

WEST VIRGINIA DIVISION OF HIGHWAYS
ADMINISTRATIVE OPERATING PROCEDURES
SECTION I, CHAPTER 8

SECTION TITLE: GENERAL

CHAPTER TITLE: FLOOD EMERGENCY RELIEF PROJECTS

Effective 11/15/2004

I. [INTRODUCTION](#)

II. [RESPONSIBILITIES](#)

A. DEPUTY STATE HIGHWAY ENGINEER - OPERATIONS

B. DISTRICT ENGINEER

C. MAINTENANCE Division

D. FINANCE Division

E. DISTRICT COMPTROLLER

F. DISTRICT ENVIRONMENTAL COORDINATOR

G. COUNTY ADMINISTRATOR

H. CREW SUPERVISOR

I. County Office Assistant

J. EQUIPMENT DIVISION

K. PROGRAM ADMINISTRATION DIVISION

III. PROCEDURES

IV. FEDERAL ASSISTANCE PROGRAM OVERVIEWS

A. EMERGENCY RELIEF PROGRAM (FHWA)

B. FEDERAL EMERGENCY MANAGEMENT ADMINISTRATION (FEMA)

V. EMERGENCY CONTRACTING

I. **INTRODUCTION**

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It is the duty of each employee of the Division of Highways to plan and be prepared to respond to any type of disaster. The purpose of this procedure is to establish guidelines to be followed in an emergency situation, such as a flood or other natural disaster. Contained herein is a description of what conditions might constitute an emergency situation and the necessary documentation which will be required of DOH organizations in such an event.

This procedure is not intended to delete or rescind the Governor's existing directive (Interim Plan for Emergency System Operations); however, some modifications may be noted.

This procedure addresses the administrative items and details which are necessary to allow the Governor, the Secretary/Commissioner and his staff to determine damages and to assess the need for equipment, personnel and funds to be allocated to these areas of extensive damages. This procedure also outlines duties and responsibilities to the various levels of the District, County and Central Office organizations for disaster preparedness, response and recovery.

II. RESPONSIBILITIES

A. **DEPUTY STATE HIGHWAY ENGINEER - OPERATIONS**

DEPUTY STATE HIGHWAY ENGINEER - OPERATIONS WILL BE RESPONSIBLE FOR THE FOLLOWING:

1. Coordinate possible disaster declaration with the West Virginia Office of Emergency Services.
2. Coordinate District/County response and recovery needs with the Equipment, Finance, Maintenance and Program Administration Divisions.
3. Apprise the Secretary/Commissioner and other DOH/DOT managers of disaster estimates and progress reports as related to the response and restoration of disaster damages.
4. Coordinate disaster response and recovery efforts with the management of the affected Districts.
5. Coordinate disaster event with the FHWA and FEMA agencies.

B. DISTRICT ENGINEER

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DISTRICT ENGINEER WILL BE RESPONSIBLE FOR THE FOLLOWING:

1. Notify Charleston Control of an emergency situation, such as a flood or other natural disaster.
2. Assign District Windshield Survey Teams to evaluate damages.
3. Insure that damage estimates are transmitted to the Deputy State Highway Engineer - Operations, Maintenance and Finance Divisions, utilizing the EXCEL spreadsheet developed for this task. An example of this spreadsheet can be found on the Maintenance Division Homepage.
4. Insure that all reports and forms are documented as defined later in this procedure.
5. Coordinate the necessary resources to provide immediate flagging/signing/barricades and emergency repairs and restoration to the highways in order to assure the safety of

the traveling public.

6. Assign a District flood coordinator to maintain EXCEL spreadsheet data, coordinate and complete FHWA Disaster Damage Inspection Reports, and FEMA project Worksheets.

