

Management of EPA Superfund Interagency Agreements and Cost Recovery Requirements



U.S. Army Corps of Engineers Hazardous, Toxic & Radioactive Waste Center of Expertise (HTRW-CX)

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Acronyms

These acronyms appear throughout this document.

CCSC	Category Class Code
CEFMS	Corps of Engineers Financial Management System
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act (1980)
CFMC	EPA Cincinnati Financial Management Center
COR	Contracting Officer's Representative
CWIS	Civil Works Information System
CWIN	Corps Work Item Number
DCAA	Defense Contract Audit Agency
DOD	Department of Defense
DOJ	Department of Justice
EFT	Electronic Funds Transfer
EPA	U.S. Environmental Protection Agency
EPA CFMC	U.S. Environmental Protection Agency Cincinnati Financial Management Center
EPA DCN	U.S. Environmental Protection Agency Document Control Number
EPA OSC	U.S. Environmental Protection Agency On-Scene Coordinator
EPA RPM	U.S. Environmental Protection Agency Remedial Project Manager
ER	Engineering Regulation
FORCON	Force Configuration and Management (Civil Program)
FRC	Federal Records Center
FTE	Full-Time Equivalent
FY	Fiscal Year (1 Oct thru 30 Sep)
HQUSACE	Headquarters, U.S. Army Corps of Engineers
HTRW	Hazardous, Toxic, & Radioactive Waste
HTRW-CX	Hazardous, Toxic & Radioactive Waste Center of Expertise
IAG	Interagency Agreement
IDC	Indefinite Delivery Contract
IFMS	Integrated Financial Management System

Acronyms, cont.

JTR	Joint Travel Regulation
MARKS	Modern Army Recordkeeping System
MIPR	Military Interdepartmental Purchase Request
MOU	Memorandum of Understanding
NARA	National Archives and Records Administration
NIST	National Institute of Standards and Technology
NORM	Naturally Occurring Radioactive Material Contract
PM	Program/Project Management
POC	Point of Contact
PR&C	Purchase Request and Commitment
PRAC	Pre-Placed Remedial Action Contract
PROSPECT	Proponent-Sponsored Engineer Corps Training
PRP	Potentially Responsible Party
RA	Remedial Action
RD	Remedial Design
RCRA	The Resource Conservation and Recovery Act
RR	Rapid Response
SARA	Superfund Amendments and Reauthorization Act of 1986
SCRIPS	Superfund Cost Recovery Image Processing System
SOW	Statement of Work
SF	Standard Form
TA	Technical Assistance
TERC	Total Environmental Restoration Contract
USACE	U. S. Army Corps of Engineers
USACE PM	U .S. Army Corps of Engineers Program/Project Manager
WAF	Work Authorization Form
3011A	Report on Status of Appropriation and Work Allowances, Civil Works Funds

EPA Superfund Background

The Superfund program was enacted by Congress in Public Law 96-510, the Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA or Superfund). The Superfund legislation mandated that both Federal and non-Federal agencies remedy uncontrolled HTRW sites caused by past and unregulated practices.

Under Executive Order 12316, EPA was assigned primary responsibility for implementation of the Federal Superfund program. The Superfund legislation was amended by Public Law 99-499, the Superfund Amendments and Reauthorization Act (SARA) of 1986. Through Executive Order 12580, EPA was assigned responsibility, discretion, and authority to respond to or enforce necessary actions to clean up any hazardous and toxic waste (HTRW) release into the environment.

SARA added more detail than the original law. Detailed new provisions were added to define cleanup standards in performing a response action.

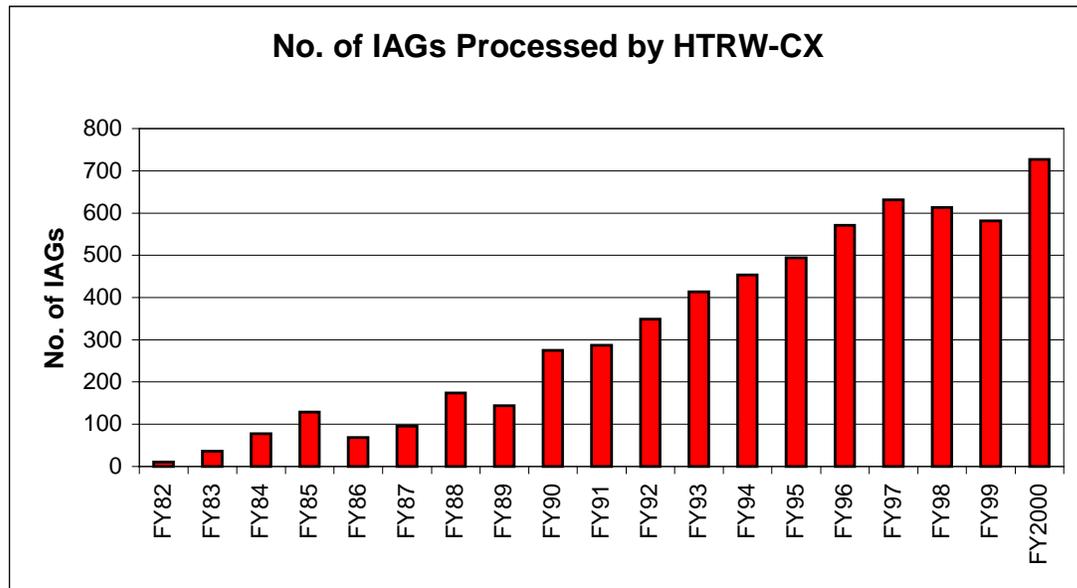
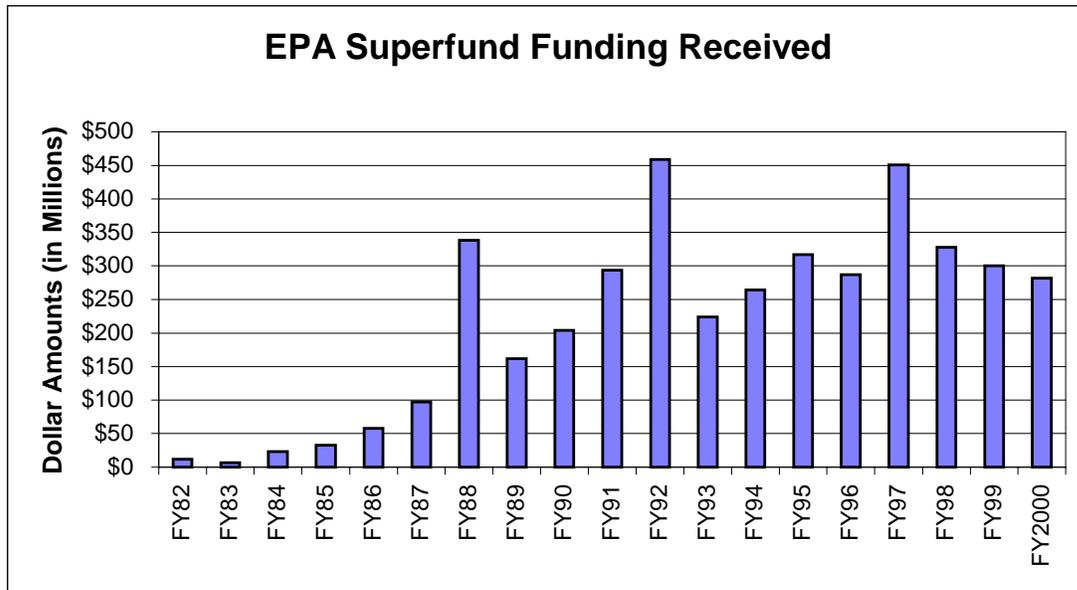
The Superfund program consists of two subprograms:

1. **Emergency response** (short-term removal action) to hazardous substance spills and uncontrolled sites usually handled by EPA Emergency Response contractors.
2. **Remedial response** (long-term remedial action) to clean up problem sites.

EPA/USACE Agreements

The CERCLA legislation made provisions for the Superfund program's use of the existing capabilities of other Federal agencies in meeting its objectives. The EPA and the U.S. Army Corps of Engineers (USACE) signed an agreement on 3 February 1982. Under the agreement, upon EPA request, USACE will manage design and construction contracts and provide technical assistance to EPA in support of remedial response cleanup of hazardous waste sites. A subsequent IAG between EPA and USACE was signed 3 December 1984 which extends this partnership indefinitely.

Exhibit 1. Historical IAG Funding Since 1982



Note: Number of IAGs processed includes funding documents, close-outs, time extensions, and transfer of funding documents between direct fund cite/ revised reimbursable methods.

Exhibit 2. Historical IAG Funding by Scope and Percentages**EPA Superfund Program
Funding Received Since 1982**

	Amount (\$)	Percent
Technical Assistance	208,781,463	5.75%
Real Estate	81,770,328	2.25%
Operation & Maintenance	110,651,135	3.05%
Design	304,828,648	8.40%
Construction (Remedial Action)	2,520,672,304	69.42%
Construction (Other Response)	150,018,335	4.13%
Rapid Response	147,137,467	4.05%
Other Response	380,353	0.01%
Generic Agreements	106,621,892	2.94%
TOTALS	3,630,861,925	100.00%

Dollar amounts include adjustments for revocations of remaining funds for closed Interagency Agreements and Work Authorization Forms.

Total funding received and processed since 1982, excluding revocations for closed agreements: \$ 4.1 Billion

Interagency Agreement Between the U.S. Army Corps of Engineers
and the U.S. Environmental Protection Agency in Executing
P.L. 96-510, the Comprehensive Environmental
Response, Compensation, and
Liability Act of 1980 (CERCLA)

PURPOSE

The Environmental Protection Agency (EPA) has overall statutory responsibility for implementing the Comprehensive Environmental Response, Compensation and Liability Act of 1980 (CERCLA), also known as Superfund. This agreement defines the assistance the U.S. Army Corps of Engineers (Corps) will provide to EPA in implementing the Superfund program, for EPA Fund-lead or State Fund-lead or for EPA enforcement-lead projects.

BACKGROUND

1. CERCLA provides authority and funding to respond to releases of hazardous substances, pollutants, and contaminants into the environment. The statute and Executive Order 12316 assign primary responsibility for implementation to EPA. The Superfund program includes emergency response (removal) to hazardous substance spills and sites and longer term (remedial) action at sites. This agreement primarily addresses aspects of the remedial response program, but may involve removal response when requested by EPA and accepted by the Corps.

2. For purposes of this agreement, remedial response at uncontrolled hazardous sites consists of the following: investigation to define the problem; feasibility study to evaluate the problem and select a cost-effective remedial action; final design; implementation (construction and related tasks); orderly transfer of completed construction to the owner or other appropriate party, including any technical assistance necessary in the first year of operation and maintenance.

3. States or potentially responsible parties (PRPs) may perform all or part of the remedial response program activities at sites. EPA is responsible for remedial response where a State or PRP does not elect to so perform.

4. The authorities applicable to this agreement include the Comprehensive Environmental Response, Compensation and Liability Act of 1980, 42 USC 9601 et seq., as implemented by 40 CFR 300, and 10 U.S.C. 3036(d).

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EPA'S RESPONSIBILITIES UNDER THIS AGREEMENT

1. Under overall EPA program management of all CERCLA activities at a site, EPA will provide Federal project management, except for those specific CERCLA project activities performed by the Corps under this agreement.
2. EPA will provide the Corps with sufficient funding to execute the activities covered by this agreement and will provide necessary workload estimates for the Corps to plan and budget necessary resources.
3. EPA will manage relationships with States and PRPs and will have primary responsibility for liaison with other interested groups.
4. EPA will select the response actions to be performed.

CORPS' RESPONSIBILITIES UNDER THIS AGREEMENT

1. The Corps will provide technical assistance to EPA during the remedial investigation and feasibility study (RI/FS) phases. This assistance at a minimum will involve work required to satisfy the Corps that the remedial action selected by EPA will be reasonable to design, construct and operate. The Corps, when requested, also will assist EPA in review of State-managed projects as to their suitability for bidding and construction.
2. The Corps will manage design, construction and related tasks of Federal-lead Fund-financed projects, unless EPA or the Corps determines after consultation with the other party that the Corps cannot provide necessary support due to resource, policy or programmatic constraints. In carrying out its management role, the Corps will use private contractors for all design, construction and related tasks. EPA and the Department of the Army may, with the concurrence of the Office of Management and Budget, later agree that minimal design work should be done by the Corps.
3. The Corps may provide other technical assistance to EPA in support of response actions, as agreed upon by the parties including but not limited to:
 - A. For enforcement-lead projects, as stated in inter-agency agreements (IAGs), or as mutually agreed upon.
 - B. For State Fund-lead projects: monitoring compliance and overseeing State activities during the entire remedial process, including technical assistance during negotiations with State contractors or prospective contractors, review of initial remedial actions, feasibility studies, plans, specifications, construction activities, and first year of operation and maintenance.

-3-

C. For EPA Fund-lead projects during the remedial investigation/feasibility study phases: monitoring of planning activities, reviewing feasibility studies, evaluating constructability and bidding of alternatives under consideration by EPA, and upon request and acceptance by the Corps, managing the preparation of feasibility studies.

4. The Corps will provide EPA with financial and program information consistent with, and easily integrated into, EPA's management and financial accounting systems. Such information includes site-specific cost documentation EPA determines to be necessary to support successful recovery of CERCLA funds from PRPs.

QUALIFICATIONS AND LIMITATIONS

1. EPA and the Corps will ensure that any remedial action selected by EPA for Corps management is reasonable to design, construct and operate. EPA will not assign a remedial action to the Corps for management of design and construction if the Corps determines that the action is not reasonable to design, construct and operate.

2. EPA maintains statutory responsibility for implementing the Superfund program. The Corps will maintain consistency with EPA's overall program requirements. The Corps will use its own internal procedures in the performance of its responsibilities under this agreement, including the use of its own procurement regulations.

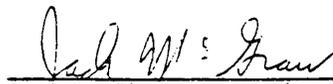
3. Corps Division Engineers and EPA Regional Administrators will operate under the provisions of this agreement. There will be no separate regional agreements except implementing instructions and site-specific interagency funding agreements.

4. This agreement may be modified or extended by mutual consent of the parties and may be terminated by either party.

5. The Corps and EPA will issue instructions implementing this agreement.

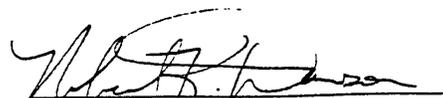
EFFECTIVE DATE AND DURATION

This agreement will become effective upon signature by both parties, and will remain in effect until 30 days after the date either party notifies the other that it is terminated.



Lee M. Thomas, Assistant Administrator
Environmental Protection Agency

DEC 3 1984



Robert K. Dawson
Acting Assistant Secretary
of the Army (Civil Works)
Department of the Army

Notes, cont.

Course Objectives

General

The goal of this course is to provide guidance for the financial management, program/project management, and cost recovery management of EPA Superfund Program Interagency Agreements (IAGs) issued by U.S. EPA to the U.S. Army Corps of Engineers (USACE). The course is structured to explain the coordination, administration, and accountability of the Superfund Program IAGs funded by the U.S. EPA Superfund Trust Fund under the CERCLA and SARA authorizations. The IAG funded activities include technical assistance (feasibility studies, remedial investigations, hazardous waste enforcement support, site assessments, five-year reviews), real estate relocations/acquisitions, operations and maintenance, remedial design, first phase design, EPA lead design, state lead design, remedial action, removals, rapid response, and cost estimating.

A. Management of EPA Superfund Interagency Agreements:

The course is intended to provide information on the format for new agreements and amendments, funding limitations, expiration dates, special conditions, scope of work statements, signature acceptance procedures, and reporting requirements for the EPA Superfund Site-Specific IAGs, Generic IAGs, and Site-Specific Work Authorization Forms. The instruction material includes information on procedures for the Direct Fund Cite (contract) and Revised Reimbursable (in-house) Methods. Guidance and policy information is provided for contract payments, billing procedures, Corps of Engineers Financial Management System (CEFMS) codes, and IAG close-out procedures.

B. EPA Superfund Cost Recovery Requirements:

This course has been developed to include guidance for maintaining and providing records in support of the EPA Superfund Cost Documentation and Cost Recovery mission. The Cost Recovery portion of the course includes record retention requirements for obligations and expenditures incurred, outlines the roles and responsibilities of the USACE and EPA Cost Recovery Coordinators, identifies the roles and responsibilities of the local command, and provides record-keeping guidelines for litigation requirements.

Notes

Course Outline/Agenda

Schedule of Instruction

Course Title: Management of EPA Superfund Interagency Agreements and Cost Recovery Requirements

Superfund Interagency Agreements

Introduction

INTERAGENCY AGREEMENT DOCUMENTS:

Types of Agreements:

- Management and Support (M&S) IAG
- Site-Specific IAG
- Generic IAG
- Site-Specific Work Authorization Form (WAF)

Special Conditions Statements

Scope of Work Statements

USACE Category Class Codes

Expiration Dates

DIRECT FUND CITE METHOD (CONTRACTS):

Funding Source and Appropriation

Contract or Delivery Order Award

Payment Procedures:

- Payment Estimate (ENG Form 93)
- Public Voucher for Payment (SF 1034)

REVISED REIMBURSABLE METHOD:

Funding Source and Appropriation

Payment Procedures:

- SF 1080 Billings
- Billing Certification Statement/Signature Cards

NARRATIVE MONTHLY PROGRESS (STATUS) REPORTS:

Reporting Requirements

ENVIRONMENTAL BROKERED WORK BETWEEN USACE DISTRICTS:

USACE CEFMS Financial Codes

IAG FINANCIAL CLOSE-OUT PROCEDURES:

Checklist to Verify if Project is Financially Complete

Sample USACE Close-Out Request Memo to EPA Region

DISCUSSION

Superfund Cost Recovery Requirements

Introduction

COST RECOVERY REQUIREMENTS:

Record Retention Requirements for Obligations and Expenditures Incurred

Roles and Responsibilities of USACE and EPA Cost Recovery Coordinators

Roles and Responsibilities of Local Command

Record-Keeping Guidelines for Litigation Requirements

DISCUSSION

Superfund Interagency Agreements and Cost Recovery Requirements

CLOSING

Discussion
Course Evaluation
Closing Comments

Adjourn

Notes, cont.

Interagency Agreement Documents

Types of Agreements

Management and Support (M&S) IAG

- general administrative/program support funding
- IAG (EPA Form 1610-1) from HQ EPA to HQUSACE
- IAG signed and accepted by HQUSACE

Site-Specific IAG

- project funding for a specific type of work at a specified Superfund site
- HTRW-CX forwards cover letter and IAG to performing District
- IAG signed and accepted by performing District

Generic IAG

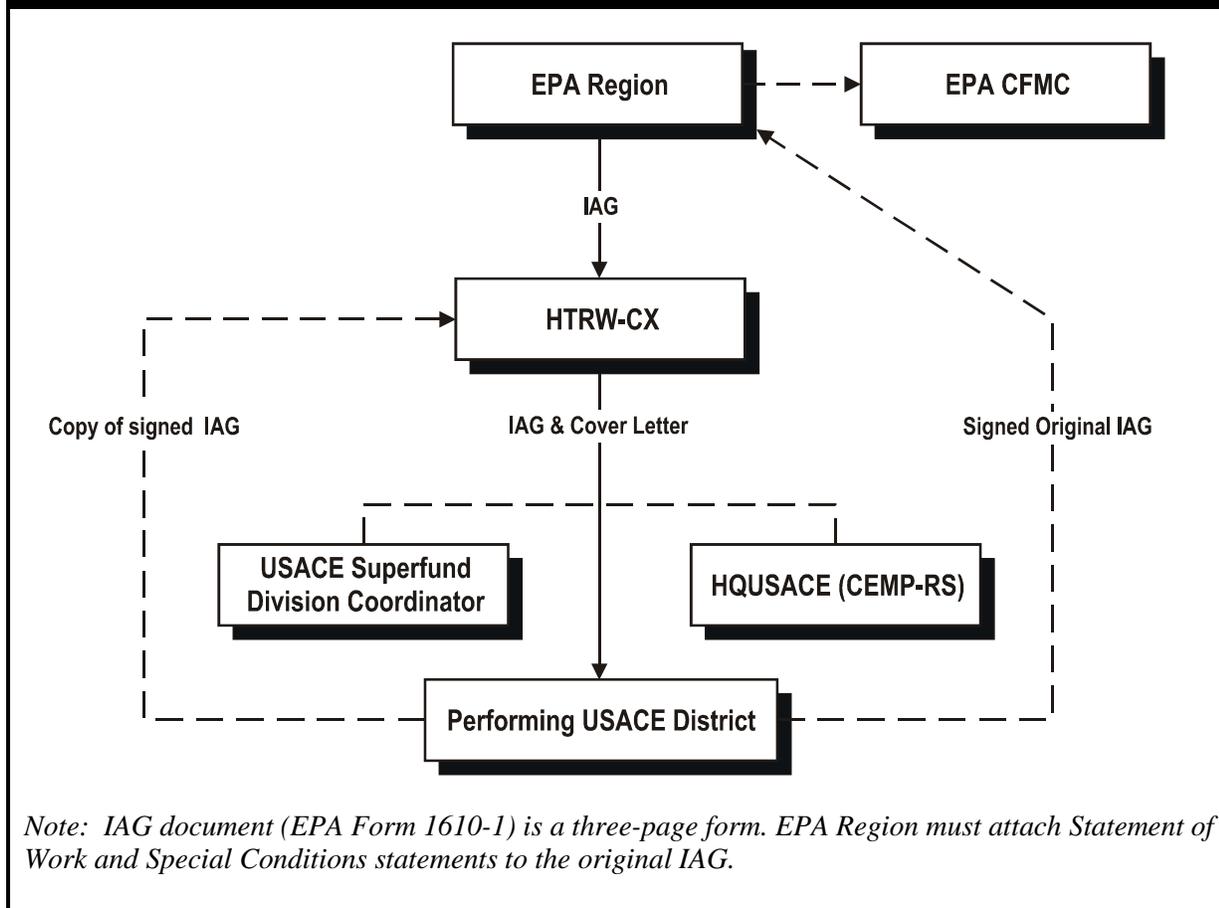
- bulk project funding for Superfund sites to be identified in the future
- signed and accepted by HTRW-CX
- no authority for USACE to obligate or expend funds

Site-Specific Work Authorization Form (WAF)

- EPA issues project funding from Generic IAG to a site-specific WAF
- HTRW-CX reduces Generic IAG bulk funding by WAF funding amount
- HTRW-CX forwards cover letter and WAF to performing District
- USACE District signature of acceptance is not required for WAF

Site-Specific IAG

Exhibit 4. Site-Specific IAG Flow Chart



EPA IAG Processing Instructions

(prepared by the EPA Cincinnati Financial Management Center)

1. The U.S. EPA Regional Program Office in coordination with the U.S. Army Corps of Engineers (USACE) initiates an Interagency Agreement (IAG). The EPA Remedial Project Manager is responsible for negotiating with the USACE Project Manager the work to be done by each agency. Both agencies should negotiate the estimated cost of the IAG and any special conditions that are to be considered as terms of the agreement. When negotiating the estimated cost, it should be determined if the funding is going to be entirely Revised Reimbursable (money paid directly to USACE) or if some of the funding is to be set aside as Direct Fund Cite (money paid by EPA to USACE contractors directly).
2. The EPA Regional Program Office prepares an IAG Form (EPA Form 1610-1) with a signature of the Decision Official on behalf of the Program Office and a Decision Memorandum. The documents are forwarded along with a Commitment Notice to the EPA Grants Management Office (GMO).

3. GMO assigns the document an IAG number (ex. DW96947885-01-0), enters the appropriate data into Grants Information Control System (GICS), and obtains the necessary signature of the Action Official on behalf of EPA.
4. GMO sends the IAG with a transmittal letter to the USACE Hazardous, Toxic & Radioactive Waste Center of Expertise (HTRW-CX) in Omaha, NE. The HTRW-CX forwards the IAG with their own cover letter to the performing USACE District. A copy is also sent to the USACE Superfund Division Coordinator and HQUSACE. The performing District signs the EPA IAG and returns it to the appropriate EPA GMO. The performing District also sends a fully signed copy to the HTRW-CX.
5. After receiving the fully signed copy of the IAG, GMO updates the information into GICS and forwards a copy of the completed IAG to the EPA Cincinnati Financial Management Center (CFMC).
6. CFMC verifies that both EPA Officials and a representative of USACE have signed the IAG. The IAG is then logged in as an accepted document.
7. CFMC verifies the commitment of funds in the Integrated Financial Management System (IFMS) and obligates the funds. CFMC creates a file for each new IAG.
8. If the IAG funding is split between Revised Reimbursable and Direct Fund Cite, CFMC will establish the IAG file with a separate tracking mechanism for each portion of funding. EPA's funding is from one account, so the funding and costs must be tracked separately for the Direct Fund Cite/Revised Reimbursable type of IAGs.

Sample Site-Specific IAG Document

Exhibit 5 (following three pages) contains a sample site-specific IAG document. Instructions for completing the IAG follow the exhibit.

United States Environmental Protection Agency Washington DC 20460 EPA Interagency Agreement / Amendment Part I - General Information		1. EPA / IAG Identification Number DW96945809-01-1	4. Funding Location by Region 04																								
		2. Other Agency ID Number COE	5. Program Office Abbreviation WASTE																								
		3. Type of Action INCREASE AUGMENT																									
6. Name and Address of EPA Organization U. S. ENVIRONMENTAL PROTECTION AGENCY WASTE MANAGEMENT DIVISION 61 FORSYTH STREET, S.W. ATLANTA, GA 30303		7. Name and Address of Other Agency U. S. ARMY CORPS OF ENGINEERS HTRW CX 12565 WEST CENTER ROAD OMAHA,, NE 68144-3869																									
8. Project Title REMEDIAL ACTION ACTIVITIES AT THE COLEMAN EVANS WOOD PRESERVING SITE IN WHITEHOUSE, FL.																											
9. EPA Project Officer (Name, Address, Telephone Number) PATTON, ROSEMARY PROJECT OFFICER 61 FORSYTH STREET, S.W. ATLANTA, GA 30303 (404) 562-8866		10. Other Agency Project Officer (Name, Address, Telephone Number) MARVENE SEAMAN, U.S. ARMY CORPS OF ENG., PROJECT OFFICER, GENWO-HX-S 12565 WEST CENTER ROAD OMAHA,, NE 68144-3869 (402) 697-2425																									
11. Project Period 09/15/98 to 12/31/00		12. Budget Period 09/15/98 to 12/31/00																									
13. Scope of Work (Attach additional sheets, as needed) This agreement provides additional funding to the U. S. Army Corps of Engineers (USACE) to implement remedial action activities at the Coleman Evans Wood Preserving site in Whitehouse, Florida, in accordance with the Scope of Work appended to the original Agreement. This IAG utilizes the Direct Fund Cite/Revised Reimbursable methods for costs and funds are divided as follows: <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th></th> <th style="text-align: center;"><u>Previous Action</u></th> <th style="text-align: center;"><u>This Action</u></th> <th style="text-align: center;"><u>Revised Budget</u></th> </tr> </thead> <tbody> <tr> <td>Revised Reimbursable</td> <td style="text-align: right;">\$1,000,000</td> <td style="text-align: right;">\$ 500,000</td> <td style="text-align: right;">\$ 1,500,000</td> </tr> <tr> <td>Direct Fund Cite</td> <td style="text-align: right;">\$9,000,000</td> <td style="text-align: right;">\$4,500,000</td> <td style="text-align: right;">\$13,500,000</td> </tr> </tbody> </table> The EPA Grant Specialist for this IAG is Marlene Jackson 404/562-8415.					<u>Previous Action</u>	<u>This Action</u>	<u>Revised Budget</u>	Revised Reimbursable	\$1,000,000	\$ 500,000	\$ 1,500,000	Direct Fund Cite	\$9,000,000	\$4,500,000	\$13,500,000												
	<u>Previous Action</u>	<u>This Action</u>	<u>Revised Budget</u>																								
Revised Reimbursable	\$1,000,000	\$ 500,000	\$ 1,500,000																								
Direct Fund Cite	\$9,000,000	\$4,500,000	\$13,500,000																								
14. Statutory Authority for Both Transfer of Funds and Project Activities CERCLA: SEC. 104			15. Other Agency Type FEDERAL AGENCY																								
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">FUNDS</th> <th style="text-align: center;">PREVIOUS AMOUNT</th> <th style="text-align: center;">AMOUNT THIS ACTION</th> <th style="text-align: center;">AMENDED TOTAL</th> </tr> </thead> <tbody> <tr> <td>16. EPA Amount</td> <td style="text-align: right;">10,000,000</td> <td style="text-align: right;">5,000,000</td> <td style="text-align: right;">15,000,000</td> </tr> <tr> <td>17. EPA In-Kind Amount</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> </tr> <tr> <td>18. Other Agency Amount</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> </tr> <tr> <td>19. Other Agency In-Kind Amount</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> </tr> <tr> <td>20. Total Project Cost</td> <td style="text-align: right;">10,000,000</td> <td style="text-align: right;">5,000,000</td> <td style="text-align: right;">15,000,000</td> </tr> </tbody> </table>				FUNDS	PREVIOUS AMOUNT	AMOUNT THIS ACTION	AMENDED TOTAL	16. EPA Amount	10,000,000	5,000,000	15,000,000	17. EPA In-Kind Amount	0	0	0	18. Other Agency Amount	0	0	0	19. Other Agency In-Kind Amount	0	0	0	20. Total Project Cost	10,000,000	5,000,000	15,000,000
FUNDS	PREVIOUS AMOUNT	AMOUNT THIS ACTION	AMENDED TOTAL																								
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17. EPA In-Kind Amount	0	0	0																								
18. Other Agency Amount	0	0	0																								
19. Other Agency In-Kind Amount	0	0	0																								
20. Total Project Cost	10,000,000	5,000,000	15,000,000																								
21. Fiscal Information																											
Site Name	DCN DT9152	FY 99	Approp. T	Budget Org. 4ADOR	Program Elem. 50102D	Object 25.07	Site/Project 0441RA01	Cost Org. C001	Obligation 5,000,000																		

EPA Form 1610-1 (Rev. 10-88). Previous editions are obsolete.

Part II - Approved Budget		EPA IAG Identification Number DW96945809-01-1
22. Budget Categories	Itemization of This Action	Itemization of Total Project Estimated Cost to Date
(a) Personnel	480,000	1,460,000
(b) Fringe Benefits	0	0
(c) Travel	10,000	20,000
(d) Equipment	0	0
(e) Supplies	0	0
(f) Procurement / Assistance	4,500,000	13,500,000
(g) Construction	0	0
(h) Other	10,000	20,000
(i) Total Direct Charges	5,000,000	15,000,000
(j) Indirect Costs: Rate <u>0.00</u> % Base \$ _____	0	0
(k) Total:		
(EPA Share: <u>100.00</u> %) (Other Agency Share <u>0.00</u> %)	5,000,000	15,000,000

23. Is Equipment authorized to be furnished by EPA or leased, purchased, or rented with EPA funds? Yes No
(Identify all equipment costing \$1000 or more.)

24. Are any of these funds being used on extramural agreements? (See item 22f.) Yes No

Type of extramural agreement Grant Cooperative Agreement Procurement (includes Small Purchase Order)

Contractor / Recipient Name (if known)	Total Extramural Amount under this Project	Percent Funded by EPA (if known)
		100.00

Part III - Funding Methods and Billing Instructions

25. Funds-Out Agreement (Note: EPA Agency Location Code (ALC) - 68010727)

Disbursement Agreement

Repayment Request for repayment of actual costs must be itemized on SF-1080 and submitted to the Financial Management Office, Cincinnati, OH 45268:
 Monthly Quarterly Upon Completion of Work

Advance Only available for use by Federal agencies on working capital fund or with appropriate justification of need for this type of payment method. Unexpended funds at completion of work will be returned to EPA. Quarterly cost reports will be forwarded to the Financial Management Center, EPA, Cincinnati, OH 45268.

Allocation Transfer-Out Used to transfer obligational authority or transfer of function between Federal agencies. Must receive prior approval by the Office of the Comptroller, Budget Division, Budget Formulation and Control Branch, EPA Hdqtrs. Forward appropriate reports to the Financial Reports and Analysis Branch, Financial Management Division, PM-226F, EPA, Washington, DC 20460.

26. Funds-In Agreement

Reimbursement Agreement Repayment Advance

Allocation Transfer-In

Other Agency's IAG Identification Number COE	EPA Program Office Allowance Holder/Resp. Center No. 4AD
Other Agency's Billing Address (include ALC or Station Symbol Number)	Other Agency's Billing Instruction and Frequency

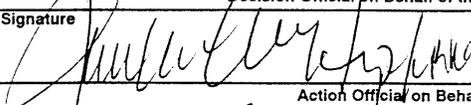
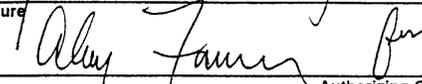
Part IV - Acceptance Conditions	EPA IAG Identification Number DW96945809-01-1
<p>27. General Conditions</p> <p style="text-align: center;">The other agency covenants and agrees that it will expeditiously initiate and complete the project for which funds have been awarded under this agreement.</p>	
<p>28. Special Conditions</p> <p>9. Terms and Conditions as set forth on the prior award(s) remain in effect.</p> <p>Y2K CONDITION:</p> <p>Your assistance agreement may produce electronic date-sensitive data or systems that use such data. Any information technology purchased, produced, submitted or exchanged under this agreement must be capable of processing date data according to EPA's Data Standard for representation of calendar dates (EPA Directive 2100, IRM Policy Manual, Chapter 5, Data Standards.) This information is located on the EPA Website: http://www.epa.gov/irmpoli8/polman/chantr05.txt.html#calendar</p> <p>Information technology acquired under this agreement should be consistent with the technical Year 2000 requirements as described in the Federal Acquisition Regulation 39.002. This information is located on the official GSA website: http://www.arnet.gov/far/07-05/html/39.html</p>	

Part V - Offer and Acceptance	
<p>NOTE: 1) For Funds-Out actions, the agreement/amendment must be signed by the other agency official in duplicate and one original returned to the Grants Administration Division for Headquarters agreements or to the appropriate EPA Regional IAG administration office within 3 calendar weeks after receipt or within any extension of time as may be granted by the EPA. The agreement/amendment must be forwarded to the address cited in Item 29 after acceptance signature. Receipt of a written refusal or failure to return the properly executed document within the prescribed time may result in the withdrawal of the offer by EPA. Any change to the agreement by the other agency subsequent to the document being signed by the EPA Action Official, which the Action Official determines to materially alter the agreement/amendment, shall void the agreement/amendment.</p> <p>2) For Funds-In actions, the other agency will initiate the action and forward two original agreements/amendments to the appropriate EPA program office for signature. The agreements/amendments will then be forwarded to the appropriate EPA IAG administration office for acceptance signature on behalf of the EPA. One original copy will be returned to the other agency after acceptance.</p>	

EPA IAG Administration Office (for administrative assistance)	EPA Program Office (for technical assistance)
<p>29. Organization / Address</p> <p>US ENVIRONMENTAL PROTECTION AGENCY GRANTS MANAGEMENT OFFICE 61 FORSYTH ST. S.W. ATLANTA, GA 30303</p>	<p>30. Organization / Address</p> <p>U. S. ENVIRONMENTAL PROTECTION AGENCY WASTE MANAGEMENT DIVISION 61 FORSYTH STREET, S.W. ATLANTA, GA 30303</p>

Certification

All signers certify that the statements made on this form and all attachments thereto are true, accurate, and complete. Signers acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law.

Decision Official on Behalf of the Environmental Protection Agency Program Office		
31. Signature	 Typed Name and Title RICHARD D. GREEN, DIRECTOR WASTE MANAGEMENT DIVISION	Date MAY 11 1999
Action Official on Behalf of the Environmental Protection Agency		
32. Signature	 Typed Name and Title MICHAEL V. PEYTON ARA FOR POLICY AND MANAGEMENT	Date MAY 11 1999
Authorizing Official on Behalf of Other Agency		
33. Signature	Typed Name and Title	Date

EPA Form 1610-1 (Rev. 10-88)

Site-Specific IAG Document Instructions

Page 1

Block #1 - EPA/ IAG Identification Number: "DW969 _____" for agreements issued to USACE

Block #2 - Other Agency ID Number: Optional

Block #3 - Type of Action: New Agreement, Amendment, Decrease Funds, etc.

Block #4 - Funding Location by Region: Originating EPA Region

Block #5 - Program Office Abbreviation: EPA Office Code

Block #6 - Name and Address of EPA Organization: Originating EPA Region

Block #7 - Name and Address of Other Agency:

U.S. Army Corps of Engineers
HTRW-CX
Attn: Marvene Seaman
12565 West Center Road
Omaha, NE 68144-3869
(402) 697-2425

Block #8 - Project Title:

- a. Site-Specific Name of Project
- b. EPA Site I.D. Number: 12-digit number (first two digits are state code) - identical to CERCLIS I.D. Number
- c. "One Type" of Activity: (Examples: Technical Assistance, Real Estate, Remedial Design, Remedial Action, or Rapid Response) Type of activity must not be combined with another activity.
 - Remedial design should be a separate IAG document from a remedial action IAG
 - Separate funding should be issued for a five-year review
 - Remedial design oversight of a PRP should not to be combined with the remedial action oversight of a PRP

Issuing the IAG for "one type" of activity is important for the following reasons:

1. EPA has separate funding accounts established for a specific type of work such as technical assistance, enforcement support, remedial design, remedial action (includes state contributions), and removals. Funding associated with the issuance of the IAG must be related to the appropriate EPA account.
2. The designated USACE design district accepts an IAG for remedial design, and the construction (geographical) district located closest to the clean-up site accepts the

remedial action IAG. Separate IAGs for the design district and the construction district are required (also applies to separate IAG agreements for remedial design oversight of a PRP versus the remedial action oversight of a PRP).

3. Each USACE District has a separate financial (CEFMS) database. Funding should be accepted by the performing district for accurate reporting to HQUSACE of work actually accomplished.
4. Information reported by each district impacts the dollar amounts associated with the funding received and managed by a district, manpower utilization, civil FTE allocations, and USACE FORCON reports for current and future fiscal years.
5. HQUSACE must prepare Congressional reports on EPA funding received by all USACE Districts/Divisions for each specific type of work. USACE Category Class Codes (CCSC) have been established to identify the type of work .

Block #9 - EPA Project Officer

Block #10 - Other Agency Project Officer: HTRW-CX address (same as Block #7)

Block #11 - Project Period / Block #12 - Budget Period: The EPA Superfund Trust Fund Appropriation 68-20X8145 is a “no-year” appropriation, but EPA specifies an expiration date that must be loaded in the USACE CEFMS system for each IAG document. EPA can amend the IAG to extend the expiration date restriction.

Block #13 - Scope of Work: If the Direct Fund Cite/Revised Reimbursable Method applies, EPA must include a specific dollar limitation for the Direct Fund Cite (contract) funding and a specific dollar limitation for the Revised Reimbursable (in-house) funding (amounts are limitations for USACE and are not interchangeable). When the Direct Fund Cite/Revised Reimbursable Method does not apply, USACE obligations, expenditures, and commitments must not exceed the total amount of funding for the IAG. The Scope of Work statements are included in Block #13 or attached to the IAG document.

Block #14 - Statutory Authority: EPA Superfund IAG documents must reference CERCLA and SARA

Block #15 - Other Agency Type: Federal Agency

Block #16 through Block #20: Total Funding Amount

Block #21 - Fiscal Information: EPA accounting information for EPA purposes only (USACE establishes separate accounting codes for CEFMS).

Page 2

Block #22 - Budget Categories (a) through (k) breakdown: The budget “estimate” is coordinated by the EPA RPM and the USACE PM. USACE is not restricted to a budget limitation for each item - the only exception is for a Direct Fund Cite IAG when the Procurement Assistance amount (item (f) must agree with the Direct Fund Cite (contract) amount included on Page 1, Block #13.

Block #23 - Equipment Authorized: (Yes or No)

Identify All Equipment Costing \$1,000 or More

Block #24 - Funds Used for Extramural Agreements (Contracts): (Yes or No)

Type of Extramural Agreement: Procurement

Block #25 - Funding Methods/Billing Instructions:

Funds-Out Agreement

- Disbursement Agreement
- Repayment (SF 1080 Billing)
- Monthly Billing

Block #26 (Funds In Agreement): Not Applicable

Page 3

Block #27 - General Conditions:

Block #28 - Special Conditions: Reference sample Special Conditions statements

Block #29 - EPA IAG Administration Office: Address for Administrative Assistance

Block #30 - EPA Program Office: Address for Technical Assistance

Block #31 and Block #32 - EPA Signature Blocks: IAG document must have two EPA signatures

Block #33 - USACE Signature Block: Performing USACE District signature of acceptance (USACE will type in signature block name and title)

The USACE district that signs and accepts the IAG will retain one IAG document with original signatures for the district files, forward the second IAG document with original signatures to the EPA Region, and send a copy of the signed IAG to the HTRW-CX (copy to HTRW-CX should include district 6-digit CEFMS “Task” Funded Work Item Code).

The EPA Region will send the signed IAG document to the EPA Cincinnati Financial Management Center (CFMC). When the EPA CFMC processes the signed IAG document, the funding is “obligated” for EPA accounting and reporting purposes.

Exhibit 6. EPA Superfund Action Codes

EPA SUPERFUND ACTION CODES

<u>Action Code</u>	<u>Description</u>
BB	Oversight of RP Removal
BD	Oversight of RP RI/FS
BE	Oversight of RP RD
BF	Oversight of RP RA
BM	General Support & Management
BN	Removal Support & Management
BO	Remedial Support & Management
BZ	Brownfields General
CO	Combined RI/FS
DA	Design Assistance
ED	Human Health Risk Assessment
EE	Engineering Evaluation/Cost Analysis
FE	Five Year Remedy Assessment
FN	RI/FS Negotiations
FS	Feasibility Study
GE	General Enforcement
HR	Hazard Ranking Determined
LR	Long Term Response
LW	Oversight of FF RI/FS
LX	Oversight of FF RD
LY	Oversight of FF RA
OA	Brownfields Tech Assistance/Rsch
OF	Operational and Functional
OM	Operations and Maintenance
QB	Generic PA/SI
RA	Remedial Action
RD	Remedial Design
RI	Remedial Investigation
RS	Removal Assessment
RV	Removal Action
SS	ESI/RI Tracking
SV	Section 107 Litigation
TA	Technical Assistance
WQ	Bulk Funding
<u>Keys:</u>	
RP	Responsible Party
FF	Federal Facility
PA/SI	Preliminary Assessment/Site Inspection

EPA Accounting Information Summary

<u>DCN</u>	<u>FY</u>	<u>Approp.</u>	<u>Budget ORG</u>	<u>Program Element</u>	<u>Object</u>	<u>Site/ Project</u>	<u>Cost ORG</u>	<u>Obligation</u>
DT9152	99	T	4ADOR	50102D	2507	0441RA01	C001	\$5,000,000.00
LRV028	99	T	8ALOE	50102D	2507	08WQRV00	C001	\$250,000.00
HE0063	95	5T	2AHN	TFA	2507	02P8N		\$600,000.00

Notes:

- 1) The Treasury Symbol for Appropriation "T", "TR1 ", and "TR2" is 68/20X8145
- 2) For funding actions prior to FY96, the Site/Project field is composed as follows:
 - A) the first 2 digits represent the allowance holder/region
 - B) digits 3 and 4 represent the 2-digit Site Code
 - C) digit 5 represents the Activity Code
- 3) For funding actions from FY96 through the current year, the Site/Project field is composed as follows:
 - A) the first 2 digits represent the allowance holder/region
 - B) digits 3 and 4 represent the 2-digit Site Code
 - C) digits 5 and 6 represent the 2-digit Action Code
 - D) digits 7 and 8 represent the Operable Unit
- 4) The Site Spill Identifier (SSID) is composed of the first 4 digits of the Site/Project Field. To allow for more unique SSIDs, the first digit can change to indicate a different site (ex. 0441 and A441).
- 5) The Action Code represents the type of response event or enforcement action that occurs at a site. This code has replaced the old Activity Code to allow for a more accurate tracking of the level of work being done at a site.
- 6) The Operable Unit is used to describe discrete "areas" of work at a site
- 7) The following 3 Site Codes are generic accounts and do not represent site-specific actions:
 - A) "00" - this represents costs that are being charged for Management and Support of Superfund
 - B) "ZZ" - this represents costs that should eventually be distributed to site-specific accounts
 - C) "WQ" - this also represents costs that will eventually be distributed to site-specific accounts

Notes

USACE Category Class Codes

EPA Superfund Program

Management and Support Activity

HQUSACE	B11
USACE Commands (Already Included in B11)	B12

Technical Assistance

Field Investigation	B21
Feasibility Study	B22
Hazardous Waste Enforcement Support – Design	B23
Flood Plain Management	B24
Mapping and Surveys	B25
Remedial Investigation Feasibility Studies (RI/FS)	B26
Other Technical Assistance	B27
Real Estate Relocations/Acquisitions	B28
Operation and Maintenance	B29
Hazardous Waste Enforcement Support – Construction	B2A
Site Assessments	B2B
Hazardous Waste Enforcement Support – General	B2C
Five-Year Reviews	B2D

Remedial Design

Remedial Design	B31
Other Design Response	B32
First Phase Design	B33
EPA Lead Design	B34
State Lead Design	B35
EPA Work Assignment Management (WAM)	B36

Construction (Remedial Action)

Remedial Action	B41
Other Response	B42
Long-Term Response Action	B43

Other

Rapid Response	B51
Cost Estimating	B53

Brokered Work

Environmental Work Brokered Between Corps	B99
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(Reference ER 37-2-10, Chapter 20)

EPA Superfund Program:	“B _ _”
Other EPA Programs:	“H _ _”

Model Special Conditions Statements

Revised Reimbursable

Attachment B – Special Conditions for Technical Assistance IAG

The USACE agrees to meet the site-specific financial management and record keeping responsibilities contained in EPA's "Superfund Financial Management and Record Keeping Guidance for Federal Agencies" (January 1989).

