

CHAPTER 12

Facility Survey

12-1. General. Priority for the multihazard surveys is attack related. Natural hazard surveys are performed only to the extent that these surveys do not detract from attack related civil defense preparedness. Multi-hazard shelter surveys include the following activities:

a. Evaluation and identification of buildings nationwide which can provide shelter and emergency reception, care and lodging for affected populations from natural and man-made hazards including nuclear attack.

b. Evaluation of the vulnerability of buildings to hazards, e.g., earthquake, flood and wind.

c. Development of and provision for professional engineering advice, guidance, and technical support to State and local authorities in the field of engineering required for planning, design, construction, and inspection of EOC's, protection for EBS (BSPP), the identification of public shelters and reception and care facilities, and provision of building vulnerability assessments to high winds and earthquake.

d. Provision of advisory services by Fallout Shelter Analysts (FSA's), who are qualified architects and engineers, in support of State shelter legislation and shelter development. The multihazard shelter surveys primary objective is to identify shelters for use by the population in emergency situations, while also indicating the vulnerability assessments of the buildings being surveyed.

12-2. Program Objectives and Descriptions.

a. The FS, Engineering and Development Program provides financial assistance and SOP's for the States to use in managing multihazard shelter surveys, and provides essential data for the PPP Program.

b. Multi-hazard shelter surveys support COG in local communities by determining the relative hazard resistance of essential facilities such as police, fire, public works, public utilities, sanitation, emergency medical services, and city/county engineering. These vital community services are in place and fully supported by local revenues, and the Federal government serves as a catalyst in bringing together these local resources for the provision of COG in each local community.

12-3. State Application Responsibilities. Application procedures for FS Program funds are located in CPG 1-38 and the current year's CCA request for application package. In addition:

a. A State in coordination with the regions should set priority listings in each county indicating where multihazard shelter surveys are to be performed, the priority to be based on PPP criteria which are described in detail in the PPP Program annual program requirements of the current year's CCA request for application package.

b. To the extent possible the States should use the facility survey procedure to support other hazard specific programs, such as EP and HP. Under no circumstances should this be done to the extent of excluding the FS requirements for PPP. For example, it is not allowed to do EP surveys without performing the regular multihazard shelter surveys which include the NFS.

12-4. Eligibility. Any State, District of Columbia or Trust Territories or Puerto Rico (excluding localities) within the ten FEMA regions is eligible to apply for Federal funds for the FS Program. The lead person in a State FS Program must be certified as a FSA by successfully completing and passing the FEMA-sponsored FSA course. Further program requirements are as follows:

a. The multihazard surveys will build upon the existing NFS/RAC shelter inventory.

b. HICA completed by local government will influence the multihazard survey methods to be applied. Production, quality control, and standardization of survey data processing will remain priority objectives of the program.

c. All data forms and other survey documents produced shall be certified by an FSA qualified architect/engineer and must be channeled through the FEMA regional office. FEMA forms shall be used for each survey and provided to the FEMA Regional Program Manager.

d. Production, quality control and standardization of survey data processing will remain as HICA-MYDP criteria objectives for the program. In addition, hazard vulnerability analyses will dictate the multihazard survey methods to be applied.

e. Quality control procedures such as checking the Data Input Forms (DIF's), and monitoring financial expenditures versus production outputs for facility surveys will be specified in the agreement and shall be subject to approval by the region. The work shall be reviewed and certified by a qualified FSA prior to submitting the FEMA forms to the FEMA data processing center. Quarterly reviews are to be accomplished by the regional engineering staff who will monitor FS activity and exercise quality control, as specified above.

f. Surveys will be scheduled to meet the PPP requirements and priorities.

g. The State shall maintain a master listing of facilities surveyed in each jurisdiction.

h. The State shall maintain and update the government-provided facility survey records, excluding sensitive Federal facilities, subject to the following:

(1) Facility records shall remain the property of the government. No facility records shall be destroyed.

(2) The FEMA regional office shall have access to the facility survey files as may be necessary.

