

North Carolina Division Directive 0-2  
**Index of Division Directives**

<b><u>DIVISION DIRECTIVES</u></b>		<b><u>DATE</u></b>
<b>0-2</b>	<b>Index of Division Directives</b>	<b>5 August 2010</b>
<b>100 SECTION</b>	<b>DAILY OPERATIONS</b>	
<b>100-01</b>	<b>Division Directives</b>	<b>5 March 2009</b>
<b>100-02</b>	<b>Roles &amp; Responsibilities, Organizational Structure</b>	<b>27 April 2009</b>
<b>100-03</b>	<b>Safety</b>	<b>2 June 2008</b>
<b>100-04</b>	<b>Calendars</b>	<b>18 April 2008</b>
<b>100-05</b>	<b>Records Management</b>	<b>29 April 2008</b>
100-06	Publications Management	In Development
<b>100-07</b>	<b>Legislative Programs</b>	<b>18 April 2008</b>
<b>100-08</b>	<b>Security</b>	<b>12 May 2009</b>
100-10	Correspondence & Email	In Development
100-15	Telephones	In Development
<b>100-20</b>	<b>Mail</b>	<b>18 April 2008</b>
100-25	Internet	In Development
<b>100-30</b>	<b>Meetings</b>	<b>5 March 2009</b>
<b>100-35</b>	<b>State Vehicles</b>	<b>6 May 2008</b>
<b>100-40</b>	<b>NCEM Self Inspection Program</b>	<b>27 October 2008</b>
100-50	Director's Management Review & NCEM Suspense System	In Development
<b>100-55</b>	<b>Preparing, Coordinating, and Issuing North Carolina Emergency Management Documents</b>	<b>5 August 2010</b>
<b>200 SECTION</b>	<b>FINANCE/BUDGET</b>	
<b>200-01</b>	<b>BDA Processing</b>	<b>5 May 2009</b>
<b>200-02</b>	<b>Travel Reimbursement</b>	<b>20 December 2010</b>
<b>200-03</b>	<b>Purchasing</b>	<b>17 March 2009</b>
<i>200-04</i>	<i>EM CORIS</i>	<i>ON HOLD</i>
<b>200-05</b>	<b>NCEM Budget Management</b>	<b>14 May 2008</b>
<b>200-06</b>	<b>NCEM Grants Management</b>	<b>14 May 2008</b>
<b>300 SECTION</b>	<b>PERSONNEL</b>	
300-01	New Hires	In Development

300-02	Performance Reports	In Development
<b>300-03</b>	<b>Grievance Procedures</b>	<b>27 April 2008</b>
300-04	Adverse Weather	In Development
<b>300-05</b>	<b>Leave Policy</b>	<b>6 May 2008</b>
300-10	Dress & Appearance Standards	In Development
300-15	Employee Separation	In Development
<b>400 SECTION</b>	<b>TECHNOLOGY SUPPORT</b>	
400-01	Requesting Information Technology Support	In Development
400-02	Situation Room Audio Visual	In Development
<b>400-03</b>	<b>State/County Contact Directory</b>	<b>27 April 2008</b>
<b>400-04</b>	<b>NCEM Infrastructure Program</b>	<b>27 April 2008</b>
<b>400-05</b>	<b>Flood Plain Mapping</b>	<b>15 May 2008</b>
<b>400-10</b>	<b>National Flood Insurance Program</b>	<b>27 April 2008</b>
<b>400-15</b>	<b>NC SPARTA</b>	<b>2 June 2008</b>
<b>400-20</b>	<b>Application Change Management</b>	<b>12 May 2009</b>
<b>500 SECTION</b>	<b>PUBLICATIONS</b>	
<b>500-01</b>	<b>Website Publishing</b>	<b>30 April 2008</b>
500-02	mEMo	In Development
<b>600 SECTION</b>	<b>OPERATIONS</b>	
<b>600-01</b>	<b>Field Branch Operations</b>	<b>2 June 2008</b>
<b>600-02</b>	<b>NCEM 24-Hour Operations Center</b>	<b>19 May 2008</b>
<b>600-03</b>	<b>Division Duty Officer</b>	<b>28 April 2008</b>
<b>600-04</b>	<b>NCEM Program for NIMS Implementation</b>	<b>28 April 2008</b>
<b>600-05</b>	<b>Dispatching the RRT</b>	<b>28 April 2008</b>
<b>700 SECTION</b>	<b>ASSISTANCE PROGRAMS</b>	
<b>700-01</b>	<b>Public Assistance</b>	<b>14 May 2008</b>
<b>700-02</b>	<b>Individual Assistance</b>	<b>15 May 2008</b>
<b>700-03</b>	<b>Mitigation</b>	<b>30 April 2008</b>
<b>800 SECTION</b>	<b>LOGISTICS, EXERCISES &amp; TRAINING</b>	
<b>800-01</b>	<b>Resource Requests</b>	<b>1 May 2008</b>
<b>800-03</b>	<b>NCEM EMAC Program Participation</b>	<b>30 April 2008</b>
<b>800-04</b>	<b>NCEM IntraState Mutual Aid Program</b>	<b>27 May 2008</b>
<b>820-01</b>	<b>NCEM Exercise &amp; Corrective Action Program</b>	<b>30 April 2008</b>
830-01	Fixed Assets Inventory	<b>1 January 2011</b>

<b>850-01</b>	<b>Training Management</b>	<b>28 May 2008</b>
<b>850-02</b>	<b>Training Documentation</b>	<b>28 May 2008</b>
<b>900 SECTION</b>	<b>PLANS</b>	
<b>900-01</b>	<b>Plans &amp; Plan Maintenance</b>	<b>2 May 2008</b>
900-02	Weather & Weather Support	In Development
<b>900-03</b>	<b>Strategic Planning</b>	<b>30 April 2008</b>
<b>900-04</b>	<b>Hazardous Materials Emergency Management Grant</b>	<b>17 Sep 2008</b>

This page is intentionally left blank.

North Carolina Emergency Management Division Directive 100-01  
**Division Directives**

- I. Purpose. The purpose of this Directive is to describe the NCEM Division Directive program, to establish policy, responsibilities, and procedures for coordination, publication, and maintenance of division directives.
- II. Policy. Division directives are, of course, directive in nature. They apply to all staff assigned to the North Carolina Division of Emergency Management. Deviation from policy, procedures and guidance contained in Division directives is not permitted except with explicit approval from the Director of Emergency Management. Division directives will supplement, not supersede publications of the Department of Crime Control and Public Safety. Care must be taken to write division directives so that they contain an appropriate mix of control and flexibility.
- III. Responsibilities.
  - A. The Director of Emergency Management (hereafter, Director) has overall responsibility for the Division Directive program. No division directive will go into effect until it is approved and signed by the Director.
  - B. The Director's Executive Assistant is responsible for publishing and maintaining division directives.
  - C. Each Assistant Director/Section Chief is responsible to coordinate content of proposed division directives within his/her section and to review/approve division directives. Section chiefs will normally have two weeks for this coordination effort. No response to an email request for coordination will be interpreted as approval.
  - D. Each individual identified or assigned as staff action officer within the *Office of Primary Responsibility (OPR)* for a division directive is responsible for currency of content as well as for annual review and updating.
  - E. Each NCEM staff member is responsible to read, understand, and comply with published division directives.
- IV. Procedures. NCEM staff members normally will be tasked by the Director or Assistant Director/Section Chief to prepare division directives for coordination and, ultimately, for implementation. NCEM staff members who see the need for a division directive on a particular subject should coordinate that need with the appropriate Assistant Director/Section Chief before preparing the directive. Step by step procedures for preparing and implementing division directives are as follow.
  - A. The staff action officer will:
    1. Determine the need for a division directive on a particular subject, either from tasking or through coordination with the appropriate Assistant Director/Section Chief.
    2. Once assigned responsibility, draft the directive in the same format as this directive.
    3. Deliver the draft directive to the Planning Support Branch Administrative Specialist.
  - B. The Planning Support Branch Administrative Specialist will:

1. Use the email format and example forms (Attachment 1) to submit the draft for coordination and approval from Assistant Directors/Section Chiefs according to the following instructions.
  - a. Address the email to the Assistant Directors/Section Chiefs. Do not send it to the Director at this point.
  - b. Send copies to the Director's Executive Assistant and others concerned.
  - c. Attach a pdf copy of the draft directive.
  - d. Attach the NCEM Document Review Form to be found at R:\Division Directive Working Files\NCEM Document Review Form.doc
  - e. Enter a suspense date (2 weeks from the email date) in the last paragraph of the email and on the document review form. Stipulate that no response will be interpreted to indicate concurrence.
  - f. Assistant Directors/Section Chiefs will indicate suggested changes and the rationale behind their suggestions at the appropriate places on the Document Review Form (Attachment 2).
  - g. Have Action officers indicate using a contrasting color in the Rationale column whether suggested changes have been made. If suggested changes are not made, have action officers enter reasons for not making changes in the Rationale column. The Director will make a final decision on contents of the proposed division directive and return it as necessary to the action officer for changes.
2. Provide the Director a package that includes a final paper draft for approval and signature, as well as all returned document review forms and their disposition.
3. Deliver the approved and signed directive to the Director's Executive Assistant.

C. The Director's Executive Assistant, with support from the Planning Support Branch Administrative Specialist, will:

1. Assure the directive is in proper format.
2. Include the new directive in the Division Directive Binder and in other places where paper copies of division directives are maintained.
3. Include the new directive electronically as appropriate on shared drives, web sites, and wherever electronic copies of division directives are maintained.
4. Assure all sets of division directives are current and protected from unauthorized changes.
5. Notify the Division staff whenever the Director approves and signs a new directive.

V. Attachments:

- A. Attachment 1, Coordination E-mail
- B. Attachment 2, Document Review Form

VI. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VII. Coordination.

Operations silence Logistics silence Recovery silence GTM silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

12 March 2009

This page is intentionally left blank.



Ron Wall  
08/13/2008 10:28 AM

To: Gary Faltinowski/State/NCEM@NCEM, Steve Sloan/State/NCEM@NCEM, John Dorman/State/NCEM@ncem, Emily Young/State/NCEM@NCEM, Michael A  
cc: Brenda M Jones/State/NCEM@NCEM, Ed Jenkins/State/NCEM@NCEM, Randolph Harrison/State/NCEM@NCEM  
Subject: Document Coordination-DD 900-04, HMGP (August Revision)

Here is another Division Directive offered for your coordination and approval. It is a revision of the existing DD900-04. Questions should be addressed to Randolph Harrison.

Attached find a PDF copy of the directive and a Document Review form.



NCEM DD 900-04 Document Review.doc



DD 900-04 Hazardous Materials Emergency Preparedness \_HMEP\_ Grant Aug Revision Draft.pdf

Please review the document for substantive changes. Focus on those things that might be improved with regard to your section or the Division as a whole. When senior staff coordination is complete we'll offer the document to the Director for his signature.

I'd be grateful if you could return your completed Document Review form by **26 August 2008**. No response will be interpreted to indicate concurrence.

Thanks very much.

Ronald R. Wall  
Natural Hazards Program Manager  
North Carolina Division of Emergency Management  
Raleigh NC  
919-733-3427  
rwall@ncem.org



North Carolina Emergency Management Division Directive 100-02  
**Roles, Responsibilities, and Organizational Structure**

- I. Purpose. The purpose of this Directive is to establish roles and responsibilities for Sections and Branches within the North Carolina Division of Emergency Management and to display an organizational chart in conjunction with those roles and responsibilities. An Organizational Chart is provided at Attachment 1.
- II. Policy. This Directive is the definitive source for roles and responsibilities within the Division of Emergency Management. It is intended to serve as a reference document for members of the Division and for persons in the North Carolina emergency management community at large. Position descriptions and other documents prepared by and for the Division should be consistent with roles and responsibilities listed here.
- III. Roles and Responsibilities.
  - A. The **Director of Emergency Management** coordinates efficient and effective mitigation of; preparedness for; response to; and recovery from all hazards and threats.
  - B. The **Public Affairs Office** works to ensure the people of North Carolina are informed and knowledgeable about programs, events and conditions affecting their safety and well-being. The staff works to provide timely and accurate information to news media and to inform the general public of emergency action steps to be taken during natural or man-made disasters. The members of the Public Affairs Office respond to media inquiries, write speeches and press releases, and produce educational materials. Public Affairs staff members are available for duty 24 hours a day, seven days a week assisting members of the news media either by phone or at the scenes of incidents. When necessary, public affairs staff prepares and distribute news releases and arrange for news conferences. The Public Affairs staff sets up a Joint information Center (JIC) for actual events and drills—to include those relating to the three nuclear plants in North Carolina and one just beyond the border in South Carolina.
  - C. The **Information and Planning Section** manages and coordinates all information and planning functions as they relate to disaster contingency planning and the Homeland Security Grant Program planning within the Division of Emergency Management. This includes research, development, coordination, implementation and evaluation of plans and polices focused on natural disasters (hurricanes, tornadoes, flash floods, riverine flooding, storm surge, earthquakes, mudslides, etc.), hazardous materials, nuclear power plants, other radiological/nuclear events, other man-made/technological disasters (dam failure, airplane accidents, search and rescue events, large transportation accidents), weapons of mass destruction, acts of terrorism, and terrorist incidents. The Information and Planning Section coordinates preparation of both strategic (short and long term) and operational (emergency, disaster operations) plans.

1. The **Planning Support Branch:**

- Develops reports and plans for the North Carolina Emergency Management program.
- Provides grant assistance to counties to help them plan for, respond to, recover from and mitigate future natural and man-made disasters.
- Administers nearly \$30 million yearly on behalf of the Division of Emergency Management. This amount includes allocations from state and federal government and assessed payments from nuclear facilities operating in the state.

The Planning Support Branch is divided into four units: natural hazards, technological hazards, strategic planning and policy, and public outreach.

a. The **Natural Hazards Unit:**

- Supervises development and maintenance of multi-hazard contingency plans with a special emphasis on natural hazards such as hurricanes. This includes coordinating the NC Emergency Operations Plan across State agencies.
- Develops plans for disaster response and recovery, action plans for emergency operations, and programs/projects that improve citizen awareness of protective measures within North Carolina and its political subdivisions.
- Manages the Emergency Management Accreditation Program (EMAP) and the Continuity of Operations (COOP) planning for the North Carolina emergency management program.

b. The **Technological Hazards Unit** manages several programs including the Superfund Amendments and Reauthorization Act (SARA) Program, Emergency Planning and Community Right to Know Act (EPCRA) Program, Risk Management Planning (RMP) Program, and the Radiological Emergency Preparedness (REP) Program.

- The **SARA/EPCRA programs** involve serving as the State's technical point of contact for facilities and agencies that are subject or impacted by the Environmental Protection Agency's (EPA) series of regulations.
- Management of the SARA/EPCRA program occurs through overseeing data submission from facilities throughout the state; also, responding to all information requests that are received (in reference to the reported information under the auspices of the program) must take place to successfully manage the program.

- The **Risk Management Planning (RMP) Program** entails providing state-wide leadership, technical expertise and assistance, and planning support to the State and local government sector (via the State Emergency Response Commission [SERC]).
    - Business and industry sectors are provided technical assistance in chemical accident planning, preparedness, prevention response, recovery, and mitigation.
    - The Risk Management Planner serves as the program manager and technical lead for the Clean Air Act (CAA) 112(r) Risk Management Planning program and the OPA Oil Spill Planning, Response, and Recovery Program.
    - Serves as a liaison via the State Emergency Response Team to NCDENR emergency response elements.
  - The **Radiological Emergency Preparedness (REP) Program** provides for Division planning support for issues involving commercial nuclear power facilities in (or near) North Carolina.
    - Personnel review State and applicable local REP support plans to ensure compliance with Federal and State program requirements.
    - They assist with tracking expenditures from REP Budget accounts, maintenance of REP survey equipment, and preparation of State documentation for a bi-annual FEMA evaluated exercise.
    - In addition, they are instrumental in preparing the State response to the Federal Preliminary Exercise Report and developing a Corrective Action Plan for State problems identified during the Federal bi-annual exercise.
- c. The **Strategic Planning and Policy Unit** is responsible for:
- Development and maintenance of the Strategic Plan for the Division of Emergency Management. The Strategic Plan identifies where the NCDEM is now, where it wants to be, how it will get there, and finally how to measure progress.
  - Emergency Management Performance Grant (EMPG) application development and maintenance. The EMPG strengthens the Division's ability to support emergency management mission areas while simultaneously addressing issues of national concern identified in the National Priorities of the National Preparedness Guidelines.

- d. The **Public Outreach** function is responsible to:
  - Inform and educate the public to the threat of disasters (natural and man-made) that affect their lives and property.
  - Prepare and present programs on subjects including crisis communications, media relations, public information, and emergency management.
  - Gather and present current information and statistics on emergency management subjects.
  - Disperse educational materials to the Division's regional offices, local coordinators, NC State Government agencies and the general public.
2. The **Homeland Security Branch** is responsible to:
  - Coordinate development and implantation of the State Homeland Security Program.
  - Make application for federal homeland security funding.
  - Disperse and manage homeland security funding.
  - Implement program evaluation methods consistent with state and federal requirements.

The NCEM Homeland Security Branch is comprised of the Grants Unit and the Planning Unit.

- a. The **Grants Unit** is responsible to:
  - Serve as a liaison between sub-grantees who receive federal funds and NCEM.
  - Monitor grant cash flow according to monthly cost reports.
  - Ensure projects are on schedule financially.
  - Monitor projects to assure compliance with federal and state financial and program guidelines, and to assure execution within the allocated performance period
  - Assess progress toward meeting stated goals and objectives.

- b. The **Planning Unit** is responsible to:
- Provide guidance to local, state, federal, tribal and private stakeholders and partners in the development and implementation of the State Homeland Security Program.
  - Ensure the numerous preparedness, prevention, response and recovery efforts undertaken in North Carolina are coordinated in an efficient and effective manner so as to provide a seamless State Homeland Security Program.
  - Ensure programmatic activities align with and support the State Homeland Security Strategy,
  - Coordinate and develops grant applications.
  - Determine levels of capability and risk throughout the State through assessments and other means.
  - Maintain situational awareness of federal guidance and regulations.
- D. The **Operations Section** manages delivery of State assistance and services in support of local governments. During Emergency Operations Center (EOC) activations the Operations Section identifies, assigns and manages the resources needed to accomplish the incident objectives. Outside of EOC activation, the Operations Section coordinates emergency management activities among counties and local governments and plans and prepares for its duties during activations. The Operations Section Chief currently serves as **Deputy Director of Emergency Management**. The Operations Section consists of three (Western, Central and Eastern) Field Branch Offices (Regional Coordination Centers) and the EOC Operations Branch.
1. During activations, the three **Field Branch Offices** are transformed into **Regional Coordination Centers (RCC)**. RCCs
- Function as Multi-agency Coordination Centers.
  - Provide central locations for operational information sharing and resource coordination in support of on-scene efforts.
  - Ease span of control for the Operations Section Chief by managing operations for a group of counties in the disaster area.
  - According to the nature and extent of the emergency/disaster, RCCs activate emergency operations centers with their field personnel.
  - Organize field operations in a manner consistent with the Incident Command System (ICS) and the National Incident Management System (NIMS).
  - Operate according to standing operating procedures maintained by the NCEM Operations Section.

