document with responsibilities may have. Rather it is designed to complement such plans and fortify positive operational interactions among the agencies noted.

### Scope

This annex identifies the key policies, concepts of operations, roles and responsibilities, and capabilities associated with Financial Management in the Town of Carolina Beach. Specific operating procedures and protocols for individual agencies are addressed in documents maintained by those organizations. This annex is focused solely on the municipal response and recovery operations, as applicable.

Coordination activities may include:

- Provision of financial support through emergency purchasing for municipality agencies/organizations.
- Assistance to agencies/organizations on proper documentation of disaster costs.
- Provision of guidance on emergency purchasing and expenditures.

### Situation

- Financial management for the Town of Carolina Beach is under the authority of the Finance Department.
- Some disaster costs are recoverable through state and/or federal disaster recovery reimbursement grants.
- Cost recovery through the Federal Emergency Management Agency (FEMA) is prescribed in the FEMA Public Assistance Program and Policy Guide (PAPPG) and is detailed in *Functional Annex: Recovery and Mitigation*.
- Emergency purchasing regulations have been adopted and put into place in the Town of Carolina Beach and are in compliance with state and federal regulations.
- Emergency purchasing ordinances, policies, and laws are in place in the Town of Carolina Beach as well as at the county, state, and federal levels.

### Planning Assumptions

- Town of Carolina Beach agencies/organizations will be provided appropriate guidance on cost documentation and recovery through New Hanover County.
- Town of Carolina Beach agencies/organizations operate within local, state, and federal regulations for management of disaster-related expenses.
- The Town of Carolina Beach will track costs and follow emergency procurement regulations regardless of the status of a disaster declaration.

## Concept of Operations

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### General

- All expenditures related to a disaster will be properly documented.
- All Town of Carolina Beach agencies/organizations will be responsible for developing and maintaining accurate records and documentation to support all expenditures related to the disaster (e.g., personnel, equipment, facilities, contracts etc.).
- All Town of Carolina Beach agencies/organizations will be responsible for keeping an accurate inventory of resources and identify potential needs for emergency/disaster situations. A listing of potential resource providers will be developed and maintained for anticipated equipment and service needs, as required. Mutual aid agreements and sample contract agreements will be developed to facilitate the receipt of assistance and expedite the procurement process during the response and recovery phases of disaster operations.
- All Town of Carolina Beach agencies/organizations will follow existing standardized procedures for documenting costs and procuring goods/services. All departments must adhere to established disaster accounting and finance procedures to minimize the potential for waste, fraud, and delays in processing requests, maximize state and federal assistance, and facilitate the documentation of disaster expenditures, the development of disaster cost statistics, and audits following the disaster.

### Specific

- Finance Department
  - Responsible for expediting the process of procuring the necessary goods and services to support emergency operations.
  - Designating disaster account numbers(s)/cost codes for tracking all disaster related costs.
  - Assisting in the development of applications for state and federal assistance.
  - Participating in the development and review of vendor contracts.
  - Developing, documenting, and providing financial data to the proper authorities.
  - Provide guidance to all departments on how to track costs and procure goods and services through emergency purchasing and contracts.

### *Finance and Administration Section*

#### *Emergency Purchasing*

When possible, the Town of Carolina Beach will obtain multiple quotes for goods and services acquired for a disaster just as is done for non-emergency procurement. If it is not possible, goods and services will be procured using emergency procurement procedures in the most expeditious manner possible.

#### *Cost Documentation*

All receipts are required to be kept.

Finance will coordinate with each department that will have a need for emergency expenditures to be sure they are aware of policies and procedures and have the tools they need to operate within the policies set forth.

#### *Emergency Contracts*

When new contracts are put into place, Finance coordinates with the department requesting the contract and legal counsel to ensure the required language is in place. Language is derived from the US Office of

Management and Budget's [Uniform Guidance](#) and is coordinated with the FEMA Public Assistance Program Guidance on emergency contracting when possible. The Town of Carolina Beach will attempt to obtain multiple quotes when possible.

### *Financial Controls and Guidance*

Timely financial support of response activities is crucial to achieving the operational objectives of saving lives and protecting property, therefore expeditious means are employed to facilitate proper financing of operations. Despite the need for haste, departments must use management controls, policies, and procedures to reasonably ensure the following:

- Programs achieve their intended results.
- Resources are used consistent with agency missions.
- Programs and resources are protected from waste, fraud, and mismanagement.
- Laws and regulations are followed
- Reliable and timely information is obtained, maintained, reported and used for decision-making.

