CHAPTER 3

State and Local Direction Control and Warning

3-1. General. This SLDCW chapter includes five programs: EOC's, W&CS, EBS, Electromagnetic Pulse Protection (EMP), and M&S.

a. State and Local Direction, Control and Warning.

(1) SLDCW is designed to assist State and local governments in developing, designing, and obtaining facilities and systems essential to a coordinated and effective response to all emergencies. The programs are concerned with EOC's and mobile communications systems, emergency communications equipment and systems networking, the capability to receive and disseminate alerts and warnings, the capability to broadcast emergency information to the public, equipment protection from the effects of an EMP, and maintenance and services of emergency facilities and equipment. Program scope also addresses Emergency Support Services (ESS), and the provision of operational guidance and assistance, designed to assure and enhance coordinated response to major emergencies by emergency services departments such as police, fire, public works, search and rescue, health and medical, and support volunteer organizations.

(2) The programs provide planning, procedures, criteria, standards, and technical and operational guidance, as well as technical and financial assistance needed to achieve connectivity between localities and the States as well as with the National Emergency Management System (NEMS).

(3) The programs provide SLDCW capability building through matching fund grants for the acquisition of facility features, equipment, and maintenance and service charges and 100 percent funding of EMP protective devices, broadcast station protection, and FEMA studies and technical assistance particularly related to State and local COG.

(4) The programs are essential to one of FEMA's priority objectives to ensure COG at the State and local level. They provide technical support and financial assistance for facilities, systems and services that are critical to the ability of State and local governments to respond to and recover from all major emergencies, particularly those that impact upon national security. Criteria and standards are designed to achieve national readiness objectives, assist in enhancing State and local emergency operational capability and ensure capability for coordinated response and recovery operations by emergency management and emergency services organizations, and ensure State and local compatibility with Federal telecommunications systems.

(5) All activities will be focused toward State and local COG and population protection as well as establishing a broad general preparedness base. Fine tuning will be applied as NAPB-90 is developed. All functions will be evaluated for potential surge capability at varying lead times. Federal program initiatives will focus on the following:

(a) Federal guidance on SLDCW systems planning and operational procedures, on facility and system criteria, and on standards essential to national objectives related to and compatable with NEMS.

(b) Technical assistance and guidance in protective engineering, warning and communications system design and planning, and EMP protection.

(c) Guidance and assistance to enhance State and local capability building in cooperation with organizations and groups that contribute to community level emergency response such as fire, police, rescue, emergency medical, amateur radio services, private sector radio services and public utilities.

b. SLDCW Outyear Initiatives. The outyear initiatives will focus on the overall enhancement of operational capabilities of State and local offices of emergency management to direct and control all types of emergencies and disasters. This will be accomplished by the establishment of fully operational EOC's on a graded basis. That is, EOC's classified as primary will have extensive resources; EOC's classified below primary will have graded resources based on their classification level. The EOC's are viewed as the core of the SLDCW Program.

c. Supplemental to EOC's in support of the overall direction and control concept will be protected EBS stations and other multi-media alerting, warning and information systems with associated operational plans, as part of master direction and control plans for State and local governments.

d. Linking of emergency warning and telecommunications nodes, such as EOC's and EBS stations will be accomplished by non-land line radio communications such as VHF-UHF for short haul, HF for long haul, and micro-wave for multi-user backbone systems.

e. Equipment and systems susceptible to damage or destruction by the EMP will be protected and, where appropriate, structural and HVAC radiation protection will be provided.

3-2. EOC Program Objectives and Description. FEMA administers this program for the purpose of enhancing effective, reliable and survivable direction and control capabilities of State and local governments. This

will be achieved by a negotiated statewide EOC development plan between the applicant State and the FEMA regional office servicing that respective State.

a. EOC Minimum Standards. FEMA policy and minimum standards as stated in paragraph 3-2a(2) and in CPG 1-20 must be adhered to by applicants as a condition of approval of any project for modifying or equipping an EOC.

(1) Policy. FEMA assists State and local governments in maintaining a capability to direct and control those activities of government essential to the saving of lives, protection of property, and COG during and following a major emergency. FEMA requires State and local governments to develop EOC's compatible with FEMA criteria described in subparagraph 3-2a(2)(b). All applicants, in order to receive financial assistance for modifying or equipping an EOC (Phase II), must agree to correct all deficiencies, thus meeting all of FEMA's EOC minimum standards. This must be accomplished during the application period.

(2) Criteria for EOC Financial Assistance Eligibility. As a minimum, an applicant for EOC financial assistance must comply with the following eligibility requirements as conditions for approval:

(a) Legally constituted emergency management organization with duly appointed director/coordinator;

(b) Civil Defense Operations/Basic Plan. A basic EOP, acceptable to FEMA and reviewed and accepted by the next higher emergency management agency. Such a plan must be approved by proclamation/endorsement of the chief executive of the applicant government and maintained current. EOP's must include a concept of operations for all potential emergencies, peacetime and attack; must include responsibilities, functions, and authorities; and must also include:

(i) Annexes and Standard Operating Procedures (SOP's). EOP's must include appropriate annexes and SOP's for Direction and Control, Integration of all Emergency Services, RADEF, Alerting and Warning, Emergency Public Information (EPI), Damage Assessment, and COG.

(ii) Radioactive Fallout Protection Criteria. Radiation shielding with at least a 100 PF through modification to an existing building or by slanting design in new construction is required in EOC's developed in areas considered to be vulnerable to the effects of nuclear attack.