- May be established to support and stage disaster relief personnel and equipment (search and rescue teams, state medical assistance teams, debris clearance teams, public works strike teams, security teams, etc.).
  - Are established at times and locations determined by the affected Field Branch Manager in concert with the SERT Leader.
  - Are led by RCC (normally Field Branch) Managers who will develop lists of required resources to manage the operational response in their areas of operation and submit lists to the Operations Chief for approval.
  - If required, stage disaster relief supplies as necessary and appropriate upon coordination between the SERT Operations and Logistics Sections.
2. The EOC Operations Branch is composed of four units: the 24-hour Operations Center, Emergency Services, Human Services, and Infrastructure.
- a. The **24-Hour Operations Center (24OC)** is responsible to:
- Receive and disseminate communications between field agencies and the SERT.
  - Operate the communications center in the EOC as well as a message processing center in support of SERT activities.
  - Maintain 24-hour operations at all levels of activation.
- b. The **Emergency Services Unit** is responsible to:
- Provide coordinated State assistance to supplement local resources in response to medical care needs to victims of a major disaster.
  - Provide assistance to those agencies directly or indirectly involved in fire fighting and support to fire and rescue resources.
  - Support both urban and non-urban search and rescue activities.
  - Coordinate response when actual or potential discharge and/or release of hazardous materials occurs.
  - Coordinate activities of all State law enforcement resources supporting local authorities in response to emergencies requiring State assistance.
  - Operate 24 hours per day at full activation.

- c. The **Human Services Unit** is responsible to:
- Coordinate mass care, mass feeding and shelter operations, public health, volunteer efforts to aid disaster victims, emergency information and assistance for tourists, damage assessment, and mental health.
  - Coordinate animal welfare activities in response to and recovery from agricultural emergencies
  - Coordinate assessment of agricultural crop damages to reduce immediate and future commercial loss.
  - Operate 24 hours per day at full activation.
- d. The **Infrastructure Unit** is responsible to:
- Plan, coordinate and arrange for infrastructure recovery after a disaster.
  - Specifically plan, coordinate and arrange for debris removal, repair of highways and bridges, restoration of sewer and water systems, and reconstitution of electrical and telephone service.
  - Operate 24 hours per day at full activation.
- E. The **Logistics Section** fulfills the Division's daily logistics requirements. This includes but is not limited to the following: human resources (hiring, firing, promotions, demotions, reassignments, awards, time keeping, payroll, etc); transportation and distribution (mail, vehicle pools, movement of large items); handling of surplus items and inventory control (both fixed assets and non); warehousing of goods and equipment (including minimal office supplies); large scale contracting; large scale purchasing; training and conference coordination, both internal and external; and exercise coordination, both internal and external. The section also conducts short and long term planning functions and assists facility managers as needed. During activations, the section provides logistical support to the State Emergency Response Team (SERT). The Logistics Section has four branches: Personnel, Logistics Operations, Logistics Supply, and Training and Exercise.
1. The **Personnel Branch** is responsible to:
- Administer personnel/administrative support services to the Division of Emergency Management employees.
  - Administer all personnel actions including preparation of vacancy announcements, posting vacancy notices, processing of applications, directing/conducting interviews and completion of clearance package on recommended applicant to DCCPS Human Resources.
  - Prepare and maintain individual personnel files for the Division employees

- Provide support services for management of the Performance Management Program and personnel and service contractual agreements for the Division.
  - Maintain the NCEM Intern Program.
  - Maintain a system for permanently assigned vehicles and parking spaces for Division's employees and submits all vehicle records to either Motor Fleet Management and/or DCCPS.
2. The **Logistics Operations Branch** is responsible to:
- Plan, direct and develop projects, and train as it relates to disaster operations Logistics and the State EOP.
  - Assist in the supervision of operational logistics teams during periods of emergency activation.
  - Serve as NCEM logistics planning consultant for State Emergency Response Team (SERT) members.
  - Manage and develop contracts and purchasing tools for the purpose of emergency acquisitions to support disaster operations.
  - Oversee activities of NCEM warehouses.
  - Evaluate, coordinate and assist in the implementation of field level logistics disaster distribution projects.
3. The **Logistics Supply Branch** is responsible to:
- Ensure efficient provision of internal supply and equipment support to the Division of Emergency Management.
  - Supervise purchasing activities to ensure supplies and equipment are obtained to support the Division.
  - Ensure the Division follows established State Purchasing and Contracting laws, regulations and procedures.
  - Supervise inventories of essential office supplies and equipment.
  - Ensure Fixed Asset System (FAS) requirements (to include annual inventories, overall accountability of FAS record keeping, and all activities related to Surplus equipment) are accomplished for the Division.
  - Provide facility management support for the Disaster Recovery Operations Center (DROC) and Emergency Operations Center (EOC).
  - Supervise and maintain operation and scheduling of DROC motor fleet.

4. The **Training and Exercise Branch** is responsible to:

- Provide for the overall development, planning, coordination and supervision of all training and exercise services that are conducted under the direction of the Division of Emergency Management.
- Provide program management for the Homeland Security Exercise and Evaluation Program, Emergency Management Assistance Compact (EMAC) program and manages Radiological Preparedness (REP) exercises.

F. The **Recovery Section** plans and coordinates recovery activities among citizens, local governments, and various State and Federal agencies with disaster-related primary and support responsibilities to ensure these entities return to normalcy after a disaster. The section provides immediate assistance to reduce or relieve human suffering and support the restoration of essential services, and it coordinates and directs those operations when local government resources are inadequate or exhausted. The Recovery Section requests and coordinates assistance from other states, the federal government, and private disaster relief organizations as necessary and appropriate. The Recovery Section has three branches: Public Assistance, Hazard Mitigation, and Individual Assistance.

1. The **Public Assistance Branch** is responsible to:

- Meet the needs of all eligible applicants for the repair/replacement of disaster-damaged public infrastructure, such as roads, bridges and other public property.
- Serve as the direct contact between the Federal Emergency Management Agency and applicants.
- Work to make reimbursement available to all public organizations and communities meeting requirements.
- Provide trained grant managers to manage payment of disaster recovery assistance to eligible subgrantees.
- Provide direct assistance and customer service to state, local, and tribal governments, and eligible private non-profit agencies related to project payments, programmatic policy questions, eligibility determinations, infrastructure repair, etc.
- Review contracts, invoices, and labor/equipment records to submit for payment of the grants.
- Ensure that projects are completed and closed in accordance with all federal and state regulations.

2. The **Hazard Mitigation Branch** is responsible to:
  - Oversee development and implementation of hazard mitigation efforts statewide in cooperation with Federal, state and local government partners.
  - Provide customer service, technical assistance and administration of Federal mitigation grant programs including:
    - Hazard Mitigation Grant Program (HMGP)
    - Pre-Disaster Mitigation (PDM) program
    - Flood Mitigation Assistance (FMA) program
    - Severe Repetitive Loss (SRL) program
    - Repetitive Flood Claims (RFC) program
  - Administer state mitigation grant programs when funds are appropriated by NC General Assembly.
  - Develop and maintain the State Hazard Mitigation (322) Plan.
  - Provide technical assistance, technical review and training to local governments and other stakeholders engaged in the development of local mitigation plans.
  
3. The **Individual Assistance Branch** is responsible to:
  - Ensure all North Carolina individuals and families have access to the full range of State and Federal programs made available in the aftermath of a disaster.
  - Develop and maintaining programs, policies, and partnerships to administer human service programs.
  - Encourage all citizens affected by the disaster to take part in their own recovery process.
  - Conduct high-quality inspections of disaster damaged dwellings as the basis for determining the kinds and amounts of assistance to be provided to individuals and families.
  - Provides processing services at Disaster Recovery Centers.
  - Process disaster applications which, when approved, would result in assistance to individuals as quickly as possible.
  - Ensure proper stewardship of federal funds.
  - Continuously evaluate program and system effectiveness on the basis of feedback from SERT partners, disaster victims, the community and local government to improve service delivery.

G. The **Geospatial and Technology Management (GTM) Section** plans, implements, and manages the efficient and effective acquisition, management, use, and dissemination of geospatial data, information, and information technology. GTM's primary mission is to accomplish the goal of a "prepared and resilient North Carolina from all hazards and threats". GTM works towards improving the preparedness, incident command, response and recovery of North Carolina's homeland security, law enforcement, and emergency management policy makers and practitioners from hazards and threats. The GTM Section provides three broad critical service functions that support local, state and federal homeland security, emergency management, and law enforcement efforts. These functions are: (1) identification, monitoring, and mapping of vulnerability and consequences from hazards and threats on key infrastructure and key resources, (2) establishment and maintenance of key data exchange and information technology infrastructure and applications for the efficient exchange of communication and data, and (3) management of data acquisition, dissemination, maintenance, and exchange between local, state and federal partners. GTM consists of four branches:

1. The **Information Technology Branch** is responsible to provide management and support of NCEM information technology resources, including:

- Applications.
- Servers.
- Personal computers
- Networks.
- Voice communication technology (telephones, radios, cellular, and satellite).
- Information technology security.

2. The **GIS Data and Manipulation Branch** is responsible to:

- Collect, maintain, distribute, and update all GIS data related to Emergency Management.
  - This includes data either collected from other agencies or created through GTM's responsibilities.
  - Layers that are critical to Emergency Management include but not limited to roads, critical infrastructure, imagery, elevation data, storm information, socio-economic information, and agricultural information.
- Work closely with other agencies to provide current data as quickly as possible.

3. The **Flood Warning Branch** is responsible to:

- Improve the flood information and flood forecasting system for North Carolina.
- Reduce the loss of life and flood-related property damage by providing emergency managers and the public with more timely, detailed, and accurate information.
- Produce (through the North Carolina Flood Inundation Mapping and Alert Network (FIMAN)) maps in real time that depict areas of inundation.
- Produce flood forecast maps that show areas that are expected to become inundated hours and days into the future.
- Base inundation maps on the best available elevation and engineering data and methods developed through the NC Floodplain Mapping Program.
- Use consistent modeling techniques and tap common GIS base data layers.
- Use real time data from US Geological Survey (USGS) stream gages, including new gages funded by the project.
- Integrates products of the National Weather Service river forecasting system.

4. The **Floodplain Mapping Branch** is responsible to:

- Develop and maintain flood hazard data through a Cooperative Technical Partnership with FEMA. This involves:
  - Acquisition of high-resolution topographic data and development of accurate Digital Elevation Models (DEMs).
  - Development of up-to-date, accurate flood hazard data and floodplain mapping.
  - Production of seamless digital FIRM coverage statewide.
  - Digital FIRMs will be produced on a statewide basis where all counties and incorporated communities are seamlessly shown across one set of state maps.
  - Digital Orthophoto Quadrangles (DOQs), produced in partnership by the State of North Carolina and the U.S. Geological Survey (USGS), will be used as the primary base map. In areas where there is a locally produced base map that is more current or accurate than the DOQs, the locally developed map may be used to supplement or in place of the DOQs as the base.
  - Flood Elevations on the DFIRMs will be converted to the North American Vertical Datum of 1988 (NAVD 88).

- Operate a state-of-the-art, dynamic Floodplain Mapping Information System (FMIS) to analyze, maintain, and archive maps and associated flood hazard data. The FMIS serves to present and distribute the mapping data and associated reports to the public via the Internet without the user needing to have sophisticated Geographic Information System (GIS) software.
- Provide a real-time flood forecasting and inundation mapping capability. The North Carolina Flood Warning System is currently being piloted in the Tar-Pamlico and Neuse River Basins.

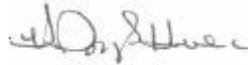
IV. Attachment: NCEM Organizational Chart.

V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination.

Operations silence Logistics silence Recovery silence GTM silence Plans silence

Approved:

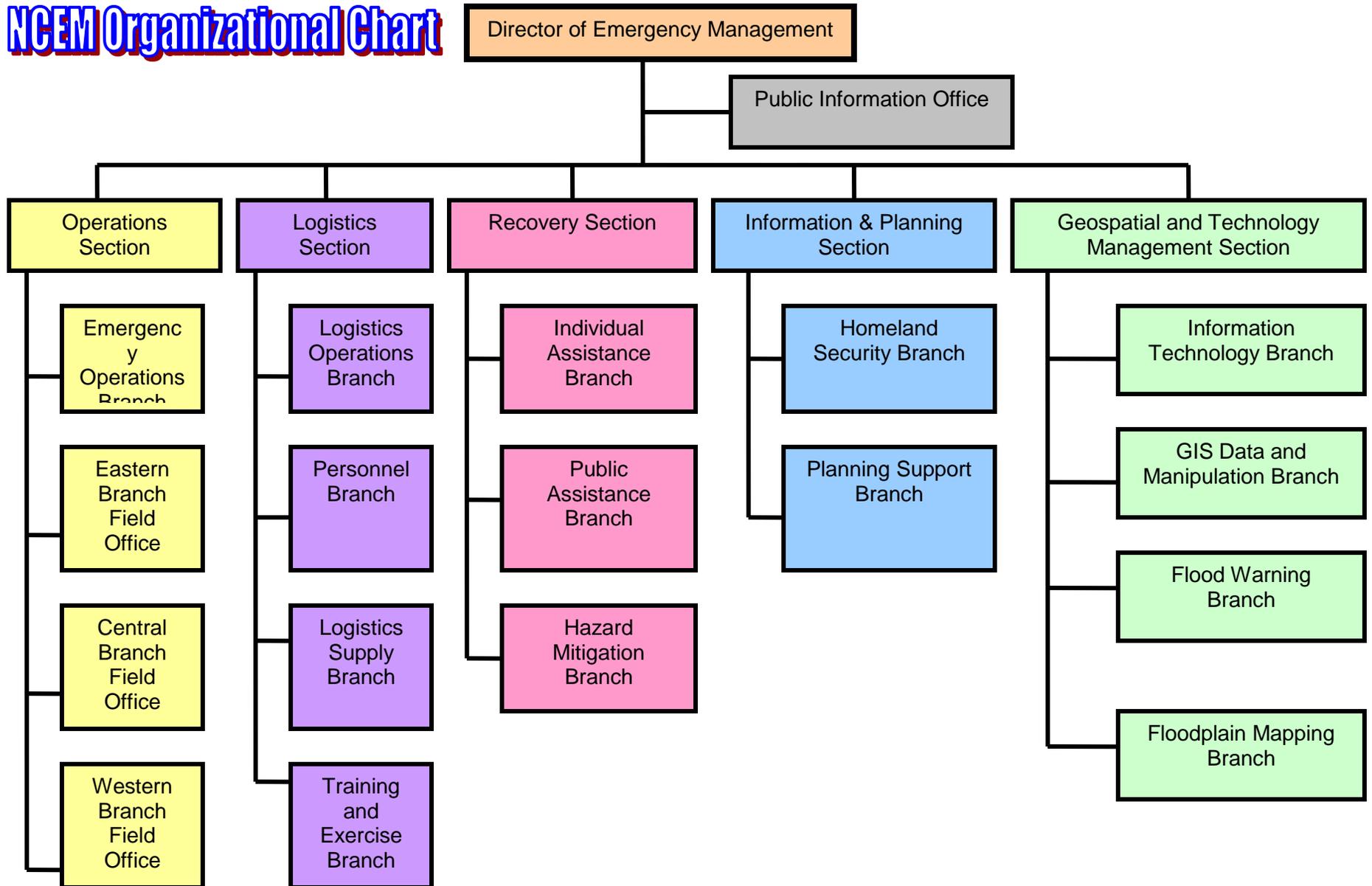


H. Douglas Hoell, Jr.  
Director

27 April 2009

This page is intentionally left blank.

# NCEM Organizational Chart



North Carolina Emergency Management Division Directive 100-03  
**Division Safety and Health Program**

I. Purpose.

The North Carolina Division of Emergency Management (NCEM) is vitally concerned about the safety, health and welfare of its employees. The purpose of this directive is to formalize the commitment of the NCEM to safety, health and employee protection. This directive will establish uniform safety practices and formal emergency procedures while standardizing safety and health policy throughout the Division, the NCEM operated branch offices, and employees.

II. Policy.

The policy of the NCEM is to provide a safe and healthy working environment for our employees, associates and visiting public. The components of this directive intend to comply with the requirements set forth in North Carolina Occupational Safety and Health Act (NCOSHA). Compliance with the rules and procedures outlined in the Division Safety and Health Program directive shall be consistent and mandatory throughout the Division.

III. References.

- A. FEMA; [FEMA: Get Disaster Information](#)
- B. NC State Employees Safety and Health Manual; [State Employee's Safety And Health Handbook](#)
- C. NC CC & PS Safety and Health Manual
- D. NC Motor Fleet Management Regulations Manual;  
<http://www.ncmotorfleet.com/documents/mfmregs.pdf>

IV. Responsibilities. The Division recognizes that workplace safety and health is beneficial to all employees, their families, and the overall mission of the NCEM. Therefore, all employees share responsibility for maintaining a safe and healthy workplace. Although it is the duty of management to implement the Division Safety and Health Program and provide a safe working environment which protects employees from occupational or other hazards which they may encounter, it is duty of the employee to work safely for the benefit of the individual as well as co-workers.

A. Division Director

- 1. Appoints the Division Safety Officer.
- 2. The Director or Assistant Director will assure that managers and supervisors are trained and prepared for the administrative aspect of their position as it relates to the Program.
- 3. The Director or Assistant Director is responsible for providing the equipment and training necessary for implementing the Division Safety and Health Program.

4. Any injuries resulting in lost work time, hospitalization, or medical treatment in excess of first aid will be investigated by the Department Safety and Health Director, or his designee, for purposes of determining the circumstances surrounding the injury, the possible need for corrective action and the compensability of the reported injury under the terms of the North Carolina Worker's Compensation Act. The general provisions of the Act, and rights and duties of the employee, can be accessed through the NC [Workers' Compensation Workbook](#).
5. A single accident resulting in the injury or illness of three or more employees, or the death of an employee, must be reported within 24 hours to the Office of State Personnel Employee Safety and Health Division **(919) 733-5837**.
6. If a single on-the-job accident results in injury or illness of four or more employees, or the death of an employee, it must also be reported to the NC Department of Labor, OSHA Division within 48 hours. **During working hours (8 a.m. to 5 p.m.) call (919) 807-2796 or 1-800-625-2267. After working hours (5 p.m. to 8 a.m., weekends or holidays, call State Capital Police at (919) 733-4646.**

#### B. Managers and Supervisors

1. Each supervisor is responsible for providing a safe working conditions for each subordinate, knowing the health and safety guidelines, reporting and investigating accidents and advising management of any unsafe work environment or condition. The accident investigation will be reported to their immediate or district supervisor.
2. Managers and supervisors are expected to actively implement the Division Safety and Health Program and enforce applicable safety and health regulations.
3. Managers and supervisors will be accountable for preventable work-related injuries or illnesses.
4. All supervisors are responsible for the training their subordinates on safe operation of equipment and communicating safety and health related policies and procedures.
5. All managers and supervisors are required to report employee work related injuries and accidents within 24 hours. Detailed instructions and forms for reporting incidents can be found on the [NC Department of Crime Control and Public Safety](#) web site.
6. Managers and supervisors are expected to identify, analyze and control any new or existing hazards, conditions and operations.
7. No manager or supervisor is to retaliate in any way against an employee who has made a complaint concerning a safety or health problem. Managers and supervisors will follow steps outlined in the CCPS Safety and Health Manual for employee unsafe working condition complaints.