1. Cost Documentation Requirements

EPA, acting as manager of the Hazardous Substances Superfund, requires current information on CERCLA response actions and related obligations of CERCLA funds for these actions. In addition, CERCLA, as amended, authorizes EPA to recover from responsible parties all government costs incurred during a response action. In order to help assure oversight and successful recovery of CERCLA funds, both USACE and EPA have responsibilities under this agreement. The USACE accounting systems reports must be supported by site- and activity-specific cost documentation. The USACE will organize and retain in a site file documentation of costs by site and activity (e.g. vouchers, billing statements, evidence of payment, audit reports) as follows:

a. Direct Costs

- Payroll - timesheets or timecards to support hours charged to a particular site, including the signature of the employee and/or the employee's supervisor..
- Travel - travel authorizations (including purpose of trip), local travel vouchers, traveler's reimbursement vouchers, carrier bills (including airline tickets), government owned vehicle bills appropriate receipts for hotel, car rental, etc., proof of payment. Proof of payment is satisfied by providing a copy of the accomplished SF 1166 "Voucher and Schedule of Payment" or equivalent.
- Contractor Services – copies of contracts, requests for proposals (RFPs), detailed evaluation of contractor bids, contractor invoices, USACE project officer approval of invoices, proof of payment. Proof of payment is satisfied by providing a copy of the accomplished SF 1166 or equivalent.
- Supplies and Equipment - EPA authorization to purchase non-expendable property of \$1,000.00 or more, vendor invoices, proof of payments, and hourly records of equipment use, when applicable.
- Any other direct costs not included in the above categories.

b. Indirect Costs

If indirect costs are not calculated by the USACE accounting system, a worksheet showing calculations of indirect costs charged to a site will be retained by the USACE.

Under this IAG, the USACE certifies: 1) that any indirect costs included in billings to EPA represent, in accordance with GAO principles, indirect costs that would not have been otherwise incurred by the USACE, or 2) that explicit Congressional authority exists for charging other than incremental costs of performance.

2. Reporting Requirements

- a. The USACE will provide monthly progress reports to the EPA Remedial Project Manager (RPM) listed on the IAG form containing:
 - Site name and IAG number.
 - Summary or work performed.
 - Accounting of funds expended during the reporting period and on the project to date, which includes budget category cost breakdown.
 - Estimate of the percentage of the project completed.
 - Summaries of all change orders and claims made on the contract during the reporting period.
 - Summaries of all contacts with representatives of the local community, public interest groups, or State government during the reporting period.
 - Summaries of all problems or potential problems encountered during the reporting period.
 - Projected work for the next reporting period.
- b. **The USACE will submit a complete and signed Request for Reimbursement (SF 1080) to the EPA Financial Management Center, Cincinnati (CFMC),** containing, as appropriate, USACE cost by budget category identified by site, site-specific account number, and IAG number. Upon receipt of the USACE certified bills, CFMC processes payment to USACE. Payment will be made within 5 days of receipt and without certification by the EPA Regional program office except for final billings. **The USACE project manager will provide a copy of the SF 1080 billings clearly marked "copy" with the monthly status report to the EPA Region 10 IAG Coordinator, Ricardo Solis.** If EPA detects any apparent discrepancies with the payment request, the problem shall be discussed and resolved with the USACE project manager. Any changes required to subsequent payment requests will be documented in a memorandum from the RPM to the USACE project manager.
- c. USACE will provide a final inventory of property, (prior to final contract payment) within one month of the end of the IAG performance period, describing the condition of each item and requesting disposition instructions. If the duration of the project is greater than one year, USACE will provide an annual inventory of all property acquired by or furnished to USACE with EPA funds.

3. Cost Recovery

In the event of a contemplated cost recovery action, the USACE will provide to EPA or the Department of Justice (DOJ), a cost documentation package detailing site-specific costs and including copies of the back up documentation. In some cases, these requests from EPA or DOJ may require that this documentation be provided in less than thirty days. If additional time is required to comply with a request, USACE will negotiate with a contact for obtaining necessary site-specific accounting information and documentation.

4. Record Retention Requirements

The USACE will retain the documents described in these "Special Conditions" for a minimum of ten years after submission of a final SF 1080 for a site or sites, after which USACE must obtain written permission from the authorized EPA official before disposing of any of the records.

5. Audits

- a. Superfund cost documentation information must be available for audit or verification upon request of authorized auditing agencies.
- b. If an audit determines that any direct or indirect cost charged to EPA is unallowable, EPA will be notified immediately following the resolution of the audit.

6. Other EPA Involvement

- a. **Reimbursement to the USACE is contingent upon receipt of a USACE certified Request for Reimbursement (SF 1080).** Final project payments shall be reviewed and approved by the EPA Regional program office.
- b. EPA will hold title to all property acquired with Superfund monies. EPA will provide the USACE the property disposal instructions upon termination of the IAG and receive fair-market value for any property disposed of or used for non-Superfund activities.

7. MBE Reporting Requirements

In accordance with CERCLA, as amended (P.L. 99-499), Section 105, any Federal agency awarding contracts, grants or cooperative agreements utilizing Superfund monies shall consider the availability of minority contractors for participation in contracts. This includes but is not limited to: contracts, subcontracts, SBA 8(a) awards and any subagreements.

Annual reports will be forwarded (by November 15) to the Minority-Business Enterprise Coordinator in EPA Headquarters. Reports will be submitted on EPA Forms 6005-3, "Superfund Minority Contractors Utilization Report, Part 2."

Model Special Conditions Statements

Direct Fund Cite

Attachment B – Special Conditions for Remedial Action IAG

The USACE agrees to meet the site-specific financial management and recordkeeping responsibilities contained in EPA's "Superfund Financial Management and Recordkeeping Guidance for Federal Agencies" (January 1989).

1. Cost Documentation Requirements

EPA acting as manager of the Hazardous Substances Superfund requires current information on CERCLA response actions and related obligations of CERCLA funds for these actions. In addition, CERCLA, as amended, authorizes EPA to recover from responsible parties all government costs incurred during a response action. In order to help assure oversight and successful recovery of CERCLA funds, both USACE and EPA have responsibilities under this agreement. The USACE accounting system reports must be supported by site- and activity-specific cost documentation. The USACE will organize and retain in a site file documentation of costs by site and activity (e.g., vouchers, billing statements, evidence of payment, audit reports) as follows.

a. Direct Costs

- Payroll - timesheets or timecards to support hours charged to a particular site, including the signature of the employee and/or the employee's supervisor.
- Travel - travel authorizations (including purpose of trip), local travel vouchers, traveler's reimbursement vouchers, carrier bills (including airline tickets), government owned vehicle bills, appropriate receipts for hotel, car rental, etc., proof of payment. Proof of payment is satisfied by providing a copy of the accomplished SF1166 "Voucher and Schedule of Payment" or equivalent.
- Contractor services - copies of contracts, requests for proposals (RFPs), detailed evaluation of contractor bids, contractor invoices, USACE project officer approval of invoices, proof of payment. Proof of payment is satisfied by providing a copy of the accomplished SF1166 or equivalent.
- Supplies and Equipment - EPA authorization to purchase non-expendable property of \$1,000.00 or more, vendor invoices, proof of payments, and hourly records of equipment use, when applicable.
- Any other direct costs not included in the above categories.

b. Indirect Costs

If indirect costs are not calculated by the USACE accounting system, a worksheet showing calculations of indirect costs charged to a site will be retained by the USACE.

Under this IAG, the USACE certifies: 1) that any indirect costs included in billings to EPA represent, in accordance with GAO principles, indirect costs that would not have been otherwise incurred by the USACE, or 2) that explicit Congressional authority exists for charging other than incremental costs of performance.

2. Reporting Requirements

- a. The USACE will provide monthly progress reports to the RPM listed on the IAG form containing:
 - Site name and IAG number.
 - Summary of work performed.
 - Estimate of the percentage of the project completed.
 - Accounting of funds expended during the reporting period and on the project to date, which includes budget category cost breakdown.
 - Summaries of all change orders and claims made on the contract during the reporting period.
 - Summaries of all contacts with representatives of the local community, public interest groups, or State government during the reporting period.
 - Summaries of all problems or potential problems encountered during the reporting period.
 - Projected work for the next reporting period.
 - **Attachment of a copy of all certified contractor invoices for contract costs and Request for Reimbursement (SF 1080) for all USACE in-house costs submitted to the EPA Financial Management Center, Cincinnati, for payment during the reporting month.**
- b. **The USACE will submit certified contractor invoices and/or complete and signed Request for Reimbursement (SF 1080) to the EPA Financial Management Center, Cincinnati**, containing, as appropriate, USACE cost by budget category identified by site, site-specific account number, and IAG number.
- c. USACE will provide a final inventory of property, [prior to final contract payment] within one month of the end of the Interagency Agreement Performance Period, describing the condition of each item (and requesting disposition instructions). USACE will require all contractors to provide a final inventory prior to their final contract payment. If the duration of the project is greater than one year, USACE will provide an annual inventory of all property acquired by or furnished to USACE with EPA funds.

3. Cost Recovery

In the event of a contemplated cost recovery action, the USACE will provide to EPA or the Department of Justice (DOJ) a cost documentation package detailing site-specific costs and including copies of the back up documentation. In some cases, these requests from EPA or DOJ may require that this documentation be provided in less than thirty days. If additional time is required to comply with a request, USACE will negotiate with EPA or DOJ a schedule for responding. USACE will provide EPA with a contact for obtaining necessary site-specific accounting information and documentation.

4. Record Retention Requirements

The USACE will retain the documents described in these "Special Conditions" for a minimum of ten years after submission of a final SF 1080 for a site or sites, after which USACE must obtain written permission from the authorized EPA official before disposing of any of the records. USACE

will require all contractors entering into cost reimbursable type contracts to establish and maintain cost documentation as described above.

5. Project Specific Conditions

- a. The USACE will invite (with reasonable notice) the EPA RPM to participate in contractor meetings in which scope of the project and/or progress is discussed.
- b. The USACE will invite the EPA RPM to participate in the contractor selection process, as appropriate.
- c. The USACE will have final authority for RA bids, shop drawings and contract modifications (within [the 15%] contingency fund limitations).
- d. The USACE Project Manager will regularly brief the EPA RPM on the current status of the project. Briefings will be monthly unless a different frequency is mutually agreed upon by both project managers. Emphasis shall be placed on project budget, expenditure rates, and schedule.
- e. The USACE personnel and its contractors will have the appropriate safety training and be involved in a medical monitoring program as specified in 29 CFR Part 1910; 51 CFR 45663 - 45675; and Section 125(e) of CERCLA, as amended.
- f. The USACE will furnish to the EPA RPM for their information a copy of the Quality Assurance Management Plan.
- g. The USACE will have final authority, with EPA comment, for approving Quality Assurance Project Plans (QAPPs), Sampling Analysis Plans (SAPs) which reflect environmental sampling and laboratory analysis, and Health and Safety Plans (HASPs).

6. Audits

- a. Superfund cost documentation information must be available for audit or verification upon request of authorized auditing agencies.
- b. If an audit determines that any direct or indirect cost charged to EPA is unallowable, EPA will be notified immediately following the resolution of the audit.

7. Other EPA Involvement

- a. **Payment to USACE contractors is contingent upon receipt of a USACE certified payment request. Reimbursement to USACE for in-house costs is contingent upon receipt of a USACE certified Request for Reimbursement (SF 1080).** Final project payments for specific contracts and in-house cost shall be reviewed and approved by the EPA Regional program office.
- b. EPA will hold title to all property acquired with Superfund monies. EPA will provide the USACE the property disposition [al] instructions upon termination of the IAG. [and] EPA will receive fair-market value for any property disposed of or used for non-Superfund activities.

General Condition for Superfund IAGs with Procurement

In accordance with Public Law 102-389, EPA's policy requires, to the fullest extent possible, that at least 8% of its overall Federal funding for procurement actions awarded in support of authorized programs be awarded to business concerns or other organizations owned or controlled by socially and economically disadvantaged individuals, including historically Black colleges and universities and women.

Consistent with this policy, the receiving agency agrees, in awarding procurement actions under this IAG, to comply with the utilization requirements for Minority Business Enterprises (MBEs) and Women's Business Enterprises (WBEs) set forth in the Small Business Act, 15 U.S. C. 631 et seq and the annual Small Business goals negotiated with the Small Business Administration (SBA).

The receiving agency agrees to submit a report to EPA showing the total amount of procurement dollars awarded and the amount and percentage of such funds awarded to MBEs and WBEs on Forms 6005-3 and 6005-3a by December 15th of the current year. Reports should be submitted to:

Office of Small Disadvantaged Business Utilization
U.S. Environmental Protection Agency
401 M Street, S.W. (Mailcode: 1230)
Washington, D.C. 20460

Sample Scope of Work Remedial Design

Attachment A – Scope of Work for Remedial Design IAG

Site

[Name, City, State]
[Site/Spill Identifier]

Purpose

The purpose of this agreement is to obtain assistance from the U.S. Army Corps of Engineers (USACE) for the implementation of a remedial design for remedial action at the [site name].

Background

[Briefly summarize the site in one or two paragraphs to include]

- [location of site]
- [brief history of operations, releases, response actions, etc.]
- [quantity, types, and concentrations of hazardous substances]
- [extent of contamination]
- [operable unit name and number, event name and number, and project name, if applicable]

A Record of Decision (ROD) was signed by the [AA-OSWER or RA] on [date] selecting [description of remedy] as the cost effective remedy for the [site name].

Remedy

The remedy selected by EPA and the State of [state name] includes the following major components:

[list major components in bullet format]

Work Statement

The USACE will be responsible for:

1. Developing the technical statement of work and awarding and managing a contract to a private firm for the design of [description of remedy]. The design package will consist of plans and specifications along with [include as necessary O&M plan, QAPP, Site Safety Plan, etc.].
2. Reviewing the design package in coordination with the EPA RPM at preliminary and pre-final design stages. Approval and acceptance of the final design, with comment from EPA.

3. Conducting value engineering screening to assess the need for a value engineering study.
Conducting value engineering studies when indicated.
4. Preparing a Real Estate Planning Report to be submitted to the EPA Regional office during the preliminary design phase of the project.
5. Providing other support to include [permit assistance, community relations assistance, etc.].
6. Reproducing design documents.
7. Conducting procurement activities for remedial actions up to the point of award.

Sample Scope of Work Remedial Action

Attachment A – Scope of Work for Remedial Action IAG

Site

[Name, City, State]
[Site/Spill Identifier]

Purpose

The purpose of this agreement is to obtain assistance from the U.S. Army Corps of Engineers (USACE) for the implementation of a remedial action at the [site name].

Background

[Briefly summarize the site in one or two paragraphs to include]

- [location of site]
- [brief history of operations, releases, response actions, etc.]
- [quantity, types, and concentrations of hazardous substances]
- [extent of contamination]
- [operable unit name and number, event name and number, and project name, if applicable]

A Record of Decision (ROD) was signed by the [AA-OSWER or RA] on [date] selecting [description of remedy] as the cost effective remedy for the [site name]. The remedial design (RD) for the remedy was performed by the [USACE or other party]. A Superfund State Contract was signed by the State of [state] on [date] providing assurances, including cost share for the remedial action (RA), required by CERCLA Section 104(c).

Remedy

The remedy selected by EPA and the State of [state name] includes the following major components:

[list major components in bullet format]

Work Statement

The USACE will be responsible for:

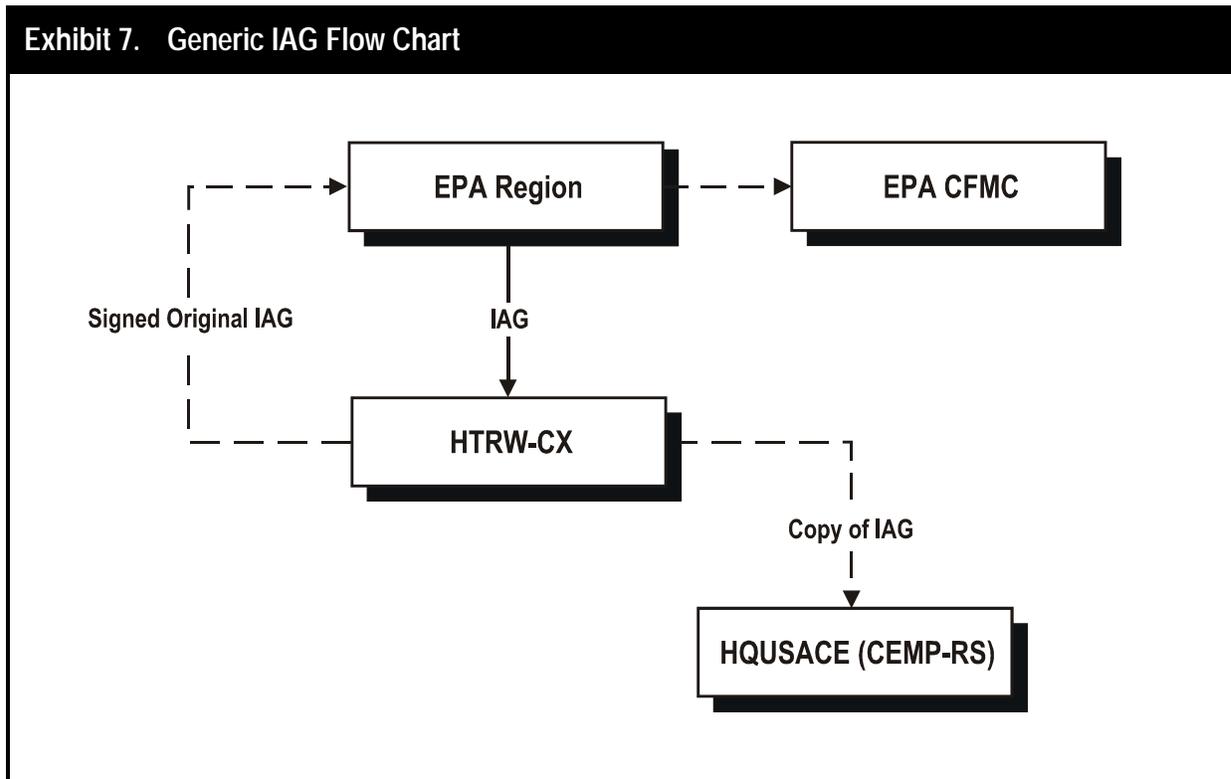
1. Managing the contract for remedial action including procurement activities for any subsequent modifications and revisions to the original contract award for remedial action.
2. Providing oversight and monitoring of construction in coordination with the EPA RPM, to ensure compliance with all contract requirements.

3. Conducting final inspection and certification of completed remedial action in coordination with the EPA RPM.
4. Assessing submitted Value Engineering Construction Proposals (VECP) in accordance with the Value Engineering clause found in the Federal Acquisition Regulation at 52.248-1. USACE shall consult with EPA on any VECP that may impact the remedy at the site prior to making any change.

Generic IAG

The following steps describe the Generic IAG, as shown in Exhibit 7. Exhibit 8 contains a sample Generic IAG document.

1. EPA obligates funds under one Generic IAG for future work at several sites (site-specific assignments not yet identified)
2. Generic IAGs signed and accepted by HTRW-CX
3. Funding for general activities:
 - technical assistance activities
 - technical assistance planning and relocation activities
 - technical assistance at federal facilities
 - rapid response for removal activities
4. Repetitive scopes of work/short duration projects/activities involving small dollar amounts
5. Direct Fund Cite method does not apply
6. Generic IAG can be amended by EPA to increase funding or extend period of performance



Sample
Generic IAG Document

Exhibit 8. Sample Generic IAG Document

(Page 1 of 4)

Page 1 of 4

United States Environmental Protection Agency Washington DC 20460 EPA Interagency Agreement / Amendment Part I - General Information		1. EPA / IAG Identification Number DW96953768-01-6	4. Funding Location by Region 08						
		2. Other Agency ID Number	5. Program Office Abbreviation 8EPR-ER						
		3. Type of Action INCREASE AUGMENT							
6. Name and Address of EPA Organization U.S. ENVIRONMENTAL PROTECTION AGENCY ECOSYSTEMS PROTECTION AND REMEDIATION 999 18TH STREET, SUITE 500, 8EPR-ER DENVER, CO 80202-2466		7. Name and Address of Other Agency U.S. ARMY CORPS OF ENGINEERS HTRW-CX MISSOURI RIVER DIV./ MARVENE SEAMAN 12565 WEST CENTER ROAD OMAHA, NE 68144-3869							
8. Project Title ASSIST AND SUPPORT FOR SITE ASSESSMENT FUNCTIONS FOR POTENTIAL REMOVAL SITES									
9. EPA Project Officer (Name, Address, Telephone Number) ZIMMERMAN, MIKE PROJECT OFFICER 999 18TH STREET, SUITE 500, 8EPR-ER DENVER, CO 80202-2466 (303) 312-6828		10. Other Agency Project Officer (Name, Address, Telephone Number) SEAMAN, MARVENE (HTRW CX) PROJECT OFFICER 12565 WEST CENTER ROAD OMAHA, NE 68144-3869 (402) 697-2425							
11. Project Period 11/01/97 to 06/30/00		12. Budget Period 11/01/97 to 06/30/00							
13. Scope of Work (Attach additional sheets, as needed) THIS AMENDMENT INCREASES THE IAG BY \$250,000. THE BUDGET PERIOD AND THE PROJECT PERIOD ARE EXTENDED TO 6/30/2000 FROM 11/1/1999. THE SCOPE OF WORK IS A CONTINUATION OF ALL ACTIVITIES UNDER THE ORIGINAL SCOPE OF WORK. U.S.EPA, REGION VIII, GRANTS SPECIALIST: O'DONNELL, CAROL A. (303) 312-6824 FAX: (303) 312-6685									
14. Statutory Authority for Both Transfer of Funds and Project Activities (See continuation page)			15. Other Agency Type FEDERAL AGENCY						
FUNDS	PREVIOUS AMOUNT	AMOUNT THIS ACTION	AMENDED TOTAL						
16. EPA Amount	7,600,000	250,000	7,850,000						
17. EPA In-Kind Amount	0	0	0						
18. Other Agency Amount	0	0	0						
19. Other Agency In-Kind Amount	0	0	0						
20. Total Project Cost	7,600,000	250,000	7,850,000						
21. Fiscal Information									
Site Name	DCN	FY	Approp.	Budget Org.	Program Elem.	Object	Site/Project	Cost Org.	Obligation
	LRV028	99	T	8ALOE	50102D	2507	08WQRVVOO	C001	250,000

EPA Form 1610-1 (Rev. 10-88). Previous editions are obsolete.

Part II - Approved Budget		EPA IAG Identification Number DW96953768-01-6
22. Budget Categories	Itemization of This Action	Itemization of Total Project Estimated Cost to Date
(a) Personnel	100,000	3,140,000
(b) Fringe Benefits	0	0
(c) Travel	20,000	628,000
(d) Equipment	0	0
(e) Supplies	7,500	235,500
(f) Procurement / Assistance	42,500	1,334,500
(g) Construction	0	0
(h) Other	0	0
(i) Total Direct Charges	170,000	5,338,000
(j) Indirect Costs: Rate <u>80.00%</u> Base \$ <u>100,000.</u>	80,000	2,512,000
(k) Total: (EPA Share: <u>100.00%</u>) (Other Agency Share <u>0.00%</u>)	250,000	7,850,000

23. Is Equipment authorized to be furnished by EPA or leased, purchased, or rented with EPA funds? Yes No
(Identify all equipment costing \$1000 or more.)

24. Are any of these funds being used on extramural agreements? (See Item 22f.) Yes No

Type of extramural agreement Grant Cooperative Agreement Procurement (includes Small Purchase Order)

Contractor / Recipient Name (if known)	Total Extramural Amount under this Project	Percent Funded by EPA (if known)
	1,334,500	100.00

Part III - Funding Methods and Billing Instructions

25. Funds-Out Agreement (Note: EPA Agency Location Code (ALC) - 68010727)

Disbursement Agreement

Repayment Request for repayment of actual costs must be itemized on SF-1080 and submitted to the Financial Management Office, Cincinnati, OH 45268:
 Monthly Quarterly Upon Completion of Work

Advance Only available for use by Federal agencies on working capital fund or with appropriate justification of need for this type of payment method. Unexpended funds at completion of work will be returned to EPA. Quarterly cost reports will be forwarded to the Financial Management Center, EPA, Cincinnati, OH 45268.

Allocation Transfer-Out Used to transfer obligational authority or transfer of function between Federal agencies. Must receive prior approval by the Office of the Comptroller, Budget Division, Budget Formulation and Control Branch, EPA Hdqtrs. Forward appropriate reports to the Financial Reports and Analysis Branch, Financial Management Division, PM-226F, EPA, Washington, DC 20460.

26. Funds-In Agreement

Reimbursement Agreement Repayment

Allocation Transfer-In Advance

Other Agency's IAG Identification Number	EPA Program Office Allowance Holder/Resp. Center No. 8AL
Other Agency's Billing Address (include ALC or Station Symbol Number)	Other Agency's Billing Instruction and Frequency

EPA Form 1610-1 (Rev. 10-88)

Part IV - Acceptance Conditions	EPA IAG Identification Number DW96953768-01-6
27. General Conditions The other agency covenants and agrees that it will expeditiously initiate and complete the project for which funds have been awarded under this agreement.	
28. Special Conditions ALL TERMS AND CONDITIONS REMAIN THE SAME.	

Part V - Offer and Acceptance

NOTE:

- 1) For Funds-Out actions, the agreement/amendment must be signed by the other agency official in duplicate and one original returned to the Grants Administration Division for Headquarters agreements or to the appropriate EPA Regional IAG administration office within 3 calendar weeks after receipt or within any extension of time as may be granted by the EPA. The agreement/amendment must be forwarded to the address cited in item 29 after acceptance signature. Receipt of a written refusal or failure to return the properly executed document within the prescribed time may result in the withdrawal of the offer by EPA. Any change to the agreement by the other agency subsequent to the document being signed by the EPA Action Official, which the Action Official determines to materially alter the agreement/amendment, shall void the agreement/amendment.
- 2) For Funds-In actions, the other agency will initiate the action and forward two original agreements/amendments to the appropriate EPA program office for signature. The agreements/amendments will then be forwarded to the appropriate EPA IAG administration office for acceptance signature on behalf of the EPA. One original copy will be returned to the other agency after acceptance.

EPA IAG Administration Office (for administrative assistance)	EPA Program Office (for technical assistance)
29. Organization / Address US ENVIRONMENTAL PROTECTION AGENCY GRANTS, AUDIT & PROCUREMENT, 8TMS-G 999 18TH STREET DENVER, CO 80202-2466	30. Organization / Address U.S. ENVIRONMENTAL PROTECTION AGENCY ECOSYSTEMS PROTECTION AND REMEDIATION 999 18TH STREET, SUITE 500, 8EPR-ER DENVER, CO 80202-2466

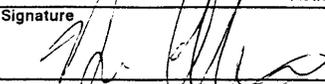
Certification

All signers certify that the statements made on this form and all attachments thereto are true, accurate, and complete. Signers acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law.

Decision Official on Behalf of the Environmental Protection Agency Program Office

31. Signature 	Typed Name and Title MAX H. DODSON, ARA FOR ECOSYSTEMS PROTECTION & REMEDIATION	Date JUN 10 1999
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Action Official on Behalf of the Environmental Protection Agency

32. Signature 	Typed Name and Title WAYNE ANTHOFER, DIRECTOR OFFICE OF GRANTS, AUDIT & PROCUREMENT	Date JUN 10 1999
--	--	---------------------

Authorizing Official on Behalf of Other Agency

33. Signature	Typed Name and Title	Date
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Sample

Scope of Work for Generic IAG Between USEPA Region VIII and USACE

Exhibit 9, which follows this sample scope of work, contains the sample work authorization form that accompanies this generic IAG scope of work.

I. Introduction

The U.S. Army Corps of Engineers (USACE) has provided support for the Environmental Protection Agency Region VIII (EPA) in a variety of areas. This work was accomplished using site-specific interagency agreements (IAGs). For major work assignments such as remedial designs or remedial actions, site-specific IAGs are the most appropriate vehicle. However, from time to time EPA has a need for shorter-term, smaller dollar value technical assistance. The purpose of this IAG is to establish a mechanism and implementation procedures to enable USACE to provide technical support to EPA on these smaller projects. Assignments under this IAG will be consistent with this statement of work (SOW) and generally cost less than \$20,000 and last for less than one year.

Work conducted under this IAG will be done consistent with the EPA/USACE Memorandum of Understanding (MOU).

II. Scope of Services

This IAG can be used to obtain the following services:

A. Technical assistance for project planning

1. Perform familiarization reviews of Remedial Investigation/Feasibility Studies (RI/FS) and Records of Decision (ROD) to assist EPA and USACE in preparing for potential site specific IAG assignments and to provide technical feedback to EPA.
2. Attend public meetings as preparation and background for potential USACE assignments and/or to provide technical support for EPA site managers and staff.
3. Provide technical support for initial work plan and scope of work development for planned site-specific assignments to USACE. This can include visits to meet with Region VIII and other EPA staff as well as familiarization site visits. A primary objective of these activities is to speed up and facilitate the early project planning and site specific IAG development to permit earlier project starts, improve project planning, and help assure high quality performance.

B. Technical Assistance and Design Support for Sites Using ARCS or other EPA contractors for site activities.

1. Provide cost estimates and supporting cost documentation for site activities to be performed by ARCS or other contractors. The site activities could include RI/FS, removal actions, remedial design, and remedial construction. The cost estimating support can be for either the initial contractor assignment or modifications or change orders. These estimates and documentation would be developed to support EPA in determining Independent Government Cost Estimates (IGCE) for contractor activities.
2. Provide remedial design reviews for ARCS and other EPA contractor design products. These reviews can be at traditional design completion phases (30, 60, 90 percent or final design products) or at any point that EPA requests. These reviews can also be conducted for biddability, constructibility, operability (BCO) of remedial designs.

3. Provide value engineering (VE) support requested by EPA. This support can include reviews of VE products and activities performed by EPA contractors or conducting the VE process for a remedial design being developed by and EPA contractor.
4. Provide support to EPA for remedial action and removal action activities conducted by EPA contractors. The support can include field oversight, inspection services, small waste disposal services, and technical review and cost estimating for contract change orders.
5. Provide limited real estate technical assistance and design support activities for EPA. This could include providing a Real Estate Planning Report (REPR) and supporting other limited real estate support and property acquisition activities. For sites where major real estate support is needed, it should be include as part of a USACE design IAG or, in some limited cases, a site-specific IAG just for the real estate support.
6. Field visits to observe significant contractor activities. For example, field tests or major drilling or geophysical operations.

C. Other Technical Assistance and Design Support

1. Provide training or seminars for EPA personnel. Example topics could be value engineering, design review process, field oversight, or construction contracting.
2. Provide topographic mapping support. The USACE generic IAG manager will coordinate any Region VIII requests with applicable USACE topographic mapping support sources and advise the Region on the options available.
3. Provide assistance to EPA at potentially responsible party (PRP) lead sites, including review of deliverables, site inspections, negotiations support, public meetings.
4. Provide assistance to EPA in evaluating potential response actions for sites not yet listed on the National Priorities List to help determine whether early action is appropriate, including collection and review of existing data, limited sampling, screening possible clean-up options, and costing out clean-up alternatives.
5. Collect information to supplement ongoing site evaluations at federal facilities where USACE is already on-site and where such information is critical to EPA's Hazard Ranking System data requirements.

III. Work Activation/Authorization Process

This generic IAG will be executed between the EPA Region VIII and the USACE Hazardous, Toxic & Radioactive Waste Center of Expertise (HTRW-CX). The HTRW-CX will retain the bulk funding for the IAG, but does not have the authority to obligate or expend any funds until EPA issues a Work Authorization Form (WAF). See attached. The EPA project officer (PO) will use the WAF to describe, define, authorize, and activate assignments. The WAF may indicate which USACE field office is being requested to perform the assignment. The WAF will be submitted to the USACE HTRW-CX for administrative and financial processing and acceptance by the USACE. Generally within one week of accepting the WAF, USACE will provide the PO an estimated start date for the project and the name of the project lead. For more urgent assistance needs, USACE will make every attempt to reprioritize its work in close coordination with the EPA PO to accomplish the urgent request.

IV. USACE Management and Oversight

USACE will name a generic IAG Manager who will coordinate among the USACE offices. USACE will assure that a field office with the appropriate level of expertise will be assigned to

accomplish the type of work required and that an appropriate project manager is assigned. The IAG Manager will be responsible for making sure the conditions in the IAG are being carried out consistent with the EPA/USACE MOU.

**USEPA REGION VIII
WORK AUTHORIZATION FORM (WAF)
U.S. ARMY CORPS OF ENGINEERS GENERIC INTERAGENCY AGREEMENT**

Date: _____

- 1. SITE NAME: _____
- 2. WAF ASSIGNMENT TITLE: _____
- 3. WAF ASSIGNMENT NUMBER: WAF(R8)-_____ 4. REVISION NO. _____
- 5. IAG NO.: _____
- 6. EPA SITE I.D. NUMBER: _____ 7. SITE/SPILL ID NO. _____
- 8. USEPA RPM/OSC NAME: _____ 9. PHONE: _____
- 10. PERIOD OF PERFORMANCE - FROM: _____ TO: _____
- 11. FUNDING:

WAF Assignment Funding	
Previous Funding	
Current Funding	
Total Funding	

12. SCOPE OF WORK: (Use additional sheets when necessary) Where appropriate, include recommendation for preferred USACE field organization to perform assignment.

13. PRIMARY CONTACTS

14. SCHEDULE FOR ASSIGNMENT ACTIVITIES AND DELIVERABLES: (Use additional sheets when necessary)

DELIVERABLES

DUE DATE

15. ACCOUNTING INFORMATION:

Accounting Information				
	DCN	S.F. Account Number	Object Class	Amount
Deobligate From				
Obligate To				

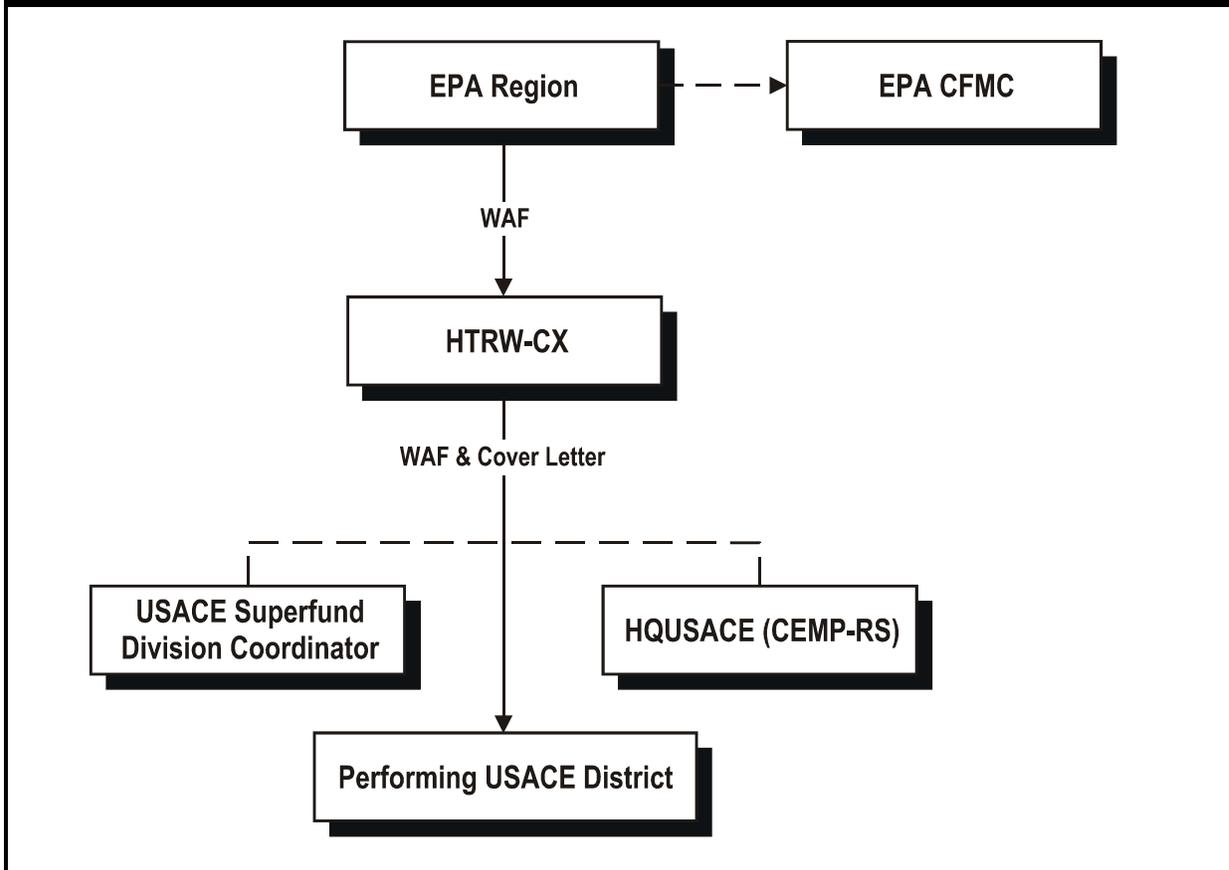
AUTHORIZATION: Authorization is hereby given to USACE to provide technical assistance work as provided for in the generic IAG and within the scope of work, budget, and schedule as described in this WAF. Sufficient funds are available in the generic IAG to support this WAF.

Regional Project Officer

cc:
Jeff Marsala, EPA, Accounting Operation Office, Cincinnati

Work Authorization Form (WAF)

Exhibit 10. Work Authorization Form Flow Chart



WAF Format

Site Name

Designate: Original or amendment

WAF Assignment Title: Identify “one type” of scope of work activity

IAG No.: (Generic IAG number)

EPA Site I.D. Number: 12 digit number - first two digits are state code (identical to CERCLIS I.D. site number)

Name/Phone Number of EPA RPM

Period of Performance: Date must not exceed expiration date of generic IAG

Funding: Amount must not exceed funding available in Generic IAG

- Direct Fund Cite does not apply to WAF
- WAF must be signed by EPA
- No acceptance signature required by USACE performing district

EPA WAF Origination Phase Comments (prepared by the EPA Cincinnati Financial Management Center)

For IAGs which are set up initially with Generic Superfund funding, the EPA Region must send a site-specific Work Authorization Form (WAF) to the Hazardous, Toxic & Radioactive Waste Center of Expertise (HTRW-CX) for each site. The HTRW-CX will forward this WAF to the performing USACE District. The EPA Project Officer should also send a copy of this WAF to the EPA Cincinnati Financial Management Center (CFMC) so that the funds can be moved from the generic account to the appropriate site-specific account. The WAF must be signed by EPA, but it is not required to be signed by USACE. Each WAF can have its own Project Period, but it cannot exceed the ending date of the Project Period of the Generic IAG. The total dollars moved from the generic account(s) to site-specific accounts cannot exceed the total funding of the IAG.

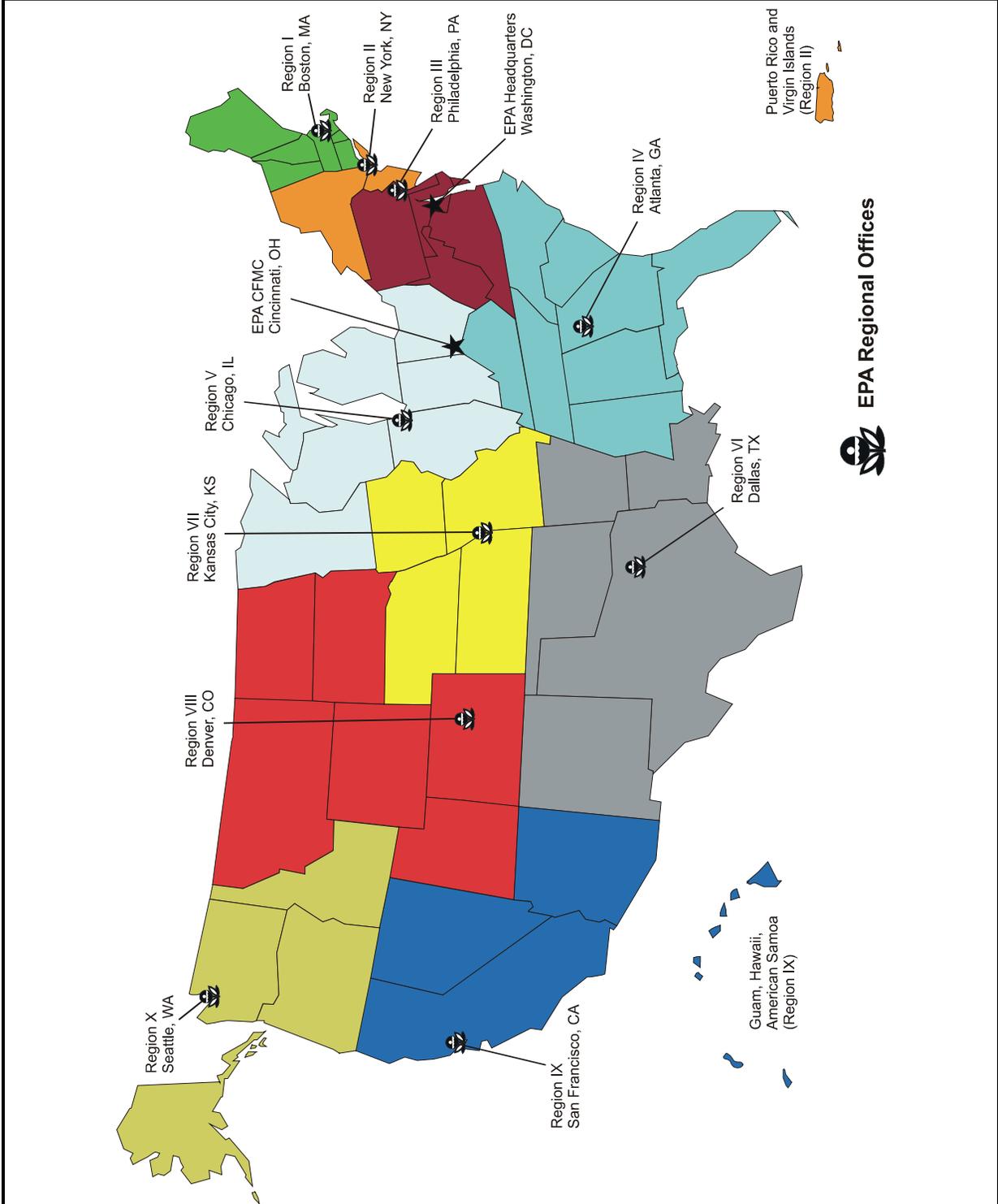
Expiration Dates

- EPA specifies an expiration date on all Superfund IAG and WAF documents
- EPA RPM and USACE PM should mutually agree to a “reasonable and realistic” expiration date
- Avoid multiple and unnecessary amendments by routinely amending IAG or WAF on a yearly basis
- Avoid September 30 expiration dates

Notes

EPA Regions

Exhibit 11. EPA Regions



USACE Divisions and Districts

Mississippi Valley Division (Vicksburg, MS):

New Orleans District
St. Louis District

Memphis District
St. Paul District

Vicksburg District
Rock Island District

North Atlantic Division (Brooklyn, NY):

Baltimore District
New England District

New York District
Norfolk District

Philadelphia District
Europe District

Great Lakes and Ohio River Division:

Great Lakes Regional Headquarters (Chicago, Illinois)

Ohio River Regional Headquarters (Cincinnati, Ohio)

Chicago District
Huntington District
Pittsburgh District

Detroit District
Louisville District

Buffalo District
Nashville District

Northwestern Division:

Columbia River Regional Headquarters (Portland, Oregon)

Missouri River Regional Headquarters (Omaha, Nebraska)

Omaha District
Portland District

Kansas City District
Walla Walla District

Seattle District

Pacific Ocean Division (Ft. Shafter, HI)

Alaska District
Far East District

Honolulu District
Japan District

South Atlantic Division (Atlanta, GA):

Jacksonville District
Charleston District

Savannah District
Wilmington District

Mobile District

South Pacific Division (San Francisco, CA):

Los Angeles District
San Francisco District

Albuquerque District

Sacramento District

Southwestern Division (Dallas, TX):

Fort Worth District
Little Rock District

Galveston District

Tulsa District

HTRW-CX Role

Processing Role

- Central point of contact for funds management and technical review for all EPA Superfund funding documents.
- All signed Site-Specific IAGs, Generic IAGs, Site-Specific WAFs, and Close-Out Documents from 10 EPA Regions and EPA Headquarters forwarded to:

U.S. Army Corps of Engineers
HTRW-CX
Attn: Marvene Seaman (CENWO-HX-S)
12565 West Center Road
Omaha, Nebraska 68144-3869

Processing Responsibilities

- Review and coordinate EPA funding documents to ensure compliance with National EPA/USACE MOU
- Assign USACE accounting (CEFMS) codes for Superfund
- Maintain sole-source Superfund historical database of funding received
- Transfer IAG documents with cover letter to the performing district

Sample HTRW-CX Cover Letters

Exhibits 12 and 13 contain sample HTRW-CX cover letters for revised reimbursable and direct fund cite IAGs, respectively.