(iii) Emergency Power. A generator sized to handle EOC electrical demand load with a connected 14 day fuel supply which is independent of local commercial sources. The generator must be located in or adjacent to the EOC.

(iv) Communications and Warning. Local EOC's must have the capability to activate promptly on a 24-hour, round-the-clock, seven day a week basis with communications adequate to support the EOC mission as described in the applicant's communications annex to the EOP. The applicant government must have the capability to receive and disseminate warnings on the same basis. Two-way radio communications capability must meet the standards for communications with the broadcast media, higher authority, adjacent jurisdictions, primary operating forces (e.g., police, fire, public works), and other forces (e.g., hospitals, ambulance dispatch points, transportation companies, or other local groups or forces with emergency response capabilities).

(v) EMP. Electronic equipment will be protected against the effects of electromagnetic pulse, to the extent determined to be adequate by a FEMA-certified EMP specialist on a case by case basis.

(vi) Operations Room. An operations room must be sized and equipped with displays to enable key government officials to conduct emergency management activities in time of crisis. During nonemergency periods, this room may be used for training, conferences, and similar nonpermanent activities. However, the operations room is not to be used for day-to-day office use that would render it incapable of immediate and complete emergency operations capability.

(vii) Day-to-Day Use of EOC Space. Daily use of EOC space (except an operations room) is essential to maintaining the EOC in a state of readiness. Therefore, EOC space must be used on a day-today basis by the emergency management agency and at the local level by personnel from at least one other emergency service department of government having emergency functions and assignments in the EOC.

(viii) Life Support. The following conditions must be met to provide life support in each qualified EOC:

(a) Space to accommodate the personnel in the approved emergency staffing pattern reflected in the operations plans with the number and type of persons compatible with FEMA guidance on staffing.

(b) Ventilation and lighting that meet technical criteria.

(c) Water closets, lavatories, and showers in accordance with local building codes, and a plan for accessibility in a period of radioactive fallout.

(d) Reliable 14-day water supply that is not dependent upon commercial power nor susceptible to disruption by attack or disaster effects (refer to CPG 1-20). This supply should be sufficient for all EOC requirements, including mechanical equipment.

(e) Adequate provisions for food, medicine, billeting, and supplies needed to support the planned emergency staff for 14 days or a method for obtaining these during a period of increased readiness. Actual supplies and equipment need not be in-place, however, space must be designated and a plan for acquisition must be approved.

(ix) The title of the individual responsible for the control and management of the EOC facility must be specified in the direction and control annex and reflected in the supporting information accompanying the project application.

(x) Mobile or transportable command center.

(xi) Exercises. An exercise of the EOC's operational capability will be conducted before the final 10 percent FEMA matching funds payment is made. The purpose of this exercise will be to test the physical facilities and operational capability of the EOC. The exercise will be evaluated and documented by the applicant jurisdiction to identify deficiencies and take appropriate action to correct them. Deficiencies that do not relate specifically to terms and conditions of the EOC application approval cannot be cited to delay final FEMA payment.

(xii) EOC requirements must be supported by the State and local MYDP's.

b. MYDP's. Each State and local jurisdiction receiving EMA funds or receiving or requesting EOC funds must prepare an MYDP and include a statement of EOC needs. As a minimum, the plan must reflect EOC performance deficiencies in relation to State and local requirements, and FEMA EOC standards.

(1) This plan will be used by FEMA regional offices and State offices of emergency management to promote EOC development, to evaluate the relative priorities of competing applications, and for long-range budget planning by FEMA. Because the plan is to serve as a cooperative programming tool, FEMA regional offices and States will negotiate any differences of opinion with regard to priorities. The MYDP should be modified as conditions require, or as deemed appropriate by FEMA.

(2) Applicants should be grouped in accordance with subparagraph 3-6c, EOC Priorities for Funding Consideration. Those applicants with the highest priorities should be listed first in the statement of work of the CCA submission.

(3) Other items that must be addressed in the MYDP are identified in subparagraph 3-2a(2)(b).

(4) Programming Systems. The State and local MYDP will be used to identify existing deficiencies on a statewide basis. Plans to correct such deficiencies should be shown on the current MYDP, and corrective actions shown on subsequent MYDP updates.

3-3. W&CS Program Objectives and Description.

a. Dedicated, reliable, and survivable inter- and intragovernmental emergency communications systems and alerting and public warning capabilities are essential to an effective direction and control operational capability. The W&CS Program assists States and local jurisdictions in enhancing their existing direction and control communications and alerting/warning capabilities, and in establishing such capabilities where none exist. Emergency managers will use these capabilities in the event of nuclear attack, and in responding to natural disasters and other peacetime emergencies.

b. State Communications Operational Capability. All State governments have some level of emergency communications operational capability in existence. Linking and augmenting these existing communications systems can often establish operational capability in the form of a statewide network. This capability can often be achieved at a fraction of the cost of a completely new system. Other available assets such as amateur radio systems, can support emergency management requirements. Such an integrated network is essential to ensure a survivable and reliable emergency communications capability.

c. Local Communications Equipment. The W&CS Program differs from but complements the EOC Program. The EOC Program described in paragraph 3-2 of this CPG includes a requirement for a direction and control communications capacity within EOC's. There are communications systems links which are of such importance to State and local jurisdictions' direction and control capacity that funding from W&CS may be used, even though an EOC is not currently available in the jurisdiction or the existing EOC does not meet all of the operational standards of paragraph 3-2. The financial support under W&CS for local direction and control communications not subject to the EOC criteria of paragraph 3-2 is limited to radio equipment to link local jurisdictions with the dedicated State direction and control network. The equipment must be located in the existing EOC even if the EOC is not fully qualified, or if the equipment must be located in a designated command post.

d. Communications. Direction and control communications funded under the W&CS Program are primarily for State-level systems. Local direction and control communications requirements are primarily met under paragraph 3-2 of this chapter, except as specified in paragraph 3-3c. Additional information can be found in CPG 1-37, State and Local Communications and Warning Systems Engineering Guidance.

e. State Systems. A major element in effective direction control and warning is a dedicated, survivable, and reliable emergency communications capability. To achieve this, communications systems must include the following characteristics:

(1) Dedicated. A communications system managed by and for the primary use of the emergency management agency.