### C. Facility Managers

1. All employees in leadership positions, including facility managers, are responsible for the training their subordinates on safe operation of equipment and communicating safety and health related rules, policies, procedures and good practices.
2. Facility managers are responsible for developing an Emergency Action Plan (EAP) for their facility which will include emergency evacuation procedures. A sample EAP and template can be found at <R:\Logistics\Policy and Procedures\NCEM Facility Emergency Action Plan.doc>. Evacuation plans and procedures should contain the minimum detail outlined in the CCPS Safety and Health Manual. Facility managers should ensure that emergency contact numbers are conspicuously posted near all fixed telephones. The following phone numbers should be posted along with brief reporting instructions.
  - a. Facility phone number for reporting a general emergency
  - b. Medical emergency, ambulance or rescue
  - c. Fire
  - d. Police
  - e. Poison Control Center
  - f. CCPS Safety and Health Director
  - g. Workers Compensation Administrator
3. Facility managers will assure that proper safety equipment and fire protective equipment is readily available, operable and known to all persons in the area.
4. Facility managers will ensure that all employees comply with all posted safety rules and regulations, including wearing personal protective equipment and clothing.
5. All employees, escorted visitors and contractors shall be informed of hazards before entering a designated hazardous, caution, or restricted area and shall use required personal protective equipment and adhere to the safety and health procedures immediately upon access to the area.
6. Facility managers will conduct a Bi-Annual Building Inspection and Safety Committee Report, and submit the results on CCPS Form 64 (**Attachment 1**), through their supervisor to the Division Safety Officer. Hazards and unsafe conditions identified during a safety and health inspection or other regulatory agencies will be posted on the bulletin board. CCPS form 64 can be found on-line at <http://www.nccrimecontrol.org/div/admin/hr%20web%20forms/Building%20Inspection%20CCPS-64.doc>

7. Facility managers are responsible for identifying and mitigating potential traffic hazards. Unsafe tools, materials or equipment shall be tagged, locked out or removed from the workplace to prevent their use.
8. Facility managers serve as chairperson of their Facility Safety and Health Committee.

D. Employees.

1. Each employee is responsible for conducting his or her own work in a safe manner to protect their self, fellow employees and the public. Each employee is required to complete the CCPS Safety Orientation Acknowledgements of Understanding (**Attachment 2**). <http://www.nccrimecontrol.org/emp/2005AcknowledgementForm.doc>
2. Employees are expected to comply with the Division Safety and Health Program Directive and all posted safety regulations and procedures.
3. Employees are required to immediately report any accident involving work related injury, illness or near-miss to their supervisor. Employees should also report any work-related injury witnessed to other employees or facility visitors.
4. Employees witnessing a fire or other emergency that requires evacuation should immediately pull the fire alarm and dial 911 at the earliest and safest opportunity. Employees are required to report all work-related fires or accidents, unusual incidents or property damage to their supervisor.
5. When calling an emergency to 911, employees should follow these procedures
  - a. State the type of emergency: Fire, Medical, Chemical, Bomb Threat
  - b. Give the specific location of the fire or incident, your name and indicate if you know there are persons with disabilities who may need assistance.
6. Employees are required to wear personal protective equipment when engaged in hazardous activities and wear issued work attire while on duty.
7. Employees should not operate equipment or machinery which they have not been trained, are unfamiliar with or lack required certification.
8. Employees are required to know facility emergency plans and procedures, including evacuation procedures, for your work area. Employees may be required to participate in emergency exercises and drills.
9. Employees should embrace the values of the Division Safety and Health Program and actively participate by indentifying and reporting workplace hazards, alerting the supervisor about any safety concerns, unsafe conditions, defective equipment, and provide feedback on the success or suggested improvements of the Program.

10. Employees are expected to conduct a daily inspection of their own work area and to immediately notify their supervisor, facility manager, Safety Officer, or Safety and Health Committee representative of any unsafe condition in the work place without fear of retaliation or discrimination. If no action has been taken, employees are encouraged to notify the Departmental Safety and Health Director at **(919) 733-4080**.
11. Employees that must break the security seal to discharge fire extinguishers or use first aid kits are required to report the event to their supervisor.

#### E. Division Safety Officer

1. The Safety Officer will implement the Division safety directive and act as the Division representative for safety and health policy affairs.
2. The Safety Officer will be responsible for ensuring widespread dissemination of health safety information to the Division.
3. The Safety Officer will serve as chairperson for the health and safety committee and report committee activities to the Director.
4. The Safety Officer will report to the Director on all matters pertaining to Division Safety and Health Program.

#### F. Division Safety and Health Committee

1. The health and safety committee will be created and comprised of elected or appointed representatives from the Division sections to include branch employee representation. The Committee should reflect the unique organizational structure and geographic diversity of the Division.
2. The Committee will review health and safety policies and analyze work-related injury or safety incidents and illness statistical records in an effort to reduce illness or work related injuries resulting from accidents.
3. The Committee will review employee complaints regarding safety and health hazards.
4. The Committee will meet every six months (June and December) to discuss the Division Safety and Health Program effectiveness, compliance issues and recommend changes to enhance the program.
5. The Committee will provide insight into safety planning and training.
6. The Committee will consult the appropriate subject matter experts when developing Division workplace safety rules or employee health guidance.
7. The Committee will produce a semi-annual report for the Department Safety and Health Director indicating an overall assessment of the safety program.
8. The Committee will schedule training drills for each facility at least once a year and review each facility evacuation plans annually.

G. Facility Safety Committee

1. Each facility or site will have a health and safety committee comprised of elected, volunteer or appointed representatives from each section.
2. The facility manger or the site supervisor will serve as chairperson for the committee and will report committee activities to the Division Safety Officer.
3. The committee will meet regularly to discuss the Division Safety and Health Program's effectiveness, Program compliance issues and evaluate employee complaints or recommendations.
4. The committee will conduct training drills at least once a year and all the building evacuations will be documented. The committee will also review the facility evacuation plans annually or whenever changes in the building affect exit routes.

V. Procedures.

A. Reporting of Job Related Injuries of Illnesses.

1. Employees must notify their supervisors immediately of any job related injury or illness.
2. Supervisors shall ensure that sick or injured employee receives prompt medical treatment or evacuation to a emergency medical care facility if necessary. In the event of life threatening injuries or illness to an employee requiring immediate emergency medical treatment, the employee shall be transported by an emergency medical service agency to the appropriate emergency medical care facility or trauma center. If necessary, the supervisor or designee will accompany the injured employee to the treatment facility. Severely injured employees are not to be sent unescorted to seek medical attention.
  - a. The employee should complete CCPS Form 18, Notice of Accident to Employer and Claim of Employee, Representative, or Dependent (**Attachment 3**).  
[http://www.nccrimecontrol.org/emp/form\\_18.doc](http://www.nccrimecontrol.org/emp/form_18.doc)
  - b. The supervisor will complete the appropriate CCPS Form 19, Worker's Compensation Form (**Attachment 4**).  
<http://www.nccrimecontrol.org/emp/benefits%20and%20safety%20forms/Form19.doc> The supervisor will also notify the NCEM Director and Department Safety and Health Director via E-mail with a summary of the incident.
  - c. All reports of job related accidents, illnesses, incidents, vehicle accidents or death require immediately completing CCPS Form 188, Supervisors Accident Investigation Report (**Attachment 5**). This form is to be completed in addition to the Workers Compensation Report of Injury.  
[http://www.nccrimecontrol.org/HR/docs/ccps\\_188.doc](http://www.nccrimecontrol.org/HR/docs/ccps_188.doc)

- d. Request for Special Investigation. The Occupational Safety and Health Act of North Carolina makes provisions for employees to request an inspection of conditions which they believe may constitute a health or safety hazard. Employees are encouraged to report such conditions to their supervisor. If no corrective action is taken, such conditions should be reported directly to Department Safety and Health Director and request a "Special Investigation" at (919) 733-4080. Persons requesting a Special Investigation may request confidentiality, and by law their name will not appear on any record published, released or made public to their immediate supervisor or division head.
3. All identified hazards will be looked into immediately by the employee, a supervisor and the Divisional Safety and Health Committee. The Safety and Health Committee will work through the chain of command and the Safety Officer to ensure the timely correction and interim controls of identified hazards.

#### B. Vehicle safety

1. State owned vehicles shall be driven by State employees possessing a valid driver's license with appropriate endorsements and used for official State business only. Division employees operating State owned vehicles will comply with all Motor Fleet Management (MFM) Division Regulations and NCEM Division Directive 100-35 "State Vehicles". MFM Regulations and form instructions can be accessed at the MFM web site. <http://www.ncmotorfleet.com/documents/mfmregs.pdf>.
  - a. It is the responsibility of the individual driver to observe all state motor vehicle laws and ordinances including the wearing of seat belts whenever the vehicle is in motion. All violations and fines shall be the responsibility of the driver or agency. Abuse of motor vehicle laws and ordinances may result in denial of the use of a MFM-owned vehicle.
  - b. Under no circumstances may a state employee operate a state-owned vehicle while under the influence of intoxicating beverages, drugs or substances, or transport these items in a state-owned vehicle.
  - c. It is the responsibility of the vehicle operator to ensure the safe operating condition of the vehicle, including essential safety equipment, before starting the vehicle for each trip and to report vehicle defects and maintenance needs in writing to their supervisor, fleet or pool manager, or rental agent.
  - d. In the event of a vehicle fire, the operator is to pull over and stop the vehicle. The employee should immediately evacuate the vehicle and call for help unless he/she feels trained and qualified to extinguish the fire using the vehicle fire extinguisher.
  - e. Drivers of vehicles on permanent assignment, who drive during adverse weather conditions, are cautioned to take extreme care and employ safety measures to ensure the safety of driver and passengers. Drivers are required to turn on headlights while driving during inclement weather and are required by State law to turn on headlights when operating windshield wipers.

- f. Always seek well lighted parking areas and avoid high risk parking areas. Always set the parking brake when parking and remove the keys and lock the vehicle. Do not leave the parked vehicle running when not attended.
- g. When responding to emergencies, do not operate a vehicle in a manner that is considered unlawful, unsafe or creates conditions that may endanger you, your passengers, other vehicles, pedestrians or property.
- h. Hitchhikers are not allowed to ride in any state-owned vehicle.

2. Vehicle Accident Reporting Procedure.

- a. All accidents involving Motor Fleet vehicles or other property damage, regardless of amount of damage, must be reported to Motor Fleet Management immediately by calling the **1-800-277-8181** number in the upper left corner of the windshield or **733-4043** (in Raleigh calling area). Information which should be obtained from the other driver involved in the accident is: name, address, telephone number, license plate number, insurance company and policy number. The Accident Reporting Form, FM-16 (**Attachment 6**), must be completed and forwarded, through the individual's supervisor, to Motor Fleet Management. Accidents involving Division owned vehicles will be reported, using the same forms, to the Division Safety Officer. Accident forms are located in the vehicle logbook. Motor Fleet Management form FM-16 can be access on-line at; <http://www.ncmotorfleet.com/documents/fm-16.pdf>.
- b. The individual involved in an accident must notify his/her supervisor, as soon as possible via phone call that he/she has been involved in an accident. As soon as possible after notification, the supervisor must send an email (which answers the five "W's" about the accident) to their senior staff member, with information copies to the Deputy Director and Director.

C. General Health and Safety Rules

- 1. Asbestos. Asbestos may be contained in materials such as adhesives, ceiling areas, duct work, flooring, floor tiles, insulation, piping and vented enclosures. An employee shall not remove or disturb asbestos, or material suspected of containing asbestos.
- 2. Confined Space
  - a. OSHA defines a confined space as a space that is large enough for an employee to enter or break the plane of entry, has restricted means of entry or exit, has unfavorable natural ventilation and is not designed for continuous employee occupancy. Examples of confined spaces include, but are not limited to:
    - (1) Manholes
    - (2) Sewers
    - (3) Tanks
    - (4) Tunnels and trenches
    - (5) Vaults or silos

- b. Entry into confined space can be extremely dangerous. Do not enter a confined space or break the plane of entry with any part of your body if you are not trained in and have fully implemented the confined space entry procedure.
- c. OSHA estimates that almost sixty six percent (66%) of the deaths in confined spaces each year result from people attempting rescue. Definitions and regulations governing entry into confined spaces are specified by OSHA 29CFR, 1910.146 and can be accessed at; [Permit-required confined spaces - 1910.146](#)

### 3. Electrical Safety

- a. Employees whose jobs require them to work on or near exposed energized parts are required to be trained in electrical-related safety practices that pertain to their respective job assignments.
- b. Extension cords used with portable electric tools and appliances shall be three-wire grounded type and be protected by Ground Fault Circuit Interrupters (GFCI).
- c. Keep working spaces, walkways and similar locations clear of cords so as not to create a hazard to employees.
- d. Worn, frayed or damaged electric cords or connectors shall not be used and shall be tagged Danger, Out of Service, Do Not Use.
- e. Extension cords shall be protected from accidental damage which may be caused by traffic, sharp corners, or projections, pinching in doors or elsewhere. Extension cords are considered temporary wiring by the National Electrical Code, which limits their use to a maximum of 90 days.
- f. Ground Fault Circuit Interrupters (GFCI) shall be used on power circuits serving outlets in damp, wet or outdoor locations and in any other areas where people using electrical equipment may become grounded.
- g. Temporary Wiring and Lighting; All receptacle outlets at construction site that are not a part of the permanent wiring of the building or structure shall have approved ground-fault circuit interrupters. These outlets shall comply with the National Electrical Code (NEC) and NC-OSHA requirements. Temporary wiring shall be de-energized when not in use. Temporary lights shall be equipped with guards to prevent accidental contact with the bulb. Temporary lights shall not be suspended by their electric cord unless cord and lights are designed for this means of suspension.
- h. Lockout is the process of blocking the flow of energy from a power source to a machine or piece of energy from a power source to machine a piece of equipment and keeping it blocked out. All employees who will be working on equipment where the unexpected energizing, start-up or release of hazardous energy could cause injury shall follow a Lockout/Tag-out (LO/TO) procedure that follows the NCOSHA 29 CFR 1910.147.

#### 4. Safe Lifting

- a. Get proper exercise, maintain a good diet and manage stress. To reduce strain on lower back, build up leg and abdominal muscles and keep off excess weight. Swimming and walking are good exercises for people with back problems.
- b. Do not place objects on the floor if they must be picked up again later. Use a mechanical device, if possible, and inspect the device before use. If the object is too heavy, large, or awkward, get help.
- c. Avoid lifting above your shoulder height. Use a ladder or step stool to move objects at these heights.
- d. Push rather than pull an object. While pushing, maintain your lumbar curve and push with your legs.
- e. Always wear slip-resistant shoes and check to ensure footing is firm.
- f. Check the path before lifting and/or moving the load so you know where to put the load and to ensure the path is clear and well-lighted.
- g. Bend at your knees instead of at your waist and maintain your lumbar curve at all times. Hold the object you are lifting as close to your body as possible. Avoid a long reach to pick up an object.
- h. Lift slowly, smoothly and without jerking. Avoid unnecessary twisting. Spread your feet apart to keep a wide base of support. Turn your feet, not your hips or shoulders. Leave enough room to shift your feet so as not to have to twist.
- i. Take your time and use the same techniques when setting down the object.
- j. Report work-related back pain to your supervisor.

#### 5. Falls

- a. Falls can be prevented, always use handrails when using stairs.
- b. Use caution when walking on surfaces which contain ice, snow, rock, oil, water or other adverse or unstable material or condition.
- c. Immediately clean up spills.
- d. Prevent fall hazards by keeping stairs, walkways, aisles and work areas clear of boxes, loose materials, wires and other objects.
- e. Select shoes for comfort and safety that are compatible with your work environment.
- f. Use a ladder instead of standing or climbing on a desk, chair, or other unstable surface to reach for an object.

## 6. Fire Prevention

- a. Familiarize yourself with the location of fire equipment and alarms. Know the emergency plan for your work area
- b. Obey all rules regulations and signs for fire safety including those controlling smoking, open flames and handling flammable liquids or other hazardous equipment.
- c. Practice good housekeeping and fire prevention including the storage of flammable liquids in approved containers and keeping fire fighting equipment unobstructed.
- d. If you use a fire extinguisher or other fire equipment, notify your supervisor at once.
- e. If your clothing catches on fire, smother the flame by rolling on the ground. Never run, as this could cause the flames to spread.
- f. Do not use oil or grease on any oxygen equipment such as cylinders. Oxygen under pressure unites with oil and grease with explosive violence.

## 7. First Aid

- a. Never minimize the seriousness of an injury or illness. In doubt, seek medical attention. In the event of an emergency, immediately call for emergency services.
- b. Do not attempt to render first aid unless you know what you are doing; otherwise, injuries may be aggravated.
- c. Universal precautions must be implemented by the first aid provider to protect against infectious disease. If employees are not designated as a first aid responder, but choose to give aid to another employee or visitor and have an exposure to blood or other potentially infectious body fluid or tissue, they should immediately notify their supervisor. Employees and supervisors are required to document the exposure on CCPS Form 187, Body Fluid Exposure (**Attachment 7**), and forward to the Safety and Health Director of the Department of Crime Control and Public Safety (919) 733-4080. CCPS Form 187, Body Fluid Exposure can be accessed at; [http://www.nccrimecontrol.org/HR/docs/ccps\\_187.doc](http://www.nccrimecontrol.org/HR/docs/ccps_187.doc)

## 8. Housekeeping and Sanitation

- a. Keep your work area clean and material properly stored; keep walkways and floor areas clear of slip, trip and fall hazards.
- b. Place all waste and debris in designated containers for proper disposal.
- c. Do not litter. Properly dispose of refuse in suitable waste containers or recycle whenever possible.
- d. Clean up all water or beverage spills.

- e. If hazardous chemical spills are identified, barricade the spill area and notify the Safety and Health Director or designated person for clean up.
- f. Store oily waste or rags and other flammable waste in approved safety containers that have lids.
- g. Maintain three (3) feet clearance from all electrical panels, 150 volts or less. Do not store materials in or near switch boxes, switchboards, in mechanical equipment rooms, attics, and telephone switch gear rooms.
- h. Do not block or obstruct exit routes.
- i. Do not obstruct access to fixed ladders, stairways, electrical switches, fire fighting, rescue or any emergency equipment.
- j. Keep tools stored neatly in designated area and materials securely racked or stored.
- k. Wash your hands before eating.

#### D. Hazard Communication Program

1. Chemical manufactures, distributors and importers must convey the hazard information to employers by means of labels on containers and Material Handling Data Sheets (MSDS) OSHA Form 174 ([Attachment 8](#)). The OSHA Hazard Communication Standard requires employers to provide employees with information concerning the hazards associated with the chemicals in their workplace through a Hazard Communication Program. This program ensures that all employers receive the information they need to inform and train employees properly and to design and implement employee protection programs. The Hazard Communication Program complies with the enforcement guidelines for the Hazardous Chemical Right to Know Act, NC DOL, Division of Occupational Safety and Health Operational Procedure Notice 107A. Hazardous chemicals can be divided into two groups; Physical hazards & Health hazards.
  - a. Physical hazardous chemicals include combustible, flammable, explosive and pressurized.
  - b. Health hazardous chemicals include toxic, carcinogenic, corrosive, irritant, or sensitizer.
2. The following steps will be followed to implement a Hazard Communication Program.
  - a. The facility manager will maintain a master inventory list of hazardous chemicals used at the facility or subdivision in their area of responsibility.