C. MAINTENANCE DIVISION

MAINTENANCE DIVISION WILL BE RESPONSIBLE FOR THE FOLLOWING:

1. Assist the Districts and the Equipment Division in locating Division equipment and/or private sector equipment needed by type, condition, and location.
2. Coordinate with Finance Division, the receipt of the EXCEL spreadsheets listing routes and sites damaged.
3. Coordinate with the Program Administration Division to request disaster event projects are loaded to the project tracking system as per instructions from the Deputy State Highway Engineer - Operations.
4. Prepare summary reports detailing County/District damage estimate amounts for DOH management.

D. FINANCE DIVISION

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FINANCE DIVISION WILL BE RESPONSIBLE FOR THE FOLLOWING:

1. Issue route/site authorization numbers for each county upon receipt of the EXCEL spreadsheet listing locations and estimates after coordination with the Deputy State Highway Engineer - Operations and the Maintenance Division.
2. Coordinate the preparation of financial documentation with the District Comptroller.

3. Coordinate with FEMA and FHWA final payment project close out documentation.
4. Close out route/site authorization after notification from District.

E. DISTRICT COMPTROLLER

DISTRICT COMPTROLLER WILL BE RESPONSIBLE FOR THE FOLLOWING:

1. Contact the organizations affected by the disaster event, to discuss the financial and record keeping procedures with the County Administrator, Crew Supervisors, and Office Assistants insuring that everyone fully understands their individual responsibilities and the importance of maintaining separate accounting records of all financial documents relating to the disaster event.
2. Review organizational documentation to insure that complete and accurate documentation is maintained. Monitor resource expenditures recorded in REMIS against all of the District's disaster associated authorizations to insure that any expenditures exceeding the authorized PDA/DDIR amounts are reviewed and appropriate action is taken.
3. Obtain copies of the financial documents from the Office Assistant and prepare a case file for each authorization. Include copies of the Daily Work Report (Form DOT•12), the Inventory Usage or Transfer document (Form DOT•6) and Receipt of Materials Report (Form DOT•5), and Small Purchase Requisition/Receipt Record (Form DOT•105) and invoices, when applicable. Insure that each entry reported as expenditure against the route authorization numbers on REMIS can be supported by a copy of the originating document, until such time that it is reviewed and accepted by Finance Division, or until final reimbursement has been received from the reimbursing agency.
4. Review final expenditures applied against the route

authorizations, prepare Journal Voucher corrections when required and submit to the Finance Division.

5. Insure that a Financial End Date Adjustment and Project Completion Notification (Form BF•150, are prepared on a timely basis, to close out the disaster authorizations when work is completed on Non•Federal Aid projects. The Federal Aid section of the Finance Division will prepare closures for Federal Aid projects when the Final Voucher is prepared for these projects.
6. Monitor EXCEL spreadsheets to insure up to date data is submitted to Finance Division.

F. DISTRICT ENVIRONMENTAL COORDINATOR

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DISTRICT ENVIRONMENTAL COORDINATOR WILL BE RESPONSIBLE FOR THE FOLLOWING:

1. Utilize disaster damage EXCEL spreadsheets to track and communicate the type of permits necessary for recovery efforts.
2. Coordinate between the environmental resource agencies (Corp of Engineers, DEP, EPA, etc.) and state forces all necessary permits and ongoing work notifications to ensure compliance with the Clean Water Act during recovery efforts.
3. Assist state forces in utilizing best management practices for rebuilding roadway embankments adjacent to streams to ensure that unconsolidated materials do not erode back into the stream.

G. COUNTY ADMINISTRATOR

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COUNTY ADMINISTRATOR WILL BE RESPONSIBLE FOR THE FOLLOWING:

1. Coordinate all work assigned to County forces.
2. Insure that the Crew Supervisor and the Office Assistant as defined in this procedure adhere to the financial requirements.
3. Notify the Assistant District Engineer, Maintenance and the District Comptroller if it is apparent that the route authorizations will be overrun.
4. Contact the District Comptroller when in doubt of what procedure to follow, or when reporting/documentation problems exist during a flood or other disaster.
5. Notify the Assistant District Engineer, Maintenance when work has been completed.
6. Resources borrowed from other organizations shall be documented the same as your own resources.