## **Organization and Assignment of Responsibilities**

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All agencies charged with a response in this annex are expected to collaborate and coordinate with emergency partners to respond to and recover from emergencies in the Town of Carolina Beach. This annex is not a substitute for local/departmental response plans and does not usurp local policies and procedures. This annex may be activated to support any response in the Town of Carolina Beach for which the EOP is activated.

Key actions which should be implemented by all those responding under this annex are as follows:

- All responders should maintain professional relationships with partner agencies.
- All responders should participate in training and exercises as appropriate.
- Agencies will maintain current rosters with points of contact and resources.
- Organizations responsible are expected to maintain the capability to provide services for which they are charged. Contingency plans should be in place for continuing operations if needed.
- All individuals/organizations involved in disaster response should collect and record information on the utilization of labor, materials, equipment, and disaster related costs.
- Appropriate representation will be sent to the Incident Command Post (ICP) as needed.

The following pages are checklists of actions to be coordinated by those listed in this annex as primary and support agencies. The primary agencies will coordinate the overall response under the functions covered by this annex and supporting agencies will assist in the response as needed. The primary agencies will collaborate to identify and activate supporting agencies as appropriate.

### Preparedness Actions Checklist

These actions may be taken during normal operations in preparation for an event. All primary and support agencies should consider these actions.

Preparedness Actions	Notes	Responsible Party	Status
Review, update and revise mutual aid agreements, memorandums of understanding, standard operating guidelines, etc. annually.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Continually evaluate capabilities required to accomplish operations under this annex, identify any gaps, and leverage resources to address them.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Address after-action items and lessons learned regarding this annex from exercises and real-world events, whether through planning, operations, exercises, training, or equipment.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Develop and/or participate in relevant related planning, training, and exercise activities at the local, regional, state, and/or federal level.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Review, revise and update policies and procedures on disaster financial management.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Be familiar with the FEMA equipment rate schedules.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Develop procedures for the procurement and delivery of essential supplies, equipment, and other resources.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>

Preparedness Actions	Notes	Responsible Party	Status
Ensure necessary supplements to the annex are developed and maintained including contact lists, internal procedures, etc.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Ensure staff are fully trained and prepared to respond to Incident Command Post (ICP) as needed.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Maintain a list of municipal officials and key County and State agency's contact phone numbers, unlisted numbers, pager number, cell phone and fax numbers, etc.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Develop and update contact lists with phone numbers (home, cellular, fax, etc.), radio call signs, etc.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Plan for alternate means of communicating if normal communications channels are disrupted.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>

### Monitoring/ Initial Incident Actions Checklist

The following actions may be taken during the initial phases of incident response, including during a "Monitoring" phase activation. Not all actions will be necessary during every event. Complete those actions necessary for the incident.

Monitoring/Initial Incident Actions	Notes	Responsible Party	Status
Identify and notify the supporting agencies that their resources and personnel may be required to respond.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Prepare staffing plan for to adequately support Incident Command Post (ICP) operations over the required number of operational periods.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Report to the Incident Command Post (ICP), when requested.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>

Monitoring/Initial Incident Actions	Notes	Responsible Party	Status
Prepare and share guidance on cost documentation expectations with all departments/organizations.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Coordinate the necessary measures to protect vital records and critical systems to ensure their continued operation during a disaster, as well as to facilitate their restoration if impacted by the disaster.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Develop the necessary mutual aid agreements, sample contracts, and listing of potential resource providers to expedite the procurement of anticipated resource needs for disaster operations			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Maintain a vendor contact list.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Support departments and external agencies responding to the disaster to maximize their ability to receive financial assistance from state and federal governments.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Determine what resources need to be procured under emergency purchase orders. Maintain a log of those purchases.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Develop, maintain, and disseminate procedures to ensure the prompt and efficient disbursement and accounting of funds to conduct emergency operations.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>

### Response Actions Checklist

The following actions may be taken during the response, including during partial or full phase activations. Not all actions will be necessary during every event. Complete those actions necessary for the incident.