- b. MSDSs are delivered with every hazardous chemical and provide specific information about physical and chemical properties, the physical and health hazards, safe handling precautions, spill clean-up procedures and emergency and first aid procedures. The MSDS on each hazardous substance on the inventory list should be stored in an easily accessible binder. An example of a completed MSDS is located at [Attachment 9](#). Blank MSDS can be accessed and completed at this link <http://www.uschamber.com/sb/business/tools/downloads/osha174.rtf>.
- c. The facility manager will ensure that all hazardous chemicals are properly labeled and updated with a description of the chemical, appropriate warning, and the name and address of the chemical manufacturer, importer or other responsible party. Warning signs are to be displayed in areas where there may be airborne hazardous chemicals.
- d. The facility manager will conduct regular inspections to ensure the master inventory list is accurate, that containers are accurately labeled and their facility is in overall compliance with the Hazard Communication Program.
- e. Employees whose duties regularly include the use or exposure to hazardous chemicals are required to receive training on the safe use of those chemicals and the Hazard Communication Program. This training is to be documented and provided at the time of initial employment and before a new hazard is introduced in the workplace. A copy of the training record is to be forwarded to the Department Safety and Health Director. Hazardous chemical safety training is to include the following essential information:
  - (1) Interpreting information on labels and Material Safety Data Sheets.
  - (2) Location of hazardous materials in the workplace
  - (3) Location and availability of material safety data sheets
  - (4) Acute and chronic effects of chemicals
  - (5) Safe handling procedures
  - (6) Personal protective equipment
  - (7) Methods used to detect leaks and releases
  - (8) Emergency procedures and how to obtain First Aid
  - (9) Spill clean-up and waste disposal
- f. Other contaminants may be ingested, absorbed through the skin or through breathing which may cause immediate or long term health hazards include:
  - (1) Dust-Asbestos, lead, silica, wood dusts
  - (2) Mists-Acid, oil, paint, poisons
  - (3) Gases-Carbon monoxide, waste anesthetic gases
  - (4) Vapors-Degreasing vapors, trichloroethylene
  - (5) Fumes-Metal fumes from welding, cutting and soldering
- g. If you are concerned that a potential health hazard may exist, contact your supervisor or the Safety and Health Director so that an evaluation can be made and appropriate action can be taken to protect all employees.
- h. A sample Hazard Communication Program can be found at the NCDOL. <http://www.nclabor.com/osha/consult/sampleprograms/HAZCOM.pdf>

E. Emergency Evacuation Procedures.

1. Immediately respond to an order or alarm to evacuate and escort any visitors with you. Follow the posted evacuation diagram when practical or evacuate by the nearest exit unless blocked by fire or smoke and comply with the facilities Emergency Action Plan.
2. Remain calm, do not panic or run, do not use elevators, always use stairwells.
3. Pre-designated persons will assist employees or visitors with disabilities and remain with them until the "all clear" signal has been passed
4. Supervisors shall verify that all persons are evacuated from their areas, including nearby restrooms, activity areas or classrooms.
5. Report to your designated meeting area outside the building immediately and your supervisor for accountability.
6. Employees and visitors will meet in the designated meeting area for a head count by the supervisor and stand by for additional instructions.
7. No one should re-enter the building until given the "all clear" by the incident commander (Fire Chief), the building Safety Officer, or Safety Committee Chairman.
8. The Safety Officer, Safety Committee Chairman or Supervisor must document every incident or building evacuation.
9. Employees must know the location of exits and be sure you know at least two ways out of the building no matter where you are located.

F. Bomb or Explosive Threat.

1. The person who first observes any indication of a bomb threat or receives any communicated warning of a bomb threat will immediately call 911 and report the incident to law enforcement authorities.
2. The person receiving the bomb threat call initiates the bomb threat procedures in the Emergency Action Plan by alerting the closest available person to spread the evacuation order. Upon order, everyone will evacuate the building in accordance with general evacuation procedures.

3. The call taker will try to get the caller to answer the following questions:
  - a. When is the bomb going to explode?
  - b. Where is it right now?
  - c. What does it look like?
  - d. What kind of bomb is it?
  - e. What will cause it to explode?
  - f. Did you place the bomb?
  - g. Why did you place the bomb?
  - h. What is your address?
  - i. What is your name?
4. The decision to reenter the building must be approved by the appropriate law enforcement official.

#### G. Security and Workplace Violence

1. Facility security is the responsibility of all Division employees. Vigilance, common sense and good practices are required for sound facility security. The following procedures are required:
  - a. Entrances and exits should be locked after regular business hours.
  - b. Employees leaving the building after the doors have been secured should ensure that the doors are locked when they leave, even when other employees are still working at the facility.
  - c. Employees should keep their valuables and purses out of sight and locked up in a desk or file cabinet.
  - d. All theft should be reported to the police as soon as possible.
  - e. Suspicious or strange persons should be asked for who they are looking. If the person they are visiting is an employee, the visitor should be escorted to the desired office. Do not leave the visitor alone in an office area.
  - f. If you are suspicious of an individual, contact your supervisor or notify local law enforcement officials.
2. The Division is committed to providing its employees a safe and healthy work environment free from work place violence. Security is the responsibility of all employees and all employees should be alert to the possibility of criminal acts, unusual incidents and threats of violence. All employees are encouraged to report suspected workplace violence or violations. The agency policy prohibits retaliation against any employee who, in good faith, reports a violation. Every effort will be made to protect the safety and anonymity of anyone who comes forward with concerns about a threat or act of violence.

- a. There are five categories of workplace violence, each having its own unique set of motivating factors. They include:
  - (1) Robbery and other commercial crimes
  - (2) Domestic and misdirected affection cases
  - (3) Employer-directed violence
  - (4) Situations involving law enforcement or security officers
  - (5) Terrorism
  
- b. Workplace violence includes but is not limited to:
  - (1) Intimidation
  - (2) Threats
  - (3) Physical attack
  - (4) Domestic violence
  - (5) Property damage
  
- c. Workplace violence may be acts of violence committed against State employees in the workplace by:
  - (1) State employees
  - (2) Clients and customers
  - (3) Relatives
  - (4) Acquaintances or strangers
  
- d. If you are a victim of workplace violence, which includes domestic violence, your agency will make every effort to provide support and reasonable security measures for you. You are encouraged to talk with your supervisor, Human Resources Office or you may call the State Employees Assistance Program at (919) 733-9545 or 1-800-543-7327 for confidential assistance.

#### H. Severe weather and other natural hazards

1. Tornadoes are nature's most violent storms and can be difficult to detect. Occasionally, tornadoes develop so rapidly that little advance warning is possible. When visible, a tornado appears as a rotating, funnel-shaped cloud that extends from a thunderstorm to the ground with whirling winds that can reach 300 miles per hour. Damage paths can be in excess of one mile and 50 miles long. Prepare for tornadoes by knowing the danger signs; dark often greenish sky, large hail, large dark low-lying cloud (sometimes rotating) or a loud roar similar to a freight train. Listen for tornado alerts on radio and know the tornado hazard terms;

**Tornado Watch;** tornadoes are possible, remain alert for approaching storms, watch the sky, stay tuned for weather alerts.

**Tornado Warning;** A tornado has been sighted or indicated by weather radar, take shelter immediately by following these procedures;

- a. If in a vehicle, get out immediately and go to the lowest floor of a sturdy building or storm shelter.

- b. If you are in a building, go to a pre-designated shelter, safe room, basement, storm cellar or the lowest building level. If there is no basement, go to the center of an interior room on the lowest level away from corners, windows, doors, and outside walls. Put as many walls as possible between you and the outside. Get under a sturdy table and use your arms to protect your head and neck. Do not open windows.
  - c. If you are outside without shelter lie flat in a nearby ditch or depression and cover your head with your hands. Do not get under a overpass or bridge, you are safer in a low, flat location. Never try to outrun a tornado in urban or congested areas in a car or truck. Instead, leave the vehicle immediately for safe shelter.
  - d. Watch out for flying debris. Flying debris from tornadoes causes most fatalities and injuries.
2. Earthquakes strike suddenly, violently and without warning at any time of day or night. Earth quakes may cause many deaths, injuries and property damage. Identifying potential hazards ahead of time and advance planning can mitigate the destructive effects of and earthquake.
- a. Inspect your facility for potential structural weaknesses; ceilings, foundations, fixtures, loose shelving and unsecured heavy items. Most earthquake-related casualties result from collapsing walls, flying glass and falling objects.
  - b. Identify a safe room or area inside away from where glass could shatter or heavy items could fall on you. Drop to the ground or crouch in an inside corner of the building and take cover and hold on until the shaking stops. Cover your face and head with your arms.
  - c. If you are outdoors stay away from buildings, trees, telephone and electrical lines, overpasses or elevated expressways. Stay outdoors and do not try to enter buildings, many injuries and fatalities are the result of debris falling from buildings or collapsing walls.
  - d. If in a moving vehicle, stop as quickly as safety permits and stay in the vehicle. Avoid stopping near or under buildings, trees, overpasses and utility wires. Proceed cautiously once the earthquake has stopped and avoid damaged roads, bridges or ramps.
  - e. If you become trapped under debris do not light a match, move about or kick up dust. Cover your mouth with a handkerchief or clothing and tap on a pipe or wall to signal rescuers. Shout as a last resort.

3. Winter storms can include freezing rain, sleet, and snow along with extremely cold temperatures. These elements by themselves or in combination can create serious health and safety hazards and quickly degrade road conditions. Listen to winter storm alerts on the radio and know winter storm terms.

**Winter storm watch;** a winter storm is possible in your area, monitor NOAA Weather Radio, commercial radio or television for more information.

**Winter storm warning;** a winter storm is occurring and will soon occur in your area.

**Sleet** is rain that turns to ice pellets before reaching the ground. Sleet also causes moisture on roads to freeze and become slippery.

**Freezing rain** is rain that freezes when it hits the ground, creating a coating of ice on roads, walkways, trees, and power lines.

**Blizzards** are snow storms that reduce visibility to less than a quarter of a mile with strong sustained or gusting winds (generally 35 MPH or greater).

a. If you are outdoors:

- (1) Protect your lungs from extremely cold air by covering your mouth when outdoors.
- (2) Keep dry. Change wet clothing frequently to prevent a loss of body heat. Wet clothing loses all of its insulating value and transmits heat rapidly.
- (3) Watch for signs of frostbite. These include loss of feeling and white or pale appearance in extremities such as fingers, toes, ear lobes, and the tip of the nose. If symptoms are detected, get medical help immediately.
- (4) Watch for signs of hypothermia. These include uncontrollable shivering, memory loss, disorientation, incoherence, slurred speech, drowsiness, and apparent exhaustion. If symptoms of hypothermia are detected:
  - (a) Get the victim to a warm location
  - (b) Remove wet clothing
  - (c) Put the person in dry clothing and wrap their entire body in a blanket
  - (d) Warm the center of the body first
  - (e) Give warm, non-alcoholic or non-caffeinated beverages if the victim is conscious
  - (f) Get medical help as soon as possible

b. If you are driving:

- (1) Drive only if it is absolutely necessary.
- (2) Travel during daytime and don't travel alone. Keep others informed of your schedule.
- (3) Stay on the main roads and avoid back roads or short cuts.

(4) If you become stranded, remain in your vehicle, run the engine and heater about 10 minutes each hour to stay warm (open window slightly and be alert to possible carbon monoxide poisoning), do not waste battery power, turn on inside light at night so work crews and rescuers can see you.

4. Floods are one of the most common hazards in the United States. Some floods develop slowly but flash floods can develop quickly in just a few minutes and without any sign of rain. Flash floods often have a dangerous wall of roaring water that carries rocks, mud and other debris. As in all natural hazards, listen to flood alerts and warnings on the radio.
  - a. Do not walk through moving water; six inches of moving water can make you fall. Use a stick to check the firmness of the ground in front of you.
  - b. Do not drive into flooded areas. If floodwaters rise around your car, abandon the car and move to higher ground.
  - c. Six inches of water can reach the bottom of most passenger cars causing loss of control and possible stalling, a foot of water will float many vehicles and two feet of water can carry away most vehicles.

VI. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

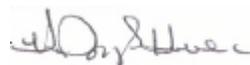
#### VII.9 Attachments.

- A. Attachment 1, Bi-Annual Building Inspection and Safety Report
- B. Attachment 2, CCPS Acknowledgements of Understanding
- C. Attachment 3, Notice of Accident to Employer and Claim of Employee, Representative or Dependent
- D. Attachment 4, Employer's Report of Employee's Injury or Occupational Disease to the Industrial Commission
- E. Attachment 5, Supervisor's Accident or Injury Investigation Report
- F. Attachment 6, Vehicle Accident Report
- G. Attachment 7, Body Fluid Exposure Form
- H. Attachment 8, Material Safety Data Sheet
- I. Attachment 9, Material Safety Data Sheet Example

#### VII. Coordination

Operations Silence Logistics Silence Recovery Silence GTM Silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

2 June 2008

(Date)

This page is intentionally left blank.

CCPS-64  
 Page 1  
 Rev. 8/06

NC Department of Crime Control and Public Safety  
**BI-ANNUAL BUILDING INSPECTION AND SAFETY  
 COMMITTEE REPORT**

Division:		Date:	
Building(s) Inspected:			
Location:		Troop / District:	

Committee Members (Check if Present)		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Conduct a building inspection following the guidelines below. Questions marked "No", which indicates a problem, should be listed in the Hazards Noted Section with Recommended Action.

Life Safety	Yes	No	N/A
1. Is the Emergency Evacuation Route and Action Plan posted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are all exits labeled and adequately visible?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Do fire extinguishers have tags indicating they have been visually inspected monthly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

General Office Safety	Yes	No	N/A
4. Are all means of egress free of obstructions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Is all office equipment and furnishings free from safety hazards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Are work areas kept clean and orderly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Are all machines and equipment properly secured to prevent injuries?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Are filing cabinets labeled with potential hazards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Are carts, dollies, etc. being used to transport heavy objects and boxes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Is there adequate walking space (approximately 28 inches) approaching exits?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Are all walking/working surfaces free of trip and fall hazards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Are step stools or ladders being used to reach high objects?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Are first aid kits provided and adequately supplied?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Electrical Safety	Yes	No	N/A
14. Is all electrical equipment guarded with face plates or properly covered?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15. In compliance with the National Electrical Code, are extension cords only used a maximum of 90 days?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

NCEM DD 100-03  
 ATTACHMENT 1  
 MAY 2008  
 OPR: LOGISTICS

CCPS-64  
 Page 2  
 Rev. 8/06

Employee Complaints	Safety / Health Hazards	Recommended Action

Hazards noted during self-inspections and recommended action / action taken:

Building Location	Hazard Noted	Recommended Action / Action Taken

Committee Member Completing Inspection	Title	Date

Chairperson	Title	Date

CCPS-64  
Page 3  
Rev. 8/06

**SAFETY COMMITTEE MEETING MINUTES**

Date:		Number of Members Present:	
<b>Record Minutes / Discussion of Safety Committee Meeting:</b>			

NCEM DD 100-03  
ATTACHMENT 1  
MAY 2008  
OPR: LOGISTICS

This page is intentionally left blank.

CCPS-167

DEPARTMENT OF CRIME CONTROL & PUBLIC SAFETY  
ACKNOWLEDGEMENTS OF UNDERSTANDING

Name (please print) \_\_\_\_\_ Division \_\_\_\_\_ Date \_\_\_\_\_

*Employees receiving original appointments to permanent or time-limited permanent positions must serve a probationary period. The duration of a probationary appointment shall be not less than three nor more than nine months of either full-time or part-time employment from the actual date of employment.*

**Equal Employment Opportunity Policy Statement**

I hereby acknowledge that I have read the North Carolina Equal Employment Opportunity Policy Statement.

\_\_\_\_\_ (initials)

**Password and User ID Policy**

I hereby acknowledge that I have read the North Carolina Department of Crime Control and Public Safety Policy No. D.6 on Passwords and User ID's and that I agree to comply with all requirements presented therein.

\_\_\_\_\_ (initials)

**Use of State Owned Equipment**

I hereby acknowledge that I have read the North Carolina Department of Crime Control and Public Safety Policy No. D.2 (Use of State Owned Computer Equipment), and that I agree to comply with all requirements presented therein.

\_\_\_\_\_ (initials)

**Merit-Based Recruitment and Selection Policy**

I hereby acknowledge that I have read the North Carolina Department of Crime Control and Public Safety Merit-Based Recruitment and Selection Plan.

\_\_\_\_\_ (initials)

**Unlawful Workplace Harassment Policy**

I hereby acknowledge that I have read the North Carolina Department of Crime Control and Public Safety Unlawful Workplace Harassment Policy. I understand that the Department's policy prohibits unwelcome or unsolicited speech or conduct based upon race, sex, creed, religion, national origin, age, color or handicapping conditions as defined in the policy.

\_\_\_\_\_ (initials)

**Alcohol/Drug-Free Workplace Policy**

I hereby acknowledge that I have received and read the North Carolina Department of Crime Control and Public Safety "Alcohol/Drug-free Workplace Policy." I understand that the Department's policy prohibits the unlawful manufacture, distribution, dispensation, possession or use of a controlled substance while performing job related duties or while at any departmental workplace.

\_\_\_\_\_ (initials)

**NC State Employees' Safety and Health Handbook**

I hereby acknowledge that I have read the North Carolina Employees' Safety and Health Handbook and do understand that it is my responsibility to become familiar with and abide by the instructions insofar as they apply to the duties, which I shall perform for State Government. (A copy of this certification will be filed with the employee's personnel records.)

\_\_\_\_\_ (initials)

\_\_\_\_\_  
(Employee Signature)

Revised 12/05

NCEM DD 100-03  
ATTACHMENT 2  
MAY 2008  
OPR: LOGISTICS

This page is intentionally left blank.

North Carolina Industrial Commission

**NOTICE OF ACCIDENT TO EMPLOYER AND CLAIM OF  
 EMPLOYEE, REPRESENTATIVE, OR DEPENDENT  
 (G.S. 97-22 THROUGH 24)**

IC: File # \_\_\_\_\_  
 Emp. Code # \_\_\_\_\_  
 Carrier Code # \_\_\_\_\_  
 Employer FEIN \_\_\_\_\_  
The I.C. Files # is the unique identifier for this injury. It will be provided by return letter and is to be referenced in all future correspondence.

The Use of This Form Is Required Under The Provisions of the Workers' Compensation Act

Employee's Name _____			Employer's Name _____ ( )		
Address _____			Telephone Number _____		
City _____	State _____	Zip _____	Employer's Address _____	City _____	State _____ Zip _____
Home Telephone _____ ( )			Insurance Carrier _____		
Work Telephone _____ ( )					
Social Security Number _____	Sex _____ M F	Date of Birth _____ - -			

**EMPLOYEE - This form must be filed with the Industrial Commission within two years of the date of injury or occupational disease or your claim may be barred. Notice shall be given to the employer as soon as the accident occurred or as soon thereafter as practicable and within 30 days. (This form should also be used for occupational disease claims; however, for asbestosis, silicosis and byssinosis, Form 18B is to be used.)**

Notice is hereby given, as required by law, that the above-named employee sustained an injury or contracted an occupational disease, described as follows: \_\_\_\_\_ Time of Injury On \_\_\_\_\_ Date (Required) at \_\_\_\_\_, City & County. Describe the injury or occupational disease, including the specific body part involved (e.g. right hand, left hand) \_\_\_\_\_  
 Describe how the injury or occupational disease occurred: \_\_\_\_\_

Occupation when injured: \_\_\_\_\_ Nature of employer's business: \_\_\_\_\_  
 Disability began: \_\_\_\_\_ Date Return to work date or period of estimated disability: \_\_\_\_\_ Date  
 Weekly Wage: \_\_\_\_\_ Number of hours worked per day: \_\_\_\_\_ Days worked per week: \_\_\_\_\_

**EMPLOYER - This notice is being sent to you in compliance with requirements of the North Carolina Workers' Compensation Act, in order that the medical services prescribed by the Act may be obtained; and, if disability extends beyond 7 days duration, or if death ensues, compensation may be paid according to law.**

Signature of (Check One) Employee, Attorney, Representative, or Dependent \_\_\_\_\_ ( ) Telephone Number \_\_\_\_\_

Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_ Date Completed \_\_\_\_\_

**NOTE:-** If injured is unable to sign this, another may sign for him. This form should be typewritten if possible. Employee should retain one signed copy of this notice, mail one signed copy to Industrial Commission at the address below, and furnish employer with one signed copy.