(3) NFS packing slips are to be provided to the FEMA region with each shipment of survey documents.

i. Advisory services by the State FSA (qualified architect/engineer), are permitted to support the planning, design, construction and inspection of EOC's; the BSPP; State shelter legislation; and shelter development. These services are permissible only where the State has an FSA qualified individual who is primarily engaged in FS.

j. Report by quarter the workload as specified in FEMA Form 76-43, by reporting the number completed (#C) versus the number expected (#E), plus all advisory services provided and training courses taken. This report must be submitted by the State to the region within 30 days after the end of each quarter, including the fourth and final quarter.

k. Depending on availability of FS funds, a State could also contract for the FS. Contracting is permissible with a private sector firm or college/university provided the State has developed an in-house technical capability to supervise an FS contract (i.e., has a trained certified FSA on its staff). Supervision of the contract must include being able to perform necessary contractor training, to establish and perform survey quality control functions, and to check contractor survey activity to ensure a quality product. These contracts cannot provide for the technical support for the EOC's and BSPP. In the absence of a State having the necessary technical capability to perform the above, a waiver may be granted by the Regional Director who must commit technical support to the State to perform the above requirements. If the above conditions are met, it should be considered permissible for a State to contract for conducting FS if funds are available and agreed upon during the CCA negotiations.

12-5. Personnel Qualifications and Training.

a. The State may recruit and hire the following personnel who shall be trained and certified by FEMA as State FS team leader/supervisors:

(1) Team leader for the State FS Program shall become certified as an FSA by passing the FSA course. In cases where the State cannot accomplish this, see subparagraph 12-6b.

(2) Personnel employed at the engineering technician level as shelter surveyors, including college students, must as a minimum successfully complete and pass the current and most recent SST course approved by FEMA, and have successfully completed a minimum of 1 year of college credits leading to a Bachelor of Science (BS) degree in civil, architectural, or a related structural engineering field. The 1-year minimum college credits can also be obtained from a 2-year community college as long as the curriculum is a civil, architectural, or structural engineering related field. This latter academic prerequisite is required due to the need for determination of structural data details and the ability to read and understand blueprint drawings to perform multihazard FS.

(3) Secretarial-clerical assistance to support the FS effort is authorized commensurate with workload.

b. The individuals recruited by the State for the FS Program shall attend the first available FSA course given, or take the course by correspondence.

c. When the recruited individuals successfully complete the FSA course and are certified, they will be trained by the FEMA regional engineering staff at a mutually agreed upon location in program procedures and data collection of the multi-hazard surveys, including reporting, reviews, and other related duties.

d. The State shall supply a replacement for any individual who fails certification as an FSA. Federal payment for salary and expenses under the CCA will cease at the point in time certification is denied. The replacement will be trained by the FEMA regional engineering staff during the fiscal year and shall attend and pass the next scheduled FSA course, or take the course by correspondence.

e. The State shall ensure that the individuals employed are able to accept TDY assignment with the FEMA survey team for training as scheduled by the FEMA regional office.

12-6. General Guidelines.

a. Facility surveys are to be conducted in accordance with the latest FEMA publication TR-84. Processes and procedures over and above, but not at the expense of TR-84, may be used if directed and approved by the region and included as part of the statement of work of the CCA.

b. It will be necessary for the lead person on the State FS Program to become certified as a FSA by successfully completing and passing the FEMA-sponsored FSA course. All DIF's must be certified by the State FSA. In the absence of this State FSA certification, regional personnel must perform certification. An individual must possess a BS degree in engineering or architecture from an accredited university or college or be a State licensed professional engineer to be eligible for certification upon successful completion of the FSA course.

c. The establishment of a State FS computer processing capability is permitted but funding under this program will not be allowed for ADP hardware/software procurement; however, ADP procurement is allowed on a 50/50 match basis through the EMA Program of the CCA. All survey data will be submitted to FEMA headquarters for processing into the National Shelter Inventory and all data will be reported on the approved FEMA data reporting forms as shown in TR-84.