(2) Survivable. A communications system shall be survivable in that it can maintain operation before, during, and after emergencies. Radio communications systems are more survivable than landline systems. Other considerations are:

(a) EMP protection;

(b) Redundancy, whenever financially practical; and

(c) Transportability for relocation or field deployment.

(3) Reliable. An emergency communications system should be reliable in that operational readiness is maintained. To ensure operational readiness, consideration should be given to the availability of backup equipment and parts for repair, qualified personnel to perform preventive and corrective maintenance on the equipment, and scheduled testing of the equipment. Consideration should be given to:

(a) Standby secondary emergency power and 14-day fuel supply (noncommercial, available on a 24-hour basis);

(b) Interchangeability with other pieces of equipment, based on relocation and deployment requirements; and

(c) A high level of readiness ensured by multipurpose use and frequent exercising or testing.

f. Alerting and Warning Systems. An effective emergency alerting and warning system must be reliable and capable of delivering rapid and understandable signals and information to government officials and the general public at all times to give the population time to take lifesaving actions and to mitigate potential destruction of property.

(1) The majority of emergency public alerting and warning systems throughout the nation exist at local levels of government. They are primarily outdoor siren alerting systems. These systems are expensive to replace. However, their cost effectiveness and reliability can often be enhanced by converting from landline activation to radio activation.

(2) Existing outdoor warning systems can often be augmented by indoor warning systems (such as tone alert receivers), available

resources in a community (such as cable television), and the EBS. Where institutional or industrial warning systems exist, such as in schools or factories, consideration should be given to linking the government-controlled activation systems to these existing warning systems. Warning systems applications should emphasize development of reliable, cost-effective, and totally integrated capability. More detailed information on this subject may be found in CPG 1-37.

(3) The following factors should also be considered:

(a) How and where the jurisdiction will receive alerts on a 24-hour basis;

(b) How the jurisdiction will provide warning to the affected population in the event of any type of an emergency. The system should make use of all devices which are capable of providing warning, including sirens, the EBS, industrial signals, and radio and television stations. For the population not covered by these systems, arrangements should be made for warning by other means, such as telephone fanout or emergency vehicles equipped with public address systems.

(c) How the jurisdiction will provide warning to special locations, such as schools, hospitals, nursing homes, major industries, institutions, and places of public assembly (e.g., amusement parks, resort areas).

(d) How the jurisdiction has developed or is developing warning plans/procedures that describe the warning system, define responsibilities of agencies or personnel, describe activation procedures, including an alerting list of key officials, provide for regular testing of warning equipment, and provide for an exercise of the warning system at least once monthly.

(e) How the jurisdiction plans to provide emergency power for warning equipment, including use of FEMA funds.

(f) How the jurisdiction will receive National Weather Service (NWS) warnings, and National Warning System (NAWAS) warnings.

(g) How jurisdictions subject to frequent flooding and not fundable by FEMA will establish a flood warning system in conjunction with the National Oceanic and Atmospheric Administration (NOAA) or how other systems are to be used.

(4) It is not expected that all jurisdictions will have the capability to accomplish all the factors listed above in any year. However, applicants should discuss the reasons for the deficiencies, if any, and plans to correct them.

g. ADP. State and local governments may apply for funding of off-the-shelf ADP operating system and information retrieval software that have direct application to direction and control emergency management. Hardware and non-off-the-shelf software are not eligible for funding.

h. Communications and Warning Planning (C&WP). C&WP grants are available under the program. Requests for planning grants are through the CCA. Planning grants are on a 50-50 match basis.

(1) The purpose of providing planning grants is to establish a phased approach to system enhancement, with a planning phase and a procurement phase funded under the W&CS Program.

(2) State and local governments are not required to provide FEMA regional offices with Emergency Communications Development Plans (ECDP) or Warning Plans. However, communications and warning plans prepared by State and local governments should be on file in the State's emergency management office for reference by FEMA regional staff.

3-4. EBS Program Objectives and Description. The EBS Program ensures survivable operational capability of selected broadcast stations during emergencies, through funding of the Broadcast Station Protection Program (BSPP). Through the EBS, the President, national, State and local officials, will be able to provide vital communications including warnings and emergency information to the public. By providing this capability, the EBS contributes to the continuity of State and local governments and is critical to preserving property and saving lives of individuals.

a. The EBS is designed to provide emergency information and instructions to the general public to help reduce the loss of life and property in the event of an enemy attack or natural or manmade disaster. This is accomplished through broadcasts of emergency information in a timely manner by approximately 11,000 participating radio and TV stations.

b. In order to ensure continuous operation as long as possible under the most adverse conditions, it is necessary to protect a station's transmitter, related equipment, and provide a protected emergency broadcast studio. This is accomplished through the BSPP which includes EMP protection. The BSPP provides funds for backup generators and other emergency equipment and for the construction of a protected area from which the stations will function during emergency conditions. EMP protection eliminates or reduces damage to electrical and electronic equipment from power transients, lightning, and EMP which is generated as part of a nuclear weapon detonation. Funding is provided by FEMA through the regional offices direct to the participating stations. States are not involved in the financial management of these programs. States are required by FEMA to coordinate with the State Emergency Communications Committee (SECC) and Operational Area Emergency Communications Committee (OAECC) to ensure that the statewide EBS is properly established, and

that SOP's are written and available for use by the State office of emergency services, the Governor, and other State and local level emergency management officials.