H. CREW SUPERVISORS

CREW SUPERVISORS WILL BE RESPONSIBLE FOR THE FOLLOWING:

1. Record all resource expenditures associated with the repair of flood damage or other disasters on the Daily Work Report (Form DOT•12). A separate entry should be made for each Route and Milepost (location). Include the labor, equipment, materials and other miscellaneous charges, as incurred. Be certain that all required information has been listed.
2. Verify with the County Administrator or County Office Assistant, that route authorization numbers and/or Damage Survey Reports have been issued, after receiving notification that repairs are to be made for damages caused by floods or other disasters.

3. Insure that once route authorizations have been assigned to a specific area or projects, that these route authorizations are utilized to document all resource expenditures associated with the clean-up, restoration and repair of the flood/disaster associated damages.
4. Review site PDA's and current damage estimates to insure that resource expenditures/repairs do not exceed the scope of work approved for each disaster site. If it becomes apparent that additional labor, equipment and materials will be necessary to repair the damages in excess of the amount approved on the PDA/DDIR, notify the County Administrator.
5. Whenever repair/clean-up work associated with a disaster situation is initiated prior to the issuance of route authorization numbers, insure that a reference is made in the "General Comments" Section of the Daily Work Report (Form DOT•12), detailing that work is related to a flood or other disaster and identify route number and milepost.
6. If private sector rental equipment is utilized on disaster projects, this equipment must be properly recorded on the Daily Work Report (Form DOT-12). Refer to Maintenance Division's Intra-net web site for the proper guidelines and procedures to be followed. As a minimum, the following information should be noted on the DOT-12:
 - a. Type of Equipment
 - b. Number of Hours Used
 - c. Vendor
 - d. Rented equipment must be documented daily. If idle or down, it should be noted as such. Refer to the Maintenance Division's Intra-net web site for detailed instructions on getting a Private Sector ED Number.

I. COUNTY OFFICE ASSISTANT

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COUNTY OFFICE ASSISTANT WILL BE RESPONSIBLE FOR THE FOLLOWING:

1. Maintain accurate records and accountability for all labor, equipment, and materials used in the clean-up/repair of damages from flood or other disasters.
2. Review the Daily Work Report (Form DOT-12), on a daily basis in order to insure that the following information has been properly recorded:
 - a. Date
 - b. Organization Number
 - c. Activity Code
 - d. Authorization Number
 - e. "N" or "P"
 - f. Route Number
 - g. Milepost -- In the absence of a Milepost, the Crew Supervisor will provide an adequate location point.
 - h. Units of Accomplishment
 - i. Identification of all Labor, Equipment and Materials.
3. Maintain a separate accounting file on all documentation relating to flood or other disaster damages. Retain these records at the County level until the District Comptroller requests further action.
4. Document the usage of materials daily, to the route authorizations, on the Daily Work Report (Form DOT•12) or the Inventory Usage or Transfer Document (DOT•6), whichever is utilized.
5. Retain a copy of the Inventory Usage or Transfer Document (Form DOT•6) and the Receipt of Materials/Services Record Reports (Form DOT•5) in the file maintained for disaster authorizations.
6. Maintain accurate records in order to apply the charges to the

appropriate authorization, when rental equipment is utilized. Insure that private rental equipment is reported on the DOT-12 daily.

7. Retain records on Flood Authorization, and include as a minimum, copies of the following:
 - a. Daily Work Report (Form DOT-12)
 - b. Inventory Usage or Transfer Document (Form DOT-6)
 - c. Receipt of Materials/Services Record Report (Form DOT-5) if applicable.
 - d. All Small Purchase Requisition/Receipt Records (Form DOT-105) and invoices pertaining to emergency charges.