FORM 18  
 6/00  
 PAGE 1 OF 1

For IC use ONLY
Nature _____
Body _____
Cause _____
SIC _____
Coder _____

**FORM 18**

**MAIL TO:**  
 NCIC - STATISTICS SECTION  
 4334 MAIL SERVICE CENTER  
 RALEIGH, NORTH CAROLINA 27699-4334  
 MAIN TELEPHONE: (919) 733-4820  
 OMBUDSMAN: (800) 688-8349

NCEM DD 100-03  
ATTACHMENT 3  
MAY 2008  
OPR: LOGISTICS

This page is intentionally left blank.

North Carolina Industrial Commission EMPLOYER: FUND: DEPT: IC File # \_\_\_\_\_

**EMPLOYER'S REPORT OF EMPLOYEE'S INJURY OR  
 OCCUPATIONAL DISEASE TO THE INDUSTRIAL COMMISSION**

Emp. Code # \_\_\_\_\_  
 Carrier Code # \_\_\_\_\_  
 Employer FEIN \_\_\_\_\_  
 Carrier File # \_\_\_\_\_

**To the Employer:**

The filing of this report is required by law. It does not satisfy the employee's obligation to file a claim. **This form MUST be transmitted to the Industrial Commission through Your Insurance Carrier.**

**To the Employee:**

This Form 19 is not your claim for workers' compensation benefits. To make a claim, you must complete and sign the enclosed Form 18 and mail it to Claims Administration, N.C. Industrial Commission, 4334 Mail Service Center, Raleigh, NC 28799-4334 within two years of the date of your injury or last payment of medical compensation. For occupational diseases, the claim must be filed within two years of the date of disability and the date your doctor told you that you have a work-related disease, whichever is later.

The I.C. File # is the unique identifier for this injury. It will be provided by return letter and is to be referenced in all future correspondence.

The use of this form is required under the provisions of the Workers' Compensation Act.

Employee's Name	NC Crime Control & Public Safety			(919) 733-4080
Address	Employer's Name	Telephone Number		
	4701 Mail Service Center	Raleigh NC 27699		
City	State	Zip		
( ) -	( ) -	P.O. Box 49129	Greensboro NC 27419	
Home Telephone	Work Telephone	Carrier's Address	City	State
- -	□ M □ F	(800) 366-1511	( ) -	
Social Security Number	Sex	Date of Birth	Carrier's Telephone Number	Fax Number

Employer	1. Give nature of employer's business	Public Safety / Law Enforcement
	2. Location of plant where injury occurred	County Department State if employer's premises
Time And Place	3. Date of injury	/ / 4. Day of week Hour of day : □ A.M. □ P.M.
	5. Was employee paid for entire day	6. Date disability began / / □ A.M. □ P.M.
Person Injured	7. Date you or the supervisor first knew of injury	/ / 8. Name of supervisor
	9. Occupation when injured	
	10. (a) Time employed by you	(b) Wages per hour \$
Cause And Nature Of Injury	11. (a) No. hours worked per day	(b) Wages per day \$ (c) No. of days worked per week
	(d) Avg. weekly wages w/ overtime \$	(e) If board, lodging, fuel or other advantages were furnished in addition to wages, estimated value per day, week or month. \$ per
Fatal Cases	12. Describe fully how injury occurred and what employee was doing when injured	
	13. List all injuries and specify body part involved (e.g. right hand or left hand)	(Statement made without prejudice and without vouching for correctness of information)
	14. Date & hour returned to work	/ / at : .M. 15. If so, at what wages \$ per
	16. At what occupation	17. Employee's salary continued in full?
	18. Was employee treated by a physician	
	19. Has injured employee died	20. If so, give date of death (Submit Form 29) / /

Employer name \_\_\_\_\_ Date Completed / /

Signed by \_\_\_\_\_ Official Title \_\_\_\_\_

**OSHA 301 Information:**

Case Number from Log:	Date Hired: / /	Time Employee began work on date of incident: : □ A.M. □ P.M.	If off-site medical treatment provided, answer entire next line.
Name of facility:	Address: Street/City/Zip/Telephone		ER visit? □ Yes □ No Overnight stay? □ Yes □ No

**Attention:** This form contains information relating to employee health and must be used in a manner that protects the confidentiality of employees to the extent possible while the information is being used for occupational safety and health purposes.

FORM 19  
 6/2006  
 PAGE 1 OF 2

For IC use ONLY  
 Nature \_\_\_\_\_  
 Body \_\_\_\_\_  
 Cause \_\_\_\_\_  
 SIC \_\_\_\_\_  
 Coder \_\_\_\_\_

**FORM 19**

**SELF-INSURED EMPLOYER OR CARRIER MAIL TO:**  
 NCIC - CLAIMS ADMINISTRATION  
 4334 MAIL SERVICE CENTER  
 RALEIGH, NORTH CAROLINA 27699-4334  
 MAIN TELEPHONE: (919) 807-2500  
 OMBUDSMAN: (800) 688-8349

Employer must furnish a copy of this form, as completed, to the employee or the employee's representative when submitted to the Insurance Carrier or Claims Administrator for transmission to the Commission. Every question must be answered. This report must be transmitted to the Commission through your insurance carrier/claims administrator, and is required by law to be filed within 5 days after knowledge of accident.

**IMPORTANT INFORMATION FOR EMPLOYEE**

**Reporting an Injury**

If you do not agree with the description or time of the accident given on this form, you should make a written report of injury to the employer within thirty (30) days of the injury.

**Making A Claim**

To be sure you have filed a claim, complete a Form 18, Notice of Accident, within two years of the date of the injury and send a copy to the Industrial Commission and to your employer. The employer is required by law to file this Form 19, but the filing of the Form 19 does not satisfy the employee's obligation to file a claim. The employee must file a Form 18 even though the employer may be paying compensation without an agreement, or the Commission may have opened a file on this claim. A claim may also be made by a letter describing the date and nature of the injury or occupational disease. This letter must be signed and sent to the Industrial Commission and to your employer.

**FOR ASSISTANCE OR TO OBTAIN A FORM 18 FROM THE INDUSTRIAL COMMISSION, YOU MAY CALL (800) 688-8349**

USE YOUR I.C. FILE NUMBER (IF KNOWN) OR SOCIAL SECURITY NUMBER ON  
ALL FUTURE CORRESPONDENCE WITH THE COMMISSION

[SPANISH TRANSLATION]

**INFORMACIÓN IMPORTANTE PARA LOS EMPLEADOS**

**Reporte de una Lesión (Reporting an Injury)**

Si usted no está de acuerdo con la descripción o la hora del accidente que aparece en el formulario, debe hacer un reporte de la lesión por escrito y dárselo a su empleador dentro de un período de treinta (30) días a partir de la fecha de la lesión.

**Cómo Presentar una Reclamación (Making a Claim)**

Para cerciorarse de que ha presentado una reclamación, complete el Formulario 18 Notificación de Accidente dentro de un período de dos años a partir de la fecha de la lesión y envíe una copia a la Comisión Industrial y una copia a su empleador. Por ley, el empleador debe presentar el Formulario 19, sin embargo, el presentar el Formulario 19 no cumple con la obligación que tiene el empleado de presentar una reclamación. El empleado debe presentar el Formulario 18 aunque el empleador esté pagando compensación sin tener un acuerdo o si la Comisión ha creado un expediente con respecto a esta reclamación. También se puede presentar una reclamación por medio de una carta explicando la fecha y la naturaleza de la lesión o la enfermedad ocupacional. Esta carta se debe firmar y enviar a la Comisión Industrial así como al empleador.

**PARA RECIBIR ASISTENCIA O PARA OBTENER EL FORMULARIO 18 DE LA COMISIÓN INDUSTRIAL, USTED PUEDE HABLAR AL (800) 688-8349**

EN TODA LA CORRESPONDENCIA QUE ENVÍE A LA COMISIÓN INDUSTRIAL POR FAVOR ESCRIBA  
EL NÚMERO DE CASO DESIGNADO POR LA COMISIÓN [I.C. FILE NUMBER] (SI LO SABE)  
O SU NÚMERO DE SEGURO SOCIAL.

Employee Signature:		Date:	/ /
---------------------	--	-------	-----

CCPS-188  
(Rev. 7/02)

N. C. Department of Crime Control & Public Safety  
**SUPERVISOR'S ACCIDENT/INCIDENT  
INVESTIGATION REPORT**

Name of Injured Employee: \_\_\_\_\_ DOB: \_\_\_\_\_ Sex: Male  Female

Social Security Number: \_\_\_\_\_ Phone (H): \_\_\_\_\_ (W): \_\_\_\_\_

Division: \_\_\_\_\_ Troop/District: \_\_\_\_\_ Date Hired: \_\_\_\_\_

Work Address: \_\_\_\_\_ Home Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Time Employee began work:  a.m.

Date/Time Occurred: \_\_\_\_\_  a.m.  p.m. Date/Time Reported: \_\_\_\_\_  a.m.  p.m.

Supervisor Contacted:  Yes  No Title/Name: \_\_\_\_\_

Did accident/incident occur on employer's premises? Yes  No

Location of accident/incident: \_\_\_\_\_

Type of injury: \_\_\_\_\_

Part(s) of body injured: \_\_\_\_\_

Has affected body part been injured previously by employee:  Yes  No (If yes, attach details.)

Has I. C. Form 19 been completed?  Yes  No Severity of injury:  first aid only  medical treatment  fatality

Date of First Treatment: \_\_\_\_\_ Physician/Hospital authorized by Supervisor?  Yes  No

Hospital/Doctor Name: \_\_\_\_\_ Address: \_\_\_\_\_

Employee's post acc./inc. work status:  Injury Leave  Limited Duty  At Work  Other

What was the employee doing prior to the injury? Describe the activity as well as the tools, equipment, or material the employee was using. Be specific. *Examples: Pursuing a suspect; lifting tire from the car's trunk.*  
\_\_\_\_\_

What happened? Explain how the injury occurred. *Examples: Trooper slipped on wet grass and fell to the ground; worker felt pain in lower back.*  
\_\_\_\_\_

What was the injury or illness? List the part of the body that was affected and how it was affected; be more specific than "hurt" or "sore." *Examples: "broken ankle", "strained back."*  
\_\_\_\_\_

Did the task require PPE? Was it being used? If not, why not? Explain. *Example: "Employee refused to wear eye glass protection."*  
\_\_\_\_\_

(Attach additional sheets if necessary)

Investigative Summary (In Detail, including explanation of conflicting information, if any.):  
\_\_\_\_\_

Corrective action taken or recommended to prevent future accidents:  
\_\_\_\_\_

Property Damage:  N/A  Vehicle  Equipment  Private Property  
(describe) \_\_\_\_\_

OSHA RECORDABLE:  Yes  No If the employee died, when did death occur? Date of Death \_\_\_\_\_  
Case Number from the log: \_\_\_\_\_

Report Prepared by: \_\_\_\_\_ Title: \_\_\_\_\_  
Date of Report: \_\_\_\_\_

(Attach additional sheets if necessary)

FM-16  
 (REV 4-03)

N.C Department of Administration  
 Motor Fleet Management Division  
 VEHICLE ACCIDENT REPORT

This report must be filed regardless of amount of damages

		Driver's License #	
		Traveler's Insurance Claim #	
<b>I. DRIVER &amp; STATE OWNED VEHICLE</b>			
Name:		Department:	
Home Address:		Office Phone:	
Vehicle No:	Year:	Make:	Serial No:
			License Plate No:
Describe damage to state owned vehicle:			
<b>II. SECOND PARTY &amp; NON-STATE VEHICLE</b>			
Owner:		Driver (if not owner):	
Address:		Address:	
Driver License No:	Home Phone:	Vehicle Color:	Home Phone:
Type Vehicle:	Year:	Make:	License No:
		Insurance Co:	Policy No:
Describe damage to non-state vehicle:			
<b>III. INJURED:</b>			
Name:		Name:	
Address:		Address:	
Home Phone:		Home Phone:	
Describe Injuries:		Describe Injuries:	
<b>IV. ACCIDENT</b>			
Location: (Street(s), City)			County:
Date:	Time:	Investigating Officer:	
Describe accident in detail (use back of form to continue/diagram accident):			
<b>V. WITNESSES</b>			
Name:		Name:	
Address:		Address:	
Return to: MOTOR FLEET MANAGEMENT DIVISION 1308 MAIL SERVICE CTR. RALEIGH, NORTH CAROLINA 27699-1308 FAX # 919-733-4074		Signature, state owned vehicle driver:	
		Date:	

NCEM DD 100-03  
ATTACHMENT 6  
MAY 2008  
OPR: LOGISTICS

This page is intentionally left blank.

N. C. Department of Crime Control & Public Safety  
**BODY FLUID EXPOSURE FORM**

**TO BE COMPLETED BY THE EXPOSED EMPLOYEE**

Name: \_\_\_\_\_ Division: \_\_\_\_\_  
Last Name First M.I.

Social Security No: \_\_\_\_\_ Date and Time of Exposure:  am  pm

Supervisor Notified: \_\_\_\_\_ Date and Time:  am  pm

List type of Body Fluid exposed to: \_\_\_\_\_

Check areas of "specific" exposure:  parenteral  eye(s)  mouth  mucous membrane  non-intact skin

Give summary of exposure incident location, or attach a copy of affidavit filed pursuant to G.S. 15A-534.1.

\_\_\_\_\_

Name of Person whose blood or other body fluids  
was the source of exposure. (If unknown, please state)  
\_\_\_\_\_ Last Name First M.I.

Employee's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**TO BE COMPLETED BY SUPERVISOR**

Name: \_\_\_\_\_

Date and Time notified: \_\_\_\_\_

Was Division Policy and Procedure followed?  Yes  No If no, state reason for deviation:  
\_\_\_\_\_

Was personal protection equipment used?  Yes  No If not used or if PPE failed, explain:  
\_\_\_\_\_

Date and time NCSHP Medical Director notified?  am  pm

Actions Recommended by the Medical Director:  
\_\_\_\_\_

Supervisor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## BODY FLUID EXPOSURE FORM

Body fluid exposure can spread Hepatitis and HIV viruses. These viruses may cause severe health problems. If an employee has a "specific" exposure to another person's body fluid, the following steps should be taken:

- 1) Immediate decontamination of exposed areas with soap and water.
- 2) **Immediate notification of exposed employee's supervisor and the Medical Director of the North Carolina Highway Patrol: Office (919) 662-4490 Pager 1-800-412-1947**
- 3) The exposed employee should be tested for the following:
  - (a) Hepatitis B antibody
  - (b) Hepatitis C antibody
  - (c) HIV antibody
- 4) The source person who exposed the employee should be tested for the following:
  - (a) Hepatitis B antigen
  - (b) Hepatitis C antibody
  - (c) HIV antibody

**Note:** *Hepatitis C testing of the source person can only take place if the source person signs voluntary consent form CC&PS – 180.*

- 5) Upon completion of appropriate consent form(s), instruct a qualified health professional to draw two "red top" tubes of blood from the exposed employee and /or the source person. Each tube of blood should be labeled with full name and social security number. The blood tubes should then be transported to the nearest Lab Corp. of America. If there is a delay of four hours or more, the blood tubes should be refrigerated. After notification, the NCSHP Medical Director will provide the local Lab Corp of America laboratory with the proper test numbers and billing information. The employee's appropriate supervisor, with assistance of the Highway Patrol Medical Director, shall direct transportation of the blood tubes to the appropriate lab location.

**Note:** *If a consent form is not signed by the source person, the county Health Director must be notified to process involuntary source testing as directed by G.S. 130A-144, G.S. 130A-148 and 15A NCAC 19A. 0202.*

- 6) Once the results are received by the Highway Patrol Medical Director, the affected employee(s) will be notified of the results.
- 7) Over the next six (6) months, repeat blood tests may be performed. This will depend on each individual case and is at the discretion of the Highway Patrol Medical Director. Immediate individual counseling will be provided through the Medical Director or the health care facility treating physician. Follow-up counseling will be coordinated through the Highway Patrol Medical Director's office.



<b>Section V—Reactivity Data</b>			
Stability	Unstable		Conditions to Avoid
	Stable		
Incompatibility ( <i>Materials to Avoid</i> )			
Hazardous Decomposition or Byproducts			
Hazardous Polymerization	May Occur		Conditions to Avoid
	Will Not Occur		
<b>Section VI—Health Hazard Data</b>			
Route(s) of Entry	Inhalation?	Skin?	Ingestion?
Health Hazards ( <i>Acute and Chronic</i> )			
Carcinogenicity	NTP?	IARC Monographs?	OSHA Regulated?
Signs and Symptoms of Exposure			
Medical Conditions Generally Aggravated by Exposure			
Emergency and First Aid Procedures			
<b>Section VII—Precautions for Safe Handling and Use</b>			
Steps to Be Taken in Case Material Is Released or Spilled			
Waste Disposal Method			
Precautions to Be Taken in Handling and Storing			
Other Precautions			
<b>Section VII—Control Measures</b>			
Respiratory Protection ( <i>Specify Type</i> )			
Ventilation	Local Exhaust		Special
	Mechanical ( <i>General</i> )		Other
Protective Gloves		Eye Protection	
Other Protective Clothing or Equipment			
Work/Hygienic Practices			

D-1024 (Biodegradable Degreaser) #115  
 Page 1 of 2

## Material Safety Data Sheet

**Product:** D-1024  
 (BIODEGRADABLE DEGREASER)



<b>File Number:</b> 115	<b>MSDS Date:</b> 03/05/2007
-------------------------	------------------------------

### Section I

<b>Manufacturer:</b> Tate Soaps & Surfactants, Inc.	<b>Emergency Telephone Number:</b> Call CHEMTREC (800) 424-9300
<b>Address:</b> 1500 N. Webster Street Kokomo, Indiana 46901	<b>Telephone Number for Information:</b> PH: (765) 868-4488 FX: (765) 868-4489

### Section II - Hazard Ingredients/Identity Information

Hazardous Components (Specific Chemical Identity; Common Name(s))	CAS No.	ACGIH TLV	OSHA PEL	% Wt
Sodium Metasilicate Pentahydrate	6834-92-0			< 3%

### Section III - Physical/Chemical Characteristics

<b>Boiling Point (°F)</b>	214.3	<b>Specific Gravity (H<sub>2</sub>O = 1)</b>	1.072
<b>Vapor Pressure (mm Hg.)</b>	N/A	<b>Melting Point (°F)</b>	N/A
<b>Vapor Density (AIR = 1) Highest Known = 2.1</b>		<b>Evaporation Rate (Water = 1)</b>	1.0
<b>Solubility in Water</b>	Complete		
<b>Appearance and Odor</b>	Clear Green Color, no odor		

### Section IV - Fire and Explosion Hazard Data

<b>Flash Point (°F, Method Used)</b>	N/A	<b>Flammable Limits</b>	N/A
<b>Extinguishing Media</b>	Water Spray, Water Fog		
<b>Special Fire Fighting Procedures</b>	None, Non-combustible		
<b>Unusual Fire and Explosion Hazards</b>	None, Non- Combustible		

Notes: N/A – Not Applicable NDA – No Data Available

D-1024 (Biodegradable Degreaser) #115  
 Page 2 of 2

**Section V - Reactivity Data**

Stability Stable	Conditions to Avoid Keep from freezing. Store at room temperature. Avoid damage to containers in handling.
Incompatibility (Materials to Avoid):	Strong Mineral Acids – Strong Oxidizing Agents
Hazardous Decomposition or Byproducts:	Carbon Dioxide, Carbon Monoxide, Nitrogen Dioxide, Nitrogen Monoxide.
Hazardous Polymerization	Will Not Occur

**Section VI - Health Hazard Data**

Route(s) of Entry:	Inhalation? N/A	Skin? Yes	Ingestion? Yes
Health Hazards (Acute and Chronic) Eye & Skin Irritant			
Carcinogenicity: N/A		OSHA Regulated: N/A	
Medical Conditions Generally Aggravated by Exposure Will cause irritation to skin and eyes. Gastrointestinal problems will occur if ingested.			
Emergency and First Aid Procedures Eyes – Flush with plenty of cool water for 15 minutes. Do not rub. Get medical attention. Skin – Wash with soap and water. Ingestion – Do not induce vomiting. Dilute by drinking water or milk. Get medical attention immediately.			