3-5. EMP Protection Program Objectives and Description. FEMA administers this program to provide effective, reliable and survivable communications capabilities for direction and control of State and local governments. EBS facilities are also provided protection so that in time of emergency they will be able to disseminate information to the population. This program provides protection against the direct effect of nuclear weapons, lightning strikes and commercial power transients. In addition:

a. The EMP Protection Program goal is to provide protection for approximately 600 radio stations in the EBS, 600 State and local EOC's, and 54 State and territory communications systems.

b. In order to assure continuous operation of communications equipment under the most adverse conditions, it is necessary to protect the entire communications system. This is accomplished through the EMP Protection Program, which provides engineering, protection devices, materials, and installation to eliminate or reduce damage to electrical and electronic equipment from power transients, lightning, and EMP which is generated as part of a nuclear weapon detonation.

c. To obtain concurrence, the regional EMP Protection Manager forwards a copy of the approved EMP protection plan and FEMA Form 76-36. The regional EMP Protection Manager will send a copy of the written concurrence to the FEMA headquarters EMP Protection Coordinator. On receipt of the written concurrence, the FEMA headquarters EMP Protection Coordinator will initiate shipment procedures.

d. The regional EMP Protection Manager should send a copy of the completed Transfer of Ownership of EMP Equipment and Agreement for Installation to the FEMA headquarters EMP Protection Coordinator.

e. Periodic maintenance and inspection checks (see paragraph 3-2) will be made by the regional EMP Inspector or the EMP Analyst to make sure the devices are working properly, and to determine if changes have been made which affect EMP protection of the facility, thus requiring an upgraded survey and protection plan.

3-6. M&S Program Objectives and Description. The objective of the M&S Program is to assist State and local governments with preventive maintenance, and repair and replacement costs of emergency communications and warning systems and EOC equipment. The program provides Federal funds to be matched with State and local funds for these costs. The M&S Program provides financial assistance in support of maintaining the operational readiness of EOC's, alerting and warning systems, and emergency communications systems; and is part of an integrated technical

and financial assistance program designed to build a direction and control capability at the State and local levels of government nationwide.

a. A major element of an effective direction and control operational capability is the maintenance of systems and equipment in a state of constant operational readiness. (To ensure a high probability of readiness, have a preventive maintenance program.)

b. Maintenance Management (MM). MM involves all activities necessary to keep equipment, accessories and supporting components, such as power generators and antennas, in serviceable condition, or to restore such items to a serviceable condition, including inspecting, cleaning, adjusting, repairing, and overhauling. Maintenance Management Planning (MMP) is required to ensure a high probability of readiness of equipment and supporting devices that are essential to emergency communications and warning.

(1) Preventive Maintenance (PM). It is usually less costly to perform PM on equipment than it is to perform corrective maintenance. In essence, PM is an insurance against equipment failure. PM involves those precautionary measures taken to forestall equipment failure. PM includes regularly scheduled inspections against a checklist of specific items. These items include both physical inspection for wear or damage and functional inspection for proper operation. PM includes adjusting or tuning of equipment, such as that required by radio transmitters and receivers by the licensee.

(2) Corrective Maintenance (CM). Regardless of the level of PM on any equipment or system, CM is occasionally necessary. CM is the act required to restore a defective or inoperable piece of equipment or system to a sound, serviceable state.

(3) Unscheduled CM. Unscheduled CM (repair or replacement) should be performed as soon as possible following the detection or reporting of a system or equipment failure or malfunction. This rapid action will ensure minimal system down time and possibly preclude additional failures or malfunctions. A routine PM inspection and test of a system or equipment eligible for Federal funding should follow corrective maintenance.

3-7. DC&W Program Applications and Funding Policies.

a. EOC Program Applications for Funding. Grantee contributions eligible to match with FEMA 50 percent maximum matching funds for EOC's are in cash, or in the form of in-kind matching for EOC Phase II project applications. Additional information is available in OMB Circular A-102, attachment F and in the Description of EOC Application Phase II in paragraph 3-6(d)(2).

(1) Fund Delivery Policy. EOC funds will be delivered to States through the CCA process.

(2) EOC Priorities for Funding Consideration. States should determine the priorities in which EOC's will be developed, and include priorities in each State MYDP and annual CCA workplan. If the EOC requirements in a given year exceed available funds, FEMA will use the following priority listing as a basis for making funding allocations:

(a) New State EOC's;

(b) Enhancement of State EOC's to meet FEMA standards for State EOC's;

(c) Central EOC's;

(d) Other EOC's in areas deemed to be least vulnerable to the effects of nuclear attack; and

(e) Other EOC's contained in FEMA region approved State MYDP's.

(3) Description of EOC Application Phase.

(a) Planning and Design (Phase I). Phase I provides the means by which a government plans for and designs an EOC. It also provides for feasibility and planning studies for complex projects, and for architect/engineer fees for preparation of the planning report, preliminary and final plans, specifications, and detailed cost estimates. This phase may also include planning costs for communications at the EOC. The application must also address all items in paragraph 3-2 and, where applicable, paragraph 3-10.