J. EQUIPMENT DIVISION

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EQUIPMENT DIVISION WILL BE RESPONSIBLE FOR THE FOLLOWING:

1. Assist the Districts with the availability and transportation of equipment to the disaster site(s).

K. PROGRAM ADMINISTRATION DIVISION

PROGRAM ADMINISTRATION DIVISION WILL BE RESPONSIBLE FOR THE FOLLOWING:

1. Upon notification by Maintenance Division, program county by county projects for repair of disaster damages or approved debris removal for supplemental funding.
2. If supplemental Federal Aid disaster funding is anticipated

(either FEMA or ER), coordinate the assignment of programmed projects for temporary or permanent repairs route authorizations assigned by Finance Division.

3. Program on system or off system projects for damage costs not eligible for FEMA or ER participation.
4. Coordinate with Finance Division the receipt and allocation of federal-aid monies received to the approved projects.
5. Report all ER projects to FHWA.

III. **PROCEDURES**

When there is an emergency situation in the District or County, notify the Deputy State Highway Engineer • Operations and the Maintenance Division – Charleston Control as soon as possible. Charleston Control shall be notified of all road closures, by route number and location, throughout the district.

During an emergency situation, temporary repairs, flagging/signing/barricading, and restoration to the highways must begin immediately. The first priority is to assure the safety of the citizens and traveling public. The Deputy State Highway Engineer • Operations shall be continually informed of all activities by the District Engineer or designee.

Upon notification from the Deputy State Highway Engineer • Operations, Finance Division will assign individual route/milepost authorizations, off-system authorizations, and debris clean-up authorizations (if required) to each county, for reporting and capturing all the costs associated with the disaster damages. It is of utmost importance, from the very beginning of an emergency, that supporting documents be complete, accurate and be retained.

The District Engineer, as soon as possible, will assign a Windshield Survey Team (Preliminary Damage Assessment, PDA, Team) for each county, as required. This team will review and report on the following:

- The route number and mile post/site location.
- The type of damage.

- Preliminary damage estimates.
- Maps showing damaged areas.
- Photographs of damaged areas.

A flood or other disaster is eligible for Federal program assistance generally upon issuance of a Presidential Declaration. When disaster assistance is approved for either Federal-Aid System Projects, (Emergency Relief (ER) or non-Federal-Aid System Projects, (Federal Emergency Management Agency, FEMA), authorization numbers for each Detailed Damage Inspection Report (DDIR) and/or each Project Worksheet (PW) will be issued by Finance Division with the Deputy State Highway Engineer – Operations instructions soon after the Damage Survey Team's recommendations or reports are completed.

At the time of the DDIR or PW report preparation, a decision will be made as to whether the work is temporary, emergency permanent, or permanent. The Federal-aid highway system is generally defined as all public highways other than those functionally classified as local roads or rural minor collectors. Consult the DOH road inventory system for additional information.

Temporary and Emergency Permanent

The work, which is temporary and emergency permanent, should proceed with all haste, utilizing the best engineering decisions/practices possible given the conditions.

Permanent

The permanent work will be reviewed to determine the assignment of responsibility. All permanent work on ER Projects (other than emergency permanent) must follow the usual FHWA procedures. All permanent work (other than emergency permanent) must be authorized by the FHWA on ER projects before construction and by the Division on other than Federal Aid highways. This can be verbal, but must be followed up with the appropriate documentation.

Permanent Work - Right of Entry

During the immediate emergency an effort should be made to obtain the right to work on private property. On permanent work which is accomplished after the immediate disaster a right of entry is required. This cannot be over-emphasized. The Division of Highways does not have the right to work on private property without permission of the owner(s). On ER projects (Federal Aid Highways) all rights of way must be obtained using the same procedures utilized for any other Federal-Aid project. On Federal Emergency Management Agency (FEMA) projects, the Division of Highways' procedure applies.

Utilities

Utilities occupying the Division of Highways' right-of-way by permit are generally not eligible for their relocation costs. Flood and disaster projects are generally considered maintenance work since the roadway is restored to the predisaster condition. Exceptions to utility reimbursement may be made if there is an improvement to the roadway, but eligible funding for improvements such as raising the grade or a shift in alignment may be limited by the approving agency. Consult the District Utilities Coordinator or the Utilities Relocation Manual for additional information.