**Section VII - Precautions for Safe Handling and Use**

Steps to Be Taken in Case Material is Released or Spilled Small and large spills may be flushed down sewage drain with plenty of water.
Waste Disposal: Waste disposal should be consistent with all state & local ordinances.
Precautions to Be taken in Handling and Storing Keep from freezing. Store at room temperature. Avoid damage to containers in handling.

**Section VIII - Control Measures**

Respiratory Protection (Specify Type):	None
Ventilation:	Normal
Protective Gloves: Neoprene	Eye Protection: Splash goggles or Face shield
Other Protective Clothing or Equipment: N/A	

DISCLAIMER: We believe that the statements, technical information and recommendations contained herein are reliable, but they are given without warranty or guarantee of any kind, expressed or implied. We assume no responsibility for any loss, damage, or expense, direct or consequential, arising from the use or misuse of this product.

Notes: N/A – Not Applicable NDA – No Data Available

North Carolina Emergency Management Division Directive 100-04  
**Calendars**

- I. Purpose. The purpose of this Directive is to describe the North Carolina Emergency Management (NCEM) Director's calendar and the NCEM Long Range Calendar. It establishes policy and procedures for preparing and accessing these calendars.
- II. Policy.
  - A. The Director's calendar is maintained by the Executive Assistant and the Administrative Assistant in the Director's office. NCEM members may, through their chain of command, schedule time on the Director's calendar by contacting the Executive Assistant or the Administrative Assistant in person, via telephone, email or written memorandum.
  - B. The Long Range Calendar (LRC) is maintained by the Executive Assistant and the Administrative Assistant in the Director's office. Additions and deletions to the LRC are made by the Executive Assistant and Administrative Assistant in the DO. The LRC is published weekly—usually on Friday.
- III. Responsibilities.
  - A. The Executive Assistant and the Administrative Assistant are responsible to maintain the Director's calendar on paper and electronically.
  - B. Each Section Chief is responsible to establish a contact person in each Branch to receive LRC additions/deletions. Additionally, each section chief is responsible to answer questions regarding proposed LRC entries and to provide guidance within his/her section regarding what is appropriate and not appropriate for inclusion in the LRC.
  - C. Branch contact persons identified by Section Chiefs are responsible to provide LRC additions and deletions to the Executive Assistant and/or the Administrative Assistant.
  - D. The Executive Assistant and the Administrative Assistant are responsible to make changes/deletions to the LRC and to make distribution of the LRC.
- IV. Procedures
  - A. The Executive Assistant and/or the Administrative Assistant will update the Director's calendar daily—making sure the paper and electronic calendars match.
  - B. NCEM staff members will, when necessary, request time on the Director's Calendar through their chain of command.
- V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

NCEM DD 100-04

APRIL 2008

OPR: DIRECTOR

VI. Coordination.

Operations MS Logistics Silence Recovery EY GTM Silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

18 April 2008  
(Date)

North Carolina Emergency Management Division Directive 100-05  
**Records Management**

- I. Purpose. This policy describes and implements the division's records management program. The scope of this program includes all records in the division's custody in paper or electronic form. This policy describes a 'public record', and it specifies the actions required in its retention, destruction, and accessibility by the public. This policy assigns responsibilities, and it describes the use of record retention schedules.
- II. Policy.
  - A. NCEM will comply with records management requirements as specified in [Chapters 121](#) and [132](#) of the North Carolina General Statutes and in this policy.
  - B. Except for records having a security classification or containing sensitive personal information, all documents are considered public records, available for public access. Public records include all paper and electronic publications, directives, organizational plans or policies, correspondence, e-mails, presentations, Internet postings on the NCEM website or WebEOC, audio and video tapes, and electronically-stored documents on hard drives and CD-ROMs. [G.S.132-1](#) describes the full range of what is considered a public record. It also describes procedures on how to satisfy requests for public records. NOTE: Federal Emergency Management Agency (FEMA) may require special handling procedures.
  - C. The NCEM Records User's Group provides program direction, management of file architectures, and provides solutions to common records management issues.
- III. Responsibilities
  - A. Assistant Director/Section Chiefs are responsible to:
    1. Direct efforts to retain, destroy, and when requested, provide records.
    2. Designate a person to be trained and to manage records in accordance with state statutes and this policy.
    3. Ensure employees receive initial and recurring records management training.
    4. Recommend to the Director approval of a program records schedule for her or his section.
  - B. Section Records Managers are responsible to:
    1. For records common to all state agencies, use the "[General Schedule for State Agency Records](#)" identifying which records will be maintained.
    2. For records unique to NCEM, develop, maintain, and have approved by the Assistant Director/Section Chief a program records schedule.

3. Periodically evaluate the section's program records schedule to ensure compliance with federal and state requirements.
4. After coordination with the Assistant Director/Section Chief, direct the destruction and archiving of records.
5. Maintain and approve changes to the file system structure both paper and electronic.
6. Schedule initial and recurring records management training for employees.
7. Be a member of the division's Records User Group that meets periodically to provide program direction, management of file architectures, and solutions to common records management issues.
8. When needed, seek technical assistance from the [Records Analysts](#) assigned to the Division of Archives and History and from NCDEM's Information Systems managers.

C. Employees are responsible to:

1. Attend records management training as provided during new employee orientation.
2. Comply with proper records management procedures.

IV. Procedures

A. Changing the Schedule

Sections may request a schedule change by completing and processing [Form GRB-99S, Public Records Series Listing](#) following the [instructions](#) at the [Government Records Branch website](#).

B. Retention and Destruction of Public Records

1. Sections will retain and destroy records based on its approved program records schedule, the NC "[General Schedule for State Agency Records](#)", and the NC "[Standard Disposition Instructions for North Carolina Accounting System \(NCAS\) Reports](#)". Records may be maintained for a longer retention period for justifiable reasons, such as legal, financial, or other official actions. At the conclusion of such actions, records should then be destroyed.
2. When immediate access is not needed, sections may store records at the NC Records Center. Procedures are described in the "[StateRecords – Handbook](#)". When stored documents become eligible for destruction, the NC State Records Center will notify the originating office.

### C. Destruction of Original Records That Have Been Duplicated

If original records have been duplicated on microfilm, microfiche, or other form, originals may be destroyed prior to the specified retention period and without specific approval from the NC Department of Cultural Resources, provided the following three (3) conditions are met:

1. The duplicate copy is maintained for the specified time in the records retention schedules. Approved by the NC Department of Cultural Resources.
2. The original record is not scheduled for permanent preservation.
3. Officials have agreed to the destruction of the original record and the destruction is recorded in a permanent destruction register.

### D. Early Disposal of Records

Sections desiring to dispose of public records earlier than specified in their schedule must apply to the NC Government Records Branch, Office of Archives and History, Department of Cultural Resources, 4615 Mail Service Center, Raleigh, North Carolina 27699-4615. The request should include the title of the records, the inclusive dates of the records, the volume of the records expressed in inches, and the justification or reason for requesting the action. The request should include a statement certifying that the records have no further official use or administrative value to the office.

### E. Destruction of Electronic Applications – E-mails, Tapes

Video tapes, audio tapes and electronic data/word processing records (tapes, disks, input/output records, etc.) are public records and their retention and destruction are governed by [G.S. 121-5](#) and program retention schedules. Specifically, e-mail records should be retained or destroyed by following the section's program-specific records retention and disposition schedule or the NC "[General Schedule for State Agency Records](#)". If e-mail records are moved from one storage medium, e.g., an e-mail server, to another medium, e.g., a CD-ROM, the gaining medium must be readable for the required retention period.

### F. Destruction of Records Not Listed in a Schedule

To destroy records not listed in a schedule, submit Form RSB-RC5, Request Approval for Destruction of Unscheduled Records to the NC Department of Cultural Resources.

### G. Accessing Records Stored at the State Records Center

Records stored in the NC State Record Center remain in the legal, official custody of the creating agency. Access to stored records is restricted to the creating agency's staff. An office that needs access to records stored at the NC State Records Center should consult with the NC State Records Center for guidance.

H. Satisfying requests for documents

Procedures vary depending on what records are being requested. Some FEMA documents may require a written request. When receiving a request, consult your supervisor.

V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination.

Operations MS Logistics Silence Recovery EY GTM Silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

29 April 2008  
(Date)

North Carolina Emergency Management Division Directive 100-07  
**Legislative Program**

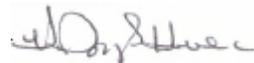
- I. Purpose. The purpose of this Directive is to describe the NCEM Legislative Program, to establish policy and procedures for developing legislative/regulatory priorities and programs, and to develop policy & procedures for presenting those priorities and programs to the General Assembly.
- II. Policy. Legislative priorities will be established by the Senior Management of the Division, with input and consideration of ideas, suggestions, and justifications submitted by Division staff and State Emergency Response Team (SERT). These priorities will be used to create a legislative/regulatory agenda to provide for the successful operation of the Division of Emergency Management and the North Carolina Emergency Management Program.
- III. Responsibilities.
  - A. The Director of the Division of Emergency Management has overall responsibility for the Legislative Program for the Division. Specifically, the Director is responsible to schedule and arrange meetings among appropriate stakeholders to develop the Division's legislative agenda for the North Carolina Emergency Management Program. Throughout the process of building the legislative agenda, the Director will ensure close coordination with the Department of Crime Control and Public Safety's Legislative Liaison Officer.
  - B. It is the responsibility of each Assistant Director/Section Chief to carefully monitor the operation(s) of their respective sections to determine the need for resources, both human and physical, to operate successfully as required by statute and related authorities.
  - C. It is the responsibility of the Division of Emergency Management (staff and senior management) to engage our SERT partners in discussion regarding legislative and regulatory action necessary to enhance North Carolina's readiness posture. All proposed legislative and regulatory actions should be reviewed by senior management and vetted through the Secretary of the Department of Crime Control and Public Safety before promoting actions to the General Assembly.
  - D. It is the responsibility of the senior management of the Division of Emergency Management to solicit input from the Executive Committee of the NC Emergency Management Association, the State Emergency Response Commission, Emergency Management staff members and others with interest in the Division's legislative agenda.
  - E. The Director's Executive Assistant is responsible to prepare and maintain an always-current prioritized and annotated list of the Division's legislative agenda.
- IV. Procedures.
  - A. Assistant Director/Section Chiefs will review readiness posture and document areas where deficiencies might be corrected by legislation, provide justification for legislative remedy, and submit suggested remedies to the Director according to the schedules listed below.

- B. The Director will schedule meetings among the Assistant Director/Section Chiefs and other appropriate stakeholders to prepare, coordinate, and prioritize the Division's legislative agenda. At least one such meeting will be held in preparation for each legislative session. In preparation for legislative short sessions (May of even years), these meetings normally will be held in March. In preparation for long sessions (January of odd years) NCEM legislative agenda meetings will normally be held in November. The Director will schedule and lead similar meetings should they be required in advance of special legislative sessions.
- C. The Director's Executive Assistant will attend legislative agenda meetings and prepare a document to describe the Division's legislative agenda. This document will be updated as required to ensure it is always current. The Director will thoroughly review the legislative agenda for accuracy and completeness. He/she will submit for approval the completed agenda to the Chief Deputy Secretary and Secretary of the Dept. of Crime Control & Public Safety. Under no circumstances will the Division or any member of the Division make legislative efforts without approval from the Secretary of Crime Control and Public Safety.
- D. Upon approval of the Secretary, the topics for submission will be forwarded for consideration to the Joint Select Committee on Emergency Preparedness and Disaster Management Recovery, or for budget issues, to the Justice and Public Safety Committee of the NC General Assembly. With the Secretary's coordination and approval, the Director will make himself available to answer questions and assist the Legislature in pursuit of the Division's legislative agenda for the North Carolina Emergency Management Program.
- V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination

Operations MS Logistics Silence Recovery Silence GTM Silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

18 April 2008  
(Date)

North Carolina Emergency Management Division Directive 100-08  
Security

I. Purpose

- A. The purpose of this document is to provide guidance to all North Carolina Division of Emergency Management personnel regarding facility and equipment/data security.

II. Policy

- A. Facility Security – It is the responsibility of all employees to ensure the security of North Carolina Division of Emergency Management (NCEM) facilities and associated property, both during normal duty hours and activation. Each facility will have different security requirements based upon location, design, and use. Permanent NCEM facilities shall have fixed intruder alarm systems in place. Efforts shall be taken to ensure temporary NCEM facilities also have intruder alarm systems.
1. Entrances and Exits – Entrances/exits to NCEM facilities shall be secured in accordance with the respective facility emergency action plan. Entrance doors shall utilize the existing North Carolina Department of Administration key-card locking system where possible. Entrances/exits shall be monitored with cameras. In the event of system failure, entrances and exits shall be physically monitored. During activation, physical security will be posted at entrances to prevent unauthorized access. Entrances and exits shall have additional security devices installed that will mitigate any identified hazard through the standard hazard assessment/risk analysis process. All security measures installed for entrances and exits shall conform to all applicable local, state, and federal building/life safety codes.
  2. Parking Areas – Adequate lighting shall be provided for parking areas. Where feasible, camera systems and emergency call boxes shall be installed. During activation, parking areas used by NCEM attached to and/or adjacent to NCEM facilities shall have physical security as well. As needed, parking areas shall be fenced with gates and locked when not in use.
  3. Internal Space – All spaces with doors shall be secured depending on the use and items within the space. Storage and equipment areas shall have access monitored to prevent theft or damage. Spaces that house employee records, social security numbers, or other sensitive data shall be secured when not in use. Areas that specifically house data and or equipment that are classified Secret in nature or above shall follow all applicable state and federal guidelines for security. In regards to the Top Secret Closed Storage Secure Room, all employees working near, at, or in shall follow all policies and procedures as identified in the NCEM *Standard Operating Procedures – TS Closed Storage of Classified National Security Information*. Furthermore, all employees working within the 24 Hour Communications Center shall follow NCEM SOG 11 *Emergency Operations Center (EOC) Security*.

4. Access/Identification
    - a. To gain access to NCEM facilities, individuals must show valid government issued photo identification. Visitors will be granted access for official business only and will display appropriate and approved identification or be escorted.
    - b. Each facility manager shall establish an access/identification procedure in accordance with established Division procedures.
    - c. Only those employees who meet the Department of Homeland Security access to the TS room shall be granted and must adhere to all federal and state security policies and procedures. For more information, contact the Communications Unit Leader.
    - d. All employees are required to maintain their issued badge on their person at all times. Lost or damaged badges should be reported to their respective supervisor immediately. Employees will display their official identification while in the facility.
  5. Security Providers – When possible, sworn law enforcement officers with the delegated authority to uphold the laws of the State of North Carolina and the county as well as municipality in which the facility is located in shall be used to provide security during activation. Resource requests for security services shall be processed at a “high” request level but shall not hamper life safety response.
  6. Other Security Measures – Each facility manager shall conduct a hazard/threat assessment and risk analysis and ensure appropriate mitigation devices are installed to ensure the security and safety of the facility.
  7. Breach of Security – When a breach of facility security is identified, employees shall follow the facility emergency action plan.
- B. Data Security – All employees shall ensure that intellectual, hard copy, and electronic data is secure at all times.
1. TS Closed Storage Data – The Secure Communications Room (SCR) is a controlled access, physically secure room for operations at the Top Secret security level. It is designed to facilitate secure communications and operations in the event of national, regional, or state emergencies requiring high-level security. All employees entering the SCR during times of secure operations must hold an authorized Department of Homeland Security (DHS) Security Clearance. The SCR will remain closed and locked during secure operations. The SCR will also remain closed and locked when not in use. The SCR is new construction added to the existing NCEM building. Construction was done in accordance with FEMA’s minimum physical security requirements for storage of Top Secret information from DHS.
  2. Electronic Data – Employees shall protect electronic data in accordance with all applicable federal and state policies and procedures.
  3. Hard Copy Data – Hard copy data that is confidential in nature or is annotated For Official Use Only (FOUO) or higher shall be secured at all times. Access to these

documents shall only be provided per federal and state laws, or as deemed by the specific program manager of the documents.

4. Proprietary Programmatic Data – NCEM employees shall not distribute, copy, or disseminate proprietary programmatic data without prior approval of the owner or project manager.
- C. Equipment – Employees shall ensure the security of state assets in accordance with all applicable state laws, policies and procedures.

### III. Responsibilities

- A. Division Director – Establish and maintain division-wide security policies.
- B. Section Chiefs – Ensure all employees are notified and understand all security policies.
- C. Supervisors – Train and implement policies.
- D. All Employees – Read, understand, and implement policies.
- E. North Carolina State Capital Police – NCGS § 143-340 states State Capital Police is to provide security to state facilities operating in the City of Raleigh and the County of Wake. This agency may be tasked by the State Emergency Response Team during activation to provide security/law enforcement duties state-wide at NCEM facilities in accordance with NCGS § 166A-6(b)(2).
- F. North Carolina State Highway Patrol – NCGS § 21-89 states the North Carolina State Highway Patrol shall provide dignitary security for the Governor of the State of North Carolina, to include his/her visits to NCEM facilities. All employees shall be cognizant of and facilitative to dignitary security requests.
- G. Other State Security Providers – North Carolina ALE, DMV License & Theft Bureau, State Bureau of Investigation, local, and out of state law enforcement agencies may also be requested to provide security to NCEM facilities during activation as needed. NCEM facility managers will ensure that the security providers, whether through intra- or inter-state mutual aid, have the delegated authority to uphold the laws of North Carolina prior to accepting said services. In the event sworn law enforcement officers are not available, the State may contract security services from companies that are properly licensed to operate in the State of North Carolina. In such cases, contracted security providers shall adhere to all state laws, Division policies and procedures, and the contract in which their services was procured.

### IV. Procedures

- A. Daily Operations – Individuals shall check in/out of the established facility following established facility procedures.
- B. Activation Operations

1. Facility managers will notify the Logistics Chief of any security requirements. This includes the type/kind of resource, how long the resource will be needed, and where the resource is to be sent to.
  2. The Logistics Chief or his/her designee, working with SERT partners, shall acquire appropriate requested resources.
  3. During activation, all employees shall visibly wear their identification.
  4. If someone is identified not wearing appropriate identification, employees are to notify security immediately.
  5. Facility managers shall demobilize security resources when deemed necessary. This includes updating the facility's demobilization plan, and notifying the Logistics Section Chief and I&P Section Chief of demobilization of resources.
  6. For all other emergencies, employees shall refer to the respective facility's emergency action plan.
- V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination

Operations silence Logistics silence Recovery silence GTM silence Plans GF

Approved:

H. Douglas Hoell, Jr.  
Director



---

May 12, 2009  
(Date)

DD 100-08

## North Carolina Emergency Management Division Directive 100-20

**Mail**

- I. Purpose. To detail procedures for using US Postal Service and express mail services for the North Carolina Division of Emergency Management.
- II. Policy. The North Carolina Division of Emergency Management will follow all procedures provided by the NC State Government Mail Service Center and all other applicable mail carriers.
- III. Responsibilities. Each employee is responsible to ensure outgoing mail is properly addressed, that the proper mail barcode slip is affixed, and that mail is placed in appropriate receptacles.
- IV. Procedures.
  - A. United States Postal Service (USPS) Mail
    1. All addresses must be typed.
    2. Do not use postage stamps.
    3. No personal mail.
    4. Attach slip with mail barcode that corresponds to the project – bundle mail together whenever possible
    5. Place in receptacle designated for your building/location
    6. Obtain barcodes from the Mail Service Center
  - B. Certified Mail (USPS)
    1. Envelopes will be addressed as regular mail is.
    2. A green slip must be completed with all required information, then affixed to the envelope according to directions on the slip. Green slips may be obtained from Logistics.
    3. A “certified mail” slip must be affixed to the envelope according to directions on the slip. “Certified mail” slips may be obtained from Logistics.
    4. Attach slip with mail bar code that corresponds to the project – bundle mail together whenever possible
    5. Place in designated receptacle.
  - C. Interoffice Mail
    1. Use only *interoffice envelopes* when sending mail within Raleigh.
    2. Write the receiving person’s name, agency, and Mail Service Center code in the appropriate spaces on the envelope. Mail Service Center codes may be found here: <http://www.doa.state.nc.us/msc/listings.htm>.
    3. Place in designated receptacle.