(b) Operational Upgrading (Phase II). Phase II provides for upgrading necessary to develop the facility, equip it for operational use, and provide for beneficial occupancy. This includes all actions necessary to ensure EOC operational capability as described in paragraph 3-2.

(i) The final 10 percent of the cost of a Phase II application for an emergency operating center will be withheld until the EOC meets all criteria, including the conduct of an exercise. The application process must have evidenced that all EOC criteria were met as a condition for final payment.

(ii) The estimated dollar amount of an EOC Phase II project application for a new or existing building should be supported by an architectural and engineering (A&E) analysis which clearly indicates the methods and details and the procedure and justification for

the allocation of costs to the EOC. The required method of determining actual EOC item costs is to have the architect/engineer prepare bidding documents to obtain responsive bids which clearly differentiate between costs for the building with the approved EOC items, and the building without the approved EOC items (i.e., additive alternate). To the extent that building systems (i.e., mechanical, electrical, and plumbing systems) serving the EOC are not separable from systems serving the rest of the building, an allocation may be made based on factors determined by the FEMA Regional Director that reflect most accurately the EOC burden. The costing procedure to be used in determining the applicable cost of items which cannot be separated by obtaining alternate bids must be agreed upon and approved in accordance with the CCA prior to advertising the projects for bids. When bids are received, the FEMA Regional Director must verify the reasonableness of the EOC cost by a material and labor cost analysis consistent with generally accepted engineering practices. The basis for approving the estimated cost, and for determining the actual EOC cost, must be thoroughly documented and agreed upon as a part of the record of project approval. Customarily, the lowest acceptable EOC bid will be the determining factor for Federal funding. However, other situations may arise; for example:

(a) If the EOC is to be included in the construction or modification to a multipurpose building, the lowest overall bid received may not contain the lowest bid for the EOC portion. In this case, the Federal funding may be based upon the EOC additive alternate of the overall lowest bid, subject to verification by a material and labor cost analysis.

(b) In the cases of bids on modifications to include EOC's in existing buildings, the Federal matching share dollars will be limited to the amount of the lowest acceptable bid for allowable EOC features.

(4) EOC Eligibility. Applications must confirm, commit to, and establish schedules by which all eligibility conditions are or will be met prior to final payment for applications for operational upgrading or equipment.

(5) Allowable Costs.

(a) Architect/engineer design fees in Phase I and operational upgrading supervision in Phase II;

(b) Other costs related to bid processes as permitted by OMB Circular A-87;

(c) Display equipment for the operations room;

(d) Furnishing required for the operations room functions (excludes that required for training, conferences, and other permissible use);

(e) Design, equipment, and installation costs required to mitigate the effects of EMP are allowed. The extent of Federal technical support, procurement of EMP devices based on FEMA approved design, and financial assistance must be detailed in the FEMA regional approval and, to the extent such approval is dependent upon resources from FEMA headquarters, such regional commitments must have headquarters concurrence prior to approval; and

(f) Communication and ancillary equipment physically located in or at the site of the EOC and necessary for accomplishing the direction and control mission of the EOC.

(i) To link the EOC with an EBS station designated as serving in conjunction with and supportive of that associated EOC, provide a ready and reliable communications link between the EOC and the next higher level of authority (such as from State area EOC to a State primary EOC), and to provide a ready and reliable communications link between the EOC and adjacent jurisdictions;

(ii) To link the EOC to primary operating forces and other forces required for emergency operations;

(iii) The initial installation only of radio and landline (telephone-type communications) equipment and services will be considered for funding based on the appropriateness of their intended application in fulfilling the EOC's emergency communications needs; and

(iv) Communications consoles and interconnecting circuitry panels that enhance communications among multiple emergency response services. Unallowable costs are described in subparagraph 3-7a(6)(f).

(g) Communications towers, antennas, transmission lines, emergency power, and supporting equipment at the EOC site or at off-site primary locations will be allowed if such equipment is not otherwise required by normal day-to-day primary operating forces (e.g., fire, police, medical).

(h) Mobile radios, portable radios, and tone-alert receivers may be provided for individuals who have specific emergency assignments requiring their presence in the EOC during an emergency. The similar items must be on the same frequency.

(i) Radiation shielding for minimum of PF 100 must be provided in areas designated to be potentially least vulnerable

(see NAPB-90). Design for higher than PF 100 should be provided where the particular location shows it is prudent to do so.

(j) Emergency generators with a 14 day fuel supply that is independent of local commercial sources.

(k) Life support provisions, including space not less than 50 square feet nor more than approximately 85 square feet per person assigned to the EOC in an emergency on a sustained 24 hour basis; ventilation and lighting in accordance with CPG 1-20 technical criteria; water closets, lavatories, and showers; adequate water systems that are independent of commercial power and can function when the system is not manned (a well or storage tank, or a covered or underground water storage and gravity flow system); initial 14 day supply of fuel, medical supplies, and food supplies; and initial billeting supplies.

(l) Special supplies and materials for conducting exercises.

(m) Cost of services of employees of the applicant State and local government utilized for work on emergency management projects approved for Federal contributions, provided the employees were not covered by the applicant's approved staffing pattern included in the State's annual submission for EMA contributions for the time period of the project, and PROVIDED the employees' work time for which the expenses are claimed was spent SOLELY on the emergency management project covered by the approved project application.

(n) Mobile or transportable command center or transportable components required to achieve an acceptable level of direction and control capability, provided FEMA region approval is obtained.

(6) Unallowable Costs for EOC Funding. The following is a list of unallowable costs for EOC's:

(a) Maintenance, repair and upkeep unallowable costs described in this chapter.