d. Those States entering into the FS Program activity for the first time in the fiscal year must have their personnel trained by the regional engineering staff in the procedures to be used in conducting multihazard FS. It is essential that uniformity, quality control, and standardization for conducting multihazard surveys be achieved on a nationwide basis.

e. In States in which the FS workload warrants, use of a State student-hire program is authorized and encouraged. FEMA headquarters will sponsor the SST course by correspondence and will provide names of students who have successfully passed the SST course for employment by the State. Recruitment of students must be carried out by the State.

f. Some States may want to contract with an FSA-SST qualified professor at certain universities to recruit, train and employ students required for the conduct of surveys. This contract cost must be included in the scope of work of the CCA.

12-7. Allowable Costs. Allowable costs are those negotiated between the State and Regional Director, and include such items as costs for a State student-hire program, contracting with the FSA-SST qualified professors at certain universities to recruit, train and employ students required for the conduct of surveys. FEMA headquarters will sponsor the SST course by correspondence. If the conditions are met as described herein, then it should be considered allowable for a State to contract for conducting FS if funds are available and agreed upon during the CCA negotiations.

12-8. Unallowable Costs. Unallowable costs are for the purchase of such items as ADP hardware and software equipment; automobiles; costs for the use of full-time secretaries (i.e., one (1) full-time FTE) in support of the State FS Program. Although procurement of automobiles

is not an allowable cost under the FS Program, the leasing or renting of automobiles is permissible. Deviations from these allowable/unallowable costs must be negotiated and agreed upon between the FEMA Regional Director and the State, but must receive advanced FEMA headquarters approval.

CHAPTER 13

State and Local Exercise Requirements

13-1. General. The purpose of these requirements is to develop a single clear statement of exercise activity required of jurisdictions receiving FEMA funding. This is accomplished by the consolidation and simplification of the exercise requirements noted in the various FEMA assistance programs. Appendix C, The Role of Exercising in a Comprehensive Emergency Management Program, in this CPG, should also be reviewed.

a. Exercises are required of State and local governments by the FEMA to validate emergency preparedness/response capabilities.

b. This chapter provides policy, mandatory criteria and requirements and general guidance on what constitutes an integrated exercise program which will meet the requirements of all FEMA assistance programs with the possible exception of the specific regulatory exercise requirements of REP.

c. FEMA is committed to reinvigorate the overall exercise program requirements contained in CPG 1-5 for local jurisdictions to conduct annual exercises that involve all agencies having emergency management responsibilities. It has been proven repetitively that jurisdictions which have exercised do substantially better in an actual disaster than those without any exercise experience.

13-2. Definitions. Exercise definitions are those contained in CPC 84-2 and chapter 1 of this CPG.

13-3. Program Requirements and Required Annual Output. The objective of consolidating State and local exercise requirement noted in this guidance is to encourage each jurisdiction to plan and manage a multiyear exercise program which will exercise all emergency functions as related to the major hazard types over a period of time.

a. During a 5-year period, each jurisdiction will have at least:

(1) One FSE incorporating activation of the EOC and field operations of several functions. Jurisdictions should plan to conduct FE and TT exercises as necessary to prepare for the FSE.

(a) Municipal jurisdictions with limited emergency response capacity and under 50,000 population, may decide to jointly exercise with adjoining jurisdictions, the State, and/or the county.

(b) Counties with less than 50,000 population may elect to exercise with adjoining counties or participate in Statewide exercises.

(2) One FE in each of the remaining 4 years.

(3) The scenario events for functional exercises should demonstrate capability and capacities to implement the SLDC&W function for a multi-agency response plus include several of the other integrated functions:

(a) Population Protection.

- (i) Evacuation;
- (ii) Shelter management; and
- (iii) Reentry/recovery.

(b) Contamination Monitoring and Control.

- (i) Monitoring and reporting;
- (ii) Situation assessment; and
- (iii) Control and remedial actions.

(c) Public Education, Emergency Information, and Rumor Control.