D. Courier Mail

1. Use the appropriate Mail Service Center *Courier Code* for agencies outside the Raleigh area. These may be found here:  
<http://www.doa.state.nc.us/msc/listings.htm>.
2. Address the envelope using Name, Agency, City, and *Courier Code*. See example here:  
<http://www.doa.state.nc.us/msc/addressingcourier.htm>
3. Attach slip with mail bar code that corresponds to the project – bundle together when possible.
4. Place in designated receptacle.

E. Express Mail Services

1. Any employee using Fed Ex or UPS must log in each shipment or mailing with the Logistics Section so that invoices for shipments can be paid in a timely manner using the proper cost centers. Employees must know the cost center to use to pay for the shipment so it can be entered into the log. For employees in the Administration Building, the primary contact is the Personnel Manager or assistant. For employees in the Disaster Recovery Operations Center (DROC) and Geospatial Technology Management (GTM), the primary contact is anyone in Logistics.
2. Additionally, both Fed Ex and UPS provide a block on their shipping labels and forms for the cost center to be recorded. The Fed Ex block reads “Your Internal Billing Number”, and the UPS block reads “Reference Number”. The cost center must be recorded on the shipping label as well as in the log. Fed Ex and UPS will often provide cost center information on their invoices if we put the information on the shipping label.
3. If you do not know the cost center, please request this information from your immediate supervisor. You will not be allowed to ship without a proper cost center for the shipment.
4. When Fed Ex or UPS invoices arrive at the Division, Logistics personnel will use the cost center information from the shipping log to code the invoices for payment by CC&PS Fiscal Section.
5. Branch Offices and GTM should maintain their own respective shipping information logs. These logs should include for each shipment the following information: date; name of person making the shipment; Branch Office name; Fed Ex or UPS; carrier tracking number; and cost center.
6. Branch Offices and GTM will provide the Personnel Manager in Logistics with updated shipping information logs every week by COB Friday. The Personnel Manager (and assistant) will ensure the logs are maintained so that invoices can be properly coded for payment.
7. Call for pick-up or place in drop box.

V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination.

Operations MS Logistics Silence Recovery Silence GTM Silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

18 April 2008  
(Date)

NCEM DD 100-20

APRIL 2008

OPR: DIRECTOR

North Carolina Emergency Management Division Directive 100-30  
**Meetings and Presentations**

- I. Purpose. The purpose of this Directive is to assign responsibilities and to establish policy and procedures regarding meetings and presentations within the Division of Emergency Management.
- II. Policy.
  - A. Every Meeting should:
    1. Have a clearly stated purpose.
    2. Have a written agenda—preferably one prepared and distributed in advance to attendees.
    3. Have an established desired outcome.
    4. Have, within 2 days of the meeting, a written summary record that includes action items as necessary.
    5. Be kept under 2 hours when possible.
  - B. Presentations prepared and/or delivered by members of the Division of Emergency Management should:
    1. Use the MS Power Point template included at Attachment 1 to this directive.
    2. Be practiced in advance before a small, critical audience. This is especially applicable for presentations given at to senior management, large audiences, and multiple outside agencies.
    3. Use Power Point slides that are kept simple, clean, and uncluttered. One-line bullets are preferred.
    4. Use relevant graphic art, photos, and videos when available to enhance quality.
    5. Have, as much as possible, an extemporaneous tone. Avoid reading long sentences from slides to the audience.
    6. Be crisp, tailored to the audience, and without extraneous information. Cover only what the audience needs to know.
- III. Responsibilities.
  - A. The Director's Executive Assistant is responsible for including meetings and presentations in division calendars as appropriate.
  - B. Each Assistant Director/Section Chief is responsible to ensure meetings and presentations within his/her section comply with this directive.
  - C. Each member leading, scheduling or attending a meeting or delivering a presentation is responsible to comply with this directive.

IV. Procedures. NCEM staff members normally will be tasked by Branch Managers or Sections Chiefs to prepare for meetings or give presentations using procedures listed below.

A. Staff action officers leading or arranging for a meeting will:

1. Coordinate with potential participants to establish the purpose, desired outcome, time and place for the meeting.
2. Coordinate with the Director's Executive Assistant to include the meeting in division calendars as appropriate.
3. Prepare a written agenda.
4. Reserve appropriate space and time for the meeting.
5. Provide meeting notification and agenda to participants. Use the Division's calendar/email software to do this.
6. For meetings held in the EOC, identify staff and station members at the main reception desk for registration and to provide directions.
7. Assign a participant to keep notes during the meeting.
8. Conduct the meeting, taking care to:
  - a. Maintain control. Keep the meeting on schedule according to the agenda.
  - b. Allow free expression of ideas, but stay true to the established topic.
  - c. Before closing the meeting, establish and assign action items as necessary.
  - d. Schedule subsequent meetings as necessary.
9. After the meeting:
  - a. Within two days, coordinate with the assigned note taker to prepare and distribute a summary record within two days. Summary records must contain:
    - (1) A list of those participating in the meeting.
    - (2) A summary of meeting discussion.
    - (3) A list of action items with assignments.
  - b. Track action items to assure work is progressing to complete required action.
  - c. When all action is complete, close the summary record.

B. Staff action officers assigned to give presentations will:

1. Prepare MS Power Point slides according to guidance listed in paragraph I.B. above using the template included at Attachment 1.
2. Dress appropriately for the audience.
3. As appropriate, give supervisors a self-evaluation of the presentation. Include any significant or unusual questions and comments that may have been entertained.

V. Attachment: Presentation Slide Template.

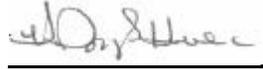
VI. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VII. Coordination.

Operations silence Logistics silence Recovery silence GTM silence Plans GF

Approved:

H. Douglas Hoell, Jr.  
Director



---

03-05-09  
(Date)

This page is intentionally left blank.

## Title

- Text
- More Text
- More Text





North Carolina Emergency Management Division Directive 100-35  
State Vehicles

- I. Purpose. This directive describes policy and procedure for assignment, use, and management of State vehicles. It covers vehicles assigned to individuals and vehicles assigned for pool use. It covers how to obtain vehicles from Motor Fleet, both for temporary and permanent assignment. It also describes management procedures and reports.
- II. Policy.
  - A. The Director, with Department approval, determines positions which will be authorized **permanent** vehicle assignments. Assistant Directors, field Branch Office Managers and area coordinators are currently authorized individual **permanent** assignments and are authorized to use the vehicles to commute to and from work.
  - B. The Division maintains a pool of vehicles (agency assigned vehicles) for the general use of other Division employees who need vehicles for **official travel**. The Logistics Section manages two motor pools. One motor pool for temporary vehicle assignments is located at the DROC, 1830B Tillery Place. The other, smaller pool of **one vehicle** is located at the Administration Building at 116 W. Jones Street.
  - C. Motor Fleet Management defines three different types of vehicle assignments:
    1. Individual Permanent Assignment: State-owned passenger-carrying vehicles may be permanently assigned to state employees for official state business when the vehicle is expected to be driven a minimum of 3,150 miles per quarter. Individuals whose duties are routinely related to public safety are exempt from the 3,150-miles-per-quarter requirement.
    2. Agency-Assigned Vehicles: State-owned passenger-carrying vehicles may be assigned to a state agency or institution when the vehicle is expected to be driven an average of 1,050 miles per month to conduct official state business. Vehicles may also be assigned to a state agency or institution when the vehicle is needed for a minimum number of low mileage trips per month as determined by the agency for unique use and approved by Motor Fleet Management (MFM). The vehicle cannot be driven continuously by one employee and must be made regularly available to all persons in the agency. Agency-assigned vehicles must consistently be driven the 3,150-miles-per-quarter minimum.
    3. Temporary Assignment: State-owned vehicles may be temporarily assigned to state employees for official state business or while permanently assigned vehicles are being repaired. Vehicles for temporary assignment will be centrally controlled and housed by MFM, assigned from a motor pool for a specific purpose, and returned to the motor pool at the end of the assignment. The MFM Motor Pool for temporary vehicle assignments is located at Blue Ridge Road and Reedy Creek Roads in Raleigh.
  - D. Employees must abide by the State's policies and procedures as established in the *Motor Fleet Management Division Regulations Manual*  
<http://www.doa.state.nc.us/mfm/page1000.htm>

### III. Responsibilities

- A. Director or Deputy Director approves request for vehicle assignments.
- B. Assistant Director for Logistics is responsible for overall management of Division vehicles.
- C. Supply Services Manager manages pool vehicles, to include maintenance of a vehicle assignment schedule and ensuring pool vehicles receive scheduled maintenance and safety inspections in a timely manner. Most pool vehicles are staged at the DROC, 1830B Tillery Place, Raleigh. This position also tracks and coordinates maintenance of MFM vehicles.
- D. The Supply Services Manager and other branch managers must notify the Personnel Director of any vehicle turn-ins or changes in vehicle assignments so that the new vehicle status can be recorded in the Division vehicle database.
- E. Personnel Manager, Logistics Section, manages vehicle requirements for the Assistant Director for Logistics. Responsibilities include:
  - 1. Monthly collection of vehicle logs and processing of vehicle logs for payment by CCPS Fiscal.
  - 2. Processing vehicle assignment forms through CCPS Fiscal to Motor Fleet Management.
  - 3. Scheduling use of **one pool vehicle** for use by Division personnel at the Admin Building, to include maintenance of an assignment schedule for **the vehicle**.
  - 4. Maintenance of the Vehicle Assignment Database which includes the list of division vehicles by responsible, assigned person.
- F. Section and Branch managers ensure their personnel understand procedures, record a valid cost center in the vehicle log for each trip undertaken, and have read the *Motor Fleet Management Division Regulations Manual*. When Division pool vehicles are all booked and individuals must use Motor Fleet Pool vehicles, supervisors must ensure that Motor Fleet trip receipts which show costs are forwarded via interoffice mail to the Division Budget Officer. The Budget officer will ensure cost center program managers receive monthly reports of these costs.

### IV. Procedures.

- A. Request for Vehicle Assignments. Requests for vehicles to be assigned to **NCEM** individuals or offices on a permanent or temporary basis require completion of forms which can be accessed via the Motor Fleet Management Website at <http://www.ncmotorfleet.com/mfmforms.htm>.
  - 1. The **Motor Pool Vehicle Request** is used for temporary vehicle assignment when all Division pool and permanently assigned vehicles are in use.
    - a. The individual needing the vehicle completes the form on the website, prints it, and gets his supervisor to sign the form. Note that the individual completing the form must enter the cost center which will pay for the trip. If you don't know what center to use, ask your supervisor. For the "Company" field of the Motor Fleet form, enter 4701 for 1510 centers and 4702 for centers that start with 2; for the "Fund" field enter 1510 or 2A or 3B depending upon the center; and in the

"Center" field enter the center's remaining alpha numeric characters. For example: Company: 4701 Fund: 1510 Center: 511

4702	2A	07027
4702	2B	01035

- b. The individual takes the printed and signed form to the Motor Fleet Motor Pool on Blue Ridge Road in Raleigh to pickup the vehicle. Motor Fleet Management has a two to three week backlog; vehicles for temporary assignment must be requested [in advance by calling MFM at 919-733-7776](#). Also, if the request is for any type vehicle other than a sedan, the requestor must call Motor Fleet at 919-733-7776 to ensure the vehicle is available for the date desired.
  - c. Upon completion of the trip, the traveler must forward the Motor Fleet trip receipt via interoffice mail to the Division Budget Officer who will keep track of costs by center for these trips and distribute the information to Division program managers for the cost centers involved.
2. The Motor Fleet web address, <http://www.ncmotorfleet.com/mfmforms.htm>, also has links to forms to apply for [a permanently assigned vehicle](#). To request either assignment, individuals must complete these forms on line, print them, and submit them to the Division Personnel Manager for processing [along with a copy of the requestor's drivers license](#). The Personnel Manager obtains the Directors approval (or disapproval) and forwards approved forms to CCPS Fiscal Section. CCPS Fiscal will forward approved forms, signed by the Secretary or Deputy Secretary, to Motor Fleet for action.
  3. When personnel [who are assigned a permanent vehicle](#) leave Division employment, the Division will retain the vehicle in the Division so it is available for assignment to the replacement. The vehicle will be turned in to the DROC Supply Services Manager for use in the Motor Pool while the position is empty, or assigned to the respective Branch Manager for branch pool use. The personnel manager will initiate the forms (on Motor Fleet website) to get the vehicle assigned to the replacement person hired for the position.
- B. Request for Division Pool Vehicles: For most business trips, individuals may schedule a division pool vehicle by calling or [e-mailing](#) a Logistics support staff member at the DROC (919-715-8000 ext. 310, 333, [377](#), or 244) or by calling the assistant personnel manager at the Admin building (919-733-2500 or 919-715-8590).
1. Logistics personnel will enter the requestor's name on the vehicle schedule and notify the requestor of the vehicle number reserved for him/her for the dates specified. On the day of the trip (or the evening before), the requesting individual may pickup the vehicle log book and keys from the Logistics person who made the reservation.
  2. The Log Book contains instructions on vehicle use, a gas card with instructions, and a list of Dept. Of Transportation fuel sites located throughout the State. It is cheaper for the State to refuel at DOT and Motor Fleet refueling sites than to use the gas card, so use these sites whenever possible.
  3. Individuals should not use personal funds to buy fuel for State-owned vehicles. If personal funds must be used to buy fuel for some reason, the individuals can file for reimbursement using the Reimbursement Form (FM-32, <http://www.ncmotorfleet.com/documents/fm32f.pdf>). The individual must explain on the form the reasons necessitating use of personal funds and must attach the receipts for the expenditure. The reimbursement request is made to Motor Fleet Management, so individuals may turn the request into a Logistics person, who will

ensure it is delivered to Motor Fleet. Motor Fleet will then mail the reimbursement check to the requestor.

4. Personnel will return the vehicle with at least three quarters of a tank of fuel. Fuel can be obtained from Blue Ridge Road Motor Pool, DOT Sites throughout the state (See Vehicle Notebook for fuel site maps), or with the gas card from most service stations. Individuals must clean their trash from the vehicle so it is in good condition for the next user. DROC Logistics personnel will ensure the vehicle is cleaned periodically and ensure that all scheduled maintenance is performed; however, State policy prohibits washing during periods of drought.
5. Individuals may view the assignment schedules for the DROC and Admin Building Motor Pools to determine availability of vehicles on specific dates by using the following file locations on the DROC and Admin Building servers:
  - a. For DROC: R:\\Logistics\\Vehicle Schedule.xls
  - b. For Admin Building: R:\\Logistics\\Vehicle Schedule\\Vehicle Schedule\\Vehicle Schedule.xls

C. Processing of Vehicle Logs.

1. The Division leases vehicles from Motor Fleet Management, paying a fixed mileage rate which varies with the type of vehicle. The Division must pay each month an amount equal to the miles driven times the rate per mile, or the equivalent charges for 1050 miles, whichever is greater.
2. Individuals must complete vehicle log entries, using the form provided in the log book, for every trip. The trip entry must include the cost center to pay for the trip in the "Purpose" field of the log. Individuals obtain the cost center to use from their supervisor.
3. Not later than the 20th of each month, individuals send/turn-in their vehicle log (through their supervisor) to the Personnel Manager. The Supply Services Manager ensures that logs for pool vehicles are checked for errors and to ensure cost centers are posted for each entry. He/she then provides copies of the Logs to the Public Assistance and Hazard Mitigation Branch Managers so they can review the centers used by their personnel for that month. The reason only these branch managers review the logs is because the rules for use of their centers are so complex. After branch manager review, the Supply Services Manager forwards the logs to Personnel for final processing.
4. The Personnel Manager, or assistant, enters the trip mileage and centers used for all of the logs into the vehicle database. The database is used to provide quality control/error checking of the log data and to produce a monthly vehicle cost and use report.
5. The monthly cost and use report lists the total charges for the period, and the charges for each cost center. It also shows the mileage for each vehicle and the charges for each vehicle. The report is sent to the Division's leadership and the program managers for review. This review process allows program managers the opportunity to ensure that current centers are used to pay costs. It also provides managers with cost data essential to management of their programs. The monthly cost report, along with the original vehicle logs, is then forwarded to CCPS Fiscal Branch NLT the 5th of each month.
6. CCPS Fiscal Branch enters into the Motor Fleet Management invoicing website the ending odometer mileage for each vehicle for that period. Motor Fleet uses that information to issue an invoice for payment. The Division's monthly vehicle cost report tells CCPS fiscal what cost centers to use to pay Motor Fleet.

- D. Misuse of State Vehicles: Division managers must ensure their personnel understand what constitutes proper and improper use of State vehicles. The rules and examples of misuse are listed in the *Motor Fleet Management Division Regulations Manual, Chapter 7*, <http://www.doa.state.nc.us/mfm/page1070.htm>. State vehicles have bumper sticker which invites the public to call an 800 number to report speeding, misuse, or any irregularity; and the public is quick to report what they see as improper use. All reports from the public are received by the Director of Motor Fleet Management Division and require an answer in writing through the Departmental Secretary.
- E. Accident Reporting:
1. All accidents involving MFM state vehicles or other property damage, regardless of amount of damage, must be reported to Motor Fleet Management immediately by calling the 1-800-277-8181 number in the upper left corner of the windshield or 733-4043 (in Raleigh calling area). Information which should be obtained from the other driver involved in the accident is: name, address, telephone number, license plate number, insurance company and policy number. An Accident Reporting form, FM-16, must be completed and forwarded, through the individual's supervisor, to Motor Fleet Management. Accident forms are located in the vehicle log book. If the vehicle is division owned, the program manager that is responsible for the vehicle will be notified, a police report obtained, and a copy of the police report forwarded to the appropriate program manager.
  2. The individual involved in an accident must notify his/her supervisor, as soon as possible via phone call that he/she has been involved in an accident. As soon as possible after notification, the supervisor must send an email (which answers the five "W's" about the accident) to their senior staff member, with information copies to the Deputy Director and Director.
- F. Maintenance and Care of Vehicles:
1. The general maintenance of division owned and motor fleet vehicles are the responsibility of the individual and agency to which the vehicle is assigned. Drivers shall routinely check their assigned vehicles to ensure proper fluid levels, proper inflation of tires, and regular maintenance or inspections are scheduled at the interval established by MFM or the manufacturer (if division owned). The procedures for obtaining service on vehicles is as follows:
    - a. MFM Vehicles Permanently Assigned. The individual who is permanently assigned a MFM vehicle will schedule routine maintenance with MFM. If support is needed, then the individual will contact the Logistics Supply Services Manager.
    - b. MFM Pool Vehicles. The designated vehicle pool manager will schedule routine maintenance with MFM. If support is needed, the pool manager will contact the Logistics Supply Services Manager.
    - c. Division Owned Vehicles. The person assigned a division owned vehicle will schedule general maintenance with a manufacturer approved shop. If the costs are under \$500, a P-Card will be used. If over \$500, then the program manager will use E-Procurement.
    - d. Loaner Vehicles. The person assigned a vehicle will coordinate a loaner through:
      - (1) MFM if directly assigned a vehicle, or
      - (2) The Logistics Supply Services Manager if a pool or division owned vehicle.