- Copy of HTRW-CX cover letter and EPA funding document to Superfund USACE Division Coordinators and HQUSACE (CEMP-RS)
 - USACE District Signs and Accepts Site-Specific IAG
 - USACE District retains one document with original signatures
 - USACE District returns at least one IAG document with original signatures to EPA Region
 - Copy of signed IAG forwarded to HTRW-CX



DEPARTMENT OF THE ARMY
 CORPS OF ENGINEERS
 HTRW CENTER OF EXPERTISE
 12565 WEST CENTER ROAD
 OMAHA, NEBRASKA 68144-3869

REPLY TO
 ATTENTION OF:

CENWO-HX-S (5-8a)

25 May 1999

MEMORANDUM FOR Commander, U.S. Army Engineer, Baltimore District
 ATTN: CENAB-PP-E (Jarod Olsen), P.O. Box 1715,
 Baltimore, Maryland 21203-1715

SUBJECT: EPA Superfund Program - Extend Period of Performance

1. References:

a. EPA Interagency Agreement (IAG) No. **DW96943978-01-1, 18 May 1999**, for **Hazardous Waste Enforcement Suppt-Const** at **KEYSTONE LANDFILL, PA, PAD054142781** (encl).

b. Memorandum, CEMP-RS, 15 Jan 98, Subject: Superfund Project Identification.

c. Memorandum, CEFC-AO, 8 Dec 97, Subject: Updating / Creating CEFMS Work Items with Command Indicator Codes.

2. The enclosed IAG **extends the period of performance to 15 October 1999**. This IAG must be established as a "Task" in CEFMS, and the following information will be included in the appropriate fields in the Work Item Create Update Screen (CEFMS Screen 2.1):

Project/Parent Work Item Name **KEYSTONE LANDFILL, PA**
 Task Work Item Title **HWESC-KEYSTONE LANDFILL, PA**
 Command Indicator Code **99EPA**

3. The following information should be included in the appropriate fields in the Customer Order Screens in CEFMS:

Category Class Code (CCSC)	B2A
Management Structure (CWIS) Code	013978

Revised Reimbursable Funding:

Financing Appropriation	96X3122, Construction General
Previous Amount	\$71,807
Amount of Funding	\$0
Revised Amount	\$71,807

CENWO-HX-S (5-8a)
SUBJECT: EPA Superfund Program - Extend Period of Performance

4. Acceptable procedures:

a. If this IAG is acceptable, please sign on page three, block 33, and forward one copy with original signatures to EPA, ATTN: Francis Snock, Grants and Audit Management Br (3PM70), 1650 Arch Street, Philadelphia, PA 19103-2029

b. Forward one acceptance copy to CENWO-HX-S.

c. If this IAG is unacceptable or acceptance is delayed, please contact Ms. Marvene Seaman (CENWO-HX-S) at (402) 697-2425.

5. All work on this project should be accomplished in accordance with ER 1110-2-500 Aug 86.

FOR THE COMMANDER:

Encl

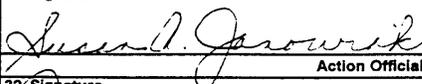
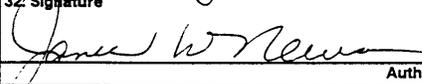
MARCIA C. DAVIES, Ph.D.
Director, USACE Hazardous,
Toxic & Radioactive Waste
Center of Expertise

CF: (w/encl)
CEMP-RS
CENAD-PP-S (J. D'Agosta)
CENWO-HX-S (E. Hines)

United States Environmental Protection Agency Washington DC 20460 EPA Interagency Agreement / Amendment Part I - General Information		1. EPA / IAG Identification Number DW96943978-01-1 2. Other Agency ID Number 3. Type of Action NO COST AMENDMENT	4. Funding Location by Region 03 5. Program Office Abbreviation SUPERFUND																								
6. Name and Address of EPA Organization U.S. EPA REGION III HAZARDOUS SITE CLEANUP DIVISION (3HS21) 1650 ARCH STREET PHILADELPHIA, PA 19103-2029		7. Name and Address of Other Agency U.S. ARMY CORPS OF ENGINEERS HTRW CX 12565 WEST CENTER ROAD OMAHA, NE 68144-3869																									
8. Project Title REMEDIAL ACTION OVERSIGHT OF GROUNDWATER TREATMENT PLANT CONSTRUCTION AT KEYSTONE SANITATION LANDFILL, UNION TOWNSHIP, PA																											
9. EPA Project Officer (Name, Address, Telephone Number) RUTH SCHARR (3HS21) U.S. EPA REGION III 1650 ARCH STREET PHILADELPHIA, PA 19103-2029 (215) 814-3191		10. Other Agency Project Officer (Name, Address, Telephone Number) MARVENE SEAMAN U.S. ARMY CORPS OF ENGINEERS HTRW CX 12565 WEST CENTER ROAD OMAHA, NE 68144-3869 (402) 697-2425																									
11. Project Period 08/07/98 to 10/15/99		12. Budget Period 08/07/98 to 10/15/99																									
13. Scope of Work (Attach additional sheets, as needed) This amendment extends the project and budget periods to October 15, 1999, to finish work at the Keystone Sanitation Landfill. The Scope of Work remains unchanged.																											
14. Statutory Authority for Both Transfer of Funds and Project Activities CERCLA as amended (42 USCA 9601 ET SEQ), E.O. 12580			15. Other Agency Type FEDERAL AGENCY																								
<table border="1"> <thead> <tr> <th>FUNDS</th> <th>PREVIOUS AMOUNT</th> <th>AMOUNT THIS ACTION</th> <th>AMENDED TOTAL</th> </tr> </thead> <tbody> <tr> <td>16. EPA Amount</td> <td>71,807</td> <td>0</td> <td>71,807</td> </tr> <tr> <td>17. EPA In-Kind Amount</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>18. Other Agency Amount</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>19. Other Agency In-Kind Amount</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td>20. Total Project Cost</td> <td>71,807</td> <td>0</td> <td>71,807</td> </tr> </tbody> </table>				FUNDS	PREVIOUS AMOUNT	AMOUNT THIS ACTION	AMENDED TOTAL	16. EPA Amount	71,807	0	71,807	17. EPA In-Kind Amount	0	0	0	18. Other Agency Amount	0	0	0	19. Other Agency In-Kind Amount	0	0	0	20. Total Project Cost	71,807	0	71,807
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20. Total Project Cost	71,807	0	71,807																								
21. Fiscal Information																											
Site Name	DCN	FY	Approp.	Budget Org.	Program Elem.	Object	Site/Project	Cost Org.	Obligation																		

EPA Form 1610-1 (Rev. 10-88). Previous editions are obsolete.

Part II - Approved Budget		EPA IAG Identification Number DW96943978-01-1
22. Budget Categories	Itemization of This Action	Itemization of Total Project Estimated Cost to Date
(a) Personnel		28,336
(b) Fringe Benefits		13,601
(c) Travel		2,450
(d) Equipment		500
(e) Supplies		500
(f) Procurement / Assistance		0
(g) Construction		0
(h) Other		0
(i) Total Direct Charges		45,387
(j) Indirect Costs: Rate <u>63.00</u> % Base \$ <u>41,937</u> .		26,420
(k) Total: (EPA Share: <u>100.00</u> %) (Other Agency Share <u>0.00</u> %)		71,807
23. Is Equipment authorized to be furnished by EPA or leased, purchased, or rented with EPA funds? (Identify all equipment costing \$1000 or more.)		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
ALL EQUIPMENT COST ARE LESS THAN \$1,000 PER UNIT COST		
24. Are any of these funds being used on extramural agreements? (See Item 22f.)		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Type of extramural agreement <input type="checkbox"/> Grant <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Procurement (includes Small Purchase Order)		
Contractor / Recipient Name (if known)	Total Extramural Amount under this Project	Percent Funded by EPA (if known) 0.00
Part III - Funding Methods and Billing Instructions		
25. <input checked="" type="checkbox"/> Funds-Out Agreement (Note: EPA Agency Location Code (ALC) - 68010727)		
<input checked="" type="checkbox"/> Disbursement Agreement		
<input checked="" type="checkbox"/> Repayment Request for repayment of actual costs must be itemized on SF-1080 and submitted to the Financial Management Office, Cincinnati, OH 45268:		
<input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Upon Completion of Work		
<input type="checkbox"/> Advance Only available for use by Federal agencies on working capital fund or with appropriate justification of need for this type of payment method. Unexpended funds at completion of work will be returned to EPA. Quarterly cost reports will be forwarded to the Financial Management Center, EPA, Cincinnati, OH 45268.		
<input type="checkbox"/> Allocation Transfer-Out Used to transfer obligational authority or transfer of function between Federal agencies. Must receive prior approval by the Office of the Comptroller, Budget Division, Budget Formulation and Control Branch, EPA Hdqtrs. Forward appropriate reports to the Financial Reports and Analysis Branch, Financial Management Division, PM-226F, EPA, Washington, DC 20460.		
26. <input type="checkbox"/> Funds-In Agreement		
<input type="checkbox"/> Reimbursement Agreement <input type="checkbox"/> Repayment <input type="checkbox"/> Advance		
<input type="checkbox"/> Allocation Transfer-In		
Other Agency's IAG Identification Number		EPA Program Office Allowance Holder/Resp. Center No.
Other Agency's Billing Address (include ALC or Station Symbol Number)		Other Agency's Billing Instruction and Frequency

Part IV - Acceptance Conditions		EPA IAG Identification Number DW96943978-01-1
27. General Conditions The other agency covenants and agrees that it will expeditiously initiate and complete the project for which funds have been awarded under this agreement.		
28. Special Conditions SPECIAL CONDITIONS REMAIN UNCHANGED.		
Part V - Offer and Acceptance		
NOTE: 1) For Funds-Out actions, the agreement/amendment must be signed by the other agency official in duplicate and one original returned to the Grants Administration Division for Headquarters agreements or to the appropriate EPA Regional IAG administration office within 3 calendar weeks after receipt or within any extension of time as may be granted by the EPA. The agreement/amendment must be forwarded to the address cited in Item 29 after acceptance signature. Receipt of a written refusal or failure to return the properly executed document within the prescribed time may result in the withdrawal of the offer by EPA. Any change to the agreement by the other agency subsequent to the document being signed by the EPA Action Official, which the Action Official determines to materially alter the agreement/amendment, shall void the agreement/amendment.		
2) For Funds-In actions, the other agency will initiate the action and forward two original agreements/amendments to the appropriate EPA program office for signature. The agreements/amendments will then be forwarded to the appropriate EPA IAG administration office for acceptance signature on behalf of the EPA. One original copy will be returned to the other agency after acceptance.		
EPA IAG Administration Office (for administrative assistance)		EPA Program Office (for technical assistance)
29. Organization / Address US ENVIRONMENTAL PROTECTION AGENCY GRANTS AND AUDIT MGMT BR, 3PM70 1650 ARCH STREET PHILADELPHIA, PA 19103		30. Organization / Address U.S. EPA REGION III HAZARDOUS SITE CLEANUP DIVISION (3HS21) 1650 ARCH STREET PHILADELPHIA, PA 19103-2029
Certification		
All signers certify that the statements made on this form and all attachments thereto are true, accurate, and complete. Signers acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law.		
Decision Official on Behalf of the Environmental Protection Agency Program Office		
31. Signature 	Typed Name and Title SUSAN A. JANOWIAK, CHIEF CONTRACTS, ADP & STATE SUPPORT SECTION	Date MAY 18 1999
Action Official on Behalf of the Environmental Protection Agency		
32. Signature 	Typed Name and Title JAMES W. NEWSOM ACTING, ARA FOR POLICY AND MGMT	Date MAY 18 1999
Authorizing Official on Behalf of Other Agency		
33. Signature	Typed Name and Title	Date

EPA Form 1610-1 (Rev. 10-88)



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION III
1650 Arch Street
Philadelphia, Pennsylvania 19103-2029

MAY 18 1999

Ms. Marvene Seaman
U.S. Army Corps of Engineers
HTRW CX
12565 West Center Road
Omaha, NE 68144-3869

Re: DW96943978-01-1

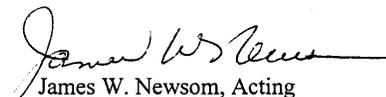
Dear Ms. Seaman:

Enclosed is an amendment to the existing Interagency Agreement for the Remedial Action Oversight of Groundwater Treatment Plant Construction at Keystone Sanitation Landfill, Union Township, Pennsylvania. This amendment extends the period of performance to October 15, 1999.

Please note that the original start date for the Project and Budget Periods has been changed to August 7, 1998 in order to coincide with the date of acceptance by your agency.

Two originals of the Interagency Amendment are enclosed. Please sign both originals and return one within twenty-one days to Francis R. Snock, Grants Management Officer, Grants and Audit Management Branch (3PM70). The other original should be retained by your agency.

Sincerely,


James W. Newsom, Acting
Assistant Regional Administrator
for Policy and Management

Enclosures



DEPARTMENT OF THE ARMY
 CORPS OF ENGINEERS
 HTRW CENTER OF EXPERTISE
 12565 WEST CENTER ROAD
 OMAHA, NEBRASKA 68144-3869

REPLY TO
 ATTENTION OF:

CENWO-HX-S (5-8a)

14 May 1999

MEMORANDUM FOR Commander, U.S. Army Engineer, Jacksonville District
 ATTN: CESAJ-DP-S (Jim Boone), 400 W. Bay Street,
 Jacksonville, FL 32232-0019

SUBJECT: EPA Superfund Program - Transfer of Funding Document

1. References:

a. EPA Interagency Agreement (IAG) No. **DW96945809-01-1, 11 May 1999**, providing funds in the amount of \$5,000,000 for **Remedial Action-Construction** at **COLEMAN EVANS WOOD PRES, FL, FLD991279894** (encl).

b. Memorandum, CEMP-RS, 15 Jan 98, Subject: Superfund Project Identification.

c. Memorandum, CEFC-AO, 8 Dec 97, Subject: Updating / Creating CEFMS Work Items with Command Indicator Codes.

2. The enclosed IAG **increases the funding** and must be established as a "Task" in CEFMS. The following information will be included in the appropriate fields in the Work Item Create Update Screen (CEFMS Screen 2.1):

Project/Parent Work Item Name **COLEMAN EVANS WOOD PRES, FL**
 Task Work Item Title **RAC-COLEMAN EVANS WOOD PRES, FL**
 Command Indicator Code **99EPA**

3. The following information should be included in the appropriate fields in the Customer Order Screens in CEFMS:

Category Class Code (CCSC)	B41
Management Structure (CWIS) Code	014401

Revised Reimbursable Funding (IN-HOUSE):

Financing Appropriation	96X3122, Construction General
Previous Amount	\$1,000,000
Amount of Increase	\$500,000
Revised Amount	\$1,500,000

EPA Direct Fund Cite Funding (CONTRACT):

Source (EPA) Appropriation	68-20X8145
Previous Amount	\$9,000,000
Amount of Increase	\$4,500,000
Revised Amount	\$13,500,000

Total Funding	\$15,000,000
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CENWO-HX-S (5-8a)
SUBJECT: EPA Superfund Program - Transfer of Funding Document

4. This IAG provides reimbursable funding for in-house costs and a direct fund cite amount for contract obligations. Contracts financed under the Direct Fund Cite procedure will cite the EPA appropriation (68/20X8145). The contract award and all modifications will identify the EPA Cincinnati Financial Management Center as the payment office.

5. Acceptable procedures:

a. If this IAG is acceptable, please sign on page three, block 33, and forward one copy with original signatures to EPA, ATTN: Marlene Jackson, Grant & IAG Operations, 61 Forsyth Street, S.W., Atlanta, GA 30303

b. Forward one acceptance copy to CENWO-HX-S.

c. If this IAG is unacceptable or acceptance is delayed, please contact Ms. Marvene Seaman (CENWO-HX-S) at (402) 697-2425.

6. All work on this project should be accomplished in accordance with ER 1110-2-500 Aug 86.

FOR THE COMMANDER:

Encl

MARCIA C. DAVIES, Ph.D.
Director, USACE Hazardous,
Toxic & Radioactive Waste
Center of Expertise

CF: (w/encl)
CEMP-RS
CENWD-MR-ET-A (C. Troia)
CENWO-HX-S (E. Hines)
CERE-AP (B. Cribbin)
CESAD-ET-R (T. Sousa)
CESAD-PM-H (T. Billings)
CENWK-PE-EB (T. Daniels)

Sample HTRW-CX and EPA/CFMC Database Records

Exhibit 14. Sample HTRW-CX Database Record

SUPERFUND RECORD

Printed 05/28/1999

CWIS 014401 CEFMS IAG W.I. Direct Fund Cite Y
 IAG Number DW96945809 Cost Code Status Active
 Start Date 09/24/1998 Expiration Date 12/31/2000 Close Date

Class Remedial Action-Construction (B41)
 Site Name COLEMAN EVANS WOOD PRES, FL Region Region 4 Atlanta
 CEFMS Site W.I. 020685 District Jacksonville (SAJ)
 Site ID FLD991279894

Amendment No.	Date	Expiration	Close Date	Contract	In House	Total
0	09/24/1998	12/31/2000		9,000,000	1,000,000	10,000,000
1	05/11/1999			4,500,000	500,000	5,000,000
2 Records				13,500,000	1,500,000	15,000,000

Project Notes :

Exhibit 15. Sample EPA/CFMC Database Record

Inter Agency Agreement Status Display			
IAG #	DW96945809	Region	04
Agency Name	ARMY COE	Reimburse Obligation	1,000,000.00
Site Name	COLEMAN EVANS	Direct Obligations	9,000,000.00
Project Officer	PATTON, ROSEMARY	Total Obligation	10,000,000.00
Total Associated Invoices	5	Cleared prior to IAG	0.00
Total Associated MO Lines	1	Adjustment Amount	0.00
Total Associated Adjustments	0	Disbursement Amount	117,989.38
		Current Balance	9,882,010.62
General Information on the Agreement			
Agency Name	ARMY COE	Site Name	COLEMAN EVANS
Project Officer	PATTON, ROSEMARY	Start Date	09/15/1998
Telephone Number	404-562-8866	Ending Date	12/31/2000
Address	EPA	Region	04
	61 FORSYTH STREET, SW	Mail Drop	
	ATLANTA, GA 30303-		
<input type="button" value="Okay"/>			

Notes, cont.

Corps/EPA Superfund Program Funding and Reporting Requirements (ER 1110-2-500)

Exhibit 16 (following 10 pages) contains the draft final ER 1110-2-500, “Corps/EPA Superfund Program Funding and Reporting Requirements” of June 1999.

DRAFT FINAL

DEPARTMENT OF THE ARMY
U.S. Army Corps of Engineers
Washington, D.C. 20314-1000

CEMP-RS
CERM-BE

ER 1110-2-500

June 1999

Engineering and Design
CORPS/EPA SUPERFUND PROGRAM
FUNDING AND REPORTING REQUIREMENTS

1. Purpose. To provide funds management guidance and reporting requirements for the Superfund program.
2. Applicability. This regulation applies to all field-operating activities (FOA) with Superfund responsibilities.
3. References:
 - a. ER 37-2-10, Accounting and Reporting Civil Works Activities
 - b. ER 37-26-1, Finance and Accounting Computer Subsystem Civil Works Activities Users Manual
 - c. ER 37-5-3, Financial Administration, EPA/Corps Superfund Program Financial Closeout of Interagency Agreements
 - d. ER 5-1-11, Program and Project Management
4. Background. In February 1982, and renegotiated on 3 December 1984, the U.S. Army Corps of Engineers (USACE) and the Environmental Protection Agency (EPA) signed an Interagency Agreement (IAG) implementing activities authorized under the Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA – also known as Superfund) and amended by the Superfund Amendments and Reauthorization Act (SARA) in October 1986. The USACE Program Manager for the Superfund program is CEMP-RS. The Hazardous, Toxic, and Radioactive Waste (HTRW) Center of Expertise (CX) Omaha, NE is designated as the “funds control center”. The CX maintains a sole-source historical database of all EPA Superfund project funding issued to USACE districts since the inception of the program in 1982.
5. Management and Support (M&S) IAG – General Administrative Support

Draft Final ER 1110-2-500.doc
1 June 1999

a. General. Management and Support funding provides internal operating funds for HQUSACE, CX, Superfund Division Coordinators to manage and oversee the Superfund program and FOAs for various EPA initiatives throughout the USACE not chargeable to specific projects. Management and Support funding is managed by CEMP-RS.

b. Funding Requirements. Requirements for M&S funds are submitted to CEMP-RS during the budget cycle and reviewed and approved by the Chief, Environmental Division. The proposed budget target is submitted to EPA for approval. Final distribution is based on the EPA approved budget level.

c. Funds Processing.

(1) The M&S IAG is forwarded by the EPA to HQUSACE. CEMP-RS reviews the IAG for policy and procedures agreed to under the National EPA Corps Agreement and coordinates the M&S IAG with CERM-B. CERM-B establishes a Customer Order in the Corps of Engineers Financial Management System (CEFMS) under the appropriation Construction General 96X3122, Category Class Sub Class Code B11. CEMP-RS directs CERM-BE to issue a CEFMS Government Order, DD Form 448, Military Intergovernmental Purchase Requests (MIPR), to the CX, Division Superfund coordinators and District offices involved with supporting various EPA initiatives. The MIPRs will cite the appropriation, appropriate Management Structure (CWIS) Code and Category Class Sub Class Code B12 to be entered into CEFMS in addition to detailed billing instructions. The FOA will return an accepted MIPR (DD Form 448-2) within 15 days of receipt to CEHEC-RM-FC.

(2) Monthly, the Superfund Division coordinators, CX and FOAs will certify the Voucher for Transfers between Appropriations and/or Funds (SF 1080). The SF 1080 will be prepared in accordance with the instructions contained in the MIPR and will include all supporting documentation. The SF 1080 and supporting documentation will be forwarded to:

Humphreys Engineer Center
Finance and Accounting Branch
Civil Accounting Section
Kingman Building
Fort Belvoir, VA 22060-5580

(3) The Civil Accounting Section will generate monthly bills with supporting documentation and forward to CERM-BE for coordination and to EPA for reimbursement.

6. Site-Specific IAG - Project Funding

a. General. A site-specific IAG (EPA Form 1610-1) funds one type of scope of work at a specific Superfund site. The USACE District accepting the IAG administers all site-specific funding.

b. Funding Requirement. Funding for site-specific projects is coordinated between the EPA Remedial Project Manager (RPM) and USACE Superfund Program/Project Managers (PMs) for agreement of the scope of work, estimated cost, and a reasonable expiration date. If additional funds are required during project execution or if an extension for the project/budget performance period is needed, the USACE District will coordinate the required change with the EPA issuing office. A formal request to amend the IAG will be made by the USACE District to the issuing EPA Region.

c. Funds Processing.

(1) All site-specific Superfund IAGs are forwarded by the EPA to the CX address listed below. The IAG should include the unique EPA assigned Site Identification Number assigned to the site. This number is a 12-digit number beginning with the state abbreviation and is used to identify a Superfund project. The IAG must have EPA signatures in Block #31 and Block #32 for processing.

U.S. Army Corps of Engineers
(HTRW-CX)
Attn: CENWO-HX-S
12565 West Center Road
Omaha, NE 68144-3869

(2) The CX reviews the funding amounts, scope of work statements, and special conditions included in each IAG to ensure compliance with the National EPA/Corps Agreement. If the scope of work needs clarification or if there are technical or financial issues, the CX will contact the EPA RPM, the EPA Region Grants Section, the USACE Superfund Division Coordinator, or HQUSACE (CEMP-RS) to resolve the issues. The CX will prepare a cover memo to forward the IAG to the performing/accepting USACE District in accordance with the CEMP-RS Division/District Superfund IAG Matrix and provide information copies to the respective Superfund Division coordinator and the Program Manager at HQUSACE. The CX cover memo assigns the CEFMS accounting information codes such as the Appropriation, Project/Parent Work Item Name, Task Work Item Title, Command Indicator Code, Category Class Sub Class Code and Management Structure (CWIS) Code.

(3) The USACE District PM coordinates the acceptance of the IAG with the District Resource Management Office and the Superfund Division coordinator. The USACE District accepts the IAG by signing in Block #33. One copy of the IAG, with original signatures, is returned to the designated EPA Region Office, one copy of the IAG, with original signatures, is retained for the district files and an information copy of the signed IAG will be forwarded to the CX at the above address. The information copy will include the district 6-digit CEFMS "Task" Funded Work Item Code.

NOTE: Do not send the designated EPA Region Office the CEFMS generated DD 448-2.

7. Site-Specific IAG's - Direct Fund Cite (contract)/Revised Reimbursable (in-house)

a. General. On 1 October 1991, EPA and USACE jointly implemented the Direct Fund Cite/Revised Reimbursable process for all new IAGs issued for Remedial Design, Remedial Action, and Rapid Response contracts. The Direct Fund Cite/Revised Reimbursable Method does not apply to Site-Specific IAGs accepted by USACE prior to 1 October 1991 or any subsequent amendments to those agreements, Technical Assistance, RI/FS, PRP oversight, Site Assessments, Five-year Review, Real Estate, Operation and Maintenance, or Cost Estimating. Block #13 of the EPA IAG will cite two sources of funding; (1) a specific dollar limitation for the Direct Fund Cite amount (contract), and (2) a specific dollar limitation for the Revised Reimbursable amount (in-house). The funding authority specified for the Direct Fund Cite and Revised Reimbursable are not interchangeable. Obligations/expenditures must not exceed the Direct Fund Cite/Revised Reimbursable funding authority specified in the IAG. EPA can amend the IAG to revise the dollar limitations.

b. Funds Processing. The accepting USACE District establishes the IAG Direct Fund Cite amount as a "memo entry" customer order ("Task") in CEFMS with the EPA appropriation 68-20X8145. The Revised Reimbursable amount is established as a "Task" in CEFMS as a customer order with the USACE Construction General Appropriation 96X3122 and a "source" appropriation of 68-20X8145 for the Revised Reimbursable funding.

c. Direct Fund Cite (contract).

(1) Contracts or delivery orders are awarded with the EPA Appropriation 68-20X8145 and the EPA Financial Management Center (CFMC) in Cincinnati, OH is identified as the payment office. The USACE District Contracting Officer Representative (COR) or appointed designee authorized to approve contractor payments will forward signature cards to the EPA CFMC. A copy of the contract or delivery order will be forwarded by a Transmittal Form to the following EPA CFMC address within two weeks of the award and include the contractor's name, contract number, site name, IAG number, fund cite, amount, statement of award, and the Contracting Officer's dated signature.

U.S. Environmental Protection Agency
Cincinnati Financial Management Center
Cincinnati, OH 45268-7002

(2) A Payment Estimate-Contract Performance (ENG Form 93) is prepared, signed and certified by the USACE COR when an invoice is received from the contractor. For contract awards subject to a DCAA audit such as a TERC delivery order contract award, a Public Voucher for Payment (SF 1034) is signed and certified by the USACE COR. A transmittal form is prepared to forward the certified ENG 93 or SF 1034 and the contractor invoice. These documents will be express mailed to:

U.S. Environmental Protection Agency
Cincinnati Financial Management Center
Attn: Accounting Operations, Suite 300
4411 Montgomery Road
Cincinnati, OH 45212

(3) EPA CFMC will acknowledge receipt within three workdays. The EPA CFMC performs examination and payment certification and issues payment to the contractor. EPA will comply with the Prompt Payment Act guidelines. If the EPA RPM detects any apparent discrepancy, the problem will be discussed and resolved with the USACE PM. Any changes required to subsequent payment requests will be documented in a memorandum from the EPA RPM to the USACE PM with a copy provided to the EPA CFMC. Final contractor payments will be approved by the EPA RPM.

d. Revised Reimbursable (in-house).

(1) This method is used for in-house costs such as labor, travel, and small purchases. Each SF 1080 billing will include the following standard Certification Statement signed by the USACE PM:

“I certify that the above articles were delivered and/or the services performed as stated and that the payment requested is correct to the best of my knowledge and should be paid and charged to the appropriation or fund(s) indicated.”

(2) USACE signature cards are required to be on file at the EPA CFMC. The USACE District will forward the certified monthly SF 1080 to EPA for costs incurred with an attached Monthly Progress/Status Report to the following address:

U.S. Environmental Protection Agency
Cincinnati Financial Management Center
Cincinnati, OH 45268-7002

The EPA CFMC will process payment to the USACE within five days of receipt of the SF 1080 billing. A certified SF 1080 marked “COPY” and the Monthly Progress Status Report will be forwarded by the USACE District to the EPA RPM. Payment discrepancies should be discussed between the EPA RPM and the USACE PM. If the EPA RPM and USACE PM mutually agree that a discrepancy has occurred, the EPA RPM will document the action in a memorandum to the USACE PM, and the adjustment will be included in the next monthly billing for the project. The final SF 1080 bill will be marked “FINAL” and will be approved by the EPA RPM before final payment is authorized by the EPA CFMC.

8. Generic IAG – Funding for Projects to be Identified

a. General. A Generic IAG reserves funds for general activities such as technical assistance for sites to be identified by EPA in the future by a Site Specific Work Authorization Form (WAF). Generic IAGs provide USACE the opportunity for a quick response to an EPA request. The Generic IAG will be used for repetitive scopes of work, short duration projects, and activities involving small dollar amounts.

b. Funds Processing. The EPA forwards all Generic IAGs to the CX. The Omaha District Budget Office will accept the Generic IAGs and enter them into their CEFMS database for the CX. One copy of the IAG, with original signatures, is returned to the designated EPA Region Office, one copy, with original signatures, is retained for the Omaha District files and an information copy of the signed IAG will be forwarded to the CX and CEMP-RS. The IAG will be established as a customer order in CEFMS with the USACE Construction General Appropriation 96X3122. The CX or the Omaha District does not have authority to obligate or expend funds provided by the Generic IAG.

NOTE: The Direct Fund Cite/Revised Reimbursable Method does not apply to Generic IAG's.

9. Site-Specific WAF – Project Funding Issued from Generic IAG

a. General. The EPA Region Office initiating the Generic IAG will issue a Site-Specific WAF for one type of scope of work citing the Generic IAG number and associated funding. The WAF amount must not exceed funding available in the Generic IAG, and the WAF expiration date cannot exceed the expiration date of the Generic IAG. The WAF allows the CX to decrease the amount of funding available on the Generic IAG by the amount designated in the Site-Specific WAF.

b. Funds Processing.

(1) The EPA will forward all site-specific WAFs to the CX. The procedures outlined above for a Site-Specific IAG apply for the CX review process, coordination, and preparation of a CX cover memo to transfer the WAF to the performing district, and assignment of appropriate CEFMS accounting codes. The Site-Specific WAF signed by EPA does not require a USACE District signature of acceptance. The WAF with original EPA signatures is maintained for USACE District files. The WAF can be amended by EPA to increase funding, extend the period of performance, or decrease funding.

(2) The Direct Fund Cite method does not apply to the Site-Specific WAF. The Site-Specific WAF is established under the Revised Reimbursable method in CEFMS as a customer order with the USACE Construction General Appropriation 96X3122 and the “source” appropriation 68-20X8145. The Site-Specific SF 1080 procedures outlined above apply to the Site-Specific WAF.

10. Brokered Work Between Corps Districts.

a. General. The performing USACE district accepting EPA funding can request work assistance for environmental brokered work from another USACE district to accomplish the scope of work requirements for a Superfund site.

b. Funds Processing. A MIPR will be prepared and signed by the performing USACE district and forwarded to another USACE District that will provide project work assistance. The expiration date of the MIPR will not exceed the IAG or WAF expiration date specified by EPA. The USACE District receiving the MIPR will establish the funding in CEFMS as a customer order with the Construction General Appropriation 96X3122, Category Class Sub Class Code B99, and Management Structure (CWIS) Code 099996. Only Revised Reimbursable funding can be provided on a MIPR to another USACE district. Direct Fund Cite funding for the EPA Superfund Program cannot be forwarded on a MIPR to another USACE District.

11. EPA Superfund Program Close-Out Procedures for Project Funded IAG's and WAF's.

a. General.

(1) When the Superfund project work has been completed, the Site-Specific IAG or Site-Specific WAF must be financially complete before USACE can request closeout action from EPA. Financial completion must be verified for the following:

- (a) All costs have been recorded and final billed to EPA.
- (b) All final contract payments have been processed.
- (c) All obligations/commitments have been liquidated.
- (d) All accounts receivable amounts have been collected.
- (e) If applicable, all audits for contracts subject to a DCAA review must be complete.
- (f) If applicable, all contractor claims or outstanding issues must be resolved and finalized.

(2) If the project is financially complete, the performing USACE District will forward a letter to the EPA Region informing them the Superfund project is complete, provide the final cost, and identify the remaining funds available for revocation. A copy of the letter will be forwarded to the CX, Attn: CENWO-HX-S. The performing district will retain the remaining funding in their CEFMS accounting system and continue to report the available funding on the 3011a report until written notification is received from EPA. A Generic IAG cannot be closed by EPA or USACE until all Site-Specific WAFs issued from the Generic IAG have been officially closed by both agencies.

(3) If work has been completed for a Superfund site, but the Site-Specific IAG or WAF cannot be financially completed due to a pending DCAA audit, the USACE District will prepare a letter to the EPA Region Office, with an information copy to the CX. This letter will request that EPA amend the IAG or WAF to decrease identified excess funding that can be returned to EPA without closing the IAG. EPA will forward the signed amendment to decrease excess funding to the CX. Upon completion of the DCAA audit, the USACE District will prepare another letter requesting closeout action, provide the final cost of the project, and identify remaining funds that are available for revocation.

b. Funds Processing.

(1) EPA will provide an official written closeout notification to the CX confirming the IAG or WAF can be closed by both agencies. The written EPA notification will identify the amount of funding to be revoked, and the EPA and USACE revocation amounts must agree. The CX will prepare a closeout cover letter for the Superfund project and forward the cover letter and signed EPA closeout documents to the performing USACE District.

(2) Excess funds revoked for a Site-Specific WAF are not returned to the Generic IAG. The only exception to the WAF closeout procedure is if a WAF is cancelled by EPA before any costs are incurred by the USACE District. When the CX receives a signed cancellation notification from EPA, they will ensure the entire amount of funding issued on the cancelled WAF is revoked by the performing district and returned to the Generic IAG. After all Site-Specific WAFs issued from a Generic IAG have been closed by EPA and USACE, the CX will coordinate with the EPA Region Office to request closeout action for the Generic IAG.

12. Reporting Requirements.

a. The 3011a Report. Funding received for M&S support, site-specific work and work assigned by a WAF will be included in the 3011a report. It is critical the assigned Management Structure (CWIS) Code, Category Class Sub Class Code, Appropriation, and Superfund Site Name are accurately entered for 3011a report generation. This information will be found on the MIPR forwarding M&S funding or on the cover memo prepared by the CX. Funding provided with separate Management Structure (CWIS) Codes will not be combined with other funds. The district 6-digit "Task" CEFMS Funded Work Item Code will be included with the Project/Parent Work Item Name (site name) title on the 3011a report. Consolidated 3011a Superfund reports are generated by HQUSACE from the CEFMS database. These reports provide a basis for reporting the status of funds to HQEPA. The 3011a also provides data for analysis and program management by HQUSACE. HQUSACE will periodically review the 3011a for indications of management problems. If these reviews indicate a management problem, issues will be addressed to the appropriate Division coordinator for action.

b. Program and Project Management Information System (PROMIS).

(1) A Superfund project in PROMIS is defined as an operable unit where one or more phases (i.e. remedial investigation/feasibility study, remedial design, remedial action, real estate, etc.) are executed for the same scope of work. Each phase is required to be resourced to the third level of the HTRW Work Breakdown Structure (WBS). Project Managers may resource at lower levels if desired. Minimum Milestones include Start Remedial Investigation (RI), Final RI submitted, Start Feasibility Study (FS), Final FS report completed, Design Started, Pre-final (90%) design submittal, Advertise (Invitation For Bid (IFB) or issue Request For Proposals (RFP) or Remedial Action (RA), Award RA (Construction contract), RA Notice To Proceed (NTP) Issued, RA physically complete, RA contract complete, Start Real Estate Planning Report (REPR), Complete REPR, Start Real Estate (RE) Acquisition for Remedial Design (RD), Complete RE Acquisition for RD, Start RE acquisition for RA, and Complete RE Acquisition for RA.

(2) All Superfund work managed by USACE will be entered and maintained in PROMIS with appropriate links to CEFMS. Each district executing a portion of a Superfund project where other portions are executed by another district must manage their portion separately in their district's PROMIS database.

c. Monthly Progress Reports.

(1) The USACE District PM will prepare a monthly progress/status report. The monthly progress report will be included with each monthly SF 1080 billing forwarded to the EPA CFMC with an information copy of the SF 1080 and progress report to the EPA RPM.

(2) The Monthly Progress Report will provide, at a minimum, the following information:

- (a) Site name and IAG number;
- (b) Summary of work performed;
- (c) Estimate of the percentage of the project completed;
- (d) Accounting of funds expended during the reporting period and on the project to date, which includes a budget category cost breakdown;
- (e) Summaries of all change orders and claims made on the contract during the reporting period, contacts with representatives of the local community, public interest groups, or State government during the reporting period, and problems or potential problems encountered during the reporting period;
- (f) Projected work for the next reporting period;
- (g) Additional reporting requirements may be specified in a particular IAG depending upon the type of work.

d. Division Quarterly Reviews. Superfund Division coordinators will establish a quarterly review of information in the District CEFMS database for completeness, accuracy and potential project problems. At a minimum the review should ensure; all required data is entered and updated in a timely manner; planned obligations agree with projections; project/budget period of performance is current on active projects.

USACE CEFMS Codes

Exhibit 17. Sample Superfund Project Identification

CWIN Number - CEFMS “Project/Parent Work Item Number”

Site Name: United Scrap Lead, OH
 EPA Site Identification Number: OHD018392928

<u>IAG No.</u>	<u>CCSC</u>	<u>Management Structure Code (CWIS)</u>	<u>USACE District</u>	<u>CWIN Number</u>
DW96947816	B2A (RA Oversight)	015551	Huntington	020046
DW96947621	B51 (Rapid Response)	015RHS	Omaha	020046
DW96947817	B23 (RD Oversight)	025551	Omaha	020046
DW96933877	B31 (Remedial Design)	025NH5	Omaha	020046

Note: Each IAG Number for the Site is established as a “Task” in CEFMS and linked to Project/Parent Work Item

Exhibit 18. HQUSACE Project Identification Memo (15 Jan 98)



DEPARTMENT OF THE ARMY
U.S. Army Corps of Engineers
WASHINGTON, D.C. 20314-1000

15 JAN 1998

REPLY TO
ATTENTION OF:

CEMP-RS (5-4a)

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Superfund Project Identification

1. The USACE has a requirement to provide the HQ Environmental Protection Agency (EPA) with project level information on Superfund sites and documentation for cost recovery. We can provide this information to them by establishing the Interagency Agreements (IAGs) as tasks and creating links between the tasks and a HQUSACE assigned project number.
2. A Superfund project is defined as a Superfund site established with a unique EPA assigned Site Identification number. The EPA provides funding through IAGs identified by site name, operable unit and phase for each established project. Interagency Agreements are recognized as tasks to be performed to accomplish a project.
3. The Superfund IAGs will be established as tasks in CEFMS and will ultimately be identified to a specific Site Identification number and linked to a project number assigned by the HQUSACE sometime during this fiscal year. The linkage between project and task will allow us to meet our customer's requirements by:
 - a. Allowing us to extract corporate level project information to satisfy HQEPA project requests.
 - b. Identifying task work items assigned to Superfund projects to ensure rapid responses to the Department of Justice for documentation required to support cost recoveries from potentially responsible parties.
4. Questions concerning this procedure may be directed to Ms. Nancy M. Porter, (202) 761-5245, or Mr. Jim Strait, (202) 761-0414.

FOR THE COMMANDER:

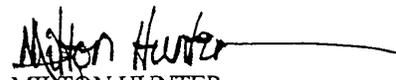

MILTON HUNTER
Major General, USA
Director of Military Programs

Exhibit 19. HOUSACE CWIN Project Memo (6 Nov 98)



DEPARTMENT OF THE ARMY
U.S. Army Corps of Engineers
WASHINGTON, D.C. 20314-1000

REPLY TO
ATTENTION OF:

06 NOV 1998

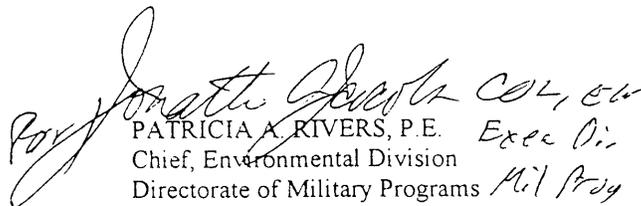
CEMP-RS (5-4a)

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Superfund Project Identification

1. Reference Memorandum, CEMP-RS, 15 January 1998, subject: Superfund Project Identification
2. The Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA) established the Hazardous Substance Response Trust Fund (Superfund) to provide monies for the identification, prioritization and remediation of the nation's uncontrolled hazardous waste sites. The Superfund Amendments and Reauthorization Act of 1986 (SARA) amended CERCLA to provide for the recovery from responsible parties of all response costs incurred by the Federal Government. The USACE is required to provide the United States Environmental Protection Agency and the Department of Justice with complete Superfund site project and cost documentation to support cost recovery from responsible parties.
3. The USACE, therefore, must be able to provide all automated project data by site. Each Superfund site will be assigned a unique Corps Work Item Number (CWIN) in PROMIS and CEFMS to assure complete documentation, by site, is identified. The HTRW Center of Expertise, Omaha (CX) is responsible for assigning CWINs. The CX will provide each performing district with a list of their current Superfund Interagency Agreements (IAGs) and corresponding CWINs. Assigned CWINs for future Superfund IAGs will be provided on the CX Memorandum forwarding the IAGs to the performing district. For brokered work, the requesting district will notify the brokered district of the assigned CWIN and request the brokered MIPR be linked to the CWIN.
4. The points of contact for this action is Ms. Nancy M. Porter, (202) 761-5245 or Mr. Jim Strait, (202) 761-0414.

FOR THE COMMANDER:


PATRICIA A. RIVERS, P.E. Exec Dir.
Chief, Environmental Division
Directorate of Military Programs Mil Prog

Notes, cont.

Direct Fund Cite / Revised Reimbursable Methods

Does Direct Fund Cite Apply?

Yes

Activity

No

Cost Estimating

Generic IAG and Site-Specific WAF

In-House Activities
(Labor/Travel/Small Purchases)

NORM Waste Disposal Contract
(Kansas City District)

Operation and Maintenance

Rapid Response Contract
(Omaha District)

Real Estate

Remedial Action Contract

Remedial Design Contract

Technical Assistance Activities
(RI/FS, PRP Oversight, Site Assessments,
Five-year Review, State Lead)

- Direct Fund Cite/Revised Reimbursable Method implemented 1 October 1991.
- Direct Fund Cite does not apply to IAGs issued by EPA prior to 1 October 1991 or any subsequent amendments to those IAGs issued after 1 October 1991.

Notes

EPA / USACE Payment Process

Exhibit 20. Payment Process Direct Cite/Revised Reimbursable Methods

(Page 1 of 4)

	United States Environmental Protection Agency	Office of Emergency and Remedial Response Washington, DC 20460	Publication: 9355.5-14 FS May 1990
	EPA/USACE PAYMENT PROCESS Direct Cite/Revised Reimbursement Methods		
Office of Emergency and Remedial Response Hazardous Site Control Division OS-220		Quick Reference Fact Sheet	

Introduction

This Quick Reference Fact Sheet announces a new procedure for paying the U.S. Army Corps of Engineers (USACE) for their Superfund related activities. This fact sheet will first describe the current procedure and then outline the changes the Office of Emergency and Remedial Response (OERR), Office of the Comptroller, Office of Administration and USACE are implementing.

Background

The U.S. Army Corps of Engineers (USACE) provides engineering and construction management services to assist U.S. Environmental Protection Agency (EPA) in the implementation of the Superfund program. USACE services include remedial design, remedial action, oversight of potentially responsible parties, and technical assistance. These services have been provided since 1982 through several Memorandums of Understanding.

Currently, USACE costs incurred while performing Superfund related activities are paid from USACE appropriations which are then in turn reimbursed by EPA. Prior to reimbursement, payment requests received a lengthy review and approval process within EPA. This process begins with the submission of a contractor's invoice for work accomplished under a contract or a standard form (SF) 1080 for USACE in-house activities. The contractor's invoice is reviewed and approved by the USACE Project Manager. The invoice is sent by the USACE Project Manager to a USACE Finance Office for payment with USACE appropriations. USACE Finance Office then submits a SF1080 for reimbursement of contract and in-house costs. The SF1080 is sent to the EPA Cincinnati Financial Management Center (CFMC). CFMC in turn sends the SF1080 to the EPA Remedial Project Manager (RPM) for review and approval. The approved SF1080 is returned to CFMC for EPA processing. Finally, CFMC sends the approved SF1080 to the Department of the Treasury for reimbursement to USACE. This reimbursement method is complex and significantly delays payment to USACE.

In an attempt to improve the payment process, a proposal entitled "Direct Cite/Modified Transfer Allocation Method for Funding IAGS" was issued on October 14, 1988. The direct cite method eliminates reimbursement to USACE for contractor costs by having EPA make payments directly to the contractor in conformance with the prompt payment act based on USACE certification of contractor invoices. This allows the Federal Agency with direct knowledge of contractor performance to approve the invoices for payment. This method provides for the EPA review process to occur after the payment is made and any corrective action taken on subsequent payment requests. A monthly transfer allocation was proposed to cover USACE in-house cost.