- (i) Rumor control;
- (ii) Public information procedures; and
- (iii) Expedient crisis training.

b. The scenario content of the exercises will be drawn from the following three major disaster categories:

- (1) A national security crisis (attack, mobilization, or continuity of State and local government in the event of an attack);
- (2) Natural hazard (tornado, hurricane, etc.);
- (3) Technological hazard (fixed nuclear facility, hazardous materials, etc.); and

c. Each year the FE must rotate among the different scenario categories (national security, natural, or technological hazard).

d. For National Security Exercise purposes, the term ATTACK covers the following: a strategic and/or tactical nuclear strike on the United States, sabotage, the use of non-nuclear explosive, radiological,

chemical, bacteriological, biological, or any other weapon whether employed conventionally or unconventionally.

e. NSDD-259 and FEMA acknowledge the possibility of a technological or natural disaster of such magnitude as to pose a threat to national security. However, the exercising of such disasters will be considered as satisfying the technological hazard or natural disaster exercise requirement, not the national security exercise requirement. FEMA encourages all exercise scenarios to involve a primary hazard and additional secondary hazards from a different category.

f. States are responsible for insuring that roughly one-third of their local jurisdictions use one of each of the major scenarios each year; or the State may conduct one major Statewide functional exercise with all jurisdictions participating using the same scenario. When a Statewide exercise is conducted, the schedule must reflect that different scenarios will be used in the following years.

g. All jurisdictions receiving FEMA funding will submit, upon completion of a FE or FSE, FEMA Form 95-16, Exercise Data, and a quarterly report by the State EAO or training staff. Jurisdictions not exercising should be reported by the State and the reason for not exercising should be stated.

h. Required Annual Output.

(1) Annually, each jurisdiction must, as a part of its statement of work, submit an updated 5-Year Exercise Plan which will list at least:

(a) One FSE during the 5 year period; and

(b) One FE in each of the remaining 4 years (each year the FE will use a different scenario category on a rotating basis).

(2) It is suggested that several TT exercises be conducted in preparation of each of the FE.

(3) The proposed quarter for each exercise to be conducted during current fiscal year will also be included in the exercise schedule.

(4) Upon completion of an exercise (FE or FSE), each jurisdiction must submit to the State and the State will forward to EMI through the FEMA regional office a completed FEMA Form 95-16.

13-4. Substitution of An Actual Disaster or Emergency Response. This paragraph defines disaster as it relates to provisions for exercise substitution. Should an actual disaster or significant emergency response occur, credit for a FSE or FE would be accepted by FEMA, taking into consideration the stipulations outlined below:

a. The final decision on substitution of an actual disaster or significant emergency response for exercises lies with the FEMA Regional Director. The appropriate degree of intensity will be factored by the FEMA Regional Director. The following action areas will be considered in the decision.

(1) Formal declaration of a disaster by the Chief Executive Officer of the jurisdiction or the State Governor or the President.

(2) Warning of the population;

(3) Actual evacuation of population;

(4) Active participation by multiple organizations;

(5) Activation (alert, notification, staff assembly) of the EOC and implementation of the EOP; and

(6) Response requiring assets outside the jurisdiction, e.g., activation of mutual aid agreements or activation of national emergency relief organizations such as the Mennonite Disaster Service or the American Red Cross.

b. NO CREDIT REGARDLESS OF CIRCUMSTANCES will be given for an actual occurrence/disaster or significant emergency response without the submission of FEMA Form 90-2, Disaster Response Questionnaire, (DRQ). (Detailed information on the DRQ is located in appendix C.)

c. The annual 5-Year Exercise Plan requirement can be modified after submission to reflect any actual implementation of a jurisdiction's EOP in response to an actual disaster event of adequate magnitude.