Response Actions	Notes	Responsible Party	Status
Provide guidance to responders on cost documentation and recovery through the Incident Command Post (ICP).			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>



Response Actions	Notes	Responsible Party	Status
Receive, review and contribute to situational reports from the Incident Command Post (ICP) on a regular basis.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Track all incident related activities through appropriate ICS forms.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Notify local contractors of emergency work and the process to assist.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Ensure that all supporting agencies have maintained accurate logs of personnel and equipment resources utilized for response.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Instruct responders to document mileage and time.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Track disaster related costs.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Ensure that all essential records are preserved in a safe location. This procedure will include the back-up of all computerized records and information to a hard copy format for safe placement in a secure location.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Ensure the integrity of personnel and payroll throughout the event		HR Director	Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Ensure personnel and payroll records are preserved in a safe location. This procedure will include the back-up of all computerized records and the securing of all paper records for placement in a secure location.		HR Director	Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Ensure personnel related legal documents are protected and preserved in accordance with existing laws, statutes and ordinances.		HR Director	Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Identify and correct any shortfalls in emergency budget, accounting, and procurement procedures, as well as measures implemented to protect critical systems.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>

### Recovery Actions Checklist

The following actions may be taken during recovery, including during partial or full phase activations. Not all actions will be necessary during every event. Complete those actions necessary for the incident.

Recovery Actions	Notes	Responsible Party	Status
Ensure all responders to this annex and/or their agencies provide appropriate records of costs incurred for purposes of reimbursement when available.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Assist in the preparation and submission of government insurance claims.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Prepare and submit disaster assistance applications to the appropriate state and/or federal agencies for reimbursement of disaster related expenditures.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Participate in after-action review.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Continue staffing the Incident Command Post (ICP) until advised that it is closing.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Ensure that agencies have maintained logs of mileage and time of personnel utilized to respond to disaster.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>
Develop plan of action to improve response during future events.			Complete <input type="checkbox"/> Ongoing <input type="checkbox"/> Incomplete <input type="checkbox"/>

## **Direction, Control, and Coordination**

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### **Annex Activation**

This annex will be activated in the event of a disaster or emergency impacting the Town of Carolina Beach in coordination with the Town's EOP, as outlined in the Base Plan. These procedures consist of processes and systems to communicate timely, accurate, and accessible information to the public, responders and stakeholders- the whole community. Any event requiring activation of the EOP may necessitate the activation of this annex.

## **Annex Development and Maintenance**

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This annex is developed by the Town of Carolina Beach in conjunction with emergency partners charged with a role in this annex. It is a functional annex supporting the Town's EOP. This document will be reviewed, maintained, and updated annually by the Town of Carolina Beach, and any changes necessary will be made and forwarded to emergency partners. This annex may also be updated following exercises or real-world activations of this annex to modify policies, procedures, and incorporate lessons learned.

## **Acronyms**

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AFN	Access and Functional Needs
APIO	Assistant Public Information Officer
ARC	American Red Cross
ARES	Amateur Radio Emergency Services
ASU	Animal Services Unit
BNP	Brunswick Nuclear Plan
CDC	Centers for Disease Control
CISM	Critical Incident Stress Management
EAS	Emergency Alert System
EMS	Emergency Medical Services
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
EPCRA	Emergency Planning and Community Right to Know Act
EPIC	Emergency Public Information Center
ERG	Emergency Response Guidebook
ESF	Emergency Support Function
FEMA	Federal Emergency Management Agency
GIS	Geographic Information Systems

IC	Incident Command
IC-3	Individual Care Coordination Center
ICP	Incident Command Post
ICS	Incident Command System
IPAWS	Integrated Public Alert and Warning System
JIC	Joint Information Center
JIS	Joint Information System
LEPC	Local Emergency Planning Commission
NAWAS	National Warning System
NC OEMS	North Carolina Office of Emergency Medical Services
NC	North Carolina
NFPA	National Fire Protection Administration
NHC EM	New Hanover County Emergency Management
NHC EOC	New Hanover County Emergency Operations Center
NHC EOP	New Hanover County Emergency Operations Plan
NHC HHS	New Hanover County Health and Human Services
NHC	New Hanover County
NHCFR	New Hanover County Fire Rescue
NHCHD	New Hanover County Health Department
NNHRMC	Novant New Hanover Regional Medical Center
NOAA	National Oceanic and Atmospheric Administration
NWS	National Weather Service
OSC	On-Scene Coordinator
PETS	Pets Evacuation and Transportation Standards Act
PIO	Public Information Officer
PSAP	Public Safety Answering Point
RRT	Regional Response Team
SAR	Search and Rescue
SARA	Superfund Amendments and Reauthorization Act
SERC	State Emergency Response Commission
SMAT	State Medical Assistance Team
SMORT	State Mortuary Operations Team
SNS	Strategic National Stockpile
SPCA	Society for the Prevention of Cruelty to Animals
TTY	Teletypewriter
USAR	Urban Search and Rescue
USCG	United States Coast Guard

UWCFA	United Way of the Cape Fear Area
VIPR	Volunteer Intervention Prevention Response
WEA	Wireless Emergency Alerts