A demonstration project to test this method was conducted between January and June of 1989. The test was evaluated in late June and results reported to the evaluation team members in July. The report recommended and the evaluation team concurred that the direct cite process be initiated for all new USACE Superfund projects. The team wanted additional time to further assess the transfer allocation process for in-house costs before making any final recommendations on this process. A revised reimbursement process was recommended as an interim payment process for in-house USACE costs.

Implementing these new payment processes between EPA and USACE will reduce the complexity of the payment

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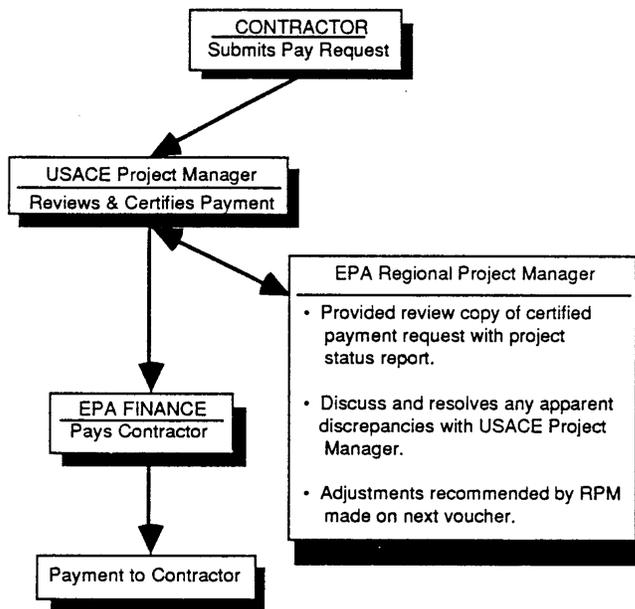
process and the resulting payment delays to USACE. The new direct cite process provides a mechanism for payment to contractors in conformance with the prompt payment act based on USACE payment certification. A copy of the certified pay request will be forwarded by the USACE Project Manager to the RPM for review and possible reconciliation. This change will reduce the stress on the RPM to take immediate action on a payment request.

New Payment Procedures

OERR Directive Memorandum 9295.2-04, "EPA/U.S. Army Corps of Engineers Payment Process, Direct Cite/Revised Reimbursement Methods," dated March 21, 1990, formally initiated new payment procedures for EPA/USACE Superfund activities.

New Projects: The following payment processes will be used for all new USACE projects.

**Figure 1
Direct Cite Payment Process for New Projects**



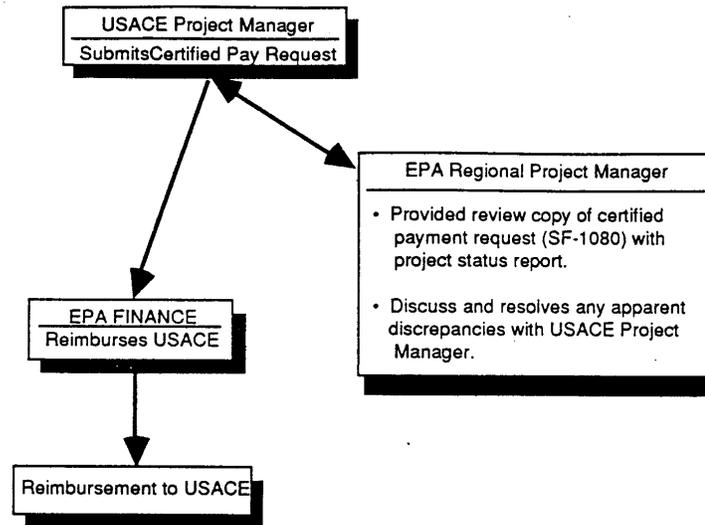
Contractor Costs - In this direct cite process (please refer to Figure 1) the remedial design or remedial action contractor shall submit a signed payment request to the USACE Project Manager. The request will be reviewed and certified by USACE and forwarded to the EPA Cincinnati Financial Management Center (CFMC). CFMC will make payment directly to the contractor in conformance with the prompt payment act upon receipt of the USACE certified payment request. Monthly, USACE will send copies of all certified payment requests to the RPM for his review in conjunction with the project status report. If the EPA RPM detects any apparent discrepancies with the payment request, the problem shall be discussed and resolved with the USACE Project Manager. Any changes required to subsequent payment requests will be documented in a memorandum from the RPM to the USACE Project Manager. CFMC will be sent a copy of this memorandum. *RPM review and approval shall be obtained by CFMC prior to making to the final contract payment.*

USACE In-House Costs - Compensation for USACE in-house costs will continue to be handled under a revised reimbursement

process with the payment being made by CFMC upon receipt of a USACE certified request for payment (see Figure 2). In the monthly project status report, the USACE Project Manager shall provide a copy of the certified bill (SF 1080) submitted to CFMC for their in-house costs. A brief explanation of all costs will be included in the report. Resolution of disagreements shall be handled in a similar fashion as the direct cite process. *RPM review and approval shall be obtained by CFMC prior to making the final project payment to USACE.*

Existing Projects: To initiate the direct cite process for ongoing projects, USACE contracts would have to be amended, along with existing IAGs. Although complete implementation has merit, the retrofitting of existing projects could be difficult. For this reason, the revised reimbursement payment process shall be implemented for all payment requests made by USACE for existing projects (please refer to Figure 3). USACE certified SF 1080 forms for reimbursement of contractor payments and in-house costs shall be sent directly to CFMC for payment. If the RPM disagrees with a request, the problem shall be discussed and resolved with the USACE Project Manager. Any changes required to subsequent pay requests will be documented in a memorandum from the RPM to the USACE Project Manager. CFMC will be sent a copy of this memorandum. *RPM review and approval shall be obtained by CFMC*

Figure 2
Revised Reimbursement Payment for USACE In-House Costs



prior to the final project payment to USACE.

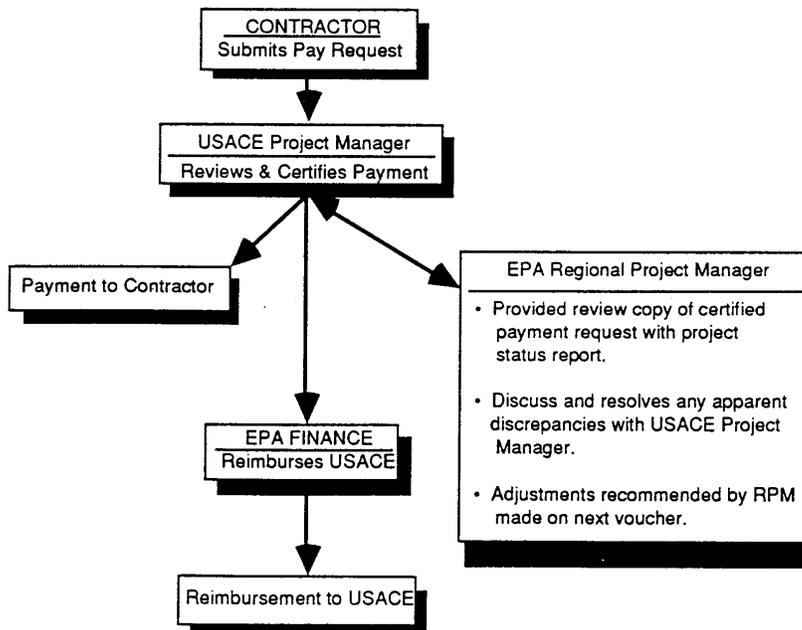
Implementation

Interagency Agreement: For any individual Interagency Agreement (IAG), the inclusion of the following clause implements the direct cite methodology for that IAG:

a. Payment to USACE contractors is contingent upon receipt of a USACE certified payment request. Reimbursement to USACE for in-house costs is contingent upon receipt of a USACE certified reimbursement request (SF 1080). Final project payments for specific contracts and in-house cost shall be reviewed and approved by the EPA Regional program office.

This clause provides the authorized mechanism to utilize the direct cite and revised reimbursement payment processes and should be inserted into the "Other EPA Involvement" section of the IAG. IAGs issued under the new payment procedures should indicate the dollar limitations applicable to the direct cite and reimbursable funds available. This will assure the funds are obligated against the appropriate funding method and not the total amount of the IAG. When funding levels are exceeded for either portion of the IAG, amendments will be prepared increasing the funding level for that portion. A budget should also be prepared by USACE and included in the IAG to help in the management of the project. Due to the variability of Superfund projects, strict adherence to each line item should not be a requirement; however, line item variations should not allow the total budget to

Figure 3
Revised Reimbursement Payment for Existing Projects



be exceeded. Preparation and inclusion of a budget should be considered a management tool to identify potential problems. This topic will be expanded upon later.

Financial Reporting from USACE: In advising USACE Project Managers of this new procedure, USACE will direct the Project Managers to provide a brief explanation of their cost to the RPM along with a copy of the payment request(s) submitted to the EPA Cincinnati Financial Management Center. At a minimum the Project Manager should discuss both USACE in-house and contractor activities that comprise each item for which payment is requested. Payment requests should be based on IAG budget and contract payment schedules. For this process to be successful a good line of communication must be established and maintained between the RPM and the USACE Project Manager.

Monthly Project Status Report: On a monthly basis the USACE Project Manager will provide a project status report to the RPM. This report shall consist of:

- a one page narrative detailing project highlights, progress, problems and scheduled meetings for the next month.
- copies of all certified payment requests submitted during the month.
- a brief explanation of the cost associated with each payment request.

Payment Discrepancies: Payment discrepancies should be discussed between the RPM and USACE Project Manager. If resolution cannot be reached at this level, the problem(s) should be referred up the chain of command. When the resolution to the problem(s) requires a change in a subsequent payment request(s), the EPA RPM will document the action(s) to be taken in a memorandum to the USACE Project Manager with a copy to EPA Cincinnati Financial Management Center.

Budget Control: Preparation and adherence to a budget is key to managing any project. The preparation of a project budget and its inclusion in the IAG provides budget control over the project by managing against the established project budget. The budget for a project should contain sufficient detail, without being burdensome, to enable the EPA RPM to evaluate the progress and management of the project. The USACE should be allowed to adjust specific budget items as the project develops, as long as, they do not exceed the funding limits specified in the IAG. For the EPA RPM, a budget can be used as a means to approximate project progress as well as an indicator to highlight potential problems. Deviations from the budget could indicate a change or unexpected problem in the project that warrants a closer look.

Summary

The direct cite and revised reimbursement payment procedures will eliminate reimbursement to USACE for contractor costs and expedite payments to USACE offices engaged in Superfund related activities. The procedures remove the pressure from the RPM to do an immediate review of payment request. Project budget control will be maintained by managing against the budget established in the IAG. Success of the procedures is dependent upon good communications between the RPM and USACE Project Manager. The USACE Project Manager must effectively communicate the status of the relationship between project progress, budget, and payments to contractors and USACE.

Sources of Funding for IAGs

Direct Fund Cite

- Contract
- Specific dollar limitation
- Obligation authority financed by EPA Appropriation 68-20X8145

Note: USACE District cannot transfer Direct Fund Cite dollars to another USACE District

Revised Reimbursable

- In-house
- Specific dollar limitation
- Funding established in USACE Construction General Appropriation, 96X3122

Funds are not interchangeable.

Exhibit 21. Transfer of Funds Document

**U.S. Environmental Protection Agency
Superfund Program
Transfer of Funds Document
Revised Reimbursable and Direct Fund Cite Funding**

Date: _____

Revision: _____

EPA Region: _____

Site Name			
IAG Number			
EPA Account Number			
EPA DCN			
EPA Project Manager		Tel No:	
USACE Project Manager		Tel No:	
	Previous Balance	Increase/Decrease	Revised Total
Revised Reimbursable			
Direct Fund Cite			
Total Funding			
Comments:			

EPA Project Manager

Date

EPA Region Project Officer

Date

Distribution:
1st Original – EPA Cincinnati Financial Management Center
2nd Original – USACE, HTRW-CX (CENWO-HX-S)

cc: EPA Project Manager
EPA Region Project Officer
USACE Project Manager

Direct Fund Cite – Contracts

Contract or Delivery Order Award

- References EPA Appropriation 68-20X8145
- Identifies the EPA Cincinnati Financial Management Center (CFMC) as the payment office
- Includes EPA IAG Number (“DW969-----“)
- Copy of contract or delivery order and transmittal form to EPA CFMC and EPA Region RPM
- Direct Fund Cite funding received, obligations, expenditures, and funds available balance recorded in CEFMS as “Memo Entry”
- USACE District Signature Cards (DD Form 577) forwarded to EPA CFMC
- Completed Electronic Funds Transfer (EFT) Authorization Form for EPA CFMC payments to contractor
- USACE COR signs and express mails ENG Form 93 or SF 1034 (if contract is subject to DCAA audit) and invoice to EPA CFMC - transmittal form required
- USACE forwards “copy” of contractor invoice and ENG Form 93 or SF 1034 to EPA RPM
- Final contract payment must be approved by EPA RPM
- EPA compliance with Prompt Payment Act

Direct Fund Cite Remedial Action Contract

- Remedial action IAG accepted by USACE construction (geographical) district
- Construction district prepares memo to USACE design district to confirm funding available for site-specific remedial action (RA) contract or delivery order award (Direct Fund Cite funding is not transferred to design district)
- COR authority retained by construction district
- Remedial design district negotiates and awards RA contract or delivery order with EPA Appropriation 68-20X8145 (design district funded with remedial design IAG issued by EPA)
- Design district modifies RA contract or delivery order to transfer to construction district
- Construction district assumes responsibility for management, reporting, and execution of RA contract or delivery order award



REPLY TO
ATTENTION OF

**DEPARTMENT OF THE ARMY
NEW YORK DISTRICT, CORPS OF ENGINEERS
JACOB K. JAVITS FEDERAL BUILDING
NEW YORK, N.Y. 10278-0090**

CENAN-CO-CA

27 January 1999

MEMORANDUM FOR Commander, U.S. Army Engineer District, Kansas City, ATTN:
CENWK-MD-H 601 East 12th Street Kansas City, MO 64108

SUBJECT: Certification of Funds Availability for Remedial Action @ Asbestos Dump
Site O.U 1, NJ

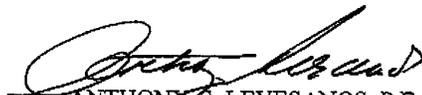
1. References:

- a. CEFMS PR&C NO. W16ROE90263241 dated 26 Jan 1999.

2. Appropriation of funds available for award of subject project is cited below:

68-20X8145 EPA Direct Cite CWIS: 022802
A00188 331A0 \$ 3,793,308.00

3. Upon award of contract, request copies of letter of award be immediately faxed to this office for obligation purposes. Our fax number is 212-264-5819. Also, request all applicable documents (specifications, drawings, etc.) be transferred to this office, ATTN: Tom Cimmarelli, ASAP.


ANTHONY G. LEVESANOS, P.E
Acting Chief, Construction Division

CF:
CENAN-PP-P, GADJEK

Appropriation of funding authority available
as cited in para 2 has been certified as
correct by this office.


DIANE EVANS
Chief, Finance and Accounting Office

For use of this form, see AR 37-1: the proponent agency is Hq Dept. ARMY THRU: CONTRACTING DIVISION PURCHASE INSTRUMENT NO.	REQUISITION NO. MICROE0261241 DATE 26Jan1999	PURCHASE INSTRUMENT NO.	DATE 26Jan1999	PAGE 0001
FROM: CONSTR-SERV. ADMIN FUNDS				
TO: Purchasing and Contracting Officer				
It is requested that the supplies and services enumerated below or on attached list be:				
PURCHASED FOR CONSTR-SERV. ADMIN FUNDS		DELIVERED TO SEE LINE ITEM BELOW		
The supplies and services listed below cannot be secured through normal channels or other Army supply sources in the immediate vicinity, and their procurement will not violate existing regulations pertaining to local purchases for stock. Therefore, local procurement is necessary for the following reason: {Check appropriate box and complete item}		NAME OF PERSON TO CALL FOR ADDITIONAL INFORMATION JOHN PRIMAVERA TELEPHONE NUMBER		
LOCAL PURCHASES AUTHORIZED AS THE NORMAL MEANS OF SUPPLY FOR THE FOREGOING BY		Fund Certification The supplies and services listed on this request are properly charge-able to the following allotments, the available balances of which are sufficient to cover the cost thereof, and funds have been committed.		
EMERGENCY SITUATION PRECLUDES USE OF REQUISITION CHANNELS FOR SECURING ITEM		ACCOUNTING CLASSIFICATION AND AMOUNT		
ITEM	DESCRIPTION OF SUPPLY OR SERVICES	QUANTITY UNIT	ESTIMATED UNIT PRICE	TOTAL COST
0401	CONTRACT AWARD-ASBESTOS DUMP SITE, O.U. 1- 63	01 LS	\$.000	\$3,793,308.00
DEL DATE	26Jan1999 68 20 X 8145.0000 E3 1997 NA 0000 022802			
SHIP TO	JOHN PRIMAVERA			
DEL TO				
DISCOUNT TERMS				
PURCHASE ORDER NUMBER				
DELIVERY REQUIREMENTS				
ARE MORE THAN 7 DAYS REQUIRED TO INSPECT AND ACCEPT THE REQUESTED GOODS OR SERVICES YES ___ NO ___ IF YES, NUMBER OF DAYS REQUIRED				
TYPED NAME AND GRADE OF INITIATING OFFICER JOHN PRIMAVERA		SIGNATURE /S/JOHN PRIMAVERA		DATE 26Jan1999
TYPED NAME AND GRADE OF SUPPLY OFFICER		SIGNATURE		DATE

DA FORM 3953, MAR 91

ORDER FOR SUPPLIES OR SERVICES (Contractor must submit four copies of invoice.)				Form Approved OMB No. 0704-0187 Expires Jun 30, 1997	PAGE 1 OF 2
<small>Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information including suggestions for reducing this burden, to Department of Defense, Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302, and to the Office of Management and Budget, Paperwork Reduction Project (0704-0187), Washington, DC 20503.</small> PLEASE DO NOT RETURN YOUR FORM TO EITHER OF THESE ADDRESSES. SEND YOUR COMPLETED FORM TO THE PROCUREMENT OFFICIAL IDENTIFIED IN ITEM 6.					
1. CONTRACT / PURCH ORDER NO DACW33-94-D-0002	2. DELIVERY ORDER NO. 0019	3. DATE OF ORDER 98DEC09	4. REQUISITION / PURCH REQUEST NO. W13G86-8281-9726	5. PRIORITY	
8. ISSUED BY DEPT OF THE ARMY NE DISTRICT, CORPS OF ENGINEERS 696 VIRGINIA ROAD CONCORD MA 01742-2751 SHEILA M. WINSTON-VINCUILLA C08 (978)318-8159		7. ADMINISTERED BY (If other than 8) CODE EMPTY	8. DELIVERY FOB <input checked="" type="checkbox"/> DEST <input type="checkbox"/> OTHER (See Schedule if other)		
9. CONTRACTOR Vendor Id: 00003720 CODE 0H7U8 FACILITY CODE		10. DELIVER TO FOB POINT BY (Date) 99MAR31		11. MARK IF BUSINESS IS <input type="checkbox"/> SMALL <input type="checkbox"/> SMALL DISADVANTAGED <input type="checkbox"/> WOMEN-OWNED	
14. SHIP TO PROGRAMS AND PROJECT MANAGEMENT DIVISION AT ISSUING OFFICE CODE PROGRAMS DACW3394D0002		15. PAYMENT WILL BE MADE BY ENVIRONMENTAL PROTECTION AGENCY CINCINNATI FIN MGMT CTR CINCINNATI OH 45250-7002 CODE EPA		MARK ALL PACKAGES AND PAPERS WITH CONTRACT OR ORDER NUMBER	
16. TO ORDER FOR DELIVERY <input checked="" type="checkbox"/> This delivery order is issued on another Government agency or in accordance with and subject to terms and conditions of above numbered contract. PURCHASE <input type="checkbox"/> Reference your ACCEPTANCE. THE CONTRACTOR HEREBY ACCEPTS THE OFFER REPRESENTED BY THE NUMBERED PURCHASE ORDER AS IT MAY PREVIOUSLY HAVE BEEN OR IS NOW MODIFIED, SUBJECT TO ALL OF THE TERMS AND CONDITIONS SET FORTH, AND AGREES TO PERFORM THE SAME.					
NAME OF CONTRACTOR		SIGNATURE		TYPED NAME AND TITLE	
<input type="checkbox"/> If this box is marked, supplier must sign Acceptance and return the following number of copies:					
17. ACCOUNTING AND APPROPRIATION DATA / LOCAL USE 68X81450000 980000 2520A00108011N22 NA NA Award Oblig Amt US\$ 50,500.00					
18. ITEM NO.	19. SCHEDULE OF SUPPLIES / SERVICE	20. QUANTITY ORDERED/ ACCEPTED*	21. UNIT	22. UNIT PRICE	23. AMOUNT
	YOU ARE HEREBY AUTHORIZED TO COMMENCE WORK UPON RECEIPT OF THIS TASK ORDER. CONTRACT CLAUSES PARTS I & IV ARE APPLICABLE TO THIS TASK ORDER.				
*If quantity accepted by the Government is same as quantity ordered, indicate by X. If different, enter actual quantity accepted below quantity ordered and encircle.		24. UNITED STATES OF AMERICA BY: CHARLES W. COE m01		25. TOTAL \$ 50500.00	
28. QUANTITY IN COLUMN 20 HAS BEEN <input type="checkbox"/> INSPECTED <input type="checkbox"/> RECEIVED <input type="checkbox"/> ACCEPTED, AND CONFORMS TO THE CONTRACT EXCEPT AS NOTED		27. SHIP. NO.	28. D.O. VOUCHER NO.	29. DIFFERENCES	
DATE SIGNATURE OF AUTHORIZED GOVERNMENT REPRESENTATIVE		<input type="checkbox"/> PARTIAL <input type="checkbox"/> FINAL	32. PAID BY	30. INITIALS	
38. I certify this account is correct and proper for payment.		31. PAYMENT <input type="checkbox"/> COMPLETE <input type="checkbox"/> PARTIAL <input type="checkbox"/> FINAL		33. AMOUNT VERIFIED CORRECT FOR	
DATE SIGNATURE AND TITLE OF CERTIFYING OFFICER				34. CHECK NUMBER	
37. RECEIVED AT	38. RECEIVED BY (Print)	39. DATE RECEIVED (YYMMDD)	40. TOT. CONTAINERS	41. S/R ACCOUNT NUMBER	42. S/R VOUCHER NO.

AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT				1. CONTRACT ID CODE	PAGE OF PAGES 1 3
2. AMENDMENT /MODIFICATION NO. 000723		3. EFFECTIVE DATE 01/26/99	4. REQUISITION/PURCHASE REQ. NO. W13G86-8321-1713		5. PROJECT NO. (if applicable)
6. ISSUED BY DEPT OF THE ARMY NE DISTRICT, CORPS OF ENGINEERS 696 VIRGINIA ROAD CONCORD MA 01742-2751 SHEILA M. WINSTON-VINCIGUILLA C08 (978) 318-8159		CODE 961316	7. AMENDMENT NO. XXXXXXXXXX PROJECT: Remediation of HTRW Projects/ Sites Within the Boundaries of the New England Division		
8. NAME AND ADDRESS OF CONTRACTOR (No., street, county, State and ZIP Code) FOSTER WHEELER ENVIRONMENTAL CORP 470 ATLANTIC AVE THIRD FLOOR BOSTON MA 022102208			Vendor ID: 00003720	<input checked="" type="checkbox"/> 9A. AMENDMENT OF SOLICITATION NO. <input type="checkbox"/> 9B. DATED (SEE ITEM 11) <input checked="" type="checkbox"/> 10A. MODIFICATION OF CONTRACT/ORDER NO. DACW33-94-D-0002 0007 <input type="checkbox"/> 10B. DATED (SEE ITEM 13) 08/05/94	
CODE 0H7U8	FACILITY CODE				
11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS					
<input type="checkbox"/> The above numbered solicitation is amended as set forth in item 14. The hour and date specified for receipt of Offers <input type="checkbox"/> is extended, <input type="checkbox"/> is not extended. Offers must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation or as amended, by one of the following methods: (a) By completing items 8 and 15, and returning _____ copies of the amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) By separate letter or telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKNOWLEDGMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment you desire to change an offer already submitted, such change may be made by telegram or letter, provided each telegram or letter makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.					
12. ACCOUNTING AND APPROPRIATION DATA (if required) 68-20X8145 B6 1994 011R51 2540 A00120 (IAG # DW96-940086-01-0) Mod Obligated Amount US \$397,943.00					
13. THIS ITEM APPLIES ONLY TO MODIFICATIONS OF CONTRACTS/ORDERS, IT MODIFIES THE CONTRACT/ORDER NO. AS DESCRIBED IN ITEM 14.					
<input checked="" type="checkbox"/> A. THIS CHANGE ORDER IS ISSUED PURSUANT TO: (Specify authority) THE CHANGES SET FORTH IN ITEM 14 ARE MADE IN THE CONTRACT ORDER NO. IN ITEM 14A. <input type="checkbox"/> B. THE ABOVE NUMBERED CONTRACT/ORDER IS MODIFIED TO REFLECT THE ADMINISTRATIVE CHANGES (such as changes in paying office, appropriation date, etc.) SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103 (b). <input checked="" type="checkbox"/> C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF: CHANGES - Cost Reimbursement (AUG 1987) ALT I <input type="checkbox"/> D. OTHER (Specify type of modification and authority)					
E. IMPORTANT: Contractor <input type="checkbox"/> is not, <input checked="" type="checkbox"/> is required to sign this document and return <u>3</u> copies to the issuing office.					
14. DESCRIPTION OF AMENDMENT /MODIFICATION (Organized by UCF section headings, including solicitation/contract subject matter where feasible.) (This modification is issued to add two (2) additional O&M periods to this task order. In addition, this modification transfers funds from estimated costs to fixed fee for the current month's O&M that was funded by current underruns. An equitable adjustment to the task order time & amount is warranted therefor.) (A) TASK ORDER NO. 0007. 1/ Block 10, DELIVER TO FOB POINT BY. Delete the date "31 JAN 1999" and insert "31 JUL 1999".					
Except as provided herein, all terms and conditions of the document referenced in item 9A or 10A, as heretofore changed, remains unchanged and in full force and effect.					
15A. NAME AND TITLE OF SIGNER (Type or print) <i>R.J. Marchini, Chief Contracts Mgr</i>		16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print) CHARLES W. COE M01 Chief, Contracting Division		16B. UNITED STATES OF AMERICA	
15B. CONTRACTOR/OFFEROR <i>R. Marchini</i> (Signature of person authorized to sign)		15C. DATE SIGNED 2/1/99		16C. DATE SIGNED 2/4/99	

NSN 7540-01-152-8070
PREVIOUS EDITION UNUSABLE

30-105

STANDARD FORM 30 (REV. 10-83)
Prescribed by GSA
FAR (48 CFR) 53.243



DEPARTMENT OF THE ARMY
U.S. Army Corps of Engineers
WASHINGTON, D.C. 20314-1000

REPLY TO
ATTENTION OF:

CERM-F

20 April 1999

MEMORANDUM FOR Commanders and Directors, USACE Commands

SUBJECT: Environmental Protection Agency (EPA) Superfund Program Direct Fund Cite
Electronic Fund Transfer Payments to Contractors

1. References:

- a. Memorandum, CERM-F dated 8 February 1999, subject: Implementation of Electronic Funds Transfer (EFT) for Federal Employees.
- b. EPA/USACE Payment Process dated May 1990.
- c. Memorandum, CEFC-AO dated 17 February 1999, subject: Implementation of Electronic Funds Transfer (FET) for Federal Payments.

2. EPA has requested assistance in implementing EPA Superfund Program EFT contractor payments for contracts or delivery orders awarded by the Corps of Engineers under the Direct Fund Cite Method. These payments will apply to all Direct Fund Cite Superfund Inter Agency Agreements where the contract or delivery order has been awarded with the EPA appropriation, 68-20X8145, and the EPA Cincinnati Financial Management Center is designated as the paying office.

3. To assist you with EFT implementation, I am providing a sample letter, which may be sent to your contractors. CEFC-AO memorandum (reference c) provides instructions on how you may obtain the Direct Deposit Authorization Form, UFC-DISB-4. For existing contracts, EPA requests that the forms be completed immediately. For any new contracts, request that this form be sent out with the newly awarded contract. EPA will begin EFT payments upon receipt of forms.

4. CERM-F POC is Aaron Polley, (202) 761-4998.

FOR THE COMMANDER:

Encl


STEPHEN COAKLEY
Deputy Chief of Staff,
Resource Management

CF:
CEPR-ZA

Exhibit 25. Sample EFT Letter to Contractor

Contractor name and address

Dear _____,

This is in reference to your Contract No. _____ (EPA Agreement No. DW96_____) administered by the U.S. Army Corps of Engineers, _____ District and paid by the U.S. Environmental Protection Agency (EPA).

Effective January 1, 1999, payments under all government contracts will be made only by electronic funds transfer (EFT).

Enclosed is a Direct Deposit Authorization Form (UFC-DISB-4 Form) for your use in enrolling in this program. Please complete the enclosed form and have your bank complete the financial institution information section. Make a copy for your records and one for your financial institution. You can mail the original to the following address:

United States Environmental Protection Agency
Cincinnati Financial Management Center
M/S 002
26 W. Martin Luther King Dr.
Cincinnati, Ohio 45268

or you can fax a copy of this completed form to 513-487-2063.

You should submit a separate form for each "remit to" address for contracts paid by the EPA Finance Center in Cincinnati. By completing the attached form, you are verifying that it is acceptable for EPA to receive your banking information so that payments for this contract with the Army COE can be made by EPA using the EFT payment method.

If you have any questions concerning this, you may call _____ at the Army COE or Jeff Marsala of EPA at 513-487-2056.

Exhibit 26. Sample Contract Transmittal Form

**TRANSMITTAL
USACE CONTRACTS
EPA SUPERFUND PROGRAM**

TRANSMITTAL NUMBER: _____

DATE: _____

TO: U.S. Environmental Protection Agency
Cincinnati Financial Management Center
Cincinnati, OH 45268-7002

FROM: U.S. Army Corps of Engineers
_____ District
(Street Address)
(City/State/Zip Code)

USACE Point of Contact:
(Name)
(Office Symbol)
(Phone Number)

IAG NUMBER: _____ SITE NAME _____

CONTRACT NUMBER: _____

CONTRACTOR NAME: _____

THIS SECTION TO BE COMPLETED BY RECEIVING OFFICE AND RETURNED TO THE
U.S. ARMY CORPS OF ENGINEERS ADDRESS ABOVE WITHIN 3 DAYS OF RECEIPT

RECEIVED BY: _____

DATE: _____

Exhibit 27. Sample Pay Request Transmittal Form

**TRANSMITTAL
USACE CONTRACTOR PAY ESTIMATE
EPA SUPERFUND PROGRAM**

REQUEST FOR PAYMENT

TRANSMITTAL NUMBER: _____

DATE: _____

TO: U.S. Environmental Protection Agency
Cincinnati Financial Management Center
ATTN: Accounting Operations, Suite 300
4411 Montgomery Road
Cincinnati, OH 45212

FROM: U.S. Army Corps of Engineers
_____ District
(Street Address)
(City/State/Zip Code)

USACE Point of Contact:
(Name)
(Office Symbol)
(Phone Number)

IAG NUMBER: _____ SITE NAME _____

CONTRACT NUMBER: _____ TAX ID NUMBER: _____

CONTRACTOR: (Name) _____
("REMIT TO" Street Address) _____
(City/State/Zip Code) _____

PAYMENT ESTIMATE NUMBER: _____ AMOUNT: \$ _____

TO COMPLY WITH PROMPT PAYMENT ACT, PAYMENT MUST BE MADE BY _____

THIS SECTION TO BE COMPLETED BY RECEIVING OFFICE AND RETURNED TO THE
U.S. ARMY CORPS OF ENGINEERS ADDRESS ABOVE WITHIN 3 DAYS OF RECEIPT

RECEIVED BY: _____

DATE: _____

CONSTRUCTION DIVISION

TRANSMITTAL
CONTRACTOR PAY ESTIMATE
REQUEST FOR PAYMENT

TRANSMITTAL NUMBER: 015

DATE: 03 May, 1999

TO: Environmental Protection Agency
Cincinnati Financial Management Center
ATTN: Accounting Operations,
Suite 300
4411 Montgomery Road
Cincinnati, OH 45212

FROM: U.S. Army Corps of Engineers
New Orleans District
P.O. Box 60267
New Orleans, LA 70160-0267
ATTN: Mr. Theodore Eilts
CEMVN-CD-QM

IAG NUMBER: DW96950261-01-0

CONTRACT NUMBER: DACA56-94-D-0020

CONTRACT DESCRIPTION: Agriculture Street Landfill Superfund Project, New Orleans, LA

CONTRACTOR: OHM Remediation Services Corporation
P.O. Box 98236
Chicago, IL 60693

PAYMENT REQUEST NUMBER: 015

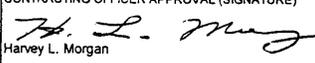
PAYMENT AMOUNT: \$ 902,649.12

TO COMPLY WITH THE PROMPT PAYMENT ACT, PAYMENT MUST BE MADE BY 13 May, 1999.

REQUEST RELEASED BY: Theodore Eilts, USAED-New Orleans, Project Manager

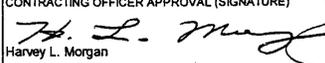
THIS SECTION IS TO BE COMPLETED BY RECEIVING OFFICE AND RETURNED TO THE ABOVE
OFFICE WITHIN 3 DAYS OF RECEIPT

RECEIVED BY: _____ DATE: _____

PAYMENT ESTIMATE - CONTRACT PERFORMANCE For use of this form, see ER 37-2-10 and ER 37-345-10		1. DATE 3-May-99		SHEET 1 OF 1		
2. CONTRACTOR AND ADDRESS OHM Remediation Services Corporation 225 West Airtex Blvd. Houston, TX 77090		3. CONTRACT NO. DACA56-94-D-0020 Task Order 036		4. DISTRICT New Orleans		
5. DESCRIPTION OF WORK Agriculture Street Landfill Superfund Site Removal Action OU-1, OU-2 and OU-3 New Orleans, La		6. APPROPRIATION AND PROJECT 68-20X8145, Agriculture St Landfill Site EPA Direct Fund Cite IAG DW96950261-01-0		7. REQUIRED COMPLETION DATE 24 Oct 99		
8. LOCATION Orleans Parish, New Orleans, LA		9. PERIOD COVERED BY THIS ESTIMATE 03/13/99 thru 04/09/99		10. JOB ORDER NO.	11. ESTIMATE NO. 15th Partial	
ITEM NO. a	DESCRIPTION b	CONTRACT			TOTAL TO DATE	
		QUANTITY AND UNIT c	UNIT PRICE d	AMOUNT e	QUANTITY AND UNIT f	AMOUNT g
	ORIGINAL DATE SET FOR COMPLETION REVISIED DATE SET FOR COMPLETION DATE COMPLETED ORIGINAL VALUE OF CONTRACT REVISIONS DUE TO SUPPLEMENTAL AGREEMENTS REVISIONS DUE TO CHANGE ORDER NOS. REVISIONS DUE TO VARIATION IN EST QUANTITIES	17 Jun 98 24 Oct 99	LS LS	\$902,740.18 \$20,336,864.15		
INCLUDES MODIFICATION THRU: 03607		TOTAL CONTRACT		\$21,239,604.33	TOTAL EARNINGS TO DATE	\$3,433,595.37
12. PRESENTED FOR PAYMENT		14A. PREVIOUS DEDUCTIONS OTHER THAN RETAINED PERCENTAGE**		\$0.00		
PAYEE OHM Remediation Services Corporation P.O. Box 98236 Chicago, IL 60693		B. PREVIOUS RETAINED PERCENTAGE		\$0.00		
		C. PREVIOUS PAYMENTS		\$2,530,946.25		
		D. PREVIOUS EARNINGS (A+B+C)			\$2,530,946.25	
		E. EARNINGS THIS PERIOD (TOTAL EARNINGS TO DATE MINUS D)			\$902,649.12	
13. APPROVED FOR PAYMENT		F. LESS RETAINED PERCENTAGE		\$0.00		
I CERTIFY THAT I HAVE CHECKED THE QUANTITIES COVERED BY THIS BILL OR ESTIMATE, THAT THE WORK WAS ACTUALLY PERFORMED, THAT THE QUANTITIES ARE CORRECT AND CONSISTENT WITH ALL PREVIOUS COMPUTATIONS AS ACTUALLY CHECKED, THAT THE QUANTITIES AND AMOUNTS ARE WHOLLY CONSISTENT WITH THE REQUIREMENTS OF THE CONTRACT OR OTHER INSTRUMENT INVOLVED.		G. LESS DEDUCTIONS OTHER THAN RETAINED PERCENTAGE		\$0.00		
		H. TOTAL DEDUCTIONS THIS PERIOD (F+G)			\$0.00	
		I. RETAINAGE REFUNDED		\$0.00		
		J. OTHER REFUNDS		\$0.00		
SIGNATURE		DATE		K. TOTAL REFUNDS THIS PERIOD (I+J)		
 James A. Montegut CIVIL ENGR		5/03/99		\$0.00		
CONTRACTING OFFICER APPROVAL (SIGNATURE)		DATE		L. AMOUNT DUE CONTRACTOR (E-H+K)		
 Harvey L. Morgan CONTRACTING OFFICERS REPRESENTATIVE		5/03/99		\$902,649.12		
		15. RECAPITULATION:				
		TOTAL RETAINED PERCENTAGE: (B+F-I)		\$0.00	TOTAL PAID: (C+L)	
					\$3,433,595.37	

ENG FORM 93 1 Mar 78 PREVIOUS EDITION OF THIS FORM IS OBSOLETE

277166

PAYMENT ESTIMATE - CONTRACT PERFORMANCE For use of this form, see ER 37-2-10 and ER 37-345-10		1. DATE 3-May-99		SHEET 1 OF 1	
2. CONTRACTOR AND ADDRESS OHM Remediation Services Corporation 225 West Airtex Blvd. Houston, TX 77090		3. CONTRACT NO. DACA56-94-D-0020 Task Order 036		4. DISTRICT New Orleans  9900264258 5	
5. DESCRIPTION OF WORK Agriculture Street Landfill Superfund Site Removal Action OU-1, OU-2 and OU-3 New Orleans, La		6. APPROPRIATION AND PROJECT 68-20X8145, Agriculture St Landfill Site EPA Direct Fund Cite IAG DW96950261-01-0		7. REQUIRED COMPLETION DATE 24 Oct 99	
8. LOCATION Orleans Parish, New Orleans, LA		9. PERIOD COVERED BY THIS ESTIMATE 03/13/99 thru 04/09/99		10. JOB ORDER NO. 15th Partial	
11. ESTIMATE NO. 15th Partial		CONTRACT		TOTAL TO DATE	
ITEM NO. a	DESCRIPTION b	QUANTITY AND UNIT c	UNIT PRICE d	AMOUNT e	QUANTITY AND UNIT f
					AMOUNT g
	ORIGINAL DATE SET FOR COMPLETION	17 Jun 98			
	REVISED DATE SET FOR COMPLETION	24 Oct 99			
	DATE COMPLETED				
	ORIGINAL VALUE OF CONTRACT		LS	\$902,740.18	
	REVISIONS DUE TO SUPPLEMENTAL AGREEMENTS		LS	\$20,336,864.15	
	REVISIONS DUE TO CHANGE ORDER NOS.				
	REVISIONS DUE TO VARIATION IN EST QUANTITIES				
INCLUDES MODIFICATION THRU: 03607		TOTAL CONTRACT		\$21,239,604.33	TOTAL EARNINGS TO DATE \$3,433,595.37
12. PRESENTED FOR PAYMENT		14A. PREVIOUS DEDUCTIONS OTHER THAN RETAINED PERCENTAGE**		\$0.00	
PAYEE OHM Remediation Services Corporation P.O. Box 98236 Chicago, IL 60693		B. PREVIOUS RETAINED PERCENTAGE		\$0.00	
		C. PREVIOUS PAYMENTS		\$2,530,946.25	
		D. PREVIOUS EARNINGS (A+B+C)			\$2,530,946.25
		E. EARNINGS THIS PERIOD (TOTAL EARNINGS TO DATE MINUS D)			\$902,649.12
13. APPROVED FOR PAYMENT		F. LESS RETAINED PERCENTAGE		\$0.00	
I CERTIFY THAT I HAVE CHECKED THE QUANTITIES COVERED BY THIS BILL OR ESTIMATE; THAT THE WORK HAS ACTUALLY PERFORMED; THAT THE QUANTITIES ARE CORRECT AND CONSISTENT WITH ALL PREVIOUS COMPUTATIONS AS ACTUALLY CHECKED; THAT THE QUANTITIES AND AMOUNTS ARE WHOLLY CONSISTENT WITH THE REQUIREMENTS OF THE CONTRACT OR OTHER INSTRUMENT INVOLVED.		G. LESS DEDUCTIONS OTHER THAN RETAINED PERCENTAGE		\$0.00	
SIGNATURE  James A. Montegut CIVIL ENGR		H. TOTAL DEDUCTIONS THIS PERIOD (F+G)		\$0.00	
DATE 5/03/99		I. RETAINAGE REFUNDED		\$0.00	
		J. OTHER REFUNDS		\$0.00	
		K. TOTAL REFUNDS THIS PERIOD (I+J)			\$0.00
		L. AMOUNT DUE CONTRACTOR (E-H+K)			\$902,649.12
CONTRACTING OFFICER APPROVAL (SIGNATURE)  Harvey L. Morgan CONTRACTING OFFICERS REPRESENTATIVE		15. RECAPITULATION:			
DATE 5/03/99		TOTAL RETAINED PERCENTAGE: (B+F-I)		\$0.00	
		TOTAL PAID: (C+L)			\$3,433,595.37

ENG FORM 93 1 Mar 78 PREVIOUS EDITION OF THIS FORM IS OBSOLETE

03 P DW96950261 TT 06D7RV00
 \$ 902,649.12 (line 001)

AUDITED BY Jm 5/4/99
 IFMS INPUT CC 5/4/99

CERTIFIED BY BARBARA R. NEWMAN
 DATE CERTIFIED 5-4-99



DEPARTMENT OF THE ARMY
U.S. Army Corps of Engineers
WASHINGTON, D.C. 20314-1000

REPLY TO
ATTENTION OF:

CERM-FP/CEMP-RA/CEPR

25 August 1994

MEMORANDUM FOR ALL MAJOR SUBORDINATE COMMANDS, DISTRICT COMMANDS,
FIELD OFFICE ACTIVITIES, ATTN: Resource
Managers, Comptrollers, and Finance and
Accounting Officers

SUBJECT: Revised Superfund Direct Fund Cite Procedures

1. References:

a. CERM-FP memorandum dated 27 September 1991, Subject: New Accounting Procedures for the Environmental Protection Agency/U.S. Army Corps of Engineers Superfund Program.

b. Construction Bulletin No. 92-9, dated 31 December 1993, Subject: New Accounting Procedures for the Environmental Protection Agency/U.S. Army Corps of Engineers Superfund Program.

2. Under the Direct Fund Cite Procedures initiated in October 1991, the USACE Contracting Officer Representative is required to utilize ENG Form 93 for all contract payments processed by the EPA Finance Center in Cincinnati. This requirement has become a problem for Cost Reimbursable Contracts where the Defense Contract Audit Agency (DCAA) is the responsible audit office. DCAA requires the use of an SF 1034 (Public Voucher for Payment) for all contractor pay estimates submitted for review. To accommodate the DCAA requirement the following procedures will be used:

a. All contract payments subject to DCAA audit will be processed on an SF 1034 as required by DCAA. The contractor's request for payment will be reviewed, certified and expressed mailed to DCAA.

b. A cover letter will be used as the transmittal to DCAA. The letter will identify a POC (and telephone number), the contract number, contractor name, pay estimate number, and identify the EPA Finance Center as the payment office. In the cover letter, request DCAA express mail the approved payment voucher directly to EPA utilizing the following address:

US Environmental Protection Agency
Cincinnati Financial Management Center
Accounting Operations, Suite 300
Cincinnati, OH 45212

CERM-FP/CEMP-RA/CEPE

SUBJECT: Revised Superfund Direct Fund Cite Procedures

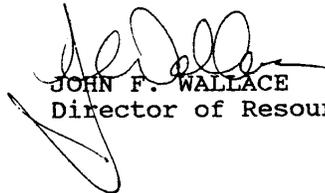
c. The transmittal letter is to be "Copy Furnished" to the EPA Finance Center. If EPA does not receive the approved voucher within 14 days of the letter, the POC identified in the transmittal letter will be contacted.

d. When EPA receives the SF 1034 from DCAA, they will review the documents, insure the document is certified by the USACE COR, and insure DCAA approval prior to processing payment.

e. Payment vouchers (SF 1034) received in EPA without the required certifications will be returned to the District. EPA will not forward documents to DCAA.

3. The above procedures only apply to payments subject to DCAA review. All other contractor payments will be processed on ENG Form 93 and expressed mailed to EPA in accordance with the original guidance.

4. If additional clarification is needed, please contact Lucy Harris at (402) 221-7227. HQUSACE POC is Aaron Polley, (202) 504-4998.