(b) State or areawide communications and warning features that are essentially external to the EOC and exist primarily for the support of the areawide systems (e.g., relay stations providing links where line of sight does not exist).

(c) EOC furniture and furnishing, except operations room displays and furniture.

(d) Replacement of initial supplies otherwise allowable under subparagraph 3-7a(5)(l).

(e) Costs of relocating equipment not owned, operated, or otherwise controlled by the applicant's emergency management agency.

(f) Communications consoles that are designed to serve primarily the day-to-day fire, police, and medical dispatch services.

(g) Space less than 50 square feet per person assigned to the EOC in an emergency.

(h) Accommodations, in support of daily use requirements described in paragraph 3-2a(2)(b)(vii) that are otherwise permissible.

(i) EOC access roadway, parking lot, and exterior parking.

(j) Basic design and construction costs related to the creation of new space, including excavation.

(k) Contract or salary costs to prepare or revise EOC operations plan annexes and SOP's.

(l) Mobile or transportable command center or transportable components in jurisdictions without a fixed EOC meeting FEMA minimum standards for funding.

(m) EMP protection beyond that authorized by a certified FEMA EMP specialist.

(n) In accordance with 44 CFR, Part 301, operational equipment that primarily serves day-to-day government needs or that a community normally needs for combatting local disasters, except when obtained in unusual quantities to meet the minimum operational requirements of this chapter.

(o) No allowable items may be funded unless all deficiencies are corrected as a part of the condition for approval.

(7) Mobile or Transportable Command Centers and Components. Mobile or transportable command centers or transportable components are used to augment existing fixed EOC's, and are set up as an alternate to any fixed EOC to provide direction and control at a disaster scene. The priorities for FEMA financial assistance will be as reflected in MYDP information.

(a) Plans must provide for the normal conduct of business during an emergency by personnel assigned to the mobile or transportable command center or transportable components. Plans must describe details for the mobile or transportable command center operating from a predetermined location, if applicable;

(b) The direction and control procedures must identify by position the individual responsible for the management of the mobile or transportable command center to assure readiness; and

(c) Those procedures must describe the planned use of the mobile or transportable command centers during emergencies. (Mobile or transportable centers that are designed specifically to support fire, police, medical services, etc., in day-to-day emergency services are not allowable);

(d) Mobile or transportable command centers must function simultaneously with and in place of the fixed EOC, in support of direction and control during all phases of an emergency; and

(e) Matching funds will not be provided for vehicle purchase. However, matching funds will be provided for:

(i) Modification of an existing vehicle; and

(ii) Transportable systems determined by the FEMA regional office to be an acceptable alternative or supplement to a mobile or vehicular command center.

(8) EOC In-Kind Contributions. Applicants may apply an in-kind contribution as all or part of their matching share of allowable EOC costs. The in-kind share is derived from the value of noncash contributions that are verifiable from the records of the applicant government, or fair market value at the time of signature of the license dedicating space to EOC use, as the case may be, and is limited to required EOC facility features that would otherwise be allowable as facility modifications if the features were not previously acquired. These features and the costs thereof include:

(a) Allowable cost to add PF over and above the structural requirements for the shell. Such costs incurred by applicants must be referred to FEMA headquarters.

(b) Allowable cost for emergency power, fuel tank, ventilation, water, and sanitation required by the EOC.

(c) Allowable cost for facility partitions where designed for EOC functions.

(d) Computed in-kind costs for EOC's shall not include unallowable facility costs or unallowable equipment costs.

(e) Requests for in-kind contributions must be supported by an itemized list that describes the features claimed by the actual cost to the applicant government, its value at the time of donation by a

non-Federal donor, or the appraised value of its use under the license; and by the date such costs were obligated by contract or the date of evaluation.

(i) All such costs and evaluations must be supported by documentation available for audit and available for submission if required by the regional offices. Fair market value must be established by an independent appraiser and certified by a responsible official of the applicable government.

(ii) Such cost analysis and/or evaluation must accompany the project application in support of the itemized list.

(iii) Items on the list which are not covered by an evaluation must be supported by actual purchase orders or other contract documents.

(iv) In-kind costs must be specifically identified as necessary to provide EOC features described in subparagraph 3-6(8) or otherwise approved by the Regional Director or other authorized FEMA official as allowable EOC features under the criteria set forth in this chapter.

(f) If the applicant (State or local government) seeks to claim in-kind contribution for eligible EOC items previously procured by the applicant (not donated by non-Federal third parties), the applicant must sign a license agreement with FEMA that the premises will be used as an EOC in accordance with the EOC criteria in 44 CFR, Part 301, with this CPG and with other Federal requirements, including any subsequent amendments. The applicant must agree to retain possession and maintain the premises and provide regular occupancy thereof for EOC and other FEMA program functions in accordance with requirements contained in the EOC criteria.

(i) Execution of such license agreement will not constitute any transfer to FEMA of the right to possession of the premises, and the license agreement may be terminated at any time by the applicant upon notice in writing to FEMA.

(ii) Upon termination, the applicant shall pay to the Federal government (through FEMA) compensation to be computed by applying the percentage of Federal participation in the cost (including in-kind contributions) of the EOC under the approved project application or applications, and any amendments thereto, applicable to the premises, to the then current market value of the premises.

(iii) Notwithstanding the provision for termination of the license agreement by the applicant, all actions, administrative and legal, available to the Federal Government with regard to any

noncompliance regarding the federally assisted project or program shall remain available and unimpaired.