13-5. Administration and Documentation.

a. Administrative coordination of this program within States should be the responsibility of the EAO, the Regional Exercise Officer, or the EMA staff. Other staff still continue to provide technical assistance and maintain responsibility to ensure individual program and functional components are met in the context of the TT, FE, and FSE annual activity. This documentation should include coordination in exercise scheduling, planning, and documentation with the following program areas:

(1) EMA;

(2) DPI;

(3) RADEF;

(4) REP;

- (5) HP;
- (6) PPP;
- (7) EMT; and
- (8) EP.

b. Exercises planned and conducted in the current fiscal year will be recorded in the 5-Year State Exercise Work Plan. FE and FSE will be documented in detail on FEMA Form 95-16.

c. The 5-Year State Exercise Work Plan should be reported to the appropriate FEMA Regional Exercise Officer in the proper formats. A State's 5-Year Exercise Plan, including all EMA jurisdictions, is required for CCA submission.

d. Documentation Required.

(1) The 5-Year State Exercise Plan requires annual updating to make it an effective planning document. It should reflect actual responses to disasters and other program changes.

(2) To report totals of State FE and FSE activity refer to the guidance in each year's annual CCA request for application package.

(3) Exercise evaluation submitted upon completion of a FE or FSE on FEMA Form 95-16.

(4) FEMA Form 90-2 will be utilized for actual emergency response credit. The disaster afteraction reports will be due within 90 days from the date of the actual event.

13-6. Special Considerations.

a. Once every 3 years a national security crisis (nuclear attack, mobilization, or continuity of State and local government will be the exercise scenario for the FE or FSE schedule for that year.

b. Every 2 years the Federal government participates in a national security crisis exercise commonly known as REX (for resource exercise) ALPHA and REX BRAVO. The participation of State and local jurisdictions is strongly encouraged. The participation in a REX exercise would fulfill the national security FE requirements.

c. FEMA recognizes that the REP Program affects 430-plus jurisdictions out of a total of some 3,500-plus and that REP has a regulatory mandate for FSE's. For those jurisdictions with a fixed nuclear facility within their boundaries, the 5-year cycle should reflect the

REP exercise as a technical hazard scenario. It is recognized that REP scenarios also include natural disaster events and could potentially include national security events. States with multiple nuclear power plants to exercise must meet the annual requirements for national security and natural hazards exercises. The 5-year exercise plan should be reported to the Regional Exercise Officer.

13-7. Federal Resources Available. Exercises are required in a number of funded programs and those program resources support the exercise effort outlined in this CPG. The following resources support the exercise effort outlined in this CPG, and are available to support State and local exercise programs:

a. FEMA funds personnel and/or other activities and services through the following programs: EMA, IMA, PPP, RADEF, DPI, EMT, EP, and HP. These specific resources should be utilized to assist a jurisdiction to fulfill these exercise requirements when the appropriate program activity is involved.

b. The EAP is a specific part of the EMT Program available to each State.

(1) As part of this program, the EAO is available to local jurisdictions to assist in providing materials, planning exercises, evaluating exercises, and preparing after-action report requirements.

(2) FEMA's EMI also provides exercise assistance via an ongoing series of training courses, including an Exercise Design Course, covering the entire range of planning and conducting exercises. Other courses and the schedule for their presentation may be obtained from EMI through any FEMA regional office or from a State training office.

c. CPC 84-2, A Conceptual Approach to State and Local Exercises, was prepared to augment exercise design and provides exercise definitions and guidance as well as provide for State/local comment. It covers such areas as:

- (1) The exercise planning cycle;
- (2) Participation by government, industry, and the private sector;
- (3) Preparation for an exercise;
- (4) Implementation of an exercise;
- (5) Exercise evaluation; and
- (6) Follow-up actions.

d. FEMA has an expanded exercise library of fully tested exercises for a number of various scenarios covering a broad range of disasters. The exercises found within the library are available to any jurisdiction through their regional FEMA office. Each of the exercises within the library may be modified to meet the individual needs of the jurisdiction.

(1) FEMA has recently completed work on a computerized exercise generator as well as a TT national security exercise package in video tape format. Both of these are available through the FEMA regional offices.

(2) FEMA continues to seek additions to the library and welcomes suggestions.

CHAPTER 14

Individual Mobilization Augmentee Program

14-1. General. This chapter establishes guidelines for administration of the IMA Program to support FEMA headquarters, regions, and State and local emergency management activities. Reference should also be made to CPG 1-11, FEMA IMA Program dated March 1984.