JOHN F. WALLACE
Director of Resource Management

**TRANSMITTAL
USACE
CONTRACTOR PAYMENT ESTIMATES**

TRANSMITTAL NUMBER: _____
DATE: _____

TO:

Environmental Protection Agency
Cincinnati Financial Management Center
ATTN: Mr. Jeff Marsala
4411 Montgomery Road
Cincinnati, OH 45268-7002

FROM:

U.S. Army Corps of Engineers
CENWW-CD-BH (Mike Mahoney)
1005 McKinley Avenue West
Kellogg, ID 83837-2513

INTERAGENCY AGREEMENT NO: DW96957181-01-0

Contract/D.O. No.	Payment Request No.	Amount
DACW68-94-D-0005/ 22	20	\$ 825.25
DACW68-94-D-0005/ 22	21	\$ 15,959.42
DACW68-94-D-0005/ 19	24	\$ 73,716.88
DACW68-94-D-0005/		\$

COMMENTS:

RECEIVED BY: _____ DATE: _____

RETURN RECEIPT REQUIRED

RETURN TO:
U.S. ARMY CORPS OF ENGINEERS
Bunker Hill Resident Office
ATTN: CENPW-CO-BH (Mike Mahoney)
1005 McKinley Avenue
Kellogg, Idaho 83837
PHONE: ((208)786-5203 FAX: (208)784-3201



DEPARTMENT OF THE ARMY
WALLA WALLA DISTRICT, CORPS OF ENGINEERS
201 NORTH THIRD AVENUE
WALLA WALLA, WASHINGTON 99362-1876

REPLY TO
ATTENTION OF:

May 3, 1999

Bunker Hill Resident Office

SUBJECT: Contract No. Interagency Agreement No. 96957181-01, Contract DACW68-94-D-0005, Bunker Hill NPL Site, Delivery Order No. 19 and Delivery Order No. 22

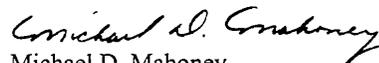
Mr. Jeff Marsala
Environmental Protection Agency
Cincinnati, Financial Management Center
4411 Montgomery Road
Cincinnati, OH 45212

Dear Mr. Marsala:

Enclosed are Public Voucher No. 24, Voucher 20, and Voucher No. 21 for your payment to the Contractor. Two copies of the Public Voucher and the Contractor's invoice are attached for your use.

Questions may be referred to me at 208-786-5203.

Sincerely,


Michael D. Mahoney
Administrative Contracting Officer,
Bunker Hill Office

CF:
CENWW-CT-AC (Julie Dockery) (wo/encls)

Standard Form 1034 Revised January 1980 Department of the Treasury 1 TFRM 4-2000 1034-118		PUBLIC VOUCHER FOR PURCHASES AND SERVICES OTHER THAN PERSONAL			Voucher No. 021 RECEIVED 28 Apr 99	
U.S. DEPARTMENT, BUREAU, OR ESTABLISHMENT AND LOCATION Department of the Army, Walla Walla District Corps of Engineers Building 614 Walla Walla, WA 99362-9265			DATE VOUCHER PREPARED April 27, 1999		SCHEDULE NO.	
			CONTRACT NUMBER AND DATE DACW68-94-D-0005			PAID BY
			REQUISITION NUMBER AND DATE			
PAYEE'S NAME AND ADDRESS MK Environmental Services c/o Bank of America Illinois P. O. Box 99137 840 South Canal Street Chicago, IL 60693			DATE INVOICE RECEIVED			
			DISCOUNT TERMS			
			PAYEE'S ACCOUNT NUMBER Contract 4415			
SHIPPED FROM TO WEIGHT			GOVERNMENT B/L NUMBER			
NUMBER AND DATE OF ORDER	DATE OF DELIVERY OF SERVICE	ARTICLES OF SERVICES <small>(Enter description, item number of contract of Federal supply schedule, and other information deemed necessary)</small>	QUANTITY	UNIT PRICE		AMOUNT ¹
				COST	PER	
4415-22-021	02/99	"For detail, see FS 1035--total amount of claim transferred from page 1 of 1 SF 1035." "I certify that all payments requested are for appropriate purposes and in accordance with the agreement set forth in the contract." <i>[Signature]</i> Name Title				\$15,959.42
(Use continuation sheet(s) if necessary) (Payee must NOT use the space below)						TOTAL \$15,959.42
PAYMENT: <input type="checkbox"/> PROVISIONAL <input type="checkbox"/> COMPLETE <input checked="" type="checkbox"/> PARTIAL <input type="checkbox"/> PROGRESS <input type="checkbox"/> ADVANCE		APPROVED FOR PROVISIONAL PAYMENT SUBJECT TO LATER AUDIT EXCHANGE RATE = \$1.00 BY: <i>[Signature]</i> TITLE: AUDITOR, DEPT A		DIFFERENCES Amount verified; correct for		
		TITLE: CURT M. DEMPSEY ADDRESS: 14220 INTERURBAN AVE SOUTH STE 100 SEATTLE WA 98168-4663 PHONE: (206) 432-4900				
Pursuant to authority vested in me, I certify that this voucher is correct and complete.						
Date: 4/28/99		Signature: <i>[Signature]</i> Title: Administrative Contracting Officer				
ACCOUNTING CLASSIFICATION						
CHECK NUMBER ON ACCOUNT OF U.S. TREASURY		CHECK NUMBER ON (Name of Bank)				
CASH DATE		PAYEE ³				
¹ When stated in foreign currency, insert name of currency. ² If the ability to certify and authority to approve are combined in one person, one signature only as necessary; otherwise the approving officer will sign on the space provided, over his official title. ³ When a voucher is receipted in the name of a company or corporation, the name of the person writing the company or corporate name, as well as the capacity in which he signs, must appear. For example: "John Doe Company, per John Smith, Secretary" or "Treasurer", as the case may be.				PER TITLE		

PRIVACY ACT STATEMENT
 The information requested on this form is required under the provisions of 31 U.S.c. 82b and 82c, for the purpose of disbursing Federal money. The information requested is to identify the particular creditor and the amounts to be paid. Failure to furnish this information will hinder discharge of the payment obligation.

Standard Form 1034 Revised January 1980 Department of the Treasury 1 TFRM 4-2000 1034-118		PUBLIC VOUCHER FOR PURCHASES AND SERVICES OTHER THAN PERSONAL		Voucher No. 021		
U.S. DEPARTMENT, BUREAU, OR ESTABLISHMENT AND LOCATION Department of the Army, Walla Walla District Corps of Engineers Building 614 Walla Walla, WA 99362-9265 <i>(Sch payment for 5-12-99)</i>		DATE VOUCHER PREPARED April 27, 1999	SCHEDULE NO.			
		CONTRACT NUMBER AND DATE DACW68-94-D-0005	9900237190 4			
		REQUISITION NUMBER AND DATE	DISCOUNT TERMS			
PAYEE'S NAME AND ADDRESS MK Environmental Services c/o Bank of America Illinois P. O. Box 99137 840 South Canal Street Chicago, IL 60693				PAYEE'S ACCOUNT NUMBER Contract 4415		
SHIPPED FROM		TO	WEIGHT		GOVERNMENT B/L NUMBER	
NUMBER AND DATE OF ORDER	DATE OF DELIVERY OF SERVICE	ARTICLES OF SERVICES <i>(Enter description, item number of contract of Federal supply schedule, and other information deemed necessary)</i>	QUANTITY	UNIT PRICE		AMOUNT ¹
				COST	PER	
4415-22-021	02/99	"For detail, see FS 1035--total amount of claim transferred from page 1 of 1 SF 1035." "I certify that all payments requested are for appropriate purposes and in accordance with the agreement set forth in the contract." <i>[Signature]</i> Name Title				\$15,959.42
						TOTAL \$15,959.42
PAYMENT:		APPROVED FOR	EXCHANGE RATE	DIFFERENCES		
<input type="checkbox"/> PROVISIONAL <input type="checkbox"/> COMPLETE <input checked="" type="checkbox"/> PARTIAL <input type="checkbox"/> PROGRESS <input type="checkbox"/> ADVANCE		APPROVED FOR PROVISIONAL PAYMENT SUBJECT TO LATER AUDIT = \$1.00				
		BY ²		Amount verified; correct for		
		TITLE CURT M. DEMPSEY	14220 INTERURBAN AVE SOUTH STE 100 SEATTLE WA 98168-4662			
Pursuant to authority vested in me, I certify that this voucher is correct and (206) 432-4800						
4/28/99 (Date)		<i>[Signature]</i> (Authorized Certifying Officer) ³		Administrative Contracting Officer (Title)		
ACCOUNTING CLASSIFICATION						
03 P SW96957181 ST1044RA02 \$15,959.42 (line 013)						
PMT BY	CHECK NUMBER	ON ACCOUNT OF U.S. TREASURY		CHECK NUMBER	ON (Name of Bank)	
	CASH	DATE	PAYEE ³			
				PER		
				TITLE		

PRIVACY ACT STATEMENT
The information requested on this form is required under the provisions of 31 U.S.c. 82b and 82c, for the purpose of disbursing Federal money. The information requested is to identify the particular creditor and the amounts to be paid. Failure to furnish this information will hinder discharge of the payment obligation.

STANDARD FORM 1034 REVISED JANUARY 1980 DEPARTMENT OF THE TREASURY 1 TERM 4-2000		PUBLIC VOUCHER FOR PURCHASES AND SERVICES OTHER THAN PERSONAL			VOUCHER NO. 05
					SCHEDULE NO.
U.S. ARMY ENGINEERING DIV, N.E. FINNANCE & ACCOUNTING OFFICER 424 TRAPELO ROAD WALTHAM, MA 02254-9149		DATE VOUCHER PREPARED APRIL 28, 1999	PAID BY		
		CONTRACT NUMBER AND DATE DACW33-97-D-0002			
		REQUISITION NUMBER AND DATE			
PAYEE'S NAME AND ADDRESS STONE & WEBSTER ENGINEERING CORPORATION FINANCIAL SERVICES P.O. BOX 3287 BOSTON, MA 02241-3287		DATE INVOICE RECEIVED	DISCOUNT TERMS		
		DCAA OFFICE: ATTN: <i>Joyce Kokoska, S.A.</i> Boston Branch Office 101 Merrimac Street, Suite 820A Boston, MA 02114-4719 617-450-0450	PAYEE'S ACCOUNT NUMBER 06851.0700		
SHIPPED FROM TO		GOVERNMENT B/L NUMBER			
NUMBER AND DATE OF ORDER	DATE OF DELIVERY OR SERVICE	ARTICLES OF SERVICES (ENTER DESCRIPTION, ITEM NUMBER OF CONTRACT OR FEDERAL SUPPLY SCHEDULE AND OTHER INFORMATION DEEMED NECESSARY)	QUAN-TITY	UNIT PRICE COST PER	AMOUNT (1)
04/28/1999	MARCH 1999	COSTS UNDER ABOVE CONTRACT, PER ATTACHED DELIVERY ORDER # 0007 PERSUANT TO AUTHORITY VESTED IN ME, I CERTIFY THAT THIS VOUCHER IS CORRECT AND PROPER FOR PAYMENT <i>S.A. Quattrocchi for</i> S.A. QUATTROCCHI - ASSISTANT CONTROLLER (PAYEE MUST NOT USE THE SPACE BELOW)			\$127,200.96
07724-81368					
				TOTAL	\$127,200.96
PAYMENT:	APPROVED FOR	EXCHANGE RATE	DIFFERENCES		
PROVISIONAL	= \$	= \$1.00			
COMPLETE	PROVISIONAL PAYMENT SUBJECT TO LATER AUDIT				
PARTIAL	BY <i>Cathy A. Fitcher</i> JOYCE KOKOSKA				
FINAL	PROVISIONAL				
PROGRESS	PROVISIONAL				
ADVANCE	TITLE SUPERVISORY AUDITOR				
			AMT VERIFIED, CORRECT FOR		
			SIGNATURE OR INITIALS		
PERSUANT TO AUTHORITY VESTED IN ME, I CERTIFY THAT THIS VOUCHER IS CORRECT AND PROPER FOR PAYMENT.					
<i>(617) 450-0450</i>		MICHELLE A. KEWER	<i>Michelle A. Kewer</i> Chief, Contracts Branch		
(DATE) 12 May 1999	(AUTHORIZED CERTIFYING OFFICER)	(TITLE)	Contracting Officer		
ACCOUNTING CLASSIFICATION					
D79694-0180-01-0					
CHECK NUMBER	ON ACCOUNT OF U.S. TREASURY	CHECK NUMBER	ON (NAME OF BANK)		
CASH	DATE	PAYEE			
	APR 28 1999				
1. WHEN STATED IN FOREIGN CURRENCY, INSERT NAME OF CURRENCY.					PER
2. IF THE ABILITY TO CERTIFY AND AUTHORITY TO APPROVE ARE COMBINED IN ONE PERSON, ONE SIGNATURE ONLY IS NECESSARY; OTHERWISE THE APPROVING OFFICER WILL SIGN IN THE SPACE PROVIDED, OVER HIS OFFICIAL TITLE.					TITLE
3. WHEN A VOUCHER IS RECEIPTED IN THE NAME OF A COMPANY OR CORPORATION, THE NAME OF THE PERSON WRITING THE COMPANY OR CORPORATE NAME, AS WELL AS THE CAPACITY IN WHICH HE SIGNS, MUST APPEAR. FOR EXAMPLE: "JOHN DOE COMPANY, PER JOHN SMITH, SECRETARY", OR "TREASURER", AS THE CASE MAY BE.					

PRIVACY ACT STATEMENT

THE INFORMATION REQUESTED ON THIS FORM IS REQUIRED UNDER THE PROVISIONS OF 31 U.S.C. 82b AND 82c, FOR THE PURPOSE OF DISBURSING FEDERAL MONEY. THE INFORMATION REQUESTED IS TO IDENTIFY THE PARTICULAR CREDITOR AND THE AMOUNTS TO BE PAID. FAILURE TO FURNISH THIS INFORMATION WILL HINDER DISCHARGE OF THE PAYMENT OBLIGATION.

STANDARD FORM 1034 REVISED JANUARY 1980 DEPARTMENT OF THE TREASURY 1 TERM 4-2000		PUBLIC VOUCHER FOR PURCHASES AND SERVICES OTHER THAN PERSONAL			VOUCHER NO. 05
U.S. ARMY ENGINEERING DIV, N.E. FINNANCE & ACCOUNTING OFFICER 424 TRAPELO ROAD WALTHAM, MA 02254-9149		278356-3		DATE VOUCHER PREPARED APRIL 28, 1999	PAID BY
				CONTRACT NUMBER AND DATE DACW33-97-D-0002	 9900264343 8
		(ack pymt for 5/17/99)		REQUISITION NUMBER AND DA	
PAYEE'S NAME AND ADDRESS	STONE & WEBSTER ENGINEERING CORPORATION FINANCIAL SERVICES P.O. BOX 3287 BOSTON, MA 02241-3287			DCAA OFFICE: ATTN: JOYCE KOKOSKA, S.A. Boston Branch Office 101 Merrimac Street, Suite 820A Boston, MA 02114-4719	DATE INVOICE RECEIVED
SHIPPED FROM		TO		DISCOUNT TERMS	PAYEE'S ACCOUNT NUMBER 06851.0700
NUMBER AND DATE OF ORDER	DATE OF DELIVERY OR SERVICE	ARTICLES OF SERVICES (ENTER DESCRIPTION, ITEM NUMBER OF CONTRACT OR FEDERAL SUPPLY SCHEDULE AND OTHER INFORMATION DEEMED NECESSARY)	QUANTITY	UNIT PRICE COST PER	AMOUNT
04/28/1999	MARCH 1999	COSTS UNDER ABOVE CONTRACT, PER ATTACHED DELIVERY ORDER # 0007			\$127,200.96
07724-81368		PERSUANT TO AUTHORITY VESTED IN ME, I CERTIFY THAT THIS VOUCHER IS CORRECT AND PROPER FOR PAYMENT			
		S.A. QUATTROCCHI - ASSISTANT CONTROLLER (PAYEE MUST NOT USE THE SPACE BELOW)			TOTAL \$127,200.96
PAYMENT:	APPROVED FOR	EXCHANGE RATE	TOTAL DIFFERENCES		
PROVISIONAL	= \$	= \$1.00			
COMPLETE	PROVISIONAL PAYMENT SUBJECT TO LATER AUDIT				
PARTIAL	BY JOYCE KOKOSKA				
FINAL	Cathy A. Filipek				
PROGRESS	SUPERVISORY AUDITOR				
ADVANCE	AUDITOR DCAA				
PERSUANT TO AUTHORITY VESTED IN ME, I CERTIFY THAT THIS VOUCHER IS CORRECT AND PROPER FOR PAYMENT.					
(617) 450-0450		MICHELLE A. KEWER		Chief, Contracts Branch	
(DATE) 12 May 1999		(AUTHORIZED CERTIFYING OFFICER)		(TITLE) Contracting Officer	
ACCOUNTING CLASSIFICATION					
D99694-0180-01-0					
CHECK NUMBER	ON ACCOUNT OF U.S. TREASURY		CHECK NUMBER	ON (NAME OF BANK)	
CASH	DATE		PAYEE		
		APR 28 1999			
1. WHEN STATED IN FOREIGN CURRENCY, INSERT NAME OF CURRENCY. 2. IF THE ABILITY TO CERTIFY AND AUTHORITY TO APPROVE ARE COMBINED IN ONE PERSON, ONE SIGNATURE ONLY IS NECESSARY. OTHERWISE THE APPROVING OFFICER WILL SIGN IN THE SPACE PROVIDED, OVER HIS OFFICIAL TITLE. 3. WHEN A VOUCHER IS RECEIPTED IN THE NAME OF A COMPANY OR CORPORATION, THE NAME OF THE PERSON WRITING THE COMPANY OR CORPORATE NAME, AS WELL AS THE CAPACITY IN WHICH HE SIGNS, MUST APPEAR. FOR EXAMPLE: "JOHN DOE COMPANY, PER JOHN SMITH, SECRETARY", OR "TREASURER", AS THE CASE MAY BE.					PER TITLE

PRIVACY ACT STATEMENT
THE INFORMATION REQUESTED ON THIS FORM IS REQUIRED UNDER THE PROVISIONS OF 31 U.S.C. 82b AND 82c, FOR THE PURPOSE OF DISBURSING FEDERAL MONEY. THE INFORMATION REQUESTED IS TO IDENTIFY THE PARTICULAR CREDITOR AND THE AMOUNTS TO BE PAID. FAILURE TO FURNISH THIS INFORMATION WILL HINDER DISCHARGE OF THE PAYMENT OBLIGATION.

03 P DW96940180 8T0115RA03 AUDITED BY Sm 5/17/99
#127,200.96 (line 001) IFMS INPUT 5-17-99
CERTIFIED BY THOMAS J. HAAS
DATE CERTIFIED MAY 17 1999

Revised Reimbursable (In-House)

Revised Reimbursable Procedures

- Obligations and expenditures must not exceed reimbursement authority specified in IAG
- USACE District Signature Cards (DD Form 577) forwarded to EPA CFMC
- USACE PM signs and certifies SF 1080 billing
- USACE District forwards certified monthly SF 1080 billing and status report to EPA CFMC
- USACE District sends “copy” of certified SF 1080 billing and status report to EPA RPM
- EPA CFMC processes payment within 5 days of receipt
- Payment discrepancy
 - Discussed and mutually agreed between EPA RPM and USACE PM
 - EPA RPM documents action in memorandum to USACE PM
 - Adjustment included in next monthly billing
- Final SF 1080 billing marked “Final” must be approved by EPA RPM before payment authorized by EPA CFMC

Superfund SF 1080 Certification Requirement

Standard Corps Certification

“I certify that the above articles were delivered and/or the services performed as stated and that the payment requested is correct to the best of my knowledge and should be paid and charged to the appropriation or fund(s) indicated.”

- Signed by USACE PM or individual with best knowledge of project and project details

Sample DD Form 577 – Signature Card

Exhibit 32. Sample DD Form 577 - Signature Card

1. NAME <i>(Type or print)</i>	2. PAY GRADE	3. DATE
4. OFFICIAL ADDRESS		
5. SIGNATURE		
6. TYPE OF DOCUMENT OR PURPOSE FOR WHICH AUTHORIZED		
THE ABOVE IS THE SIGNATURE OF THE AUTHORIZED INDIVIDUAL		
7. NAME OF COMMANDING OFFICER <i>(Type or print)</i>	8. PAY GRADE	
9. SIGNATURE OF COMMANDING OFFICER		

DD Form 577, MAY 88

*Previous edition may
be used until exhausted.*

SIGNATURE CARD

 ACCOUNTS OF


 9900261945 7

PAGE NO. 001
 VOUCHER FOR TRANSFERS
 BETWEEN APPROPRIATIONS AND/OR FUNDS
 (AR 37-1)
 NY - BZ630
 SIDNEY LANDELL, NY
 02GLG
 BU VOUCHER NO. 27004669
 278.348-1
 BILLING OFFICE (SEND REMITTANCE TO):
 USACE FINANCE CENTER (G5)
 KANSAS CITY DISTRICT
 5720 INTEGRITY DRIVE
 MILLINGTON, TN 38054-5005

LINE ITEM	MOA	BILLED ACCOUNTING CLASSIFICATION	DESCRIPTION	NA	96 NA X	3122.0000 G5 08 2416 848 012102	96231	\$3,788.66
1	INHOUSE - LABOR	DEPARTMENTAL OVERHEAD COSTS						\$628.79
1	INHOUSE - LABOR	GENERAL AND ADMINISTRATIVE OVERHEAD COSTS						\$710.33
1	INHOUSE - LABOR	LABOR						\$2,449.54
								\$3,788.66
								\$.00
								\$3,788.66

AUDITED BY *Jm 4/16/99*
 TPUS INPUT
 CERTIFIED BY *THOMAS J. HAAS*
 AUTHORIZED CERTIFYING OFFICER
 DATE CERTIFIED APR 16 1999

CORPS CERTIFICATION
 "I CERTIFY THAT THE ABOVE ARTICLES WERE DELIVERED AND OR THE SERVICES PERFORMED AS STATED AND THAT THE PAYMENT REQUESTED IS CORRECT TO THE BEST OF MY KNOWLEDGE AND SHOULD BE PAID AND CHARGED TO THE APPROPRIATION(S) OR FUNDS AS INDICATED."
 4-8-99
 SIGNATURE *Thomas J. Haas*
 DATE

FUNDS AUTHORIZED: \$65,000.00
 TOTAL BILLED AMOUNT: \$3,788.66
 PREVIOUS BILLED AMOUNT: \$.00
 CURRENT BILLED AMOUNT: \$3,788.66
 TOTAL FLUX BILLED: \$.00
 PREVIOUS FLUX BILLED: \$.00
 CURRENT FLUX BILLED: \$.00
 DA FORM 4445-P
 APPROVED BY TREASURY -
 FOR USE IN LIEU OF SF 1080

03 P DW96941816 9T 0212BEO2 #3788.66 (Line 001)
 AUTHORIZED ADMINISTRATIVE OR CERTIFYING OFFICER
 G5

Note: SF 1080 bill with IAG number, site name, and certifying officer's name printed after the customer order number.

CIC #: 99EPA SUPERFUND
 BILLED DATE 02-APR-1999
 CUSTOMER ORDER NUMBER DM93310-01-8 C
 (B2725 GARY MORIN
 (DAVIS LIQUID WASTE RI

D.O. VOUCHER NO. BU VOUCHER NO. BILL NO. PAID BY CHECK NO. COLLECTION VOU. NO.
 61000311

VOUCHER FOR TRANSFERS
 BETWEEN APPROPRIATIONS AND/OR FUNDS
 (AR 37-1)

PAGE NO. 001
 ACCOUNTS OF

BILLED OFFICE (MAIL TO):
 ENVIRONMENTAL PROTECTION AGENCY
 FINANCIAL MANAGEMENT CENTER
 ATTN: JEFF MARSALA

BILLING OFFICE (SEND REMITTANCE TO):
 USACE FINANCE CENTER
 FOR USACE NEW ENGLAND
 5720 INTEGRITY DRIVE

CINCINNATI, OH 45268-7702
 AITH:

MILLINGTON, TN 38054-5005

LINE ITEM	BILLED ACCOUNTING CLASSIFICATION	MOA	DESCRIPTION	BILLING ACCOUNTING CLASSIFICATION	AMOUNT
68 20 X	8145.0000 X	00 0000 NA	NA	3122.0000 E6 08 2418 848 021N17	96190
001	INHOUSE - LABOR		DEPARTMENTAL OVERHEAD COSTS		\$483.98
001	INHOUSE - LABOR		GENERAL AND ADMINISTRATIVE OVERHEAD COSTS		\$386.07
001	INHOUSE - LABOR		LABOR		\$1,245.41
			SUBTOTAL		\$2,115.50
			PARTIAL AMOUNT PAID		\$.00
			PAY THIS AMOUNT		\$2,115.50

I CERTIFY THAT THE ABOVE ARTICLES WERE DELIVERED AND/OR THE SERVICES PERFORMED AS STATED AND THAT THE PAYMENT REQUESTED IS CORRECT. IF THE PAYMENT SHOULD BE PAID TO ANOTHER AGENCY OR FUNDS AS INDICATED, THE PAYMENT SHOULD BE MADE TO THE APPROPRIATE AGENCY OR FUNDS AS INDICATED.

4/27/99
 NAME
 Gary Morin
 SIGNATURE
 Project Manager
 CEMAE-OP-F

FUNDS AUTHORIZED: \$3,756,519.64
 TOTAL BILLED AMOUNT: \$3,404,120.59
 PREVIOUS BILLED AMOUNT: \$3,402,005.09
 CURRENT BILLED AMOUNT: \$2,115.50
 TOTAL FLUX BILLED: \$.00
 PREVIOUS FLUX BILLED: \$.00
 CURRENT FLUX BILLED: \$.00

CERTIFICATE OF OFFICE BILLED
 I CERTIFY THAT THE ABOVE ARTICLES WERE RECEIVED AND ACCEPTED OR THE SERVICES PERFORMED AS STATED AND SHOULD BE CHARGED TO THE APPROPRIATION(S) AND/OR FUND(S) AS INDICATED ABOVE, OR THAT THE ADVANCE PAYMENT REQUESTED IS APPROVED AND SHOULD BE PAID AS INDICATED.

DATE: _____ AUTHORIZED ADMINISTRATIVE OR CERTIFYING OFFICER: _____

DA FORM 4445-R
 APPROVED BY TREASURY -
 FOR USE IN LIEU OF SF 1080

EPA Execution Phase Comments (prepared by the EPA Cincinnati Financial Management Center)

1. The U.S. Army Corps of Engineers (USACE) will begin to provide services as outlined in the IAG. The work should not begin prior to the beginning date of the Project Period and should only continue until the ending date of the Project Period. EPA can extend the Project Period of an IAG either through an Increased Funding amendment to the IAG or through a No-Cost Extension amendment to the IAG. In both cases, EPA should negotiate the updated conditions of the IAG with USACE. Any amendment that is processed would follow the same procedures as outlined for a new IAG in the Origination Phase.
2. The EPA Remedial Project Manager (RPM) will work closely with the USACE Program/Project Manager (PM) to monitor the work and to ensure the work is in conformance with the terms of the IAG.
3. As work begins, USACE will submit bills to the EPA Cincinnati Financial Management Center (CFMC) for payment. The performing USACE District will submit a Request for Reimbursement (SF 1080) (or bill form in lieu of a SF 1080 bill), a Payment Estimate-Contract Performance (ENG Form 93) (contractor pay estimate), or a Public Voucher for Payment (SF 1034) (contractor pay estimate which must be certified by the Defense Contract Audit Agency (DCAA)).
4. All USACE bills (SF 1080, ENG 93, or SF1034) for a Superfund site-specific agreement must be certified by the USACE PM. CFMC maintains a file of signature cards (DD Form 577) for all USACE PM's that can certify payments on behalf of USACE. CFMC cannot pay a bill if it has been certified by a USACE representative that does not have a signature card on file with CFMC.
5. The USACE PM is required to certify all bills and send a copy of the bill to CFMC along with a Monthly Progress Report. The USACE PM must also forward a copy of the certified bill, the Monthly Progress Report, and any other negotiated information to the EPA RPM. If there are any disputes in the charges billed, they will be discussed between the EPA RPM and the USACE PM. If it is determined that charges were billed in error, USACE will either make the adjustment on a future bill or will issue a refund check to CFMC. If an EPA RPM does not receive copies of bills from the USACE District, they should contact the USACE PM.
6. Based on the MOU between EPA and USACE, all SF 1080 bills which are certified correctly are to be paid within 5 working days of receipt by CFMC. All ENG 93 and SF 1034 payments will be made in accordance with the Prompt Pay Act. It is very important that CFMC knows when the invoice from the contractor was received at USACE so that the payment due date can be properly calculated according to the Prompt Pay standards.
7. When CFMC receives the bill for payment, the bill will be checked to verify the following:
 - A) The bill must identify a valid EPA IAG number
 - B) The bill is certified by a valid representative of USACE
 - C) The charges were incurred within the Project Period of the IAG
 - D) If the bill references a multi-site EPA Generic IAG number, a site name must be provided so that the charges can be posted to the correct account.
8. Once the bill is determined to be valid, CFMC will process the payment transaction in IFMS. All of EPA's payment transactions are summarized on a tape which is sent to Treasury to have checks printed and issued. For SF 1080 bills, EPA will send the check to the address listed on the bill as

the Billing Office. On these checks, EPA will reference the bill number, the EPA IAG number, and the site name. For contractor pay estimates (ENG 93 or SF 1034), EPA will issue the check to the contractor payment address provided by USACE. On these checks, EPA will reference the contract number, the pay estimate number, and the EPA IAG number. If the contractor requests additional information to be referenced on the check, EPA will provide that information.

9. Effective January 1, 1999, all government contracts should be paid by Electronic Funds Transfer (EFT). Since USACE has the contract with the contractor, it is their responsibility to obtain the necessary banking information from the contractor. When USACE sends a request for banking information to the contractor, the request should note that the contractor must send the completed form to CFMC. CFMC will work with the contractor to ensure the required information is provided in order to identify the payment after it has been made electronically.
10. CFMC will forward bills to the EPA RPM for approval when a USACE bill is marked "Final" or when the charges appear to be for a time period beyond the end of the Project Period. If the charges are for a time period after the Project Period expiration date, CFMC will request the EPA RPM advise CFMC of the status of the IAG. If the IAG is subsequently extended, any new bills will be paid within the 5 day standard without being sent to the EPA RPM for approval.
11. If CFMC receives any type of USACE bill without all the required information, CFMC will return the bill to the address listed as the Billing Office. CFMC will attach a cover letter with the original bill which explains why the bill is being returned. CFMC does not keep a copy of the bills which are returned. Once USACE has corrected the bill, USACE should resubmit the bill to CFMC for processing.
12. For any bill that has not been paid, the USACE Finance Center should either contact CFMC or send a Past-Due Notice to CFMC. In the majority of cases, the bill has not been paid because CFMC has not received the original certified bill from the performing USACE District. CFMC will notify the USACE Finance Center that they need to send a certified copy of the bill to CFMC so that the payment can be processed. If a contractor wants to check on the status of payment, they should contact CFMC.

Narrative Monthly Progress (Status) Reports – Forwarded to EPA with SF 1080 Billing

Monthly Progress Report at a Minimum Will Provide

- Site Name and IAG Number
- Summary of Work Performed
- Estimated Percent Complete (percentage physically complete and percentage financially complete)
- Summary of Change Orders/Claims During the Month (brief description, dollar value, status)
- Public Contacts During the Month
- Special Problems Encountered
- Projected Work for the Next Month
- Statement of Charges and Accounting of Funds Expended for Month :
 - Brief Statement on Normal Monthly In-House Costs
 - Detailed Statement Regarding Unusual Items or any Sudden Change in Monthly Costs

USACE Brokered Work

EPA Superfund Program

Environmental Brokered Work Between USACE Districts

- Performing USACE District requests assistance from another USACE District.
- Only Revised Reimbursable funding can be transferred between USACE Districts
- CEFMS Government Order (MIPR) issued by performing USACE District
- Expiration date of CEFMS Government Order cannot exceed IAG or WAF expiration date specified by EPA
- Receiving USACE District establishes funding as a CEFMS Customer Order:
 - Appropriation: 96X3122 (Construction General)
 - Category Class Sub Class Code: B99
 - Management Structure (CWIS) Code: 099996
 - Command Indicator Code: 99EPA

Notes, cont.

IAG Financial Close-Out Procedures

Close-Out Procedures for IAG Funding

Close-Out Checklist

- USACE District Verification Project is Financially Complete:
 - All costs recorded and final billed to EPA
 - All final contract payments processed
 - All obligations/commitments liquidated
 - All accounts receivable amounts collected
 - All audits completed for contracts subject to DCAA review
 - All contractor claims or outstanding issues resolved and finalized
 - Remaining balance of funding in EPA and USACE accounting records must agree

Requesting EPA Close-Out

- USACE District forwards memorandum to EPA Region with copy to HTRW-CX stating project is complete and requests close-out action. Memorandum should include:
 - Site Name and IAG Number
 - Total Funding Authorized
 - Total Amount of Funding Utilized
 - Remaining Balance of Funding Available for Revocation
 - USACE PM (name and telephone number)
- USACE District must retain remaining funds in CEFMS and continue to report funding balance on 3011A Report until an HTRW-CX cover letter with the signed EPA close-out document attached is received.
- Remaining funds revoked for Site-Specific WAF are not returned to the Generic IAG (exception for WAF cancelled by EPA before USACE costs incurred)
- Generic IAG cannot be closed until all Site-Specific WAFs issued from the Generic IAG are finalized and closed

EPA Close-Out Phase Comments

(prepared by the EPA Cincinnati Financial Management Center)

1. The EPA Remedial Project Manager (RPM) should contact the EPA Grants Management Office (GMO) to initiate the close-out of an IAG when the RPM has confirmed with the U.S. Army Corps of Engineers (USACE) Program/Project Manager that a project is complete and that all costs have been billed and paid.

2. EPA's Close-out Policy states that all IAGs should be closed out within 9 months after the end of the Project Period. If the RPM has not initiated close-out procedures, GMO will begin these close-out procedures no later than 90 days after the end of the Project Period. GMO will contact the EPA Cincinnati Financial Management Center (CFMC) to determine the balance of remaining funds on an IAG and to verify if there are any outstanding bills waiting to be processed. GMO will then send a close-out certification letter to the RPM to confirm if the final report or product(s) has been received, if the CFMC balance is correct, and if the RPM approves the action to close the IAG.
3. GMO will send a close-out letter to the USACE HTRW-CX stating EPA's balance of funds and include a statement that this balance will be deobligated within 15 days if EPA (CFMC) is not notified that there is a discrepancy in the balance between the two agencies. GMO will also send a copy of this letter to the EPA RPM and to CFMC.
4. Unless the CFMC receives notification from the USACE HTRW-CX or the USACE District stating that the project is not financially complete, the balances do not agree between the two agencies, or the IAG cannot be closed due to a pending audit or claim, CFMC will proceed with the close-out action. CFMC will process a Journal Voucher to deobligate the funds in IFMS. After the funds are deobligated, they are returned to the Superfund Trust Fund.
5. If CFMC is notified that there is a dispute with the balance, they will not proceed with close-out until all bills are reconciled and both agencies agree on the final balance. CFMC will work with the performing USACE District to reconcile the remaining balance. Once the two agencies agree on the funding amount to be revoked, EPA will either reissue a new close-out letter, or CFMC and the HTRW-CX will agree to make a "pen-and-ink" change to the original letter.
6. If USACE submits a request for close-out action to the EPA Region before EPA has started close-out procedures, EPA should proceed with their normal close-out procedures. GMO should also attach a copy of USACE close-out request to the copy of the close-out letter which is sent to CFMC. This would verify that the balances for the two agencies agree.
7. If EPA has closed out (deobligated) an IAG before being notified by USACE that the balances do not agree, CFMC will work with the performing USACE District to reconcile the close-out balance. If it is determined that EPA still needs to pay a bill, USACE will submit the bill to CFMC. The bill will then be sent to the EPA RPM for approval. If the bill is approved, CFMC will reopen enough funds against the IAG to pay this bill. If the balances now agree between the two agencies, CFMC does not need to take any more action as the funds were already deobligated (there should be no remaining balance after the last bill is paid).
8. For a Generic IAG where site-specific Work Authorization Forms (WAFs) have been issued for multiple sites, each site-specific WAF must be reconciled and closed through a decrease WAF. The remaining WAF funds cannot be returned to the Generic account from the Site-Specific account. A Generic IAG cannot be closed until all the individual site-specific WAFs have been closed.

Exhibit 34. Sample USACE Close-Out Request Memo to EPA

**EPA Superfund Program
Sample USACE Close-Out Request to EPA Region**

U.S. Environmental Protection Agency
Region _____
Attn: _____
(Address)

Dear _____:

The following EPA Superfund activity has been completed. Request the funding documents issued for this activity be financially closed and the remaining funding revoked.

Site Name:

IAG Number: DW969 _____

Period of Performance:

Assignment Title: (Example: Technical Assistance, Remedial Design, Remedial Action, etc.)

EPA Remedial Project Manager:

Total Funds Authorized: \$

Total Funds Expended (Final Cost) \$

Balance of Funding Available for Revocation: \$

USACE Program/Project Manager: (name, telephone number, e-mail address)

After the balance of funding to be revoked by your region has been verified with the EPA Cincinnati Financial Management Center, please forward a written and signed close-out document to the following address:

U.S. Army Corps of Engineers
HTRW-CX
Attn: Marvene Seaman (CENWO-HX-S)
12565 West Center Road
Omaha, NE 68144-3869

The point of contact for this memo is _____.

Sincerely,

CF:
Division Superfund Coordinator
CENWO-HX-S (M. Seaman)
RPM, OSC, or State Program Officer
EPA CFMC (J. Marsala)

(Note: Direct Fund Cite amounts and Revised Reimbursable amounts must be identified separately. Sample letter format can also be used to identify "excess" funds without closing the agreement.)

Exhibit 35. Decrease Site Authorization Form Process

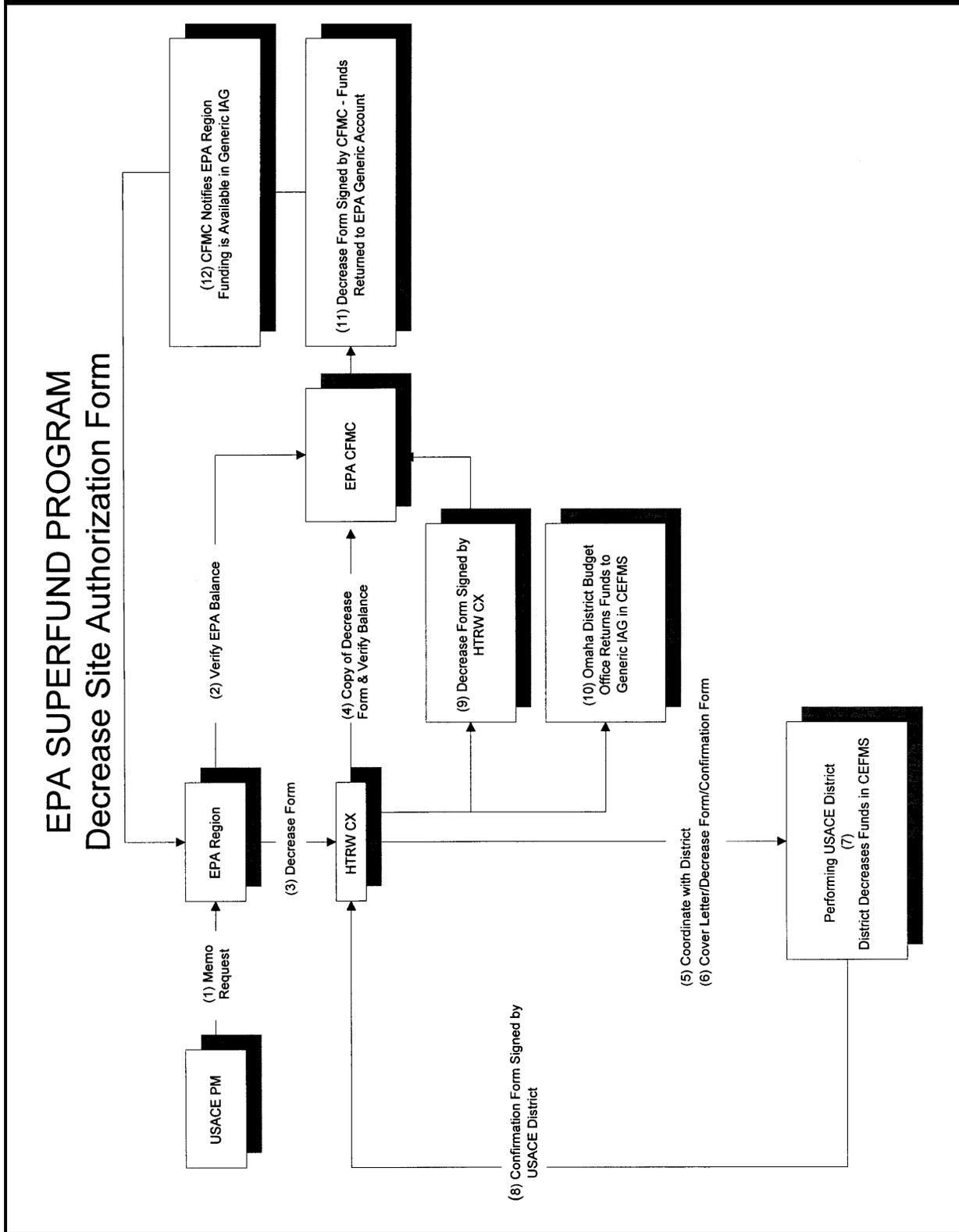


Exhibit 37. Sample USACE Decrease Confirmation Form

(Note: This page will be prepared by the HTRW-CX upon receipt of the Decrease Site Authorization Form from the EPA Region, and forwarded to the USACE District for a confirmation of acceptance signature)

**U.S. EPA Superfund Program
Decrease Site Authorization Form
USACE District Confirmation of Acceptance**

From: U.S. Army Corps of Engineers
_____ District

To: U.S. Army Corps of Engineers (HTRW-CX)
Attn: Marvene Seaman (CENWO-HX-S)
12565 West Center Road (Phone No. (402) 697-2425)
Omaha, NE 68144-3869 (Fax No. (402) 697-2613)

1. Funding for the following EPA Superfund project has been decreased in the Corps of Engineers Financial Management System (CEFMS):

Site Name: _____

IAG Number: _____ CEFMS "Task" Funded Work Item Code: _____

Financing Appropriation: 96X3122, Construction General
Category Class Code (CCSC): _____
Management Structure (CWIS) Code: _____

Amount of Funding Decrease: \$ _____

Authorized USACE District Signature

Date

(Note: All information above will be provided by the HTRW-CX on the form – USACE District will only need to sign and date form if the information is correct)

Instructions for Decrease Site Authorization Form (Return Funds to Generic IAG)

Definition

A Decrease Site Authorization Form will be prepared by an EPA Region to decrease funding issued to the U.S. Army Corps of Engineers (USACE) on a Site-Specific Work Authorization Form from a Generic IAG. **The balance of funding must agree in the EPA and USACE accounting records before the funding can be decreased by either agency.**

After all required signatures have been completed by the EPA Region, USACE Hazardous, Toxic & Radioactive Waste Center of Expertise (HTRW-CX), and EPA Cincinnati Financial Management Center (CFMC) on the Decrease Site Authorization Form, EPA CFMC will return the funding deobligated from the EPA site-specific account to the EPA generic account so that the funding is available in the EPA Region Generic IAG for future work to be identified.

The use of the Decrease Site Authorization Form is effective 1 December 1999. It has been mutually agreed by EPA Headquarters and USACE Headquarters that any funding decreased for a Site-Specific Work Authorization Form prior to 1 December 1999 will not be retroactively returned to the EPA generic account.

Process

1. When a project is financially complete, the performing USACE District Program/Project Manager (PM) will forward a written memo to the EPA Remedial Project Manager (RPM)/On-Scene Coordinator (OSC) to request close-out action (a copy of the memo should be forwarded to the HTRW-CX). The USACE memo must include the total funding authorized, the total funding expended, and the balance of remaining funding for the project..
2. If the EPA RPM/OSC agrees that the project can be closed, the EPA Region will contact the EPA CFMC to verify that the EPA balance agrees with the USACE balance of remaining funding and confirm that all payments have been finalized.

(Note: In some instances, the EPA RPM/OSC and USACE PM may mutually agree to decrease excess funding without closing a project. The USACE PM will forward a written memo to the EPA RPM/OSC which will state the amount of excess funding available to be decreased. If the EPA RPM/OSC agrees with the amount of excess funding to be decreased, the EPA Region will verify the funding amount with the EPA CFMC.)

3. The EPA Region will prepare and sign the Decrease Site Authorization Form and forward the document to the USACE HTRW-CX.
4. The USACE HTRW-CX will forward a copy of the Decrease Site Authorization Form to EPA CFMC and coordinate the balance to be decreased
5. The USACE HTRW-CX will coordinate the decrease request with the performing USACE District to confirm that the project is financially complete, verify that any applicable audits are finalized, confirm that there are not any outstanding issues or claims to be resolved, and confirm that the district is ready to close the project. (If the Decrease Site Authorization Form decreases excess funding but does not close the project, the HTRW-CX will confirm the amount to be decreased with the USACE district.)

(Note: If there is a discrepancy between the USACE and EPA balance to be decreased, the

USACE District will contact the EPA CFMC to reconcile the difference. When the EPA and USACE balances have been reconciled, EPA CFMC and the USACE District will verify the correct amount to be decreased with the HTRW-CX.)