(g) The applicant must show that in-kind costs were incurred for the specific purpose of modifying the facility for EOC purposes. FEMA will not allow improvement costs that the applicant incurred for upgrading a facility prior to the time the facility was designated to function as an EOC. The applicant must establish this condition and document it to the satisfaction of the Regional Director as a part of the project application.

b. W&CS Program Application for Funding. The W&CS Program provides up to 50 percent in matching Federal funds for the purchase and installation of State and local government direction and control alerting/warning, and communications equipment.

(1) Application Procedures. Every State and local government applicant must meet the basic eligibility requirement for receipt of funds under the FCDA of 1950, as amended, as specified in chapter 2, in the annual CCA request for application package. Each applicant must outline initiatives in accordance with the current year's CCA request for application package.

(2) Ineligible Costs. In addition to costs which are ineligible for failure to meet general program requirements or ineligible under federally prescribed cost standards, items within the following categories are ineligible for Federal funding under the W&CS Program:

(a) Warning systems not using radio activation.

(b) Recurring charges for electrical power and telephone services, including line charges and equipment rental.

(c) Cost of maintaining, repairing, or replacing warning or communications equipment, or equipment or materials in support of warning or communications systems, such as power generators and fuel tanks.

(d) Communications and warning equipment and associated devices for use on a day-to-day basis for functions other than emergency management. Such items include police radios, police and fire dispatch consoles, communications equipment primarily used in daily administrative tasks, and loudspeakers or bullhorns used by police and fire personnel and vehicles.

(e) Citizens band (CB) radio communications equipment.

(f) Flood sensing and warning devices that are the responsibility of NOAA.

(g) Items otherwise eligible under the EOC Program.

(h) ADP hardware, software not directly related to direction and control emergency management, and non-off-the-shelf software.

c. EBS Program Application for Funding.

(1) The EBS Guidance and Assistance Program provides 100 percent funding to selected broadcast stations for:

(a) Construction of a shelter with a minimum floor area of 150 square feet, ceiling height minimum of 7 feet, and a protection factor (PF) of at least 100 in all parts of the shelter.

(b) Purchase and installation of:

(i) Emergency Generators;

(ii) Fuel Storage Tank (with sufficient capacity for 14 days continuous operation);

(iii) The initial 14-day fuel supply; and

(iv) Generator Housing.

(c) Emergency Communications Equipment (Remote Pick-up Units (RPU)).

(d) Emergency Programming Equipment, including:

(i) Wiring and terminal facilities;

(ii) Channel mixer, control equipment, and remote amplifier;

(iii) Tape recorder/player;

(iv) Turntable, CART machine, or an additional tape recorder/player;

(v) Microphone; and

(vi) Console.

(e) Monitoring equipment (to tie into the EBS).

(f) EMP protection.

(2) FEMA has the responsibility for final approval of stations to be funded. Consideration is given to completing links or

semi-independent portions of the EBS versus funding stations that are not a critical part of a link or area subsystem.

(3) Equipment Loan Agreements (ELA). FEMA funds the BSPP equipment but title to the equipment is held by the Federal Communications Commission (FCC). The broadcast stations retain use of the equipment through an ELA negotiated between the licensee (owner) and the FCC. FEMA is not a signatory but acts as the processing agency for the FCC.

(4) EBS State and Operational Area Plans.

(a) State EBS Plans. These plans contain the necessary guidance for voluntary coordination between appropriate authorities (e.g., NWS, Civil Defense, local or State government, etc.) and the broadcast industry to communicate with the general public during a State or local emergency situation. These plans are developed by the SECC and State Emergency Management Director, in cooperation with OAECC's.

(b) Operational Area Plans. These plans contain the same type of information as State plans but for specific operational areas. An operational area is a geographic area wich encompasses a number of contiguous communities as shown in the State EBS Operational Plan.

d. EMP Protection Program Application for Funding.

(1) Materials and protective devices eligible for funding under the EBS and EOC Programs are provided replacement parts at no cost under the EMP Protection Program. The devices and materials on an approved requisition are delivered to the facility owner without cost. If the owner accepts the offer of the advisory services of the EMP Analyst, they are provided free of charge. However, the facility owner is obligated to install properly the devices and materials in accordance with the approved plan at the facility owner's own expense. Provided sufficient Federal funds are available, FEMA may provide financial assistance for the cost of the installation. Such expenses may be funded at 100 percent under the EBS Guidance and Assistance Program, and up to 50 percent matching under the EOC and the W&CS Programs, as appropriate.

(2) FEMA has the responsibility for final approval of facilities funded for EMP protection.

e. M&S Program Application for Funding. Items eligible for funding under the W&CS System or EOC Programs are eligible for maintenance or replacement funding under the M&S Program.

(1) Allowable and Unallowable Costs.

(a) Jurisdictions With an EOC. Costs associated with PM and CM, the replacement of equipment necessary to the operational capabilities of EOC's are allowable. This includes items such as emergency generators. EOC's receiving M&S funds must be fully operational as defined in paragraph 3-2 or listed on the State EOC Development Plan to become fully operational. Facilities that are called EOC's but do not currently meet paragraph 3-2 standards and are not scheduled to be upgraded to meet the standards are not eligible for M&S funds.

(b) Jurisdictions With No EOC. It is not the intent of the M&S Program to offer a source of funding to local jurisdictions that do not wish to comply with the requirements of this chapter. However, there are areas of such importance to State and local jurisdictions' direction and control capability that funding from the M&S Program may be allowed even though an EOC is not currently available in the jurisdiction or the EOC does not meet the operational standards of this chapter. The financial support under the M&S Program for direction and control emergency communications and warning equipment that is not subject to the EOC criteria of this chapter will be allowed as follows:

(i) For M&S of equipment linking local jurisdictions to a dedicated State direction and control network, as defined in paragraph 3-3 of this chapter.