Authorizations and Reimbursements

Special Authorization numbers (by route and mile post/location) will be issued to the disaster affected organizations upon the concurrence of the Deputy State Highway Engineer – Operations. These route authorizations shall be utilized to record all resource expenditures associated with the disaster repair and/or restoration. Generally these route authorizations will be the basis for establishing the PW/DDIR project documentation, therefore it is imperative that all expenditures recorded against the route authorization numbers be well documented.

The Daily Work Report (Form DOT-12) is the primary source document and as such, the DOT-12 documents are utilized by the Finance Division to support the Division of Highways' request for reimbursement from other agencies. The DOT-12 documents must be retained for audit verification and reconciliation by the Federal and Independent Audit Staff.

To obtain the maximum reimbursement from the federal government agencies for disaster related damages; the following information must be completely and accurately reported on the DOT-12 document.

- Date

- Organization Number

- Activity Code

- Special Route Authorization Number

- "N" or "P"

- Route Number

- Units of Accomplishment
- Identification of all Labor, Equipment and Materials
- Milepost -- (In the absence of a Milepost, the Crew Supervisor will provide an adequate location point.)
- General comments on the day's activity should be summarized on the Daily Work Report (Form DOT-12).
- Pictures of disaster related damages.

The Division of Highways has been denied reimbursement for expenditures that were billed from "other" financial documents, but were not documented as an expenditure on the DOT-12. It is imperative that the DOT-12 reporting be as complete and accurate as possible, especially where reimbursable disaster situations are involved.

Upon completion of the repairs/restoration, a Financial End Date Adjustment and Project Completion Notification (Form BF•150) will be processed as directed by the DOT Finance Division.

In the event a disaster is not to be declared, the route authorization numbers will be based on the estimates furnished by the district and will be closed within ninety (90) days, except those authorizations which have an approved extension of completion time.

Any questions concerning financial documentation required for any disaster situation shall be directed to the Director of the Finance Division.

IV. FEDERAL DISASTER ASSISTANCE PROGRAM OVERVIEW

Effective 11/15/2004

A. EMERGENCY RELIEF PROGRAM (FHWA)

The Emergency Relief (E R) program is administered by the Federal Highway Administration (FHWA). This special program is available to assist the DOH for repair or reconstruction of Federal-aid highways which have suffered damage as a result of natural disasters or catastrophic failures from an external cause. In general, Federal-aid

Highways are all public highways other than those functionally classified as local roads or minor collectors. This program supplements the commitment of the DOH resources to help pay for unusually heavy expenses resulting from extraordinary conditions. E R funds are not intended to cover expenses of heavy maintenance activities or all damage repair costs nor interim emergency repair costs that will necessarily restore the facility to predisaster conditions. The FHWA has determined that E R repair activities in the range of \$700,000.00 or more are usually significant enough to justify approval of E R funds. A minimum of \$5,000.00 per site in repair costs should be used to determine if the extent of repair work is beyond the scope of heavy maintenance.

All repair work falls under two major categories, namely emergency repairs and permanent repairs. Emergency repairs are those repairs during and immediately following a disaster that restore essential traffic, minimize the extent of damages, or protect the remaining facilities. These repairs should begin immediately following a disaster. Properly documented costs may later be reimbursed once the FHWA Division Administrator makes a finding that the disaster is eligible for E R funding. Permanent repairs are those repairs undertaken (usually after emergency repairs have been completed) to restore the highway to its predisaster condition. Permanent repairs must have prior FHWA approval and authorization unless done as part of the emergency repairs. For emergency repairs, the federal share is 100 percent for repair work done to restore essential traffic, to minimize the extent of damage or to protect the remaining facilities within the first 180 days after the disaster occurrence. For permanent repairs, the federal share depends on the type of Federal-aid highway being repaired. Generally, all disaster damaged elements of the highway cross-section are eligible for repair under the E R program. For additional information regarding the E R program refer to the FHWA Emergency Relief Manual or the internet web site, www.fhwa.dot.gov.