6. The USACE HTRW-CX will prepare a cover letter that will be attached to the EPA Region Decrease Site Authorization Form, and the documents will be forwarded to the USACE District. The HTRW-CX will also attach a USACE Confirmation of Acceptance Form for the USACE District to sign and return to the HTRW-CX to ensure that the EPA Decrease Site Authorization Form has been accepted by the USACE District.
7. The EPA Region Decrease Site Authorization Form will be processed by the USACE District, and the funding will be decreased in the Corps of Engineers Financial Management System (CEFMS).
8. The USACE District will forward the signed USACE Confirmation of Acceptance Form to HTRW-CX.
9. Upon receipt of the signed USACE District Confirmation of Acceptance Form, the HTRW-CX will sign the Decrease Site Authorization Form and forward the signed document (a copy of the USACE District Confirmation of Acceptance Form will be attached) to the EPA CFMC.
10. The HTRW-CX will coordinate with the Omaha District Budget Office to return the decreased site-specific funding to the Generic IAG in the CEFMS system.
11. Upon receipt of the HTRW-CX signature on the Decrease Site Authorization Form, EPA CFMC will transfer the decreased funds to the EPA generic account. The EPA CFMC will then sign the Decrease Site Authorization Form and return a copy to the USACE HTRW-CX.
12. EPA CFMC will notify the EPA Region that the funds have been returned to the EPA generic account and are available for the EPA Region to use for any new Site-Specific Work Authorization Forms to be issued in the future.

(Note: All Site-Specific Work Authorizations Forms issued to USACE from a Generic IAG must be reconciled and closed before a Generic IAG can be financially closed. The balance of funding remaining in the Generic IAG must agree in the USACE and EPA accounting systems before any close-out action can be initiated or processed by the EPA Region to close the Generic IAG.)

Notes, cont.

USACE Financial Close-Out of IAGs (ER 37-5-3)

Exhibit 38. ER 37-5-3 USACE Financial Close-out of Interagency Agreements

(Page 1 of 9)

Note: All references to Missouri River Division Budget Office (CEMRD-RM-B) and Missouri River Division, HTRW and Engineering Directorate, HTRW Management Division (CEMRD-ED-HS) should be replaced with "Hazardous, Toxic & Radioactive Waste Center of Expertise (HTRW-CX), Environmental Studies & Liaison Branch (CENWO-HX-S)."

ER 37-5-3
30 June 1994



**US Army Corps
of Engineers**

Financial Administration EPA/Corps Superfund Program Financial Closeout of Interagency Agreements

CEMP-R

CEMP-R
Regulation
No. 37-5-3

DEPARTMENT OF THE ARMY
U.S. Army Corps of Engineers
Washington, D.C. 20314-1000

ER 37-5-3

30 June 1994

Financial Administration
EPA/CORPS SUPERFUND PROGRAM
FINANCIAL CLOSEOUT OF INTERAGENCY AGREEMENTS

1. Purpose. This regulation provides general policy and guidance for establishing procedures governing financial closeout of Interagency Agreements (IAGs) between the Environmental Protection Agency (EPA) and the U.S. Army Corps of Engineers (USACE) to be executed under the EPA Superfund Program. It covers IAGs involving both the Direct Cite and Reimbursable Funding Methods.

2. Applicability. This regulation applies to all USACE elements, major subordinate commands (MSC), districts and laboratories performing activities which are covered by an EPA/USACE IAG to be executed under the EPA Superfund Program.

3. References.

a. ER 37-2-10, Financial Administration, Accounting and Reporting - Civil Works.

b. ER 1110-2-500, Corps/EPA Superfund Program Funding and Reporting Requirements.

c. Hazardous, Toxic and Radioactive Waste Management Plan, 17 June 1988, Directorate of Engineering and Construction.

4. Policy.

a. It is USACE policy to financially close out IAGs under the EPA Superfund Program as expeditiously as possible. Closeout is required when: (1) EPA and USACE have acknowledged that all work under the IAG is complete and final payment has been made; (2) the IAG has expired and an extension has not been requested; or (3) notification of the termination of the USACE assignment is received from EPA. When all projects or work assignments funded by a particular IAG are fiscally complete, the performing activity (which accepted the IAG) will send a letter to the issuing EPA Office with a copy to the Missouri River Division Budget Office (CEMRD-RM-B). The letter will state that the project is fiscally complete, and give the total amount of funds utilized and the amount of excess funds to be revoked, if any. The performing activity will retain any excess funds on its books, until written notification is received from EPA officially withdrawing the funds.

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b. IAGs shall not be financially closed until all of the following conditions have been met:

- (1) All goods and/or services have been received.
- (2) All claims are resolved.
- (3) All Architect-Engineer issues are resolved.
- (4) Confirmation that final payment has been made.

Note: In the case of the Direct Cite funded IAGs, confirmation is required that the final payment has been made by EPA's Cincinnati Financial Management Center (CFMC) to the contractor(s).

(5) Confirmation that all EPA Superfund receivables have been collected from CFMC.

5. General. General information on reporting financial closeouts follows (Note: All work assignments will be made in accordance with guidance furnished by CEMP-RS.):

a. There are three types of IAGs currently used under the Superfund Program. They are: Management and Support (M&S), Generic (Multi-Site), and Site-Specific.

(1) Management and Support IAG. Management and Support IAGs are used for non site-specific funding and are provided from Headquarters EPA to HQUSACE (CEMP-R). Note: For M&S activities assigned to MSCs, HQUSACE will issue funding using DD Form 448, Military Interdepartmental Purchase Request (MIPR).

(2) Generic (Multi-Site). Generic IAGs are used for future work at several sites in cases where site-specific assignments have not yet been identified. The intent of generic IAGs is to expedite funding for small repetitive assignments such as technical assistance. Note: EPA Work Authorization Forms, as addressed in OSWER Directive 9295.0-01, will be forwarded to CEMRD-RM-B by the originating EPA Region(s) to designate site-specific assignments under the generic IAG. CEMRD-RM-B will review the Work Authorization Form for tasking assignments and conformance with the EPA/USACE National IAG (Memorandum of Understanding).

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(3) Site-Specific IAG. Site-Specific IAGs will be issued for all work assignments (remedial investigation and feasibility study, remedial design and remedial action, oversight of potentially responsible parties, technical assistance, etc.) except where identified in paragraph 5a(2). Funding from the EPA region will be issued as a site-specific IAG for the particular assignment. The issuing EPA region will forward all site-specific IAGs to CEMRD-RM-B for review in coordination with the Missouri River Division, HTRW and Engineering Directorate, HTRW Management Division, (CEMRD-ED-HS) to ensure that the IAG conforms with the EPA/USACE National IAG and to ensure that all Site-Specific IAGs are recorded in the USACE financial management system. The Site-Specific IAG will be transferred to the performing district for acceptance. Note: If other activities will be assisting on a particular assignment, the performing activity will provide the necessary funds to the supporting activity by MIPR. Only reimbursement authority of the IAG can be transferred to another activity.

b. Financial completion of an IAG occurs when:

- (1) All costs have been recorded.
- (2) Final payment (to Architect-Engineer and/or construction contractor, if applicable) has been made.
- (3) All obligations have been liquidated.
- (4) All accounts receivable have been collected.
- (5) All excess funds have been returned.

6. Requirements.

a. Management and Support IAG. Upon expiration of the M&S IAG, 60 days will be allowed for each MSC to review accounts, certify final costs, and notify HQUSACE (CEMP-RA) in writing of the amount of funds available for revocation. All MIPRs will automatically be closed within 90 days after they expire (MIPRs are issued with the same expiration date as the IAG that funds them) unless written justification is received and approved by HQUSACE (CEMP-RA). HQUSACE (CEMP-RA), in coordination with CEMP-RS, will notify EPA Headquarters in writing that the IAG is

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ready to be closed. CEMP-RA will also issue in coordination with CEMP-RS the total amount of funds utilized by IAG budget categories and the amount of excess funds to be revoked, if any. EPA Headquarters will prepare an amended IAG to reflect the total amount of funds utilized by budget categories and forward the IAG to HQUSACE (CEMP-RA). HQUSACE (CEMP-RA) will ensure that appropriate entries are initiated to remove the excess funds from the USACE accounting system and return them to Headquarters EPA. The goal is to financially close out M&S IAGs within six (6) months after they expire.

b. Generic (Multi-Site) IAG. The issuing EPA region will provide written notification to CEMRD-RM-B that the generic IAG is to be closed. The amount of any excess funds identified with the generic IAG to be revoked will be verified by CEMRD-RM-B. CEMRD-RM-B will coordinate with CEMRD-ED-HS and ensure that appropriate entries are initiated to deobligate excess funds in the USACE accounting system. The goal is to financially close out generic IAGs within six (6) months after written notification is received from EPA that all site-specific work authorization assignments issued from the generic IAG have been closed by EPA. Note: A generic IAG can only be closed after all site-specific work authorization assignments issued from the generic agreement are fiscally closed and all excess funds for each work authorization have been officially withdrawn by EPA. When the work assignment under a particular Superfund Generic IAG is fiscally complete, the performing activity will prepare a memorandum to the appropriate EPA region with a copy provided to CEMRD-RM-B stating the project is complete, the total funds utilized, and identifying any excess funds to be revoked. Attach to the CEMRD-RM-B copy, a final cost report as identified in Appendix A. When written notification is received from EPA, deobligated funds are returned to EPA but not to the generic IAG for subsequent site-specific assignments. The only circumstance in which funds may be returned to the generic IAG is if a site-specific work authorization assignment is cancelled in total prior to any obligation of funds by USACE. The goal is to financially close out all Work Authorization Forms within six (6) months after all work covered and funded under the particular assignment is completed, i.e., all conditions listed under paragraph 4b are met.

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c. Site-Specific IAG. When the work assignment under a particular Superfund Site-Specific IAG is fiscally complete, the performing activity will prepare a memorandum to the appropriate EPA region stating the project is complete, the total funds utilized, and identifying any excess funds to be revoked. A copy will be provided to CEMRD-RM-B with an attached final cost report as identified in Appendix A. The performing activity will retain any excess funds in the accounting system until written notification is received from EPA that the excess funds are officially withdrawn. The EPA region will forward the official written closeout notification to CEMRD-RM-B. CEMRD-RM-B, in coordination with CEMRD-ED-HS, will transmit the EPA closeout notification to the appropriate performing activity. The performing activity will coordinate the closeout with the Resource Management Office and Superfund Division Coordinator. Resource Management Office will deobligate the excess funds in the USACE accounting system. The goal is to financially close out all Site-Specific IAGs within six (6) months after all site-specific work covered under the particular IAG is completed. Note: If other activities will be assisting on a particular assignment, upon completion of that assignment, the supporting activity should notify the issuing activity of the final costs. Unobligated balances, if any, should be returned to the issuing activity to close out the order. The goal is to financially close out all Intra-USACE Orders within three (3) months after all the work covered and funded under the particular Intra-USACE Orders is completed.

7. Implementation:

a. HQUSACE elements, MSCs, districts and laboratories performing work covered by an EPA/USACE IAG under the EPA Superfund Program shall establish as a minimum written procedures for the following:

(1) Review, on a quarterly basis, all IAGs which are due for financial closeout.

(2) Forecast closeouts consistent with IAG expiration date and take action to assure that closeouts are accomplished within the time frames stated in paragraphs 6a-c above.

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(3) Identify significant actions which must be completed to allow financial completion.

(4) Designate responsibilities of the Chiefs of Project Management, Program Management, Resource Management, etc. for financial closeout.

(5) Designate at least one individual to monitor and maintain current status of IAGs not financially closed out.

(6) Provide to HQUSACE (CEMP-RS), in writing within two weeks after the end of each quarter, copy furnished CEMRD-RM-B, a summary status report of those IAGs on which closeout procedures have been instituted. The summary report will be prepared in tabular form and list the following:

(a) Category/class/sub-class.

(b) Performing district.

(c) CWIS number.

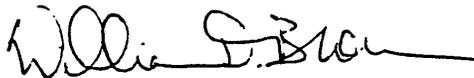
(d) Project name.

(e) Amount of excess funds.

(f) Date EPA region was officially notified about the excess funds available to be returned.

b. MSC commanders shall monitor their districts' financial closeout performance and provide assistance when necessary.

FOR THE COMMANDER:



1 Appendix
App A - (Final
Cost Report)

WILLIAM D. BROWN
Colonel, Corps of Engineers
Chief of Staff

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Appendix A
FINAL COST REPORT

A final cost report is required on every Superfund IAG or Work Authorization assignment. The reports will be utilized by the HTRW MCX to create a Superfund historical cost data base. The following are the cost elements to be provided on the summary report.

REMEDIAL DESIGN:

- a. Contract Payments. The sum of all payments to contractors for work and claims. Contract payments processed under the direct fund cite method are to be included.
- b. Contract Management Costs. All in-house charges, including departmental overhead but excluding General and Administrative (G&A) overhead, for the procurement of contracts and the management/review of contracted work.
- c. General and Administrative Overhead. Total G&A overhead assessed the project.
- d. In-House Design. For design accomplished with in-house forces, report two cost elements: (1) In-house (excluding G&A); (2) G&A Overhead.

REMEDIAL ACTION:

- a. Contract Payments. The sum of all payments to contractors for work and claims. Contract payments processed under the direct fund cite method are to be included.
- b. Contract Management Costs. All in-house charges, excluding G&A overhead, for supervision and inspection of contract work.
- c. Engineering and Design after Award - By Contract. Engineering and Design (E&D) after Award (By Contract).
- d. Engineering and Design after Award - By In-House. All in-house charges with the exception of G&A overhead.
- e. General and Administrative Overhead. Total G&A overhead assessed the project.

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TECHNICAL ASSISTANCE:*

- a. Contract Payments (If Applicable). The sum of all payments to contractors for work and claims.
- b. In-House Cost. All in-house charges, including departmental overhead but excluding G&A overhead.
- c. General and Administrative Overhead. Total G&A overhead assessed the project.

*Technical Assistance includes the following:

- Field Investigations
- Feasibility Studies
- Oversight of Remedial Design (Potential Responsible Party)
- Oversight of Remedial Action (Potential Responsible Party)
- Site Assessments
- Survey and Mapping
- Remedial Investigation/Feasibility Studies
- Emergency Technical Assistance
- Real Estate Relocations/Acquisitions
- Operations and Maintenance

A-2

**CLOSEOUT POLICY FOR DISBURSEMENT INTERAGENCY AGREEMENTS
(February 12, 1999)****Purpose of Document**

This document establishes EPA's policy and procedures to close Disbursement Interagency Agreements.

Effective Date

This policy becomes effective upon the date of signature. This policy supersedes the policy and procedures to close disbursement interagency agreements found in the 1988 EPA Assistance Administration Manual and in the 1988 Interagency Compendium.

Applicability

These policies and procedures apply to all Disbursement Interagency Agreements with the exception of allocation transfer agreements.

Definition of a Disbursement Interagency Agreement

A disbursement interagency agreement is:

- 1) a written agreement between Federal agencies under which goods and services are provided in exchange for funds or where services are provided without payment or
- 2) a written agreement between a Federal agency and a foreign government under which work will be conducted for, or services provided to, a foreign government or international organization or
- 3) a written agreement that sets forth basic policies or procedures governing the relationship between the agencies to accomplish a joint goal or project.

Policy

It is EPA's policy to close disbursement interagency agreements within nine months after the end of the project period. This will allow for other agencies to submit their final accounts and bill for costs incurred at the end of the project period. Each EPA program, administrative and financial office will be responsible for maintaining its respective interagency agreement files. For more information on Grants Management Office (GMO), Project Officer and Cincinnati Financial Management Center (CFMC) responsibilities, please see the attached excerpt on interagency agreements from the manual entitled, "Managing Your Financial Assistance Agreement: Project Officer Responsibilities."

GMOs should place their highest priority on closing out disbursement IAGs with no-year dollars to make funds available immediately to the Agency.

Procedures to close disbursement interagency agreements

EPA Grants Management Offices (GMOs), program offices and CFMC will use the following procedures to close EPA disbursement interagency agreements:

No later than 90 calendar days after the end of the project period, the GMO will review the financial information in the Integrated Financial Management System or contact CFMC to determine the remaining balance on the IAG.

Once the GMO receives the balance, it will send a closeout certification letter to the EPA Project Officer asking whether it received the final product, whether the CFMC balance is correct and whether the Project Officer approves the closure of the IAG. Project Officers have twenty-one calendar days after the date of EPA's closeout notification letter to respond. Where there is property, the GMO shall remind the Project Officer of the Project Officer's responsibility to dispose of property or equipment acquired or loaned under the agreement. For more information on property disposition, please refer to the attached chapter on interagency agreement property in the Personal Property Management Policy Manual (Chapter 4, "Interagency Agreement Property," Classification Number 4831, Personal Property Management Policy Manual, Facilities Management and Services Division, OARM, 1990).

Upon receipt of the Project Officer certification, the Grants Management Office shall send a closeout letter stating EPA's remaining balance to the Project Manager from the other agency (with a copy to CFMC).

If the Project Manager from the other agency disagrees with the remaining balance, the Project Manager from the other agency must contact CFMC. CFMC will work with the other agency and the GMO to resolve the discrepancy. If the Project Manager does not contact CFMC within 15 calendar days of the date of EPA's closeout notification letter, then CFMC will deobligate the remaining balance in EPA's Integrated Financial Management System (IFMS). The GMO will close the IAG in the Grants Information Control System and retain the administrative file according to EPA's record retention policies and procedures.

Notes

Cost Recovery Requirements

Cost Recovery Program

History

In 1980 the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) created a \$1.6 billion dollar Trust Fund known as Superfund. The intent was to create a fund that would be self-perpetuating. Funds recovered from the contaminators would be used to finance new cleanup actions. Section 107(a) authorized the government to recover all costs of removal or remedial actions incurred.

The Corps' involvement in the Superfund program dates back to 1982 when the Omaha and Kansas City Districts began providing design support to Regions 3 and 5. There are currently 34 Districts and Laboratories involved in the program.

Cost Recovery Mission

Under the USACE/EPA memorandum of agreement, any Corps office performing activities that are either directly or indirectly financed by the Superfund are required to create and maintain site-specific files for a period of not less than 10 years after completion of all work conducted at the site.

In 1989, a memorandum of agreement was signed by USACE/EPA establishing a cost recovery mission (see Exhibit 39). Under the agreement, EPA agreed to finance a contractor to visit each district, retrieve all the Superfund related financial documents and create the financial site files. USACE agreed to provide a Cost Recovery Task Manager to oversee the contractor's activities and provide the necessary coordination with the local district.

HQUSACE assigned the Task Manager responsibilities to the Missouri River Division. That function now resides with the HTRW-CX.

CERCLA Requirements

In order to pursue a cost recovery, the Government must be able to prove that the response action was necessary, that the Government did work at the site to remedy or prevent a release of hazardous substance, and that the government can accurately document the cost of the remedy or prevention.

Types of Records

Project Management Records

These records include but are not limited to; official correspondence, trip reports, meeting minutes and project status reports.

Contract Records

These files include the executed contract, contractor correspondence, government estimates, accepted and unsuccessful bid documents, start and stop orders, property accounts, wage rates, etc.

Financial Records

These files include all the various financial documents that support the billing documents issued to EPA.

- a. Certified labor documents
- b. Travel vouchers (to include the travel order, lodging and rental car receipts, airline ticket stubs, and any other receipt required by the Joint Travel Regulation)
- c. Contractor payments (receiving reports, invoices, and disbursement vouchers)
- d. In-house cost distribution vouchers (requisitions for reproduction, laboratory services, government vehicle usage, etc. and the associated billing document)
- e. Journal vouchers – documents used to correct previous document errors (cost transfers).

The financial site files created by the contractor are maintained in a central repository located in Omaha, NE under the direct control of the Cost Recovery Task Managers. Original documents are never from the control of the District office.

CEFMS and Superfund

Cost Recovery takes on a slightly different twist when CEFMS is involved. Under CEFMS, all financial documents with the exception of invoices and traveler receipts are electronic “documents” not paper. When documenting CEFMS costs, facsimile copies of the electronic records are created and submitted as evidence. With electronic signature comes the added burden of being able to demonstrate the system securities that insure the electronically signed record has not/cannot be altered undetected. The retention and security responsibilities for these records reside with the CEFMS Systems staff under the direction of the Finance Center.

The Cost Recovery Coordinators have permissions on all the CEFMS databases. Currently, they create the facsimile documents necessary for a currently active recovery case. Upon award of the new cost recovery contract, the contractor’s staff will be granted permissions and prepare all the site files. The following identifies actions that YOU can take to improve the quality of the CEFMS records supporting Superfund cost.

Work Items

Do not create more work items than absolutely necessary to effectively manage an IAG. A large number of work items creates confusion and increases the chances for errors.

Work Item Title

Always include the site name in the title. Adding the name reinforces the tie between the documents and the project. On the certified labor document only the ordering work item is listed. Therefore, if the project name only appears in the parent work item and not the children, the certified labor document will not identify the project being charged. The absence of the project name does not make it a bad document, but its presence does reinforce the relationship between the transaction and the project.

Requisitions

Insure the description identifies a clear and concise relationship between the item being procured and the project. Again, include the project name in the description.

Example: "Develop 6 rolls of film. Pictures taken at the XYZ site for study of....."
NOT: "Develop film".

Example: "Use of government vehicle for meeting with contractor at the XZY site on June 14 and 15." NOT: "Use of government vehicle."

Travel

Include site name and brief description in the Purpose Block. *Example: Inspect groundwater monitoring wells at ZZZ site.* Upon completion of travel, forward a copy of the travel voucher with all required (original) receipts to F&A for retention. In accordance with CERM-F memo, subject: Policy for Retention of Travel Expense Receipts, dated 7 June 1996, each district is required to centrally maintain all Superfund related travel vouchers in the Finance Office to allow for quick retrieval and insure a 30-year retention. A travel report has been developed in CEFMS that can be used to identify Superfund related travel. We recommend that your office generate this report at least monthly to ensure all Superfund travel is sent to F&A. (Instructions for running the report are attached.)

MIPRs

When issuing MIPRs to another Corps Office it is important not only to identify the project or site name, but also to clearly identify it as a Superfund funded project. If the RM office does not know it is a Superfund project, the proper Category/Class Code will not be used. (If a category class code of "B" is not used, the query for the attached travel report will be different.) Everyone needs to be put on notice that the special Superfund document retention requirements apply to the MIPR.

Documentation Process (CEFMS)

Utilizing the document correlation report as a guide, the USACE contractor will pull all the financial documents available in CEFMS directly from the local District's database (see CEFMS section). For all vendor payments and travel payments, a database file will be generated identifying the documents required from the local district and from the Finance Center (see Exhibit 45). The lists will be sent via E-mail to the appropriate Finance and Accounting Officer (FAO). Invoices required from the Finance Center will be obtained through the on-line invoice imaging system. The vouchers will then be balanced back to the monthly billings. Any problems encountered with reconciling will be reported to the Cost Recovery Task Manager for resolution.

The local FAO is responsible for insuring travel vouchers, locally retained invoices (credit card purchases), and cost transfer documents are retained in accordance with the MARKS new 30-year retention requirement (see the "USACE Memorandum on Environmental Classification Standards" section). The local FAO is also responsible for generating the CEFMS Travel Report each month and insuring all Superfund travel vouchers are received in the F&A office for retention (see Exhibits 43 and 44).

Recoveries

The site files created are held at a central storage facility in Omaha until an actual request is received. EPA will submit a written request identifying the site, the period for which the documents are needed, the interagency agreement numbers, and a IFMS Reconciliation report identifying the payments made to the associated Corps office (see Exhibit 46).

The Cost Recovery Task Manager will review the request, verify the interagency agreements against the master database, identify MIPR issued to other Districts and send a request to the contractor. The contractor will:

- a. Make a copy of the site file
- b. Highlight key elements of each document to assist EPA in tying the document back to the billing
- c. Insert forms designed to identify documents not found
- d. Submit the package along with a database of the missing documents to one of the Cost Recovery Task Managers.

The task manager will:

- a. QA the package
- b. Balance the package back to the IFMS Reconciliation
- c. Prepare a cost summary report (see Exhibit 47)
- d. Prepare a report of all missing or incomplete documents
- e. Forward the records to the designated EPA POC along with a booklet containing information on how to “read” the COEMIS and CEFMS coding and regulatory guidance dealing with the application of overheads

If either EPA or DOJ requests copies of the actual contract records or management records, the task manager will contact the local district and obtain a local POC for them. Never release any contractual documents without having the Counsel office review the records being requested to insure they do not contain confidential business information or Privacy Act protected information.

For most cases, providing the requested documents will be the Corps only involvement in a Recovery case. On occasion however, the recovery may involve a dispute over the remedy selected or the adequacy of the documents submitted. You may be called upon to answer Interrogatories, prepare affidavits and/or depositions, or on a rare occasion, provide trial testimony.

**Interagency Agreement Between the U.S. Army Corps of Engineers
and the U.S. Environmental Protection Agency in Executing
P.L. 96-510, the Comprehensive Environmental
Response, Compensation, and
Liability Act of 1980 (CERCLA)**

PURPOSE

The Environmental Protection Agency (EPA) has overall statutory responsibility for implementing the Comprehensive Environmental Response, Compensation and Liability Act of 1980 (CERCLA), also known as Superfund. This agreement defines the assistance the U.S. Army Corps of Engineers (Corps) will provide to EPA in implementing the Superfund program, for EPA Fund-lead or State Fund-lead or for EPA enforcement-lead projects.

BACKGROUND

1. CERCLA provides authority and funding to respond to releases of hazardous substances, pollutants, and contaminants into the environment. The statute and Executive Order 12316 assign primary responsibility for implementation to EPA. The Superfund program includes emergency response (removal) to hazardous substance spills and sites and longer term (remedial) action at sites. This agreement primarily addresses aspects of the remedial response program, but may involve removal response when requested by EPA and accepted by the Corps.
2. For purposes of this agreement, remedial response at uncontrolled hazardous sites consists of the following: investigation to define the problem; feasibility study to evaluate the problem and select a cost-effective remedial action; final design; implementation (construction and related tasks); orderly transfer of completed construction to the owner or other appropriate party, including any technical assistance necessary in the first year of operation and maintenance.
3. States or potentially responsible parties (PRPs) may perform all or part of the remedial response program activities at sites. EPA is responsible for remedial response where a State or PRP does not elect to so perform.
4. The authorities applicable to this agreement include the Comprehensive Environmental Response, Compensation and Liability Act of 1980, 42 USC 9601 et seq., as implemented by 40 CFR 300, and 10 U.S.C. 3036(d).

-2-

EPA'S RESPONSIBILITIES UNDER THIS AGREEMENT

1. Under overall EPA program management of all CERCLA activities at a site, EPA will provide Federal project management, except for those specific CERCLA project activities performed by the Corps under this agreement.
2. EPA will provide the Corps with sufficient funding to execute the activities covered by this agreement and will provide necessary workload estimates for the Corps to plan and budget necessary resources.
3. EPA will manage relationships with States and PRPs and will have primary responsibility for liaison with other interested groups.
4. EPA will select the response actions to be performed.

CORPS' RESPONSIBILITIES UNDER THIS AGREEMENT

1. The Corps will provide technical assistance to EPA during the remedial investigation and feasibility study (RI/FS) phases. This assistance at a minimum will involve work required to satisfy the Corps that the remedial action selected by EPA will be reasonable to design, construct and operate. The Corps, when requested, also will assist EPA in review of State-managed projects as to their suitability for bidding and construction.
2. The Corps will manage design, construction and related tasks of Federal-lead Fund-financed projects, unless EPA or the Corps determines after consultation with the other party that the Corps cannot provide necessary support due to resource, policy or programmatic constraints. In carrying out its management role, the Corps will use private contractors for all design, construction and related tasks. EPA and the Department of the Army may, with the concurrence of the Office of Management and Budget, later agree that minimal design work should be done by the Corps.
3. The Corps may provide other technical assistance to EPA in support of response actions, as agreed upon by the parties including but not limited to:
 - A. For enforcement-lead projects, as stated in inter-agency agreements (IAGs), or as mutually agreed upon.
 - B. For State Fund-lead projects: monitoring compliance and overseeing State activities during the entire remedial process, including technical assistance during negotiations with State contractors or prospective contractors, review of initial remedial actions, feasibility studies, plans, specifications, construction activities, and first year of operation and maintenance.

-3-

C. For EPA Fund-lead projects during the remedial investigation/feasibility study phases: monitoring of planning activities, reviewing feasibility studies, evaluating constructability and bidding of alternatives under consideration by EPA, and upon request and acceptance by the Corps, managing the preparation of feasibility studies.

4. The Corps will provide EPA with financial and program information consistent with, and easily integrated into, EPA's management and financial accounting systems. Such information includes site-specific cost documentation EPA determines to be necessary to support successful recovery of CERCLA funds from PRPs.

QUALIFICATIONS AND LIMITATIONS

1. EPA and the Corps will ensure that any remedial action selected by EPA for Corps management is reasonable to design, construct and operate. EPA will not assign a remedial action to the Corps for management of design and construction if the Corps determines that the action is not reasonable to design, construct and operate.

2. EPA maintains statutory responsibility for implementing the Superfund program. The Corps will maintain consistency with EPA's overall program requirements. The Corps will use its own internal procedures in the performance of its responsibilities under this agreement, including the use of its own procurement regulations.

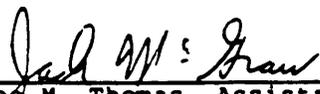
3. Corps Division Engineers and EPA Regional Administrators will operate under the provisions of this agreement. There will be no separate regional agreements except implementing instructions and site-specific interagency funding agreements.

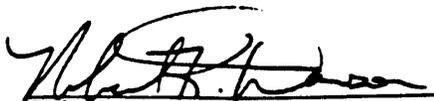
4. This agreement may be modified or extended by mutual consent of the parties and may be terminated by either party.

5. The Corps and EPA will issue instructions implementing this agreement.

EFFECTIVE DATE AND DURATION

This agreement will become effective upon signature by both parties, and will remain in effect until 30 days after the date either party notifies the other that it is terminated.


Lee M. Thomas, Assistant Administrator
Environmental Protection Agency


Robert K. Dawson
Acting Assistant Secretary
of the Army (Civil Works)
Department of the Army

3 881

Exhibit 41. Special Condition Clauses

Special Condition Clauses:

Attachment B

“The USACE Accounting systems reports must be supported by site and activity specific cost documentation. The USACE will organize and retain in a site file documentation of costs by site and activity (e.g. vouchers, billing statements, evidence of payment, audit reports) as follows...”

“In the event of a contemplated cost recovery action, the USACE will provide to EPA or the Department of Justice (DOJ) a cost documentation package detailing site-specific costs and including copies of the back up documentation. In some cases, these requests from EPA or DOJ may require that this documentation be provided in less than thirty days. If additional time is required to comply with a request, USACE will negotiate with a contact for obtaining necessary site-specific accounting information and documentation.”

MEMORANDUM FOR THE RECORD
BETWEEN THE U.S. ENVIRONMENTAL PROTECTION AGENCY
THE U.S. ARMY CORPS OF ENGINEERS REGARDING
ESTABLISHMENT AND MAINTENANCE OF SUPERFUND SITE-SPECIFIC FILES
FOR THE COMPREHENSIVE ENVIRONMENTAL RESPONSE COMPENSATION AND
LIABILITY ACT OF 1980, AS AMENDED BY CERCLA

PURPOSE

The Environmental Protection Agency (EPA) has overall responsibility for implementing CERCLA (Superfund). By interagency agreement dated February 3, 1982, the U. S. Army Corps of Engineers (USACE) was designated by the Department of the Army to provide technical and management assistance to EPA in the implementation of the CERCLA program. The Superfund Amendments and Reauthorization Act of 1986 (SARA) provides for recovery from responsible parties of response costs incurred by the Federal Government. The USACE, in its role to provide assistance, must document costs by site to facilitate Superfund cost recover actions. This memorandum sets forth the basis of the parties' understanding on the establishment and maintenance of Superfund site-specific files.

BACKGROUND

1. The USACE has agreed to establish Superfund original site-specific financial documents for all site-specific interagency activity with EPA since inception of the Superfund program.
2. EPA agrees to sponsor the USACE on its contract 68-01-6176 to acquire the resources to create the files and reconcile with the USACE finance system until the EPA contract expires.
3. EPA agrees to sponsor the USACE on its renewed or replacement contract in subsequent years for as long as the need exists.
4. EPA agrees to fund the EPA contract through September 30, 1989 to support this effort.
5. EPA agrees to fund its contract in subsequent years to support this effort, subject to availability of funds.

EPA RESPONSIBILITIES

1. The EPA Office of the Comptroller, Financial Management Division will, in cooperation with the USACE Director of Resource Management, develop the Delivery Order Statement of Work for the period ending September 30, 1989 and will amend Statement of Work as necessary for fiscal year 1990, subject to availability of funds.

-2-

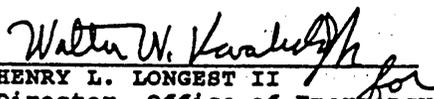
2. The EPA Financial Management Division, Superfund Accounting Branch will act as the EPA Delivery Order task manager and will formally approve contract payment vouchers based on certification by the USACE Director of Resource Management designee.

USACE RESPONSIBILITIES

1. The USACE Director of Resource Management will designate a USACE Delivery Order Task Manager who will serve as the USACE point of contact and voucher certification official.
2. The USACE Task Manager will be responsible for certifying the accuracy of contract vouchers to the EPA Task Manager within two work days of receipt from the EPA Task Manager.
3. The USACE Task Manager will provide the contractor guidance and direction and the local Finance and Accounting Office will provide day-to-day guidance.
4. The USACE will establish site files in accordance with EPA guidelines.

EFFECTIVE DATE AND DURATION

This Memorandum of Record will become effective upon signature by both parties and will remain in effect until 30 days after the date either party notifies the other that it is terminated.


 HENRY L. LONGEST II
 Director, Office of Emergency
 and Remedial Response
 U. S. Environmental Protection Agency


 HERBERT H. KENNON
 Chief, Engineering Division
 Directorate of Engineering
 and Construction
 U. S. Army Corps of Engineers

Dated: 7/13/89

Dated: 7/25/89

Exhibit 43. Project Manager Files – Do's and Don'ts

- Avoid drawing attention to conflict between experts
- Sign and date every document you create
- Keep records in concise chronological order
- Avoid duplication
- Avoid mixing working files with official files

ENVIRONMENTAL RESTORATION RECORDS

I. ROLES AND RESPONSIBILITIES

The following proponents have been identified as 'Office of Record' for Environmental Restoration records. They are responsible for identifying and filing the records required to support the documentation and cost recovery effort required by the Superfund Amendment and Reauthorization Act of 1986 (SARA). Proponents are also responsible for identifying the MARKS file number when writing a document or placing the file number along the right-hand edge of documents not identified with a file number at the time of creation.

Documents maintained in these files are subject to full disclosure in a court of law. Any memo or telephone record which represents personal opinion of an event, person, or thing should be removed from the file before they are transferred to a Records Holding Area or retired to a Federal Record Center. Records, such as contracts and invoices, do not need to be permanently stored in the technical files. The Contracting Office has responsibility of maintaining the contract files for a particular site and the Resource Management Office has responsibility for maintaining invoices and receiving reports.

The financial records consist of all documents substantiating cost to a project. This is a critical piece in the documentation process. For a document to be admissible, three conditions must be met; 1) The documents must show the relationship between the cost being incurred and the project charged, 2) The documents must be properly authorized by an individual delegated with that authority, and 3) There must be proof of disbursement.

This is not an all-inclusive list. If there are documents you feel are critical to support cost recovery and are not identified to a responsible proponent, please include those files.

A. Project Management Files:

- Project Management Plan
- Project Budget and Schedules
- Monthly Progress Reports
- Internal and external correspondence relating to the site

B. Engineering and Design:

- Pre-Design/Design documents
- Plans and Specs
- As-Builts
- Environmental Assessment

QA reports for chemical testing
Meeting minutes with the RD contractor
Contractor evaluation reports
Trip reports
Cost estimates

C. Value Engineering:

Results and recommendations of VE studies

D. Construction:

Bid ability, Constructabilty, Operability, Review
Progress reports
Inspection reports
Monitoring and sampling data
Field logs
Internal and external correspondence
Minutes of any coordination or public participation meetings
Quality Assurance Plan
Notes from meeting with the contractor
Originals and some back copies of manifests
Performance Evaluations
Deliverables required by statements of work with contractors
Newspaper articles, videos, pictures of the site

E. Contracting Office:

Government cost estimates
Abstracts of bids
Accepted and unsuccessful bids
Notices to proceed
Signed executed contract
Change orders and modifications
Start and stop orders
Contract property accounts
Wage rate and labor problems
All other documents determined by the contracting officer as essential for
completion of the individual contract
Contract correspondence
Documents relating to the closeout of the contract

F. Real Estate:

Rights of Entry
Title Search
Land Grants/Deeds
Land Lease/Property Purchase

G. Resource Management:COEMIS:

Interagency Agreements
Certified Labor documents
Work papers supporting overhead, indirect, and burden rates established
Effective Rates
Travel (travel order, reimbursement voucher, traveler receipts, ENG 4480)
Contract pay estimates (ENG 93), certified by the COR and associated ENG 4480s
Other Contractual obligations such as purchase orders, imprest fund vouchers, credit card purchases and associated invoices, receiving reports, and ENG 4480s
Motor Vehicle charges (vehicle logs and distribution vouchers)
Reproduction charges (DPA print requests and distribution vouchers)
Laboratory charges (work order and distribution vouchers)
Cost Transfer requests and ENG 4480/ENG 4479 support
Disbursement Vouchers (must be signed and contain check numbers)

CEFMS:

Interagency Agreements
Travel Vouchers
Airline Ticket Payment Vouchers
Invoices
Cost Transfer Justification

To the greatest extent possible progress reports and correspondence should be filed in chronological order. When these files are no longer needed to support a particular phase, the files can be transferred to the Records Holding Area and retrieved should an issue arise where research in these files is required.

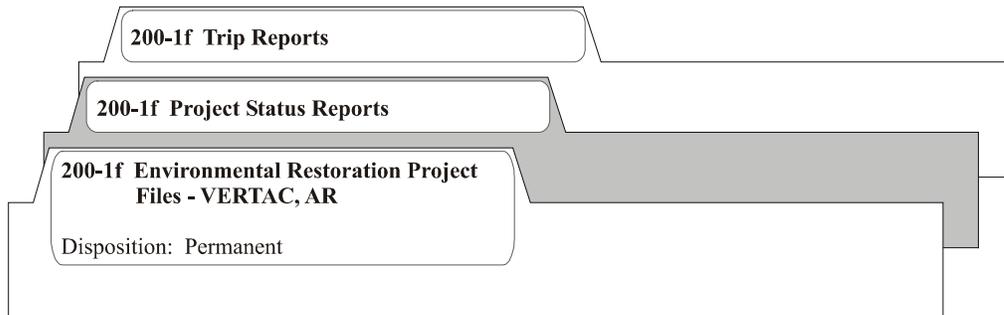
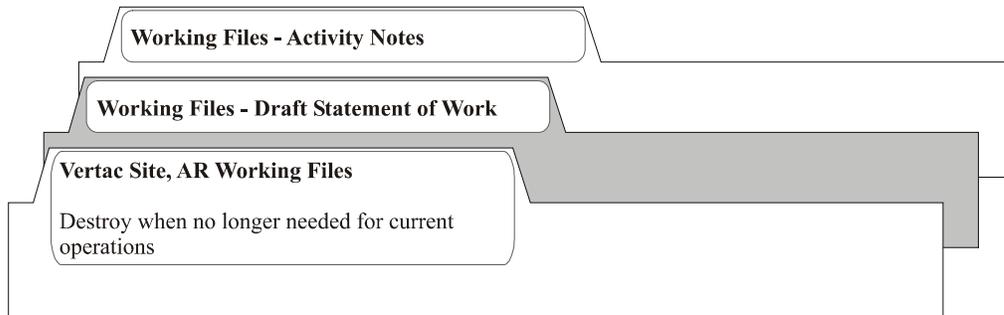
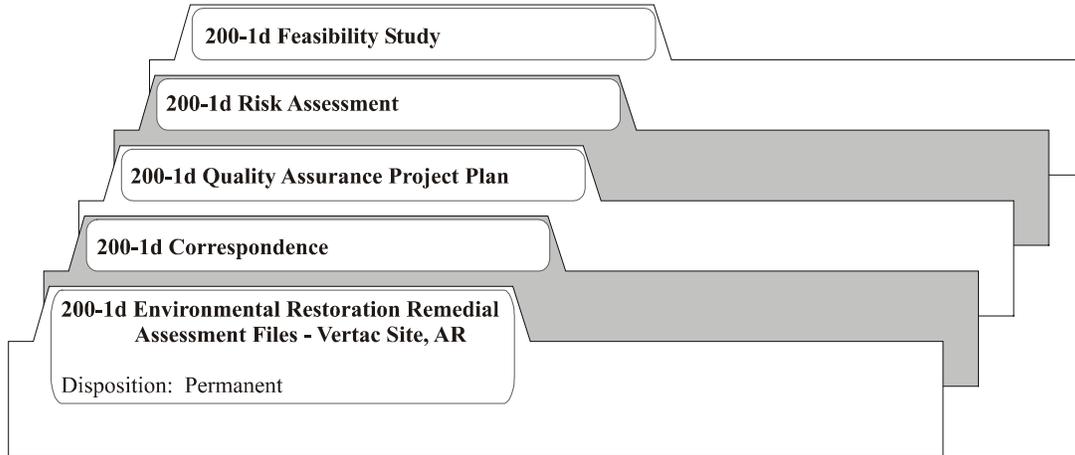
Working Files: Duplicate copies of memos, contract, drawings, etc., maintained for the convenience of the user are not considered official records of the organization and will not be retired under MARKS. These records are to be destroyed when no longer needed by the user.

11. MARKS FILING SERIES

Preserve environmental restoration program records found under the following MARKS (Modern Army Recordkeeping System) file series. Particular emphasis must be taken to ensure that all supporting environmental records are marked for special retention.

5	Management
37	Financial Administration
200	Environmental Quality
385	Safety
405	Real Estate
415	Construction Contracts (Military)
715	Procurement Contracts
1110	Corps of Engineers Engineering and Design Files
1180	Corps of Engineers Contracts (Civil)

Sample File Labels



III. TRANSFER/RETIREMENT PROCEDURES

A-1. Functional areas are responsible for preparing the SF-135 (Records Transmittal and Receipt) and SF-135-A (Records Transmittal and Receipt (continuation)) to retire records into a Federal Records Center or a local Records Holding Area in accordance with Chapter 9, AR 25400-2. The following supplements those instructions:

- a. The SF-135 and 135-A are available in Formflow.
- b. An SF-135 will be prepared and a file listing will be attached. The records contained in each box must all have the same disposition. If the file number is covered by the Privacy Act, include the Privacy Act number in the description section of the SF-135. The number can be found in the MARKS regulation or by contacting your Records Manager.
- c. Four (4) copies of the SF-135 will be sent to the Records Management Coordinator (RMC) for review. The RMC will review and check the contents of the boxes for accuracy.
- d. The SF-135's will then be sent to the local Records Manager.
- e. The Records Manager will check for correct file number(s) and correct disposition.
- f. If information is correct, an accession number or Records Holding Area number will be assigned to the boxes.
- g. One copy of the signed SF-135 will be returned to the functional area.
- h. The Records Manager will make arrangements to have the boxes marked and picked up.

A-2. The following instructions will be used when packing boxes:

- a. Standard Record Storage Containers (14 3/4" x 12" x 9 1/2") will be used to send both letter and legal-sized records.
- b. Mark each box with the number in relation to the total shipment (1 of 5, 2 of 5, 3 of 5, etc.) with black felt-tip marker in the upper right-hand corner. Lettering should be approximately 1" to 2" in height.
- c. All material must be in folders, binders, or envelopes, as appropriate. Records may not be packed loose or wrapped with rubber bands.

d. Letter size folders must face the front of the box (the side without staples), and legal size folders must face the left side of the box. All folders must be in the same order listed on the box list.

e. Do not overpack the boxes or write any additional information on the boxes.

A-3. When sending permanent records, the following information should be noted.

a. Do not mix permanent and temporary records in the same box. Each series must be transferred separately.

b. A complete box listing of all folders, binders and envelope titles must be prepared. If folders, binders, and envelopes are arranged numerically, the box list may list only the first and last files in each box. However, all missing numbers must be indicated.

c. One copy of the box list must accompany the original SF-135. A list is not needed for the copy which becomes your receipt. Functional areas should keep a copy of the list for future records retrieval.

RETRIEVAL OF RECORDS

B-1. When records must be retrieved for reference from the Federal Record Center or a Records Holding Area, contact your Records Manager for the procedure used in your local area.

Exhibit 45. CEFMS Financial Documents

The local District/laboratory is responsible for retaining the following documents in accordance with the revised MARKS classifications for the 37 Series. HTRW-related financial records must be kept for a period of 30 years.

Travel: Traveler receipts for hotel lodging, rental cars, expense items over \$75 and airline ticket stubs.

Airline Tickets: The detailed invoice that identifies the traveler and ticket number.

IMPAC Payments: The detailed invoice that identifies the credit card purchase made.

Cost Transfers: The request for transfer received from the technical office. The document must identify the cost to be transferred and the justification.