(ii) For M&S of equipment linking an unprotected command post or a less than fully operational EOC to the local EBS station. Funding will be provided only where there is an approved EBS operational plan that denotes the local emergency management official(s) or other senior local official(s) as person(s) authorized to activate the EBS system.

(iii) For M&S of alerting and warning equipment, where such equipment has the capability of sounding the attack warning signal.

(c) Costs for Economical Replacement. Costs for the economical replacement of still operational communications and warning equipment that no longer performs effectively due to the technological age of the equipment are allowable. This cost is defined as the replacement cost minus the fair market value of the item(s) being replaced.

(d) Costs for Replacement of Supporting Equipment. Costs for the replacement of antennas, transmission lines, other interconnecting devices, emergency power equipment, such as emergency power generators, and remote pickup units, other than those funded under the EOC Program or the BSPP Program are allowable. This cost is

defined as the replacement cost minus the fair market value of the item(s) being replaced.

(e) Recurring Costs. Costs are unallowable for leased or rented equipment, such a teletype and telephone equipment associated with operating emergency communications systems. This also includes recurring line charges for activation of warning equipment and for use in emergency telephone communications via landlines. All of these charges including administrative telephone costs are eligible under the EMA Program.

(f) Lease/Purchase. Cost of a lease with option to buy are eligible up to the amount of the fair rental value. However, no Federal obligation is assumed or made for funding of purchase at the time the option is to be exercised. Requests for financial assistance to purchase under a lease/purchase option can be made under the M&S Program.

(g) NAWAS. Recurring line, installation and equipment rental costs associated with this system (when an instrument or series of instruments at the State or local level is not a 100 percent federally funded NAWAS drop) are unallowable under this program.

(2) M&S Application and Reporting Procedures. A State participating in the M&S Program shall submit as part of its M&S section in the CCA a narrative of procedures for implementing and managing the State's annual program in accordance with FEMA guidance. Reference should be made to each fiscal year's annual CCA request for application package, chapter 1 of this CPG, and CPG 1-38 for additional information.

3-8. DC&W Program Activities and Products. The CCA statement of work must include and define outputs and products from among the following:

a. The completion of EOC's (including mobile or transportable command centers), already funded with prior-year dollars, to meet FEMA minimum standards.

b. Identification of EOC's that lack only non-cost features to meet FEMA minimum standards, and assist in the attainment of these features, e.g., COG aspects of an emergency operations plan.

c. Identification of locations that need EOC development and assistance in the planning of EOC's, emphasizing the criticality to State and Federal COG, and the need to develop EOC's without Federal funding assistance. Cite examples of jurisdictions that have non-federally funded EOC's.

d. The conducting of local EOC and other emergency exercises to ensure that operational capability exists, as required by the State and local exercise program requirements in the CCA.

e. The development of a State EOC profile based on the FEMA EOC placement and requirements study.

f. Technical assistance to correct non-funded deficiencies in EOC's.

g. State and local government's identification and inventory of warning and telecommunications requirements and resources.

h. Identification of interface problems between Federal, State and local warning and telecommunications systems.

i. Development of a radio spectrum users (State and local) data base.

j. Technical assistance provided to States in warning and telecommunications systems design and networking.

k. Technical guidance and assistance in reconfiguring and upgrading plans in telecommunications.

l. Telecommunications information exchange with State and local governments, and such organizations as the Associated Public-Safety Communications Officers (APCO) and the American Radio Relay League (ARRL).

m. Inventory and determine the condition of all emergency use equipment and develop an annual preventive maintenance program, keeping records of maintenance operations, thus reducing the costly replacement of equipment.

n. State and operational area EBS plans to be completed.

o. State and operational area EBS plans to be updated.

p. SOP's on the activation of the State/local EBS to be completed or updated.

q. State/local EBS tests to be conducted and lists of operational areas maintained.

r. Technical assistance provided in support of EMP site surveys, inspections or installation on EOC, communication, and EBS stations.

3-9. DC&W Project Evaluation Criteria. In order to ensure the most effective use of Federal and State/local funds and staff assets, each project shall be evaluated in accordance with chapter 8 of CPG 1-38.

3-10. Special DC&W Program Prerequisites.

a. A State developing EOC's in the current fiscal year with Federal funding assistance provided before that fiscal year will be required to submit the following information:

(1) List Phase I and Phase II projects by location and identify quarter to be completed.

(2) List projects by location where technical assistance is provided, and identify quarter in which assistance was provided.

b. States will be required to articulate not only their statements of work relative to addressing the above initiatives, but also to identify those types of support services they feel they will require, over and above their in-house capabilities, to achieve the initiatives. An example of this is a State requiring technical assistance in order to enhance its telecommunications capability, must make a determination relative to networking for more effectiveness and efficiency, identify upgrading requirements to complete the renetworking and develop an approach to achieve upgrading.

c. Products are required to be articulated in such a manner as to identify both qualitative and quantitative targets in order to allow States to monitor their progress against a plan and in order to allow FEMA at both the regional and headquarters level to determine the progress that a State has achieved at the end of each fiscal year.

d. States must have on file at FEMA regions a current copy of all State and operational area EBS plans.

e. For each activity listed under Products, and for which the State and FEMA region identify proposed outputs under the statement of work, there must be a corresponding entry in FEMA Form 76-43. Reference should be made to the funded program which will supply the resources for the activities.