B. FEDERAL EMERGENCY MANAGEMENT ADMINISTRATION (FEMA)
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Under the Public Assistance (PA) program, FEMA provides supplemental aid to communities and States to help them recover from disasters as quickly as possible. If it is evident that the disaster

situation is or will be beyond the capabilities of the local and State resources, the Governor may request that the President declare, under the authority of the Stafford Act, that an emergency or major disaster exists in the State. While this request is being processed, local and State government officials should not delay in taking necessary response and recovery actions. Prior to a Presidential disaster declaration, the Governor will request that FEMA conduct a joint Preliminary Damage Assessment (PDA) with the State to verify disaster damages and estimate the amount of supplemental assistance that will be needed. In general, disaster related damages exceeding \$2,000,000.00 are necessary for a Presidential declaration to be issued.

The President will decide whether to declare a major disaster or emergency. Upon the Presidential declaration, FEMA will designate the area eligible for public assistance. FEMA will establish a Disaster Field Office (DFO) to be used as the focal point of disaster recovery operations.

Under the PA program, FEMA awards grants to assist with the response and recovery from disasters. The PA program provides assistance for debris removal, implementation of emergency protective measures, and permanent restoration of infrastructure. The Federal share of disaster related damage expenses is generally limited to 75 percent of eligible costs. The DOH will work with local and State Emergency Office officials to identify disaster damages provide information necessary for FEMA to approve grants and to manage funded projects. FEMA grants are provided only on public facilities where other Federal agencies, such as FHWA, does not have jurisdiction. In general there are three types of work that are eligible, debris removal, emergency protective measures, and permanent. Debris removal and emergency protective work are considered emergency work and therefore are only eligible for reimbursement of overtime hours worked. Permanent restoration work is eligible for reimbursement for work that is required as a direct result of the declared disaster damages. FEMA will establish an incident period for which is the time frame that disaster damages are eligible for reimbursement. For more information regarding the Public Assistance program administered by FEMA visit their website at www.fema.gov.

V. EMERGENCY CONTRACTING

Effective 11/15/2004

Emergency response efforts are defined as those actions necessary to restore the transportation system to a point where emergency services personnel (fire, police, ambulance) can respond and access the general public. Permanent recovery efforts are defined as the work necessary to restore the public transportation system to pre-disaster conditions.

The District Engineer, Maintenance Engineer, and the County Administrator must work closely together to insure timely emergency response and recovery efforts are implemented. It may become necessary to contract some response or recovery efforts to insure timely restoration of the public transportation system. There are two methods which emergency contracting services may be obtained, 1) Competitive bid contracts, and 2) Force account contracts. Factors such as the extent of the disaster damages, scope of work required as well as the time required should be considered in the decision to utilize emergency contracting methods. Force account contracts may only be used with the approval of the Commissioner or the Deputy State Highway Engineer. These type of contracts should be very limited to scope of work and in general should be used to restore the transportation system to the point where emergency services are available. If it should become necessary to utilize force account contracts the Deputy State Highway Engineer will provide direction to the District Engineer as to obtaining these emergency services. Additionally, procurement of these emergency services will require compliance with the Department of Administration, Purchasing Division Rules and Regulations. Reimbursement by FEMA and FHWA for these type of emergency contracts are generally limited by the program eligibility requirements. Competitive bid contracts are the preferred method by which to obtain emergency contract services. The District should prepare a bid package with the location of the work, scope of work required, and an estimate of quantities as well as program the project with Program Administration. To ensure federal-aid on these projects, normal FHWA contract provisions should be made a part of the bid package as well. A mandatory pre-bid conference should be held in the County that the work is to be performed. The District should work with the Contract Administration Division to arrange and advertise a bid opening time and location.