DEPARTMENT OF THE ARMY
U.S. Army Corps of Engineers
WASHINGTON, D.C. 20314-1000

REPLY TO
ATTENTION OF:

CERM-F

7 June 1996

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Policy for Retention of Travel Expense Receipts

1. References:

- a. GAO letter B-271371 dated March 8, 1996 (Encl 1).
- b. DoD Comptroller memorandum dated January 25, 1996 (Encl 2).
- c. CERM-A memorandum dated 6 October 1996, subject: Standard Operating Procedures For Travel Settlement Vouchers (Encl 3).
- d. GAO letter B-265850 dated September 20, 1995 (Encl 4).
- e. DoD Comptroller memorandum dated 23 August, 1995, subject: Travel Reengineering Implementation Memorandum #8 Procedures for Random Audits of Travel Settlement Vouchers (Encl 5).
- f. CERM-FM 24 May 1995 memorandum, subject: Standard Operating Procedure (SOP) for Travel Settlement Vouchers (Encl 6).
- g. CERM-FM 18 May 1995 memorandum, subject: Draft Standard Operating Procedure (SOP) for Travel Settlement Vouchers (Encl 7).
- h. CERM-FM 21 December 1994 memorandum, subject: Hard Copy Document Retention (Encl 8).

2. The purpose of this memorandum is to provide policy guidance related to retention of travel expense receipts for all USACE activities currently deployed on CEFMS and for those sites that are to deploy CEFMS during this fiscal year. This policy will become effective for all USACE sites as they deploy CEFMS.

3. In an effort to further streamline certain processes within the travel arena the following policy/procedures will be followed:

- a. Paper travel expense receipts (for lodging and for other expenses in excess of \$75.00)

CERM-F

SUBJECT: Policy for Retention of Travel Expense Receipts

will be retained by the individual who performed the travel in his/her place of work for a period of three years after the year in which the travel was completed with the following exception:

Individual travelers performing travel charged to either EPA Superfund IAGs or EPA Superfund funded MIPRs received from other Districts will retain a copy of the travel supporting receipts and forward the originals to the local Finance and Accounting Officer. Local Finance and Accounting Officers will develop and issue procedures to ensure collection/retention of these receipts. The procedures must include a method for identifying and publicizing the names and work codes for EPA Superfund Projects (IAG or MIPR numbers.) These travel cost supporting packages are to be retained in accordance with MARKS classification number 37-2-10s and must include the following documents and data:

DOCUMENTS PROVIDED BY TRAVELER

- (a) Copy of authorizing Travel Order, DD 1610 (Printed from CEFMS).
- (b) Request for Reimbursement, DD-1352-2 (Printed from CEFMS).
- (c) Miscellaneous supporting receipts to include ALL lodging receipts and receipts for any other expense that is \$75.00 or greater.

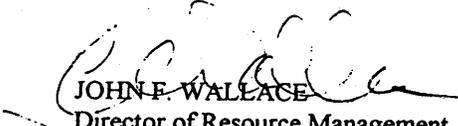
DOCUMENTS OR DATA PROVIDED BY FINANCE AND ACCOUNTING

- (d) Travel computation page from IATS.
 - (e) Disbursement document, SF 1166, that includes certification, DOV number, and check number.
- b. The simplified entitlement change (appendices O and K) to the Joint Travel Regulations, Volume 1 and 2 will be used to compute travel entitlement.
4. Since travel receipts retained by the travelers constitute official files of the USACE activity that requested the travel to be performed, they must remain in the work place if the traveler leaves his/her position. These receipts will be retained by the travel approving official unless the Commander establishes other local procedures for their retention. The Modern Army Record Keeping System (MARKS) number for filing purposes is 1hh (office temporary duty travel).

CERM-F

SUBJECT: Policy for Retention of Travel Expense Receipts

5. Although it is recognized that several travel reengineering procedures have already been implemented, this policy statement is intended to further enhance the Corps initiative to remain in the forefront of streamlining and maintaining a more efficient travel process.


JOHN F. WALLACE
Director of Resource Management

8 Encls

DISTRIBUTION:

CECER-RM-F
CEHNC-RM-F
EHEC-RM-F
ESWD-RM-F
CESWF-RM-F
CEWES-RM-F
CESWA-RM-F
CESWG-RM-F
CESWL-RM-F
CESWT-RM-F

CESAD-RM-F
CESAC-RM-F
CESAJ-RM-F
CESAM-RM-F
CESAS-RM-F
CESAW-RM-F
CEMRD-RM-F
CEMRK-RM-F
CEMRO-RM-F

CF:

All USACE Directors of Resource Management, Resource Management Officers, and Comptrollers

Instructions for Superfund Travel Report

- 3 Financial Management Function
 - 5 Financial Management
 - 7 Travel
 - 13 Reports
- (Screen 16.000 "Report Selection Menu Screen")
 Select "Travel by Civil CCS Code"
 (Enter the dates and the CIV CCS Code)
 Run Report

```

+- v2.1.6 ----- TRAVEL REPORT SELECTION SCREEN ----- 11.2.4C +-
|
|      ENTER ANY DESIRED CONSTRAINTS (LEAVE BLANK FOR ALL)
|
|      ORG CODE:                                THRU
|      EMPLOYEE ID:                             THRU
|      TRAVEL AUTH DATE: 01-APR-1999            THRU 30-APR-1999
|      FOA:                                       THRU
|      APPROP DEPT:                              THRU
|      APPROP FISCAL YEAR:                       THRU
|      APPROP SYMBOL:                           THRU
|      WORK ITEM:                                THRU
|      CIV CCS CODE: B%
|
|      PRINT/LIST WHEN PRODUCED: Y COPIES: 1  PRINTER: PC_Laser_Printer
|
|      DAYS TO RETAIN PRINT FILE: 1      OK TO PROCEED? Y
|
|-----<F10> EXIT -----
    
```

travccs.2.1.1 002 TRAVEL BY CIVIL CCS CODE Page: 1
 FOA: E6 Date: 10-JUN-1999
 CUSTOMER ORDER#
 ORG CODE & NAME CCS AMSCO TRAVEL AUTH WORK OBLIGATED DISBURSED
 EMPLOYEE ID & NAME CODE CODE ORDER DATE DATE ITEM AMOUNT AMOUNT

 DW96-940169-01 B26 011169
 E6L0510 HTW PROGRAM SECTION
 LACRG5338 LACROIX GARY R 900822E6 05-APR-1999 001TNS \$104.04 \$104.04
 DW96941772-01 B31 012R95
 E6L0430 ENVIRON ENGRG & GEOLOGY
 DURGP2789 DURGIN PHILIP B 900932E6 22-APR-1999 A00143 \$116.49 \$116.49

 *** END OF REPORT - 10-JUN-1999 - 15:34 - SID E6CFMFI ***

Exhibit 48. Sample List of Invoices and Travel Vouchers

(Page 1 of 4)

Missing Commercial Invoices
MIPR: E86-95-3100
BUNKER HILL SMELTER, ID

Walla Walla District

Obligation Number	Line Item	Vendor	Amount	Voucher Date	DOV	Disb Ofc
DAAB07-97-A-7207	1	AT&T WIRELESS	36.76	1/28/98	600900	G2
W68SBV73569940	1	EDWARDS & ASSOCIATES	75.00	1/21/98	600683	G2
DAEA32-95-G-7656	1	GTE N.W.	324.70	1/9/98	600332	G2
DAEA32-95-G-7656	1	GTE N.W.	329.21	1/9/98	600331	G2
DAAB07-97-N-1205	1	AIR TOUCH CELLULAR	120.21	1/28/98	600898	G2
DAAB07-97-A-7207	1	AT&T WIRELESS	17.83	1/28/98	600900	G2
DAEA32-95-G-7656	1	GTE N.W.	325.02	1/11/98	601643	G2
DAAB07-97-M-7205	1	AIR TOUCH CELLULAR	26.10	2/9/98	601604	G2
DAEA32-96-A-7383	1	AT&T COMMUNICATIONS	0.37	4/20/98	604959	G2
GSA-VEH-CD-0212	1	GENERAL SERVICES ADMIN	1206.61	3/13/98	602840	G2
GSA-VEH-CD-0212	1	GENERAL SERVICES ADMIN	1118.99	3/13/98	602841	G2
GSA-VEH-CD-0212	1	GENERAL SERVICES ADMIN	343.17	3/13/98	602842	G2
GSA-VEH-CD-0212	1	GENERAL SERVICES ADMIN	1525.47	4/3/98	603782	G2
DAEA32-95-G-7656	1	GTE N.W.	324.70	3/5/98	602486	G2
DAEA32-96-A-7383	1	AT&T COMMUNICATIONS	20.64	3/12/98	602774	G2
DAAB07-97-M-7205	1	AIR TOUCH CELLULAR	50.72	3/5/98	602501	G2
W68SBV80411958	1	EDWARDS & ASSOCIATES	80.00	4/3/98	603809	G2
DAEA32-95-G-7656	1	GTE N.W.	337.62	4/1/98	603644	G2
DAEA32-96-A-7383	1	AT&T COMMUNICATIONS	9.58	4/3/98	603814	G2
DAAB07-97-M-7205	1	AIR TOUCH CELLULAR	50.72	4/15/98	640808	G2
E86980019-0206	1	DEPT OF HEALTH & HUMAN SVCS	5000.00	3/6/98	602603	G2
DAAB07-97-A7207	1	AT&T WIRELESS	2.09	5/1/98	605552	G2
DAEA32-95-G-7656	1	GTE N.W.	334.30	4/24/98	605326	G2
DAAB07-97-M-7205	1	AIR TOUCH CELLULAR	57.07	4/27/98	605376	G2
W68SBV80984484	1	EDWARDS & ASSOCIATES	285.00	5/1/98	605540	G2
GSA-VEH-CD-0212	1	GENERAL SERVICES ADMIN	751.40	6/5/98	607500	G2
W68SBV81265445	1	EDWARDS & ASSOCIATES	285.00	6/10/98	607775	G2
DAAB07-97-M-7205	1	AIR TOUCH CELLULAR	43.39	5/28/98	606801	G2
DAEA32-95-G-7656	1	GTE N.W.	334.30	5/20/98	606543	G2
DAEA32-96-A-7383	1	AT&T COMMUNICATIONS	0.39	4/20/98	604959	G2
GSA-VEH-CD-0212	1	GENERAL SERVICES ADMIN	934.39	7/16/98	609537	G2
DAEA32-95-G-7656	1	GTE N.W.	334.30	6/23/98	608512	G2
DAAB07-97-M-7205	1	AIR TOUCH CELLULAR	42.53	6/23/98	608523	G2
GSA-VEH-CD-0212	1	GENERAL SERVICES ADMIN	1101.35	7/16/98	609538	G2
GSA-VEH-CD-0212	1	GENERAL SERVICES ADMIN	1065.03	8/17/98	611004	T0
W68SBV80622719	1	HUNTSVILLE TRNG CTR	600.00	8/27/98	611710	T0
DAAB07-97-A-7207	1	AT&T WIRELESS	20.91	8/17/98	611050	T0
DACW68-98-P-0113	1	ALL IN ONE APPRAISAL SERVICE	2644.43	9/23/98	612993	T0
DAEA32-95-G-7656	1	GTE N.W.	297.27	7/23/98	609970	G2
DAAB07-97-M-7205	1	AIR TOUCH CELLULAR	32.42	7/23/98	610017	G2
DAEA32-96-A-7383	2	AT&T COMMUNICATIONS	423.07	8/17/98	611049	T0
DAEA32-95-G-7656	1	GTE N.W.	337.24	8/21/98	611456	T0
DAAB07-97-M-7205	1	AIR TOUCH CELLULAR	25.09	8/21/98	611459	T0
W68SBV81817842	1	US BANK	500.00	9/3/98	611869	T0
GSA-VEH-CD-0212	1	GENERAL SERVICES ADMIN	716.10	10/27/98	614430	T0
DACW68-98-P-0127	1	STRATA INC	892.50	10/14/98	613779	T0
DACW68-98-F-0040	1	XEROX CORP	9.30	10/20/98	614155	T0
DAEA32-95-G-7656	1	GTE N.W.	284.81	9/23/98	613029	T0
DAAB07-97-M-7205	1	AIR TOUCH CELLULAR	61.66	9/25/98	613498	T0
DAEA32-96-A-7383	2	AT&T COMMUNICATIONS	1017.52	9/28/98	613532	T0
DAEA32-96-A-7383	2	AT&T COMMUNICATIONS	1797.73	9/16/98	612531	T0
DACW68-98-P-0113	1	ALL IN ONE APPRAISAL SERVICE	979.89	11/4/98	614637	T0
DACW68-98-F-0040	1	XEROX CORP	9.84	11/12/98	615254	T0
DAAB07-97-M-7205	1	AIR TOUCH CELLULAR	49.98	10/23/98	614357	T0

Exhibit 48. Sample List of Invoices and Travel Vouchers

(Page 2 of 4)

Missing Airline Ticket Invoices
MIPR: E86-95-3100
BUNKER HILL SMELTER, ID

Walla Walla District

Obligation Number	Line Item	Employee/vendor	Ticket Number	Amount	Voucher Date	DOV
AX-1003-2/13	2	AMERICAN EXPRESS	1111741962	54.00	5/8/98	605866
AX-1008-18MAR98	18	AMERICAN EXPRESS	8569172687	94.00	4/29/98	605456
AX-1008-17MAY98	3	AMERICAN EXPRESS	1154364624	92.00	6/16/98	608185
AX-1008-17MAY98	30	AMERICAN EXPRESS	8569987771	94.00	6/16/98	608185
AX-1008-16JUL98	21	MOREEN, EDWARD	8570090877	92.74	8/26/98	611608
AX-1008-16JUL98	20	MAHONEY, MICHAEL	8570090876	92.74	8/26/98	611608
AX-1008-16SEP98	32	MAHONEY, MICHAEL	7884	96.00	12/14/98	616808
AX-1008-16SEP98	31	FINK, RICHARD	7873	47.00	12/14/98	616808
AX-1008-16SEP98	30	MOREEN, EDWARD	0823	47.00	12/14/98	616808
AX-1003-1SEP98	33	FINK, RICHARD	54369	112.44	9/28/98	613535
AX-1003-1NOV98	33	MOREEN, EDWARD	9087	57.29	2/3/99	618863
AX-1003-2DEC99	30	MOREEN, EDWARD	7196	52.29	2/3/99	618864
AX-1003-2DEC99	28	MAHONEY, MICHAEL	7173	101.55	2/3/99	618864
AX-1003-1NOV98	39	MAHONEY, MICHAEL	7031	101.55	2/3/99	618863
NB-8818-7JAN99		MAHONEY, MICHAEL	5471	200.14	4/22/99	623314
NB-8826-17FEB99		MOREEN, EDWARD	2823	48.35	5/5/99	623894
NB-8826-17JAN99		MOREEN, EDWARD	2794	96.70	4/23/99	623361

Exhibit 48. Sample List of Invoices and Travel Vouchers

(Page 3 of 4)

Missing Travel Vouchers
MIPR: E86-95-3100
BUNKER HILL SMELTER, ID

Walla Walla District

Travel Order	Employee	Amount	Voucher Date
NWW-7305	ZERB, TERRY	244.49	1/5/98
NWW-7305	ZERB, TERRY	103.84	1/5/98
NWW-7305	ZERB, TERRY	292.27	1/5/98
NWW-7305	ZERB, TERRY	242.72	1/15/98
800031G4	TREADWELL, JOHN	224.99	1/16/98
NWW-7305	ZERB, TERRY	168.16	1/23/98
NWW-7305	ZERB, TERRY	126.33	1/29/98
800125G4	MAHONEY, MICHAEL	326.79	2/5/98
800150G4	STREET, DONNA	242.80	2/6/98
NWW-7305	ZERB, TERRY	218.27	2/13/98
800215G4	KOSKENMAKI, WILLIAM	241.73	3/27/98
800314G4	MAHONEY, MICHAEL	134.52	3/17/98
800409G4	MAHONEY, MICHAEL	330.00	4/17/98
800403G4	ZERB, TERRY	853.93	4/22/98
800413G4	STRANGE, KENNETH	898.08	4/28/98
800485G4	FINK, RICHARD	135.20	4/17/98
800403G4	ZERB, TERRY	566.11	5/15/98
800413G4	STRANGE, KENNETH	1101.48	5/15/98
800565G4	KOSKENMAKI, WILLIAM	214.65	5/15/98
800403G4	ZERB, TERRY	595.01	5/20/98
800586G4	MAHONEY, MICHAEL	370.55	5/20/98
800549G4	FORGE, DANNY	515.40	6/1/98
800775G4	DOCKERY, JULIA	89.59	6/9/98
800403G4	ZERB, TERRY	695.03	6/16/98
800413G4	STRANGE, KENNETH	1797.65	6/16/98
800549G4	FORGE, DANNY	522.90	6/16/98
800549G4	FORGE, DANNY	597.50	6/23/98
800783G4	ZERB, TERRY	565.01	6/23/98
800821G4	MOREEN, EDWARD	289.73	6/23/98
800820G4	MAHONEY, MICHAEL	413.45	6/24/98
800924G4	ZERB, TERRY	565.01	8/14/98
800981G4	FORGE, DANNY	557.15	8/14/98
800981G4	FORGE, DANNY	684.24	8/27/98
800804G4	STRANGE, KENNETH	1797.90	8/6/98
800804G4	STRANGE, KENNETH	1308.40	7/7/98
800549G4	FORGE, DANNY	609.20	7/7/98
800783G4	ZERB, TERRY	113.60	7/17/98
800981G4	FORGE, DANNY	188.00	7/17/98
800924G4	ZERB, TERRY	605.45	8/6/98
801031G4	WHITE, RONALD	275.57	8/6/98
801076G4	TREADWELL, JOHN	226.23	8/6/98
801087G4	GIGER, CARLA	334.20	8/6/98
800549G4	FORGE, DANNY	338.25	7/23/98
801242G4	MILLIGAN, SEAN	201.86	9/8/98
800924G4	ZERB, TERRY	900.77	9/3/98
801226G4	FINK, RICHARD	38.30	9/10/98
800804G4	STRANGE, KENNETH	671.40	9/17/98

Missing Cost Transfer Documents
 MIPR: E86-95-3100
 BUNKER HILL SMELTER, ID

Walla Walla District

Transfer ID	Date	EOR	Amount	Remarks	Auth Pers
286	3/12/98	21T1	60.00	Airline Ticket credit given to wrong account	Elizabeth Milot
675	7/9/98	2100	1,611.74	Vehicle Facility Account	??

Exhibit 49. Sample IFMS Reconciliation

PAGE 1
 REPORT DATE: 03/23/1999

FINAL IFMS RECONCILIATION PENDING

VERTAC, JACKSONVILLE, AR SITE ID = 06 04
 FROM 06/01/1998 THROUGH 12/31/1998

INTERAGENCY AGREEMENT (IAG)

FEDERAL AGENCY : ARMY CORP OF ENGINEERS
 IAG NUMBER : DW96950238
 PROJECT OFFICER : RAMESH
 DATES OF SERVICE : FROM :06/01/1997 TO :07/31/1997
 SUMMARY OF SERVICE : OVERSIGHT OF RESPONSIBLE PARTY
 TOTAL COSTS : \$ 92,099.54

DOCUMENTATION : Copies of Applicable Paid Vouchers and Treasury Schedules

VOUCHER NUMBER	VOUCHER DATE	VOUCHER AMOUNT	TREASURY SCHEDULE NUMBER AND DATE	SITE AMOUNT
18000123	/ /	0.00	A98154 06/05/1998	9,862.16
18000187	/ /	0.00	A98201 07/22/1998	9,316.27
18000259	/ /	0.00	A98209 07/30/1998	6,418.35
10000871	/ /	0.00	A98223 08/13/1998	7,333.88
10000935	/ /	0.00	A98223 08/13/1998	3,317.88
10000935	/ /	0.00	A98223 08/13/1998	4,059.45
10000984	/ /	0.00	A98223 08/13/1998	19,976.89
10001225	/ /	0.00	A98223 08/13/1998	7,684.32
18000012	/ /	0.00	A98223 08/13/1998	3,940.49
18000259	/ /	0.00	A98223 08/13/1998	6,418.35
18000342	/ /	0.00	A98245 09/04/1998	7,342.07
18000417	/ /	0.00	A98273 10/02/1998	1,584.49
18000489	/ /	0.00	A98307 11/05/1998	3,502.84
18000588	/ /	0.00	A98329 11/30/1998	342.10
18000650	/ /	0.00	A98356 12/24/1998	1,000.00
				92,099.54

ONE BILL

DUPLICATE PYMT

Exhibit 50. Sample Summary Report

BUNKER HILL SMELTER, ID
 Technical Assistance
 Performing Activity: Seattle District
 IAG: DW96957179

Bill Number	Billing Date	Total Cost	Items of Expenditure										Order Number
			Contract	Labor	G&A Overhead	Departmental Overhead	Travel	Vehicle Charges	Misc.	Work Performed By Other Corps			
Balance from Page 1		414,769.24		167,246.97	53,208.94	69,687.52	9,059.84			10,737.65		104,828.32	
B09973052	30-Jun-97	10,942.85		6,252.04	1,919.24	2,720.57				51.00			
B10973058	31-Jul-97	17,325.28		9,217.79	2,829.66	3,737.60	530.23			1,010.00			
B11973058	31-Aug-97	16,143.69		5,676.61	1,742.54	2,241.63				3,263.00		3,219.91	E86-96-3109
B12973063	30-Sep-97	3,594.11		2,332.45	715.99	427.75				117.92			
B01983049	31-Oct-97	7,835.81		4,601.22	1,382.85	1,846.74				5.00			
B02983037	30-Nov-97	1,557.72		829.15	242.92	485.65							
00400531	31-Dec-97	1,809.04		928.64	272.09	608.31							
00400643	02-Feb-98	702.28		411.90	120.68	169.70							
00400836	02-Mar-98	8,561.09		4,760.55	1,394.81	2,405.73							
00401026	01-Apr-98	11,187.21		6,445.10	1,888.47	2,354.64				499.00			
00401273	01-May-98	13,951.53		8,371.64	2,452.87	3,127.02							
00401524	01-Jun-98	14,207.89		7,638.36	2,238.09	2,719.60	326.34		90.50	1,195.00			
00401776	01-Jul-98	7,983.52		5,016.68	1,469.85	1,496.99							
47000061	01-Sep-98	6,571.77		4,050.96	1,186.94	1,148.39	185.48						
470000429	28-Sep-98	9,483.14		5,247.45	1,537.49	2,090.86	607.34						
47000776	02-Nov-98	1,184.58		617.11	177.12	259.77	130.58						
470000978	01-Dec-98	697.54		347.39	99.70	157.71	92.74						
47001415	01-Feb-99	235.14		135.06	38.76	61.32							
47001646	01-Mar-99	5,135.94		1,973.52	566.43	895.99				1,700.00			
47001894	01-Apr-99	29,991.91		14,378.07	4,126.56	5,965.53				3,055.00		2,475.75	
47002127	03-May-99	79,416.76		42,285.59	12,135.92	17,565.40	480.95		495.95	16.00		6,436.95	
Total Cost.....		663,288.04	0.00	298,764.25	91,747.92	122,165.42	11,413.50		586.45	21,649.57		116,960.93	
Less Missing Documents		28,522.95		10,854.62	9,152.36	5,178.92	552.69		586.45	2,784.36			
Total Documented Cost		634,765.09	0.00	287,909.63	82,595.56	116,986.50	10,860.81		586.45	18,865.21		116,960.93	

Exhibit 51. Sample Error Report

Seattle District
 BUNKER HILL SMELTER, ID
 IAG: DW96957179
 Missing Document List

PROJECT CODE	DATE	SSN or DOCUMENT NO	TKPR	DOV	DOCUMENT TYPE	LABOR HOURS	AMOUNT	G&A OVERHEAD	DEPARTMENTAL OVERHEAD	TOTAL	REMARKS
BZSGA	3/1/95	547482592	17		Labor	2	76.04	26.61	114.06	216.71	
BZSGA	3/1/95	534666618	17		Labor	16	628.32	219.91	942.48	1,790.71	
BZSGA	3/18/95	516323549	08		Labor	2	92.08	32.48	45.47	170.03	
BZSGA	3/18/95	534666618	17		Labor	8	314.16	109.95	471.24	895.35	
BZSGA	3/25/95	534608434	16		Labor	2	33.50	11.72		45.22	
BZSGA	3/25/95	152566479	16		Labor	30	976.80	341.88	0.00	1,318.68	
BZSGA	3/25/95	542623305	08		Labor	28	949.48	332.31	465.25	1,747.04	
BZSGA	3/25/95	431335465	16		Labor	2	26.06	9.12		35.18	
BZSGA	3/25/95	516323549	08		Labor	2	92.80	32.48	45.47	170.75	
BZSGA	3/25/95	535628520	16		Labor	3	99.06	34.67		133.73	
BZSGA	4/6/95	J04955071			Journal Voucher		26.00			26.00	
BZSGA	4/7/95	F06958731		2927	Travel		138.22			138.22	Missing DOV only
BZSGA	4/8/95	516323549	08		Labor	2	98.60	29.58	45.36	173.54	
BZSGA	4/22/95	516323549	08		Labor	2	98.60	29.58	45.36	173.54	
BZSGA	4/22/95	152566479	16		Labor	44	1,521.96	456.58		1,978.54	
BZSGA	4/25/95	J04955271			Journal Voucher		1,543.00			1,543.00	
BZSGA	5/9/95	J05955111			Journal Voucher		677.00			677.00	
BZSGA	5/11/95	F08957498		3642	Travel		103.42			103.42	Missing DOV only
BZSGA	5/23/95	J05955251			Journal Voucher		26.86			26.86	
BZSGA	5/23/95	J05956251			Journal Voucher		12.60			12.60	
BZSGA	5/24/95	J05955251			Journal Voucher		15.00		0.00	15.00	
BZSGA	6/1/95	F09957101		4493	Travel		164.00			164.00	Invoice missing
BZSGA	6/1/95	F09957100		4493	Travel		164.00			164.00	Invoice missing
BZSGA	6/1/95	F09957099		4493	Travel		164.00			164.00	Invoice missing
BZSGA	6/2/95	F09957242		4493	Travel		164.00			164.00	Invoice missing
BZSGA	6/2/95	F09957232		4493	Travel		164.00			164.00	Invoice missing
BZSGA	6/2/95	F09957186		4493	Travel		164.00			164.00	Invoice missing
BZSGA	6/2/95	F09957237		4493	Travel		164.00			164.00	Invoice missing
BZSGA	6/6/95	F09957363		4603	Commercial Pymt		476.28			476.28	Invoice missing
BZSGA	6/7/95	F09957487		4493	Travel		164.00			164.00	Invoice missing
BZSGA	6/8/95	J06955131			Journal Voucher		48.00			48.00	
BZSGA	6/8/95	J06955131			Journal Voucher		179.00			179.00	
BZSGA	6/8/95	F08958894		4339	Travel		25.80			25.80	Payable and invoice missing
BZSGA	6/9/95	B09955G23			Journal Voucher		(99.13)			(99.13)	Expenditure refund
BZSGA	6/9/95	F09957623		4493	Travel		164.00			164.00	Invoice missing
BZSGA	6/17/95	534666618	17		Labor	8	333.76	101.79	166.88	602.43	Supervisor's Certification Missing
BZSGA	6/17/95	534666618	17		Labor	8	333.76	101.79	166.88	602.43	Supervisor's Certification Missing
BZSGA	6/21/95	J06955221			Journal Voucher		116.28			116.28	
BZSGA	6/22/95	J06955221			Journal Voucher		38.00			38.00	
BZSGA	6/22/95	F09958401		5034	DOV		45.00			45.00	Missing DOV only
BZSGA	6/22/95	J06955221			Journal Voucher		36.00			36.00	

USACE Hazardous, Toxic Radioactive Waste
Center of Expertise
Superfund Site Recovery Submissions
As of 6/28/99

SITE	REQUESTER	ASSIGNED	MAILED	TYPE	BEGDATE	ENDDATE	TOTAL	DOCUMENTED	UPDATES	PERCENT
FY 98 RECOVERY REQUESTS CONT.										
CRAB ORCHARD, IL	DOJ	LAH	3/13/98	INITIAL	1/7/91	9/30/97	10,818,065.28	9,790,323.93	OPEN	91%
WELSH ROAD LANDFILL, PA	EPA REG 3	LAH	4/22/98	INITIAL	10/1/90	4/30/97	2,122,263.83	1,659,902.30	OPEN	78%
VERTAC, JACKSONVILLE AR	EPA REG 6	LAH	4/27/98	UPDATE	8/1/97	12/31/97	23,568.31	23,568.31	OPEN	100%
FIKE CHEMICAL, WV	EPA REG 3	CLY	4/24/98	UPDATE	12/1/96	12/31/97	118,073.60	113,505.38	ANNUAL	96%
UNIONTOWN, OH	EPA REG 5	CLY	5/21/98	RESUB	12/1/89	7/31/92	1,273,020.02	1,265,084.32	CLOSED	99%
BAYOU BONFOUCA, LA	EPA REG 6	CLY	6/26/98	UPDATE	10/1/96	9/30/97	4,187,724.03	4,184,310.04	OPEN	99%
BRIO REFINERY, TX	EPA REG 6	LAH	6/29/98	INITIAL	1/1/97	12/31/97	6,255.26	6,255.26	OPEN	100%
CRAB ORCHARD, IL	DOJ	LAH	4/24/98	UPDATE	MisDocs		717,398.90	717,398.90	OPEN	100%
CRAB ORCHARD, IL	DOJ	LAH	3/13/98	UPDATE	7/1/92	9/30/97	3,857,800.64	3,826,095.01	OPEN	99%
CRAB ORCHARD, IL (FUDS Program)	DOJ	LAH	7/27/97	UPDATE	3/1/90	10/31/97	556,610.26	548,381.83	CLOSED	99%
VERTAC, AR	EPA REG 6	LAH	7/29/98	UPDATE	1/1/98	5/31/98	25,585.27	25,585.27	OPEN	100%
FY 99 RECOVERY REQUESTS:										
GENERAL ELECTRIC, CO., MA	EPA REG 1	CLY	11/20/98	INITIAL	5/1/97	9/30/98	286,027.92	279,643.05	OPEN	98%
PREWITT REFINERY, NM	EPA REG 6	CLY	12/29/98	INITIAL	9/29/89	9/30/98	587,214.95	479,872.24	OPEN	82%
SAND SPRINGS PETRO, OK	EPA REG 6	LAH	12/10/98	UPDATE	10/1/97	9/30/98	6,500.14	6,500.14	OPEN	100%
PREWITT REFINERY, NM	EPA REG 6	CLY	2/2/99	MISS				78,232.12	OPEN	95%
CLEVE-REBER, LA	EPA REG 6	LAH	3/1/99	UPDATE	2/29/84	8/31/89	110,788.63	95,843.72	CLOSED	87%
BRIO REFINERY, TX	EPA REG 6	LAH	4/6/99	UPDATE	3/3/97	9/1/98	68,193.40	67,588.08	OPEN	99%
VERTAC, JACKSONVILLE AR	EPA REG 6	LAH	4/14/99	UPDATE	6/1/98	12/31/98	87,519.78	87,519.78	OPEN	100%
FIKE CHEMICAL, WV	EPA REG 3	CLY	4/28/99	UPDATE	3/1/98	2/28/99	108,902.24	107,580.45	ANNUAL	99%
GENERAL ELECTRIC, CO., MA	EPA REG 1	CLY	6/15/99	UPDATE	10/1/98	3/31/99	5,784,926.04	5,741,842.61	OPEN	99%
BUNKER HILL SMELTER, ID	EPA REG 10	LAH	5/11/99	INITIAL	11/1/97	3/31/99	19,329.60	19,329.60	OPEN	100%
PINE CREEK, ID	EPA REG 10	LAH	5/11/99	INITIAL	10/1/96	3/31/97	9,429.63	9,429.63	OPEN	100%
SUMMITVILLE MINE, CO	DOJ	LAH	5/21/99	INITIAL	2/1/96	5/5/98	22,405.17	22,327.10	CLOSED	99.7%
CASMALIA RESOURCES, CA	EPA REG 9	LAH	6/4/99	INITIAL	4/1/96	6/30/96	2,929.65	2,505.16	CLOSED	85.5%

COST RECOVERY STATUS REPORT

Revised: 04/12/99

Uniontown, OH (EPA Region 5)

ORH

Initial Submission: 12/22/89 - 09/30/93 Mailed: 03/11/94
 (One IAG, Uncommitted Bal As of 9/30/93 = \$226,979.98)
 No additional costs incurred as of 4/30/94
 Resubmission mailed 5/21/98 IAG Closed

EPA POC: Denise Williams

Phone: (312) 886-9481

Originally requested under the name, "Industrial Excess" on 10/25/93. Tracking through HQ located the correct site name in our files. Using contractor assisted TDY, recovery assembled. No formal request on file.

5/98: Denise Williams requested this as "Industrial Excess" and I had to go to HQ in order to identify it as Uniontown. She vaguely remembers the 1994 submission.

Vertac, AR (EPA Region 6)

SWT/SWL/MRK

Initial submission:	04/01/93 - 12/31/96	Mailed: 07/23/97 (DW96950154 & 0238)
	01/01/97 - 05/31/97	Mailed: 07/23/97
Second submission:	05/24/84 - 05/0189	Mailed: 11/14/97 (DW96930310)
Third submission:	02/01/97 - 06/30/97	Mailed: 04/27/98 (DW96950189)
	06/01/97 - 07/31/97	(DW96950238)
Fourth submission:	01/01/98 - 05/31/98	Mailed: 07/29/98 (DW96950154 & 0238)
Fifth submission:	06/01/98 - 12/31/98	Mailed: 04/14/98 (DW96950154 & 0238)

EPA POC: Susan Jenkins
 Dennis McBride

Phone: (214) 665-6578

Phone: (214) 665-6535 (Third Submission)

EPA is requesting separate cost packages for the timeframes listed above. This is the first request for Corps cost records and they do not want any prior documentation submitted. This recovery contains costs under COEMIS and CEFMS. SWD Lab prepared a write up for their work. An additional search needs to be performed by KePur for missing labor on the reimbursable issued to Little Rock.

IAG DW96930310 for technical assistance was not requested until the second submission. None of the Little Rock District records were available for this time period. Submitted Transaction Registers (RATs) as our only backup records. Cost consisted of labor, a couple of small purchase requests and some in-house distributions.

Six bills issued against DW96950238 from July 97 thru July 98 were still outstanding at the time of the fourth submission. An e-mail was sent to the Little Rock project manager and finance officer requesting they print and re-certify the missing bills and forward to Jeff Marcella's attention at the EPA Finance Center.

Fifth Submission: 100% of the cost was documented. The IFMS Schedule contained a duplicate entry for Little Rock bill number 18000259. This was noted in the cover memo.

Exhibit 53. Sample Settlement Report

6/29/99

Superfund Settlements

Site	Corps Cost	Proposed Settlement	Settlement Date	Settlement Type	Notes
ALCOA	364,865.00	300,957.49	8-Nov-95	Proposed Settlement	1 PRP
American Chemical Service	5,250.00	33,593.00	8-Jan-99	De Minimis	8 PRPs
Atlantic Woods Industries	642,234.00	864,000.00	12-Apr-99	Proposed Settlement	2 PRPs (50% of cleanup cost)
Avtex Fibers	1,225,429.00	Sale of Property	15-Dec-98	Purchaser Agreement	
Brito	500,000.00	Removal Action	9-Dec-98	Proposed Consent De	1 PRP
Brookton Gas Works		230,710.00	2-Oct-97	Proposed Settlement	Bay State Gas Works
Broderick	5,511,452.00	10,700,000.00	26-May-95	Consent Decree	Final
C&D Recycling	330,000.00	63,294.00	5-Apr-96	De Minimis	4 PRPs
C&R Battery	845,037.15	27,581.50	14-Nov-95	De Minimis	3 parties/2nd de minimis
C&R Battery		10,341.00	28-Jan-99	De Minimis	4 parties
Chem-Solv	140,439.00	239,050.14	20-Dec-96	Proposed Settlement	32 PRPs
Chemical Control	1,197,031.00	40,000.00	4-Jan-95	Proposed Settlement	1 PRP
Chemical Control		90,000.00	4-Jan-95	Proposed Settlement	1 PRP
Clear Creek	32,714.00	11,200.00	23-Jul-97	Proposed Settlement	1 PRP
Clear Creek		2,500.00	9-Sep-98	Purchaser Agreement	1 PRP
Cleve Reber	270,789.00	360,000.00	13-Aug-98	Proposed Settlement	5 PRPs
Coakley Landfill, Oper Unit 2	94,000.00	1,310,000.00	19-Nov-98	Proposed Settlement	28 PRPs
Cohen Property		1,170,000.00	29-Sep-97	Proposed Settlement	Disposal of 15k soil & O&M
Commensment Bay Nearshore/Ideliatz	702,885.00	510,000.00	20-Jul-95	Consent Decree	Final
Conservation Chemical	880,484.00	2,800,000.00	12-Jun-96	De Minimis	171 PRPs
Conservation Chemical		258,304.00	19-Nov-98	Proposed Settlement	17 PRPs
Davis Liquid Waste	8,376,828.00	400,000.00	23-Mar-98	Proposed Settlement	1 PRP (partial pymt)
Del Norte	800,122.00	675,000.00	2-Apr-98	Proposed Settlement	16 PRPs
Denver Radium	100,000.00	177,112.71	25-Oct-96	Proposed Settlement	Final - 99.6% of cost
Denver Radium		75,000.00	18-Sep-97	Proposed Settlement	Burlington & Santa Fe RR
Dorney Road Landfill	572,845.00	Right of Way	29-Jul-97	Proposed Settlement	2 PRPs
Fike Chemical	7,488,488.21	Purchase Agree	20-May-99	Partial Settlement	1 PRP
Galaxy Property	25,000.00	Removal Action	8-May-97	Proposed Settlement	Recovery of Past cost waived
G.E. Moreau Site	5,759.00	600,000.00	29-Jan-96	Proposed Settlement	General Electric
General Electric, MA	17,295,000.00	19,000,000.00	8-Dec-98	Proposed Settlement	Plus \$50mil in remed
Greenwood Chemical	19,526,205.00	22,000,000.00	26-Feb-96	Proposed Consent De	HazWaste/News: Not final
Groveland Wells	225,064.00	Right of Way	23-Mar-98	Proposed Settlement	1 PRP
H. Brown	1,167,000.00	120,000.00	26-Feb-96	De Minimis	1 PRP
H. Brown		290,000.00	23-Mar-98	Proposed Settlement	2 PRPs
H&H Burn Pit	5,000.00	1,500,000.00	29-Jul-98	Purchaser Agreement	1 PRP
Havertown PCP	12,484,935.16	Property Sale	1-May-97	Proposed Settlement	1 PRP
Hejlett Kramer	99,679,354.00	95,000,000.00	4-May-99	Consent Decree	25 PRP & 200 3rd Party Defendants
Hertel Landfill	120,000.00	878,500.00	1-Jun-98	Proposed Settlement	9 PRPs (CORP had enforcement only)
Hooker Chemical/Ruco Polymer	2,989,898.00	1,008,478.00	5-Feb-99	Consent Decree	3 PRPs - Final?
Hooker Chemical/Ruco Polymer	1,595.00	Right of Way	13-Dec-95	Proposed Settlement	4 PRPs
IndustriPlex		30,000.00	15-Nov-96	Proposed Settlement	1 PRP
IndustriPlex		30,000.00	29-Jan-96	Proposed Settlement	2 PRPs (& Build Retail Shopping Complex)
IndustriPlex		30,000.00	17-Dec-96	Proposed Settlement	Purchase Agreement
Kane & Lombard		1,500.00	17-Oct-97	Proposed Settlement	2 PRPs
Kim-Buc Landfill	344,586.00	255,000.00	29-Jan-96	Proposed Settlement	Chemical Waste Civil Suit
Lackawanna Refuse	27,143,467.00	28,000,000.00	9-Oct-92	Settlement	87% of cost recovered
Lipari Landfill	76,064,908.00	119,800,000.00	16-Dec-98	Proposed Consent De	Purchase Agreement
Li Tuungsten	425,000.00	100,000.00	30-Apr-99	Administrative Agreem	

Cost Documentation packages have been submitted on all highlighted projects.

Exhibit 54. CEFMS Helpful Hints

Work Items: Do not create more work items than absolutely necessary to effectively manage an IAG. A large number of work items creates confusion and increases the chances for errors.

Work Item Titles: Always include the site name in the title. Adding the name reinforces the tie between the documents and the project especially the certified labor documents.

Requisitions: Insure the description identifies a clear relationship between the item being procured and the project. Include the project name in the description.

- Example: Develop 6 rolls of film. Pictures taken at the XYZ site for the study of ...
- Example: Use of government vehicle for meeting with the contractor at the XYZ site on 12-13 July

Travel: Include site name and brief description in the Purpose Block.

- Example: Inspect monitoring wells at ZZZ site.

MIPRS: When receiving MIPRS be sure and use the MIPR number as it appears on the document – Do NOT create your own internal numbering system.

MIPRS: When issuing MIPRS, Describe the services to be rendered to include the site name and clearly identify it as a Superfund funded project to insure the receiving office records the order under the proper Category/Class code and to place them on notice that the special Superfund documentation requirements apply.

Exhibit 55. Cost Recovery Helpful Hints (EPA)

Cost Recovery Helpful Hints (EPA)

When requesting financial documents:

- Identify the site name
- List the associated interagency agreements
- Identify the timeframe for this action
- Include a POC with telephone number, fax number, and e-mail address
- Include the mailing address the records are to be shipped to
- If there is a short suspense (less than 30 days), identify it.
- Include a copy of the IFMS Payment Schedule(s).
- Send all requests to:

U.S. Army Corps of Engineers, Omaha District
ATTN: CENWO-HX-T, Cost Recovery
12565 West Center Road
Omaha, NE 68144-3869

Phone: Lucy Harris @ (402) 697-2433 or Cheryl Young @ (402) 697-2434

Fax Number: (402) 697-2639

E-mail: Lucy.A.Harris@usace.army.mil or Cheryl.L.Young@usace.army.mil

Please provide as much advance notice as possible. Even if you are not sure you are going to need the records, let us know so we can make sure the file is current.

Exhibit 56. Superfund Program Helpful Hints – RM

Superfund Program Helpful Hints – RM

Customer Orders: When establishing new orders in CEFMS, the Customer Order number is the IAG Number (DW96.....) or the MIPR number that appears on the document. **DO NOT CREATE YOUR OWN INTERNAL DOCUMENT NUMBERING SYSTEM.** If you do, we can't find these projects on your database. In the "Customer Ref No" field, record the Site Name and in the "Oth Cust Ref No" field record the Site/Project number that appears on the lower right-hand corner of the IAG. These fields appear on the bill documents and this information helps EPA identify the proper accounts for payment processing. It will help them process the bills faster. Having the site name on the bill documents also helps us prepare the site files.

Travel Vouchers: Periodically generate the Travel Report and insure the vouchers listed are being stored in the Finance and Accounting Office. The Revised MARKS retention period for all Superfund vouchers is now 30 years (File classification 37-2-10r).

Airline Ticket Vouchers: When the local travel office no longer needs to maintain the detailed monthly invoices, have the payment packages forwarded to F&A for retention. (File classification number 37-2-10r – Disposition: 30 years).

IMPAC Payment Vouchers: When the cardholder no longer needs the detailed invoice, have the payment packages forwarded to F&A for retention (File classification number 37-2-10r).

Forwarding Vouchers to HTRW-CX: When a request is received for travel vouchers/invoices on a Superfund site, copy the requested vouchers and use the document list received as a transmittal form.

- **DO NOT** alter the documents in any way.
- **DO NOT** highlight any of the information on the document.
- **DO NOT** write on the document.

Notes

CEFMS - Corps of Engineers Financial Management System

The CEFMS accounting system is an interactive, on-line system designed to capture financial data at the point of generation. The system eliminates the generation and flow of paper throughout the organization by incorporating real time processing and electronic signature capabilities.

System Security

Before an individual can access the system, they must possess a user ID, system password and Oracle password. The CEFMS UPASS Administrator must establish the user ID and passwords on the CEFMS base and notify the Data Base Administrator. The Data Base Administrator must then establish the individual as an authorized user and determine which permissions the individual must possess based on their job title and functions. The access control table limits access to many of the CEFMS screens. While anyone can view the access control table, only the Data Base Administrators can change the permissions.

Electronic Signature

The electronic signature function in CEFMS incorporates both hardware and software security features. Before a document can be signed in CEFMS, the user must request a signature card. The signature card is requested electronically through a CEFMS menu. Both the Data Base Administrator and a Data Base Security Official must electronically approve the request before a card can be issued and used on the system. Each signature cardholder receives an eight-digit PIN number for use with the card. Any PC that is used for electronic signature must contain a signature card reader. The PC itself must also be specifically authorized for use. An office Security Administrator must initialize the machine utilizing a special signature card and PIN number. All electronic signature cards contain an expiration date that is coded in the computer chip embedded in the card itself. Cards have a maximum life of three years. Once the cards expire, they must be returned to the manufacturer and new cards issued to the user.

Access Control Screen

Receipt of the signature card does not authorize the individual blanket access to all records. If the Data Base Administrator has not established the right permissions on the access control screen, the individual will not be able to sign certain documents.

Not all entries require electronic signature. An individual can create a purchase request without electronic signature capability. However, before it can reach the contracting stage, it must be both electronically approved and certified. Travel orders can be created but not approved and authenticated. Electronic certification must take place somewhere in the process before a document can reach the obligation stage. Other transactions also require electronic signature; receiving reports, voucher certification, check issuance, time and attendance records as well as the associated labor distribution.

The electronic signature module was developed under the watchful eye of the National Institute of Standards and Technologies (NIST). In January 1993, the Government Accounting Office (GAO) sanctioned the testing of the CEFMS electronic signature. Permanent approval was received in September 1995.

Notable Differences Between COEMIS and CEFMS

Workcode vs. Work Item

Under COEMIS, each project (IAG) was assigned a 5-digit project code. All Superfund IAGs began with the alpha characters "BZ". Cost was recorded at a 15-digit workcode level, which always began with the 5-digit project code. CEFMS work items are 6-digit randomly assigned alpha/numeric numbers. A project may have one or many work items. The number of work items is dependent upon the level of detail and control the project manager needs on a particular project. All work items associated with an IAG can be tracked through the work item reports and document correlation reports. Work Categories and Work Category elements further break down obligations and cost.