14-2. Applicability and Scope. The provisions of this chapter are applicable to Federal, State and local levels of government to which an IMA is assigned.

14-3. Program Objectives. The program objectives are to:

a. Assign IMA's in a manner consistent with FEMA guidance to support survivable crisis management capabilities of Federal, State, and local levels of government.

b. Provide adequate and appropriate training for IMA's to ensure that emergency assignments are in compliance with a jurisdiction's needs as defined by CPG 1-11.

c. Use the IMA's during annual training tours to support State and local participation in national security exercises, other emergency exercises, and/or COG participation.

d. Properly evaluate the performance of each IMA to determine each IMA's productive accomplishments as an IMA as well as the suitability of the assignment.

14-4. Program Description.

a. The IMA Program strengthens the survivable crisis management capabilities of civil government by augmenting their civil preparedness staffs with trained and experienced IMA's. IMA's play a role in peacetime by using their skills to support the development of preparedness capabilities, especially through participation in national security exercises. During periods of increased tensions, IMA's are assigned as part of a mobilization cadre.

b. In support of this concept, IMA's are assigned to identified management modes at Federal regions, States and local jurisdictions of a designated EMA population tier, such as those in excess of 500,000 population, those with a population of 250,000 to 500,000, and finally those whose population falls in the interval between 100,000 and 250,000.

c. Each IMA has a designated set of skills in one of the following areas: Plans/Operations; Communications; Administration; Public Information; Chemical-Biological-Radiological; Legal; Engineering; Shelter Management; Damage Assessment; Medical-Health; and Facility Security. Each location has a preset number of IMA's assigned.

d. The primary activity of an IMA is annual participation in a national security exercise. Other activities can be assigned as they have a relationship to national security issues. Such things as the development of national security aspects of EOP's is an approvable activity.

14-5. State Application Responsibilities.

a. The applicant is responsible for submitting an application in accordance with guidance contained in CPG 1-38 and developing a statement of work for IMA's consistent with the criteria and requirements in the current year's CCA request for application package. Also, the following general guidelines apply:

(1) Assignment. The State is responsible for assigning IMA's to jurisdictions identified in CPG 1-11. The basic criteria for assignment are:

- (a) EMA participant jurisdiction;
- (b) Approved population size; and
- (c) National security exercise participants.

(2) Statement of Work. The State is responsible for preparing a statement of work including the following IMA information:

- (a) Sufficient detail to describe and quantify the nature of the assignments;
- (b) The identity, population, and type of jurisdiction (EMA or non-EMA participant) where IMA activity will be taking place; and
- (c) The IMA's annual training costs are to be reimbursed by headquarters to each service throughout the fiscal year.

14-6. Expected Outputs.

a. Listing of Accomplishments. IMA's are expected to be trained in their emergency assignments and used to support State and local participation in national security exercises during their annual training tours. They may be given any task which conforms with their

duty assignments, expertise, training, and specific assignment during monthly duty tours. Accomplishments are to be reported quarterly on FEMA Form 76-43.

b. Annual Training. The requirements for annual training are established by each service component at the level or category of participation of each IMA. Annual training is mandatory for category "D" IMA's. Category "D" IMA's are those who are in a category "D" pay status and who are required to do a 12 day annual tour each year, and who will do a minimum of 24 inactive duty training periods each year. Annual training must be performed within the IMA's retirement year dates and in the FEMA fiscal year. Every effort should be made to use the IMA's to perform assignments in conjunction with the State or local participation in national security exercises, and/or COG participation.

c. Evaluation/Effectiveness Reports. Although the primary consideration of the effectiveness reports system is for evaluation of the IMA's performance and potential in the military, it also provides an excellent management tool for determining whether participation of the IMA is producing the desired support of the Agency's emergency preparedness. These evaluations (effectiveness reports) must be completed annually and forwarded to the appropriate branch of service. (See CPG 1-11 for the appropriate forms and procedures for evaluating an IMA.)