Accounting Element vs. Resource Code

The COEMIS accounting element is a 3-digit numeric code identifying the type of cost incurred (labor, travel, contract, etc.). The Resource Code is an 8-digit alpha code identifying the type of cost incurred.

Register of Accepted Transactions (RAT) vs. Document Correlation Report

The COEMIS RAT report is a listing of all the accounting transactions processed during a given accounting period. The transaction code and document type identified cost transactions. The RAT report is an intricate part of the COEMIS cost documentation package. It is the only means of tying specific documents to a project. The CEFMS Document Correlation Report identifies all the various purchase requests and obligations issued against a work item or funding document. This report provides a starting point for the identification of the various cost transactions processed against a project. Various CEFMS screens must then be queried to identify the actual transactions processed. CEFMS does not have a consolidated transaction listing similar to the RAT.

CEFMS Cost Documentation

Submission Format

The CEFMS submission has been assimilated similar to the COEMIS submissions. All the supporting documentation has been attached and balanced back to each of the billing documents submitted to EPA for payment. There are however, substantial differences in the cost documents. With the exception of invoices, traveler receipts, and requests for cost transfers, virtually all the accounting records have been generated and signed electronically. The documentation provided consists of facsimile copies of the electronic records. In some cases, the electronic record has been reproduced to look like the manual records previously used in COEMIS. In cases where a facsimile document does not currently exist, the electronic record has been queried and a "print screen" of the on-line query generated to substantiate the entry. The following identifies the various types of cost incurred and the records provided to substantiate each cost element.

Commercial Payments

Accounts Payable Transaction View Screen: Expenditures are recorded as cost to the project when the payable is established. This on-line query identifies the amount of charge to the project, the associated obligation document and the funding source (FAR ORDER NO).

Receiving Report: The DD Form 1155 is a facsimile copy of the electronic record. It identifies the obligation document, vendor, items received, and the official recording the receipt of goods or services.

Purchase Request (DA Form 3953): This document will be provided for all credit card purchases. It identifies the items requisitioned and the authorizing official.

Obligation Line Item Status: This on-line query identifies the obligation or contract number, the obligation line item applicable to the project Work Item, and identifies the payments made against the obligation line item.

Invoice: Hard copy document received from the vendor.

View Check Register Screen: The Check Register screen identifies the check number, date of payment, and the Payee as it is printed on the government check. The sixteen-digit signature code, is created through the electronic signature module. It links the signing of a specific transaction to a specific individual and signature card.

Progress Payment Contracts

Progress payment contracts differ from other commercial payments. Payments are made based on the Contracting Officer's Representative's (COR) determination as to the percentage of completion on the project. While the COR may require the contractor to submit a payment request, an invoice is not required for payment. Instead, the COR prepares an ENG 93 identifying the percentage of completion (earning) and any deductions being withheld as either Retained Percentage or in some cases Liquidated Damages and the amount of payment being authorized. The ENG 93 replaces both the invoice and receiving report. The documentation provided consists of:

Accounts Payable Transaction View Screen: Same as above.

ENG 93: This screen identifies the earnings, withholdings, and payment electronically authorized by the COR.

Obligation Line Item Status: This on-line query identifies the obligation or contract number, the obligation line item applicable to the project Work Item, and identifies the payments made against the obligation line item.

View Check Register Screen: Same as above.

Airline Ticket Payments

Airline tickets are procured utilizing a Government credit card. The travel officer records the associated obligations under a unique obligation number that he or she assigns. Up to 50 airline tickets will be obligated on a single obligation document. The obligation is tied back to the individual travel orders through the travel order funding status view screen.

Accounts Payable Transaction View Screen: Same as above.

Travel Order Funding Status View Screen: This query identifies the travel order associated with the Airline obligation document. It will also identify the ticket number.

Receiving Report: Same as above.

Travel Order (DD Form 1610): The travel order is also an electronically generated/signed document. The order will identify the traveler and the purpose for the trip.

Invoice: Only those pages of the credit card invoice applicable to the project are provided.

Obligation Line Item Status: This on-line query identifies the obligation or contract number, the obligation line item applicable to the project Work Item, and identifies the payments made against the obligation line item.

View Check Register Screen: Same as above.

Travel Orders

Travel orders are requested, approved, and authenticated electronically. Once again, the travel order is an electronic document. The CEFMS travel report module allows an individual to print a facsimile representation of the electronic order. The facsimile travel order will identify who electronically signed (authorized) the travel. With the exception of travel orders converted from the COEMIS system to CEFMS, the travel order number is an 8-digit system assigned number. The first digit identifies the fiscal year and the last two digits identify the organization (Waterways Experiment Station = U4). A travel order cannot be printed until the local Travel Officer authenticates it.

Travel Vouchers

Travel vouchers are electronically submitted and approved through CEFMS. The traveler completes the voucher and electronically signs the request. If the individual travels infrequently and does not have a signature card, the travel approving official can override the traveler's signature provided the traveler prints out the reimbursement request, signs it, and presents it to the approver with all the required receipts. The Travel Approving Official is responsible for insuring all claims are legitimate and that required receipts are provided prior to approving the request for reimbursement. With the exception of Superfund vouchers, the local office is responsible for maintaining the travel voucher files. Superfund related vouchers are being forwarded to the Finance Office for storage. Permission was obtained from GAO in March 1996 to allow the payment of travel reimbursements from the electronic submission. The district finance officer is required to perform a periodic audit of the decentralized vouchers to insure the required receipts are being maintained and agree with the reimbursement request. CEFMS contains an electronic interface with the Integrated Army Travel System (IATS) which computes the reimbursement entitlement. The IATS system then feeds the information back to CEFMS for payment processing. The Travel Reimbursement Voucher (DD 1351-2) is the CEFMS disbursement voucher. Once the check is issued, reimbursement vouchers printed from the CEFMS system will identify the amount of reimbursement authorized, who approved the voucher for payment, the DOV number assigned, check number, and payment date. The travel voucher will consist of:

- Accounts Payable View Screen
- Traveler Reimbursement Request (DD Form 1351-2)
- Travel Order (DD Form 1610)
- Required traveler receipts for hotels, rental cars, etc.
- View Check Register Screen

Labor

The labor process begins with the creation of labor authorizations. Prior to charging a project, the project manager or someone designated by the project manager, must establish a labor authorization under the Purchase Request and Commitment (PR&C) module. This process reserves funding for anticipated labor charges. The labor authorization can be specific to an organization or an individual employee. Once the PR&C is approved, the system will assign a 6-digit labor charge code which will begin with either an "L" or a "B". The employee or organization is then notified of the charge code to use. CEFMS will only allow the designated employee or member of the designated organization to charge labor to the number provided.

Employees must notify the timekeeper of the charge numbers to be used for work performed each day. CEFMS will not allow the timekeeper to record hours worked without a labor charge code. While the actual Payroll is processed on a biweekly basis, the associated labor charges can be certified and processed at any time. In order to sign a labor charge, the supervisor or authorized alternate must be designated a "Supervisor" on the access control table. The Payroll "Customer Service Representative (CSR)" must also identify the individual as a supervisor or authorized alternate for payroll related entries. A supervisor may elect to certify the labor charges daily, weekly, or by pay period. In general, labor is only certified at the end of each pay period and at the end of the month. The labor documentation will consist of:

Employee Hours View Screen: This on-line query will identify the labor charge, the employee ID, number of hours charged to the project and the associated labor cost.

Labor Cost Report with Certification: This is a facsimile copy of the electronically signed labor document. It will identify all the charge codes an employee charged to during the pay periods, the numbers of hours charged each day, and the name of the official who electronically signed the labor document.

In-House Cost Distributions

As in COEMIS, certain costs are incurred in the Corps of Engineers Revolving Fund and distributed to the various projects based on usage. This includes reproduction, vehicle usage, library services, etc. Before services are provided to a project, the project manager or other person authorized on the project must create a PR&C authorizing those services. The PR&C is issued to the specific organization providing the service to the project and identifies the type of services which can be billed. For example, a PR&C created for vehicle charges can not be used for reproduction services. Only designated individuals can distribute in-house charges. The authorizations and charges are all electronic records. With the exception of the PR&C, a facsimile document for in-house charges does not exist. Until one is developed, the cost package will consist of a print of the CEFMS "VIEW PLANT RENTAL BILLING SCREEN" or the "SHOP AND FACILITY BILLING VIEW SCREEN" and the associated Purchase Request,. The screen print provided depends on whether the charge is for use of government equipment (Plant) or services (Shops and Facilities).

Payments to Other COE Organizations

Payments to other COE offices are electronically certified and scheduled for immediate payment. Employees must have Government Bill certification authority to authorize payment. The system does not generate an associated disbursing voucher. The supporting documentation will consist of a print of the payable transaction, a copy of the Customer Order, a copy of the bill, a print of the CEFMS "GOVERNMENT ORDER BILLING" screen, a print of the "VIEW GOVERNMENT

ORDER BILLING CERTIFICATION" screen, and a print of the CEFMS "VIEW CHECK REGISTER SCREEN". To eliminate redundant data, a copy of the Customer Order is only provided with the first entry contained in this submission.

Disbursing

Only the Disbursing Officer or appointed Deputy Disbursing Officer can initiate the check writing module in CEFMS. The module will provide a preview of the payments scheduled. After review, the Disbursing Officer identifies the beginning check number in CEFMS and loads the checks into the printer.

Summary Report

The summary report provided consists of a spreadsheet developed from the project billings. Bill documents generated under COEMIS will consist of a nine-digit number beginning with a "B". CEFMS bill numbers are eight-digit all numeric numbers. At the bottom of the cost summary report there will be a line identifying the value of the documents that were not found. An attachment sheet will list the missing documents in detail.

Notes, cont.

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**EXECUTIVE SUMMARY
ENVIRONMENTAL
RESTORATION
MARKS
STANDARDS**

(Summary)

5 Management

File Category	Disposition
5c USACE Environmental Restoration Agreements	Originals – Permanent Copies - Destroy after 3 years

Note: Transfer original agreements to 200-1f, Environmental Restoration Project Files.

37 Financial Administration

File Category	Disposition
37-1f Accounting Documents	30 years
37-2-1b COEMIS, F&A Site Audit Outputs	American Indians - Permanent HTRW - 30 years
37-2-10d Basis and Intermediate Cost Media Files	30 years
37-2-10r Civil Works Site Audits	American Indians - Permanent HTRW - 30 years
37-2-10s Disbursing Officers Vouchers (CW)	30 years
37-2-10u Fiscal Accounting Files	30 years
37-103dd Original Disbursing Officers Accounts (Mil)	American Indians - Permanent HTRW - 30 years

NOTE: EPA Superfund Only - Must obtain authorization from EPA before destruction of documents.

200 Environmental Quality

File Category	Disposition
200-1d * Environmental Restoration Remedial Assessment Files	Permanent
200-1e * Army Environmental Restoration Administration Record	Permanent
200-1 f Environmental Restoration Project Files	Permanent

NOTE: * Transfer 200- 1 f, Environmental Restoration Project Files.

385 Safety

File Category	Disposition
385-40b Accident and Incident Cases	Permanent

Note: Not transferred to 200-1f, Environmental Restoration Project Files

405 Real Estate

File Category	Disposition
405-90h Real Property Title/Historical Files	No Time Event - permanent

Note: Not transferred to 200-1f, Environmental Restoration Project Files.

415 Construction Contracts (Military)

File Category	Disposition
415-10c Military Construction Contracts	30 years

715 Procurement Contracts

File Category	Disposition
715c Master, Open-end, and Call-type Contracts	30 years
715j Small Purchase Categories	30 years
715k Contract Actions	30 years
715p Contract Clause Deviations	30 years

Note: EPA Superfund Only - Must obtain authorization from EPA before destruction of documents.

1110 Corps of Engineers Engineering and Design Files

File Category	Disposition
I 110- 1-8 1 00e Environmental Restoration - Raw Data Files	Destroy samples after 1 year or when regulatory requirements are met. Laboratory backup analytical data, destroy after 2 years
1110-1-8100f * Environmental Restoration Quality Assurance and Quality Control (QA/QC) Files	Permanent
11 10-1-8100g * Environmental Restoration Waste Identification, Tracking, and Disposal Files	Permanent

*Note: Transfer to 200- 1 f, Environmental Restoration Project Files.

1180 Corps of Engineers Contracts

File Category	Disposition
1180-1-1a Civil Works Contracts	30 years
1180-1-1q Civil Works Construction and Maintenance Contracts	30 years

Note: EPA Superfund Only - Must obtain authorization from EPA before destruction of documents.

**5 SERIES
AGREEMENTS
ENVIRONMENTAL
RESTORATION
FILE CATEGORY**

(Detail Standards)

File Category 5 - Agreements

AR 25-400-2, 26 February 1993, The Modern Army Recordkeeping Systems (MARKS)

Pertinent Background Information

This is a new classification description and disposition standard for **File Category 5 -Agreements** relating to environmental restoration clean-up actions. These records are necessary for litigation and possible cost recovery actions. In order to follow the retention period of the Environmental Protection Agency (EPA) classification standard and for the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA), a permanent disposition is the proposed retention period. Included in this classification standard are agreements for Superfund, Defense Environmental Restoration Program (DERP) and DOD Base Realignment and Closure (BRAC) Environmental Restoration Program, Work for Others, and Operational and Maintenance.

File Number: 5-8c (or next available suffix) (MARKS Page #34)

Title: Environmental Restoration Agreements

Authority: To be assigned

Privacy Act: Not Applicable

ADD NEW RECORD CATEGORY AND DISPOSITION STANDARD:

Description: Includes the original life cycle documentation establishing agreements for environmental restoration work through financial and contractual closeout. Specific types of agreements may include national agreements, interagency agreements, cooperative agreements with Federal, State and local government agencies, access agreements, implementation agreements, technical assistance agreements and other types of environmental restoration agreements, agreement oversight documentation, and other sharing of agency resources and services. Other types of records include documentation of significant actions and decisions, applications, agreement oversight activities, correspondence relating to the agreement, non-compliance/dispute documentation, and close-outs documentation for completed agreements.

Disposition:

- a. Original Agreement Documents: Retain in CFA. When project is completed, transfer to File Number 200-1f, Environmental Restoration Project Files, Permanent.
- b. Copies: Retain in CFA 3 years after project completion and destroy.

**37 SERIES
FINANCIAL ADMINISTRATION
ENVIRONMENTAL
RESTORATION
FILE CATEGORY**

(Detail Standards)

File Category 37: Financial Administration

AR 25-400-2, 26 February 1993, The Modern Army Recordkeeping System (MARKS)

Pertinent Background Information

These are updated classification standards for the **File Category: 37 Financial Administration**. The current descriptions, authorities, and Privacy Act standards remain the same. Additional descriptions and disposition standards are being proposed to cover the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA), to cover Superfund cost recovery actions, and provides descriptions and disposition instructions for environmental restoration appropriations involving either Civil Works; Air Force; Department of Defense; and Non-Department of Defense. Programs include records generated in support of the Defense Environmental Restoration Program (DERP), and DOD Base Realignment and Closure (BRAC) Environmental Restoration Program, and all other Support Work for Others.

File Number: 37-1f (MARKS Page #79)

Title: Accounting Documents

Authority: NC1-AU-86-55

Privacy Act: Not Applicable.

ADD NEW DISPOSITION INSTRUCTIONS: l and m:

l. File documents supporting USACE mission which are not environmental restoration in nature; Retain in CFA 2 years, Retire FRC, and Destroy 6 years 3 months after end of Fiscal Year in which payment or collection is effected, providing there are no outstanding claims; exceptions; or pending litigation in connection therewith.

m. HQUSACE environmental restoration mission related records; retain in CFA 2 years. Retire FRC; Destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith.

File Number: 37-2-1b (MARKS Page #82)

Title: COEMIS, F&A Site Audit Outputs

Authority: NC1-AU-76-25 & GRS 6, Item 1a

Privacy Act: Not Applicable

ADD NEW RECORDS DESCRIPTIONS AND DISPOSITION INSTRUCTIONS:

c. Description: USACE accounts and supporting documents generated in support of the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) recovery actions for the U.S. Environmental Protection Agency's (EPA), Superfund Program will be reviewed for financial closeout per ER 37-5-3 for site-specific cost recovery documentation prior to transferring from the current file are (CFA). EPA Superfund Cost Recovery documents may not be destroyed unless authorized by EPA.

c. Disposition: Retain in CFA 2 years after financial closeout per ER 37-5-3. Transfer to RHA for 5 years, Retire to FRC: Destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith. Forward all Superfund Cost Recovery (NA Form 13001) Request for Disposal of Records to the USACE Cost Recovery Coordinator to obtain disposal authorization.

d. Description: Documents generated in support of Defense Environmental Restoration Program (DERP), DOD Base Realignment and Closure (BRAC) Environmental Restoration Program and other non-Superfund environmental restoration programs.

d. Disposition: Retain in CFA 2 years after final billing and transfer to RHA 5 years and retire FRC: Destroy 30 years after end of Fiscal Year in which payment or collection is effected, providing there are no outstanding claims; exceptions; or pending litigation in connection therewith.

e. Description: HQUSACE environmental restoration mission related records for Superfund, Defense Environmental Restoration Program (DERP), DOD Base Realignment and Closure (BRAC) Environmental Restoration Program and all other Support Work for Others.

e. Disposition: Retain in CFA 2 years after final billing and Retire FRC: Destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection

File Number: 37-2-10d (MARKS Page #83)

Title: Basic and Intermediate Cost Media Files

Authority: GRS 22, Item 1b and GRS 23, Item 5

Privacy Act: Not Applicable

ADD NEW RECORDS DESCRIPTION AND DISPOSITION INSTRUCTIONS:

b. Description: USACE accounts and supporting documents generated in support of the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) recovery actions for the U.S. Environmental Protection Agency's Superfund Program will be reviewed for financial closeout per ER 37-5-3 for site-specific cost recovery documentation prior to transferring from the current file area (CFA). EPA Superfund Cost Recovery documents may not be destroyed unless authorized by EPA. May also, include documents in support of the Defense Environmental Restoration Program (DERP), DOD Base Realignment and Closure (BRAC) Environmental Restoration Program, Work for Others, and Operational and Maintenance.

b. Disposition: Retain in CFA 2 years after financial closeout per ER 37-5-3. Transfer to RHA for 5 years. Retire to FRC, Destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith. Forward all Superfund Cost Recovery (NA Form 13001) Request for Disposal of Records to the USACE Cost Recovery Coordinator to obtain disposal authorization.

c. Description: Documents generated in support of Defense Environmental Restoration Program (DERP), DOD Base Realignment and Closure (BRAC) Environmental Restoration Program and other non-Superfund environmental restoration programs.

c. Disposition: Retain in CFA 2 years after final billing and destroy 6 years a 3 months after end of Fiscal Year in which payment or collection is effected, providing there are no outstanding claims; exceptions; or pending litigation in connection therewith.

d. Description: HQUSACE environmental restoration mission related records for Superfund, Defense Environmental Restoration Program (DERP) and DOD Base Realignment and Closure (BRAC) Environmental Restoration Program related records.

d. Disposition: Retain in CFA 2 years after final billing and retire FRC, destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith.

File Number: 37-2-10r (MARKS Page #84)

Title: Civil Works Site Audits

Authority: NC1-AU-76-39

Privacy Act: Not Applicable

ADD NEW RECORDS DESCRIPTION AND DISPOSITION INSTRUCTIONS:

c. Description: USACE accounts and supporting documents generated in support of the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) recovery actions for the U.S. Environmental Protection Agency's Superfund Program will be reviewed for financial closeout per ER 37-5-3 for site-specific cost recovery documentation prior to transfer from the current file area (CFA). EPA Superfund Cost Recovery documents may not be destroyed unless authorized by EPA.

c. Disposition: Retain in CFA 2 years after financial closeout per ER 37-5-3. Transfer to RHA for 5 years. Retire to FRC, Destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith. Forward all Superfund Cost Recovery (NA Form 13001)

Request for Disposal of Records to the USACE Cost Recovery Coordinator to obtain disposal authorization.

d. Description: Documents generated in support of Defense Environmental Restoration Program (DERP), DOD Base Realignment and Closure (BRAC) Environmental Restoration Program and other non-Superfund environmental restoration programs.

d. Disposition: Retain in CFA 2 years after final billing; Destroy 30 years after end of Fiscal Year in which payment or collection is effected, providing there are no outstanding claims; exceptions; or pending litigation in connection therewith.

e. Description: HQUSACE environmental restoration mission related records for Superfund, Defense Environmental Restoration Program (DERP) and DOD Base Realignment and Closure (BRAC) Environmental Restoration Program and all other Support Work for Others.

e. Disposition: Retain in CFA 2 years after final billing and retire to FRC; Destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith.

File Number: 37-2-10s (MARKS Page #84)

Title: Disbursing Officer's Vouchers

Authority: GRS 6, Item 1a

Privacy Act: Not Applicable

ADD NEW RECORDS DESCRIPTION AND DISPOSITION INSTRUCTIONS:

b. Description: USACE accounts and supporting documents generated in support of the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA), which may include the Defense Environmental Restoration Program (DERP) and DOD Base Realignment and Closure (BRAC) Environmental Restoration Program. Recovery actions for the U.S. Environmental Protection Agency's Superfund Program will be reviewed for financial closeout per ER 37-5-3 for site-specific cost recovery documentation prior to transferring from the current file area (CFA). EPA Superfund Cost Recovery documents may not be destroyed unless authorized by EPA.

b. Disposition: Retain in CFA 2 years after financial closeout per ER 37-5-3. Transfer to RHA for 5 years then retire to FRC; Destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith. Forward all Superfund Cost Recovery NA Form 13001) Request for Disposal of Records to the USACE Cost Recovery Coordinator to obtain disposal authorization.

c. Description: Documents generated in support of Defense Environmental Restoration Program (DERP), DOD Base Realignment and Closure (BRAC) Environmental Restoration Program and other non-Superfund environmental restoration programs.

c. Disposition: Retain in CFA 2 years final billing; Destroy 30 years after end of Fiscal year in which payment or collection is effected, providing there are no outstanding claims; exceptions; or pending litigation in connection therewith.

d. Description: HQUSACE environmental restoration mission related records for Superfund, Defense Environmental Restoration Program (DERP) and DOD Base Realignment and Closure (BRAC) Environmental Restoration Program and all other Support Work for Others.

d. Disposition: Retain in CFA 2 years after final billing then retire to FRC; Destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith.

File Number: 37-2-10u (MARKS Page #84)

Title: Fiscal accounting files

Authority: GRS 7, Item 2

Privacy Act: Not Applicable

ADD NEW RECORDS DESCRIPTION AND DISPOSITION INSTRUCTIONS:

b. Description: USACE accounts and support documents generated in support of the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) recovery actions for the U.S. Environmental Protection Agency's Superfund Program will be reviewed for

financial closeout per ER 37-5-3 for site-specific cost recovery documentation prior to transfer from the current file area (CFA). EPA Superfund Cost Recovery documents may not be destroyed unless authorized by EPA.

b. Disposition: Retain in CFA 2 years after financial closeout per ER 37-5-3. Transfer to RHA for 5 years then retire to FRC: Destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith. Forward all Superfund Cost Recovery (NA Form 13001) Request for Disposal of Records to the USACE Cost Recovery Coordinator to obtain disposal authorization.

c. Description: Documents generated in support of Defense Environmental Restoration Program (DERP), DOD Base Realignment and Closure (BRAC) Environmental Restoration Program and other non-Superfund environmental restoration programs.

c. Disposition: Retain in CFA 2 years after final billing: Destroy 30 years after end of Fiscal Year in which payment or collection is effected, providing there are no outstanding claims; exceptions; or pending litigation in connection therewith.

d. Description: HQUSACE environmental restoration mission related records for Superfund, Defense Environmental Restoration Program (DERP) and DOD Base Realignment and Closure (BRAC) Environmental Restoration Program and all others Support Work for Others.

d. Disposition: Retain in CFA 2 years after final billing then retire to FRC: Destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith.

File Number: 37-103dd (MARKS Page #89)

Title: Original Disbursing Officer Accounts

Authority: GRS 2, Item 1; GRS 6, Item 1a, and NC1-AU-84-42

Privacy Act: A0037-104-1bSAFM

ADD NEW RECORDS DESCRIPTION AND DISPOSITION INSTRUCTION:

c. Description: Documents generated in support of Defense Environmental Restoration Program (DERP), DOD Base Realignment and Closure (BRAC) Environmental Restoration Program and other military environmental restoration programs.

c. Disposition: USACE retain in CFA 2 years after final billing. Transfer RHA 5 years then retire to FRC: Destroy 30 years after end of Fiscal Year in which payment or collection is effected, providing there are no outstanding claims; exceptions; or pending litigation in **connection therewith.**

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**200 SERIES
ENVIRONMENTAL QUALITY
ENVIRONMENTAL
RESTORATION
FILE CATEGORY**

(Detail Standards)

File Category 200: Environmental Quality

AR 25-400-2, 26 February 1993, The Modern Army Recordkeeping System (MARKS)

Pertinent Background Information

These are new classification standards for the file category **200 Environmental Quality**. The authority will be assigned by the National Archives and Records Administration (NARA), and the Privacy Act does not pertain. A permanent disposition standard is being proposed to address the preservation of environmental restoration records necessary to protect the legal and financial interests of the Federal Government.

Proposed File Number: 200-1d (MARKS Page #181)

Title: Environmental Restoration Remedial Assessment Files

Authority: To be assigned.

Privacy Act: Not Applicable.

Description: Examples of records are correspondence, memorandums, quality assurance project plans (QAPPs), endangerment assessment, risk assessment, health and safety plans, potentially responsible party (PRP) searches and investigations, projects management plans (PMP), pre-remedial reports, remedial investigation (RI) reports, feasibility study (FS) reports, proposed plans for selected remedial action, and applicable or relevant and appropriate requirements (ARARs), congressional inquiries, community relation plans and other public awareness records.

Disposition:

a. Retain in CFA, Permanent.

b. HQUSACE retain documents in CFA 3 years and retire to FRC. Transfer to File Number 200-1f, Environmental Restoration Project Files, Permanent.

Proposed File Number: 200-1e (MARKS Page #181)

Title: Army Environmental Restoration Administrative Record

Authority: To be assigned

Privacy Act: Not Applicable

Description: The Administrative Record is a subset of the remedial assessment file compiled made available to the public as the basis for selected Defense Environmental Restoration Program (DERP), DOD Base Realignment and Closure (BRAC) Environmental Restoration Program, and Work for Others response actions. Examples of records include; site discovery documentation, health and endangerment assessments, action memoranda, administrative orders, consent orders, applicable or relevant and appropriate requirements (ARAR), the preliminary assessment, site inspection, site investigation, the remedial investigation reports, feasibility study, community relations plans, correspondence, fact sheets, news clippings, work plans, natural resource trustee information, site reports, the proposed and approved remedial action, potentially responsible party (PRP) letters, PRP steering committee documents, letters, the Record of Decision (ROD) and ROD briefing documents, technical assistance documentation, technical issue papers, technical assistance grants, natural resources trustee release, trustee notification form and selection guide, public meeting transcripts, public comments on the development of the Administrative Record, and an index of the record.

Disposition: Permanent.

Proposed File Number: 200-1f (Page 180)

Title: Environmental Restoration Project Files

Authority: To be Assigned

Privacy Act: Not Applicable

Description: Documents created in connection with the investigation, planning, design, remedial actions, technical assistance operations, and maintenance of projects associated with environmental restoration of sites contaminated. These environmental restoration actions may include Civil Works sites; and sites designated by the Environmental Protection Agency (EPA), or sites designated by

other agencies, assigned to Army; Air Force; Department of Defense; Non-Department of Defense; active military installations; DOD Base Realignment and Closure (BRAC) Environmental Restoration Program, Defense Environmental Restoration Program (DERP). Included are program and project management documents, as well as documents associated with the administrative record, remedial design, remedial action and closeout, operations and maintenance, and other related documents.

Disposition: Permanent.

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**385 SERIES
SAFETY
ENVIRONMENTAL
RESTORATION
FILE CATEGORY**

(Detail Standards)

File Category 385: Safety

AR 25-400-2, 26 February 1993, The Modern Army Recordkeeping System (MARKS)

Pertinent Background Information

This is an updated classification standard for the file category **385: Safety**. The description, authority and Privacy Act standards remain the same. Based on possible litigation, a permanent disposition standard is being proposed to address recordable accidents and incidents reports relating to environmental restoration work performed for Superfund, Defense Environmental Restoration Program (DERP), DOD Base Realignment and Closure (BRAC) Environmental Restoration Program and other environmental restoration program accidents or incidents. The current MARKS regulation rescinded file number 385-40b, Accidents and Incidents Cases. The proposal recommends file number 385-40b be reinstated because the responsibilities are better defined in this regulation. Recommend File Number 385-10f be disestablished and the updated description and disposition standards as discussed below be moved to FN 385-40b. Recommend the time event disposition identified as 385-10f b, "OCE records created prior to 1 Jan 82: Destroy after 30 years" be changed from a time event disposition standard to a straight 30 year file to read as described in b below. A new disposition standard for environmental restoration is being added at paragraph d below.

File: 385-40b (MARKS Page #228)

Title: Accident and Incident Cases

Authority: NC1-AU-82-8

Privacy Act: A385-10/400SA

ADD NEW DESCRIPTION AND DISPOSITION b through d:

Description: Information relating to individual accidents and incidents. Included are reports of accidents and incidents and investigation thereof, involving Army missile systems, Army and non-Army motor vehicles, Army marine equipment, fires, explosives, and damage to Army property; harmful chemical, biological, radiological, environmental restoration clean-up and accidents; occupational injuries, illnesses, or death of military, Army civilian employees, or contractor personnel, injury or illness to non-Army personnel or damage to non-Army property as a result of Army operation, artillery misfires or accidents, and similar information.

Disposition:

- a. No change.
- b. Change to read: USACE retain in CFA and destroy after 30 years.
- c. No change.
- d. Environmental restoration reports, retain in CFA 5 years, transfer RHA 5 years, Permanent.

**405 SERIES
REAL ESTATE
ENVIRONMENTAL
RESTORATION
FILE CATEGORY**

(Detail Standards)

File Category 405: Real Estate

AR 25-400-2, 26 February 1993, The Modern Army Recordkeeping System (MARKS)

Pertinent Background Information

This is a major change to the classification standard for the file category **405: Real Estate**. The description for 405-90h has been significantly changed. The Privacy Act standard remains the same. The proposed disposition standard is permanent rather than the current time event disposition standard. We are proposing this new disposition standard because of potential environmental liabilities relating to real property transactions.

File Number: 405-90h (MARKS Page # 233)

Title: Real Property Title/Historical Files

Authority: NC1AU-83-5 and GRS 4

Privacy Act: Not Applicable

Description: Information documenting the condition of title and the life cycle of the acquisition, management, and disposal of real property. The acquisition documents include directives, real estate planning reports, title evidence, deeds and judgments; disposal documents include deeds, grants and papers relating to transfer, assignment or relinquishment; documents relating to the extent of Federal jurisdiction; documents of permanent value relating to relocations; miscellaneous documents including those relating to claims; final project maps, and documents relating to the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA), Superfund, Defense Environmental Restoration Program (DERP), DOD Base Realignment and Closure (BRAC) Environmental Restoration Program, or other remediation program documents which may substantiate potential environmental claims or liabilities resulting from the acquisition, use or occupancy of real property or interests in real property; and similar materials.

Disposition:

- a. U.S. Army Corps of Engineers Division and Districts having operational real estate responsibilities: Offer all records and indexes to NARA 10 years after unconditional disposal of property, Permanent.
- b. Other Offices: Destroy copies when no longer needed for current business.

**415 SERIES
MILITARY CONSTRUCTION
ENVIRONMENTAL
RESTORATION
FILE CATEGORY**

(Detail Standards)

File Category 415: Construction

AR 25-400-2, 26 February 1993, The Modern Army Recordkeeping System (MARKS)

Pertinent Background Information

These are updated classification standards for the file category 415 Construction. The description, authority, and Privacy Act standard remain the same. A 30-year disposition standard is being proposed when the contract relates to Environmental Restoration cleanup actions.

File Number: 415-10c (MARKS Page #233)

Title: Military Construction Contracts

Authority: NC-AU-75-19

Privacy Act: Not Applicable

Add new Description e, f and Disposition Standard c, d:

e. Description: Military contracts relating to the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA), Superfund, Defense Environmental Restoration Program (DERP), DOD Base Realignment and Closure (BRAC) Environmental Restoration Program, Work for Others, and Operational and Maintenance. USACE contracts and supporting documents generated in support of the Environmental Protection Agency (EPA), Superfund Program, may not be destroyed unless authorized by EPA IAW EPA Managers Financial Guide.

c. Disposition: Retain in CFA 2 year after closeout of the contract in which final payment is effected. Transfer to RHA for 5 years. Retire to FRC, Destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith. Forward all Superfund Contract (NA Form 13001) Request for Disposal of Records to the USACE Cost Recovery Coordinator to obtain disposal authorization.

f. Description: HQUSACE environmental restoration mission correspondence relating to contract records. USACE contracts and supporting documents generated in support of the Environmental Protection Agency (EPA), Superfund Program, may not be destroyed unless authorized by EPA IAW EPA Managers Financial Guide.

d. Disposition: Retain in CFA 2 years and retire FRC, destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith. Forward all Superfund Contract (NA Form 13001) Request for Disposal of Records to the USACE Cost Recovery Coordinator to obtain disposal authorization.

**715 SERIES
PROCUREMENT CONTRACTS
ENVIRONMENTAL
RESTORATION
FILE CATEGORY**

(Detail Standards)

File Category 715: Procurement Contracts

AR 25-400-2, 26 February 1993, The Modern Army Recordkeeping System (MARKS)

Pertinent Background Information

These are updated classification standards for the file category 715 Procurement Contracts. The description, authority, and Privacy Act standards remain the same. A 30 year disposition standard is being proposed when the contracts relates to Environmental Restoration cleanup actions.

File Number: 715c (MARKS Page #294)

Title: Master, Open-End, and Call-Type Contracts

Authority: NC-64-75-4

Privacy Act: Not Applicable

ADD NEW DESCRIPTION b, c and DISPOSITION c, d:

b. Description: Records relating to the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA), Superfund, Defense Environmental Restoration Program (DERP), DOD Base Realignment and Closure (BRAC) Environmental Restoration Program, Work for Others, and Operational and Maintenance. USACE contracts and supporting documents generated in support of the Environmental Protection Agency (EPA), Superfund Program, may not be destroyed unless authorized by EPA IAW EPA Managers Financial Guide.

c. Disposition: Retain in CFA 2 years after closeout of the contract in which final payment is effected. Transfer to RHA for 5 years. Retire to FRC, and destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith. Forward all Superfund Contract (NA Form 13001) Request for Disposal of Records to the USACE Cost Recovery Coordinator to obtain disposal authorization.

c. Description: HQUSACE environmental restoration contract correspondence records. USACE contracts and supporting documents generated in support of the Environmental Protection Agency (EPA), Superfund Program, may not be destroyed unless authorized by EPA IAW EPA Managers Financial Guide.

d. Disposition: Retain in CFA 2 years and retire FRC, destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith. Forward all Superfund Contract (NA Form 13001) Request for Disposal of Records to the USACE Cost Recovery Coordinator to obtain disposal authorization.

File Number: 715j (MARKS Page #295)

Title: Small Purchase Categories

Authority: NC1-330-78-13

Privacy Act: Not Applicable

ADD NEW DESCRIPTION AND DISPOSITION b & c:

b. Description: Records relating to the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA), Superfund, Defense Environmental Restoration Program (DERP), DOD Base Realignment and Closure (BRAC) Environmental Restoration Program, Work for Others, and Operational and Maintenance. USACE contracts and supporting documents generated in support of the Environmental Protection Agency (EPA), Superfund Program, may not be destroyed unless authorized by EPA IAW EPA Managers Financial Guide.

b. Disposition: Retain in CFA 1 year after closeout of the contract in which final payment is effected. Retire to FRC, destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith. Forward all Superfund Contract (NA Form 13001) Request for Disposal of Records to the USACE Cost Recovery Coordinator to obtain disposal authorization.

c. Description: HQUSACE environmental restoration contract correspondence records. USACE contracts and supporting documents generated in support of the Environmental Protection Agency

(EPA), Superfund Program, may not be destroyed unless authorized by EPA IAW EPA Managers Financial Guide.

c. Disposition: Retain in CFA 2 years and retire FRC, destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith. Forward all Superfund Contract (NA Form 13001) Request for Disposal of Records to the USACE Cost Recovery Coordinator to obtain disposal authorization.

File Number: 715k (MARKS Page #295)

Title: Contract Actions

Authority: NC-217-75-8

Privacy Act: Not Applicable

ADD NEW DESCRIPTION b, c, and DISPOSITION c, d:

b. Description: Records relating to the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA), Superfund, Defense Environmental Restoration Program (DERP), DOD Base Realignment and Closure (BRAC) Environmental Restoration Program, Work for Others, and Operational and Maintenance. USACE contracts and supporting documents generated in support of the Environmental Protection Agency (EPA), Superfund Program, may not be destroyed unless authorized by EPA IAW EPA Managers Financial Guide.

c. Disposition: Retain in CFA 1 year after closeout of the contract in which final payment is effective. Retire to FRC, destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith. Forward all Superfund Contract (NA Form 13001) Request for Disposal of Records to the USACE Cost Recovery Coordinator to obtain disposal authorization.

c. Description: HQUSACE environmental restoration contract correspondence records. USACE contracts and supporting documents generated in support of the Environmental Protection Agency (EPA), Superfund Program, may not be destroyed unless authorized by EPA IAW EPA Managers Financial Guide.

d. Disposition: Retain in CFA 2 years and retire FRC, destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection there with. Forward all Superfund Contract (NA Form 13001) Request for Disposal of Records to the USACE Cost Recovery Coordinator to obtain disposal authorization.

File Number: 715p (MARKS Page #295)

Title: Contract Clause Deviations

Authority: NC1-AU-80-45

Privacy Act: Not Applicable

ADD NEW DESCRIPTION b & c AND DISPOSITION b & c:

b. Description: Records relating to the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA), Superfund, Defense Environmental Restoration Program (DERP), DOD Base Realignment and Closure (BRAC) Environmental Restoration Program, Work for Others, and Operational and Maintenance. USACE contracts and supporting documents generated in support of the Environmental Protection Agency (EPA), Superfund Program, may not be destroyed unless authorized by EPA IAW EPA Managers Financial Guide.

b. Disposition: Retain in CFA 1 year after closeout of the contract in which final payment is effected. Retire to FRC, destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith. Forward all Superfund Contract (NA Form 13001) Request for Disposal of Records to the USACE Cost Recovery Coordinator to obtain disposal authorization.

c. Description: HQUSACE environmental restoration contract correspondence records: USACE contracts and supporting documents generated in support of the Environmental Protection Agency (EPA), Superfund Program, may not be destroyed unless authorized by EPA IAW EPA Managers Financial Guide.

c. Disposition: Retain in CFA 2 years and retire FRC, destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith. Forward all Superfund Contract (NA Form 13001) Request for Disposal of Records to the USACE Cost Recovery Coordinator to obtain disposal authorization.

**1110 SERIES
CORPS OF ENGINEERS
ENGINEERING AND DESIGN
ENVIRONMENTAL
RESTORATION
FILE CATEGORY**

(Detail Standards)

File Category 1110: Corps of Engineers, Engineering and Design

Pertinent Background Information

These are new classification standards for the file category 1110: Corps of Engineers, Engineering and Design.

File Number: 1110-1-8100e (Page #317)

Title: Environmental Restoration - Raw Data Files

Authority: To be assigned

Privacy Act: Not Applicable

Description: Records relate to chemical analysis services performed to support the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA), for Superfund, Defense Environmental Restoration Program (DERP), DOD Base Realignment and Closure (BRAC) Environmental Restoration Program, Work for Others, and Operations and Maintenance. Examples of documentation includes: QA/QC laboratory Chemical Quality Assurance reports. Chemical Data Quality Assessment reports, raw data inventory forms, field sheets, chain of custody documents, data worksheets, analyst logbooks, sample logbooks, correspondence, and QA/QC data logs.

Disposition:

- a. Dispose of all raw test samples within 90 days after regulatory holding times, but not to exceed 1 year, whichever is sooner.
- b. Raw test data reports shall be retained for 2 years from date of generation.

File Number: 1110-1-8100f (Page #317)

Title: Environmental Restoration Quality Assurance and Quality Control (QA/QC) Files

Authority: To be assigned

Privacy Act: Not Applicable

Add New Description and Disposition Standards:

Description: Records relate to chemical analysis QA/QC final reports supporting the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA), for Superfund, Defense Environmental Restoration Program (DERP), DOD Base Realignment and Closure (BRAC) Environmental Restoration Program, Work for Others, and Operations and Maintenance. Examples of documentation include: QA/QC laboratory Chemical Quality Assurance reports, Chemical Data Quality Assessment reports, raw data inventory forms, field sheets, chain of custody documents, data worksheets, analyst logbooks, sample logbooks, correspondence, and QA/QC data logs.

Disposition:

- a. Transfer contractors deliverables and final QA/QC reports to File Number 200-1f, Environmental Restoration Project Files, Permanent.
- b. Cutoff logbooks on completion of project, Transfer to File Number 200-1f, Environmental Restoration Project Files: Destroy after 30 years if listed on the National Priorities List, all others will be destroyed after 5 years.

File Number: 1110-1-8100g

Title: Environmental Restoration Waste Identification, Tracking, and Disposal Files

Authority: To be assigned

Privacy Act: Not Applicable

Add New Description and Disposition Standard:

Description: Records relate to waste identification, tracking and disposal documentation supporting the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA), for Superfund, Defense Environmental Restoration Program, Work for Others, and Operations and Maintenance. Examples of documentation includes, generator knowledge determination, waste

analysis reports and associated waste profile sheets, waste shipping records and hazardous waste manifests, land disposal restriction notifications and certificates of disposal.

Disposition: Transfer to File Number 200-1f, Environmental Restoration Project Files on completion of project, Permanent.

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**1180 SERIES
CORPS OF ENGINEERS
CONTRACTS
ENVIRONMENTAL
RESTORATION
FILE CATEGORY**

(Detail Standards)

File Category 1180: Corps of Engineers Contracts

AR 25-400-2, 26 February 1993, The Modern Army Recordkeeping System (MARKS)

Pertinent Background Information

These are updated classification standards for the file category 1180 Corps of Engineers Contracts. The description, authority, and Privacy Act standards remain the same. A 30 year disposition standard disposition standard is being proposed when the contracts relate to the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) Superfund, Defense Environmental Restoration Program (DERP), DOD Base Realignment and Closure (BRAC) Environmental Restoration Program, Work for Others, and Operational and Maintenance.

File Number: 1180-1-1a (MARKS Page #326)

Title: Civil Works Contracts (CE)

Authority: NC1-AU-76-75

Privacy Act: Not Applicable

ADD NEW DESCRIPTION c AND DISPOSITION INSTRUCTIONS c, d:

c. Description: USACE Civil Works contracts relating to the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA), Superfund, Defense Environmental Restoration Program (DERP), DOD Base Realignment and Closure (BRAC) Environmental Restoration Program, Work for Others, and Operational and Maintenance or any other contracts relating to environmental restoration clean-up actions. USACE contracts and supporting documents generated in support of the Environmental Protection Agency (EPA), Superfund Program, may not be destroyed unless authorized by EPA IAW EPA Managers Financial Guide.

c. Disposition: Retain in CFA 2 years after closeout of the contract in which final payment is effected. Transfer to RHA for 5 years, retire to FRC, destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith. Forward all Superfund Contract (NA Form 13001) Request for Disposal of Records to the USACE Cost Recovery Coordinator to obtain disposal authorization.

d. Disposition: HQUSACE environmental restoration contract correspondence records; retain in CFA 2 years and retire FRC, destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith. Forward all Superfund Contract (NA Form 13001) Request for Disposal of Records to the USACE Cost Recovery Coordinator to obtain disposal authorization.

File Number: 1180-1-1q (MARKS Page #327)

Title: Civil Works Construction and Maintenance Contracts

Authority: NC1-AU-76-47

Privacy Act: Not Applicable

ADD NEW DESCRIPTION f AND DISPOSITION STANDARD b & c:

f. Description: USACE Civil Works contracts relating to the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA), Superfund, Defense Environmental Restoration Program (DERP), and DOD Base Realignment and Closure (BRAC) Environmental Restoration Program, Work for Others, and Operational and Maintenance. USACE contracts and supporting documents generated in support of the Environmental Protection Agency (EPA), Superfund Program, may not be destroyed unless authorized by EPA IAW EPA Managers Financial Guide.

b. Disposition: Retain in CFA 2 year after closeout of the contract in which final payment is effected. Transfer to RHA for 5 years and retire to FRC, Destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith. Forward all Superfund Contract (NA Form 13001) Request for Disposal of Records to the USACE Cost Recovery Coordinator to obtain disposal authorization.

c. Disposition: HQUSACE environmental restoration contract correspondence records; retain in CFA 2 years and retire FRC, destroy after 30 years providing there are no outstanding claims; exceptions; or pending litigation in connection therewith. Forward all Superfund Contract (NA Form 13001) Request for Disposal of Records to the USACE Cost Recovery Coordinator to obtain disposal authorization

Notes