2. **Unscheduled Maintenance.**
  - a. **MFM Vehicles.** The person using the vehicle must notify the person assigned to manage the vehicle as to what is wrong with the vehicle. The person assigned an MFM vehicle will coordinate any unscheduled maintenance with MFM, after coordinating any necessary repairs with the Finance Officer. This is to ensure the Division can cover any costs that will be billed to the Division.
  - b. **Division Owned Vehicles.** The person assigned a division owned vehicle will notify his/her program manager. The program manager will consult with the Finance Officer to ensure Division funds are available to perform the maintenance. If the costs are under \$500, a P-Card will be used. If over \$500, then the program manager will use E-Procurement.
3. **Emergency Maintenance.**
  - a. **MFM Vehicles.** The operator of the vehicle will contact MFM directly by calling 1-800-277-8181 or the telephone number posted on the MFM sticker located at the upper left corner of the vehicle's windshield. The operator will then notify the Supply Services Manager of any emergency maintenance, and coordinate a loaner vehicle if needed.
  - b. **Division Owned Vehicles.** The operator of the vehicle will contact the respective program manager directly. The program manager will coordinate any emergency vehicle repairs with the operator and the Fiscal Officer.
4. **Vehicle Washing.** MFM no longer pays for vehicle washes. The Office of State Budget and Management (OSBM) will allow one wash per vehicle each month and has established the maximum allowable charge of \$15.00 for a vehicle wash and \$2.00 tip per vehicle. The person who is assigned a vehicle will ensure the vehicle is kept clean. The following procedures are acceptable options for vehicle washing:
  - a. **Wright Express Fuel Card.** When refueling the vehicle at a gas station that offers an on-site car wash, the person or agency assigned the vehicle may select the option of charging a car wash using the Wright Express Fuel Card. The charge cannot exceed the maximum amount allowed by OSBM.
  - b. **Division P-Card.** The Division P-Card may be used for charging a vehicle washing or cleaning. However, the purchase must be tax exempt and the charge cannot exceed the maximum allowed by OSBM. Refer to DD 200-03 Purchasing on the procedures on how to use the P-Card. For division owned vehicles, the person assigned the vehicle may acquire vehicle cleaning supplies via the P-Card if:
    - (1) Any vehicle washing station use will exceed the OSBM authorized maximum (e.g. Volvo OTR tractor); or
    - (2) A vehicle washing station is not readily available; and
    - (3) The NCEM facility has appropriate devices to wash vehicles (e.g. Badin Warehouse).
  - c. **Blanket BDA Expense.** The vehicle wash or cleaning may be added to the Blanket Travel BDA as "Other" expense or listed as "Miscellaneous Expense," and claimed on the CCPS Travel Reimbursement Form. The appropriate explanation for the expense must be indicated on the form and the charge cannot exceed the maximum amount allowed by OSBM.

V. References:

A. *Motor Fleet Management Division Regulations Manual*  
<http://www.doa.state.nc.us/mfm/page1000.htm>

B. DROC Motor Pool Vehicle Schedule

VI. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VII. Coordination

Operations \_\_\_\_\_ Logistics \_\_\_\_\_ Recovery \_\_\_\_\_ GTM \_\_\_\_\_ Plans \_\_\_\_\_

Approved:

H. Douglas Hoell, Jr.  
Director

\_\_\_\_\_  
(Date)

North Carolina Emergency Management Division Directive 100-40  
**NCEM Self Inspection and Evaluation Program**

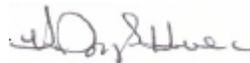
- I. Purpose. The purpose of this document is to establish a self inspection and evaluation program for North Carolina Emergency Management. The purpose of this program is to assure the North Carolina Emergency Management program consistently and continually meets Emergency Management Accreditation Program standards. Further, it is to assure compliance with all division directives, plans, manuals, and other applicable publications that are authoritative or directive in nature.
- II. Policy. North Carolina Emergency Management and State Emergency Response Team (SERT) members are expected to adhere to directives, policies, and procedures included in these documents. To assure this, the NCEM Self Inspection and Evaluation Program is established. This self-inspection and evaluation program is intended to cover the entire North Carolina Emergency Management Program—not just the Division of Emergency Management.
- III. Responsibilities.
  - A. The Director of Emergency Management has overall responsibility for the Self-Inspection and Evaluation Program.
  - B. The Deputy Director has responsibility for detailed execution of the Self-Inspection and Evaluation Program. He/she is responsible for preparation of self-inspection checklists, conducting and documenting self-inspections, and for leading action to correct deficiencies found during self inspections.
  - C. All Emergency Management members are responsible to carry out self inspection and evaluation tasks assigned them by the Deputy Director.
- IV. Procedures.
  - A. The Deputy Director will task each Section Chief to prepare self-inspection checklists for his/her section using applicable governing documents and current EMAP standards. Self-inspection checklists will be stored electronically and in hard copy in a Division Self-Inspection Binder.
  - B. The Chief of Information and Planning will prepare a self-inspection checklist format by examining governing directives and EMAP standards, and where specific requirements are found, rephrasing such requirements into questions. A sample is provided at Attachment 1 to this Directive. This format will be used by other Emergency Management sections in preparing their own tailored self-inspection checklists. A format for Section-specific submissions to the overall self-inspection report as well as a format for the overall self-inspection report is provided at Attachments 2 and 3 to this Directive.
  - C. The Deputy Director will order and lead an annual self inspection and evaluation to be completed no later than 15 November each year. Areas for self inspection will be assigned to as many Emergency Management members as necessary to assure a comprehensive and exhaustive examination of the North Carolina Emergency Management Program.

- D. Emergency Management members assigned self-inspection duties will, through their branch managers and section chiefs, submit to the Deputy Director completed checklists and suggested inputs to the overall self-inspection report no later than 1 December each year.
  - E. The Deputy Director will direct completion of a division/program self-inspection report to be submitted to the Director of Emergency Management by 15 December each year. This report will include a list of deficiencies, suggested actions to correct deficiencies, names of persons assigned to correct deficiencies, and suspense dates to complete corrective action.
  - F. The Deputy Director will provide, on a schedule established by the Director, regular updates on progress toward correcting deficiencies. These updates will continue until all open deficiencies are closed.
  - G. The Director of Emergency Management will determine when corrective action is sufficient to close each deficiency and will similarly determine when all deficiencies are corrected and the self-inspection report may be closed.
  - H. Self-inspection reports will be managed in accordance with Division Directive 100-05, Records Management.
- V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.
- VI. Attachments.
- A. Attachment 1. Sample Self Inspection Checklist
  - B. Attachment 2. Sample Self Inspection Report

VII. Coordination

Operations MS Logistics Silence Recovery Silence GTM Silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

18 April 2008  
(Date)

North Carolina Emergency Management  
 Self Inspection Checklist

EMAP Standard, September 2007, Chapter 3--Program Management

Inspector: \_\_\_\_\_

Standard/Question	Yes	No
<b>3.1 Program Administration, Plans and Evaluation</b>		
3.1.1 Is there an established and documented program that includes an executive policy or vision statement for emergency management and a strategic plan?		
3.1.1 Is the program developed in coordination with program stakeholders?		
3.1.1 Does the program define the mission, goals, objectives, and milestones for NC Emergency Management?		
3.1.1 Does the program include a method for implementation?		
3.1.2 Is there a documented method and schedule for program evaluation, maintenance and revision?		
<b>3.2 Program Coordination</b>		
3.2.1 Is there a designated emergency management agency, department, or office? Is the Agency empowered with authority to administer the program?		
3.2.2 Is there a designated individual empowered with authority to execute the program?		
<b>3.3 Advisory Committee</b>		
3.3.1 Is there a documented, ongoing process using one or more committees to provide for coordinated input by program stakeholders in the preparation, implementation, evaluation, and revision of the emergency management program?		
3.3.2 Does the committee meet with frequency sufficient to provide for regular program input?		

This page is intentionally left blank.

SAMPLE

North Carolina Emergency Management  
 Self Inspection Report  
 1 December 2008

Reference	Discrepancy/Inspector/Action	Action Officer	Status	Suspense
EMAP 3.1.2	Self evaluation program has not been implemented—RWall  Program established, but inspection is incomplete.	MSprayberry	Open	1Jan2009
NCEM DD 100-08	Division Legislative Program has not been implemented in accordance with directives. RWall  Directive/program written directives, but no program has been started.	BJones	Open	1Jan2009
NCEMM 1-2	SERC is not operating in accordance with established charter and bylaws. Properly empowered members/representatives are not attending. RWall  Charter/bylaws are published and approved but are not yet being followed.	GFaltinowski	Open	15Feb2009

North Carolina Emergency Management Division Directive 100-45  
**NCEM Suspense System**

- I. Purpose. The purpose of this document is to establish a suspense system for North Carolina Emergency Management. The intent is to provide a means for establishing milestones, deadlines, and monitoring progress toward completion of projects assigned to Emergency Management members.
- II. Policy. North Carolina Emergency Management members are expected to make regular progress toward completing assigned tasks. To assure progress and to keep senior management advised, it is useful to maintain a suspense system via spreadsheet that displays an always-current status report on each assigned task with high-level interest.
- III. Responsibilities.
  - A. The Deputy Director of Emergency Management has overall responsibility for establishing and managing the NCEM Suspense System.
  - B. The Director's Executive Assistant is responsible for day-to-day maintenance and management of the NCEM Suspense System.
  - C. The Assistant Director for Information and Planning is responsible for developing and modifying as necessary a NCEM Suspense System spreadsheet.
  - D. Each Assistant Director/Section Chief is responsible to select items to be included in the suspense system, assign suspense dates, monitor progress toward task completion, and to apply Senior Staff emphasis as needed.
  - E. All Emergency Management Action Officers are responsible to keep the NCEM Suspense System spreadsheet current as it relates items assigned to them
- IV. Procedures.
  - A. The Deputy Director will identify those tasks to be included in the Director's portion (labeled DDD) of the NCEM Suspense System spreadsheet. Items included in the DDD portion of the spreadsheet will normally be reviewed during the Director's regularly scheduled Senior Staff meeting.
  - B. Each Assistant Director/Section Chief will identify those tasks to be included in his/her portion of the NCEM Suspense System Spreadsheet. Section labels are as follow.
    1. Operations: OPS
    2. Logistics: LOG
    3. Information & Planning I&P
    4. Recovery REC
    5. Geospatial & Technology Management GTM

C. The Director's Executive Assistant will:

1. Post the NCEM Suspense System Spreadsheet electronically on a common drive or at the NCEM sharepoint as appropriate.
2. Monitor the NCEM Suspense System Spreadsheet for currency.
3. Contact NCEM Action Officers as necessary to assure current status is posted, especially for those items labeled "DDD".

D. Each NCEM Action Officer will update status on his/her assigned tasks at least weekly so that the most current information is available for Monday morning senior staff meetings.

V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Attachment. Sample NCEM Suspense System Spreadsheet.

VII. Coordination

Operations \_\_\_\_\_ Logistics \_\_\_\_\_ Recovery \_\_\_\_\_ GTM \_\_\_\_\_ Plans \_\_\_\_\_

Approved:

H. Douglas Hoell, Jr.  
Director

\_\_\_\_\_  
(Date)

North Carolina Emergency Management Division Directive 100-55  
**Preparing, Coordinating, and Issuing North Carolina Emergency Management Documents**

- I. Purpose. The purpose of this Directive is to establish and describe a system for preparing, coordinating and issuing North Carolina Emergency Management documents that apply to the North Carolina Emergency Management Program, the North Carolina Division of Emergency Management, and elements within the Division of Emergency Management. These documents include and can be considered according to the following hierarchy:
  - A. Doctrine. North Carolina Emergency Management Doctrine applies to the Emergency Management Program as a whole. It applies to state and local emergency management activities. Doctrine is authoritative, but not directive in nature. Before publication, Doctrine is coordinated through and approved by the State Emergency Response Commission.
  - B. Policy Papers. From time to time the Director of Emergency Management will find it necessary to issue North Carolina Emergency Management Policy Papers. These papers normally involve activities of at least two State Emergency Response Team agencies. They are coordinated among impacted agencies, and they may be directive as well as authoritative. Policy papers are effective after appropriate coordination and when signed by the Director of Emergency Management. New policy papers are presented for comment quarterly to the State Emergency Response Commission (SERC) in their capacity as advisory committee to the North Carolina Emergency Management Program.
  - C. Plans. Plans are documents written as guidance for and documentation of long-range goals as well as for Emergency Management activities in response to, recovery from, and mitigation of any of several hazards, emergencies and disasters. Plans often apply to state agencies outside the Division of Emergency Management, and they are coordinated among all agencies included in them. Specific direction for plans is included in NCEM Division Directives 900-01 through 900-04.
  - D. Division Directives. Division Directives are documents prepared to establish Policy, Responsibilities, and Procedures for the Division of Emergency Management in its activities in support of the North Carolina Emergency Management Program. Division Directives apply only to the Division of Emergency Management and are coordinated and published in accordance with NCEM Division Directive 100-01.
  - E. Procedures/Guidelines. Procedures and guidelines are issued below division level as aids in implementing plans, policies, and directives. There is no prescribed format for these documents, and they need not be coordinated or approved above the branch or section level.
- II. Policy. North Carolina Emergency Management documents are expected to be consistent with one another according to the hierarchy listed above. That is, procedures/guidelines must be consistent with the directives or plans they're designed to implement. Directives and plans must be consistent with published policy and doctrine. Policy papers must be consistent with doctrine.

III. Responsibilities.

A. Doctrine.

1. The Director of Emergency Management is responsible to assign a staff member to prepare the NCEM Doctrine document, and, when it is complete to his/her satisfaction, to offer the NCEM Doctrine document to the State Emergency Response Commission (SERC) for approval.
2. Each NCEM staff member is responsible to read and understand published North Carolina Emergency Management Doctrine.

B. Policy Papers.

1. The Director of Emergency Management has responsibility for the North Carolina Emergency Management Policy program. He/she is responsible to ensure policy papers are properly coordinated among impacted agencies, and he/she is responsible to present new policy papers to the SERC for comment. No policy paper will go into effect until it is approved and signed by the Director of Emergency Management.
2. The Director's Executive Assistant is responsible for publishing and maintaining North Carolina Emergency Management Policy Papers.
3. Each Assistant Director/Section Chief is responsible to coordinate content of proposed policy papers within his/her section and to review/approve suggestions for North Carolina Emergency Management policy that originate within their sections.
4. Each NCEM staff member is responsible to read and understand published policy papers.

C. Plans. Responsibilities for plans are listed in NCEM DD 900-01 through 900-04.

D. Division Directives. Responsibilities for division directives are listed in NCEM DD 100-01.

E. Procedures/Guidelines. Section Chiefs and Branch Managers are responsible to prepare and publish procedures/guidelines as appropriate for their sections and branches.

IV. Procedures.

A. Doctrine.

1. The Director will:
  - a. Appoint a staff member to prepare a draft North Carolina Emergency Management Doctrine.

- b. Direct coordination of the Doctrine draft with the NCEM Staff, review the Doctrine draft with staff comments, and provide changes to the staff member assigned Doctrine duty.
  - c. Offer the Doctrine draft for comment from other state agencies and county/local emergency managers.
  - d. Submit the final Doctrine draft to the State Emergency Response Commission (SERC) for approval.
2. The staff member assigned the Doctrine duty will:
- a. Prepare a draft doctrine document for coordination with the NCEM Staff and ultimately for the Director's approval. Make changes according to the Director's instructions.
  - b. Post the draft document on the NCEM web site in a place convenient for County and local emergency management review and comment.
  - c. Prepare the final doctrine draft for the Director to submit to the SERC.
  - d. Upon SERC approval, post the Doctrine document to the NCEM web site and make further distribution as appropriate.

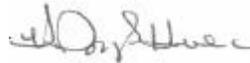
B. Policy Papers.

1. Any NCEM staff member may suggest and draft a North Carolina Emergency Management Policy Paper. Members will gain approval through established channels before presenting suggested policy to the Director of Emergency Management.
2. The Director's Executive Assistant will:
  - a. Format policy approved by the Director according to the example at Attachment 1 to this directive.
  - b. Number policy papers according to the convention established in Division Directive 0-2 and listed below. For example, the first Policy Paper on an Operations Subject will be Policy Paper 600-01.
    - (1) 100 Section (Daily Operations)---not used for Policy Papers
    - (2) 200 Section (Finance/Budget)
    - (3) 300 Section (Personnel)
    - (4) 400 Section (Technology Support)
    - (5) 500 Section (Publications)
    - (6) 600 Section (Operations)
    - (7) 700 Section (Assistance Programs)
    - (8) 800 Section (Logistics, Exercises, and Training)
    - (9) 900 Section (Plans)

- c. Assure coordination among impacted agencies is complete before policy papers are offered to the Director for signature.
  - d. Maintain a binder of current policy papers and post them to an appropriate place on the Emergency Management web site.
3. The Planning Support Branch Administrative Specialist will assist the Director's Executive Assistant in carrying out the duties listed in paragraph IV A above.
- C. Plans. Procedures for plans are listed in NCEM DD 900-01 through 900-04.
  - D. Division Directives. Procedures for division directives are listed in NCEM DD 100-01.
  - E. Procedures/Guidelines. Procedures for preparing and publishing procedures and/or guidelines will be as established by section chiefs and branch managers.
- V. Attachments: Attachment 1, NCEM Policy Paper Format Example
- VI. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.
- VII. Coordination.

Operations MS Logistics Silence Recovery EY GTM Silence Plans EW

Approved:



H. Douglas Hoell, Jr.  
Director

5 August 2010  
(Date)



## North Carolina Emergency Management POLICY PAPER 600-01



### North Carolina Hurricane Evacuation Policy July 23, 2009

In the State of North Carolina, twenty (20) counties located in the coastal plain are at risk to storm surge flooding resulting from land falling hurricanes. With an approaching hurricane, it will be in the interest of public safety to evacuate people at risk to areas further inland that are not subject to the effects of hurricane storm surge flooding. A comprehensive hurricane evacuation and sheltering guide entitled the Coastal Region Evacuation and Sheltering Standard Operating Guide was completed and distributed in October of 2007. The document is available for review at [www.nccrimecontrol.org](http://www.nccrimecontrol.org) under the Division of Emergency Management (Documents). Appendices D, E and F include the Highway Patrol Troop A and B Coastal Region Evacuation Plans, and the I-40 Reversal Plan.

When a tropical system poses potential threat to the coastal plain of North Carolina, a series of conference calls are conducted to ensure each county at risk is adequately informed of the potential impact, traffic clearance times, and location of available public shelters. Decisions to evacuate are made at the local level, and conveyed to the state. Evacuation measures are implemented at the local level utilizing local resources with supplemental state support. The State Emergency Response Team facilitates the regional activity necessary to accomplish an effective movement of evacuees to safer host counties.

The management of evacuating traffic is done in partnership between local law enforcement agencies and the North Carolina State Highway Patrol (see Troop A and B Coastal Region Plans). Additionally, North Carolina has a written plan for the reversal of I-40. The I-40 reversal plan was developed as a result of a traffic issue that developed during the Hurricane Floyd evacuation in September 1999. The plan has never been implemented for a hurricane evacuation, and subsequent traffic studies have demonstrated that an I-40 reversal may not save as much time as first thought.

It is the policy of the State of North Carolina to follow the written planning that we have developed for hurricane evacuation. All actions will be coordinated with local governments through a series of conference calls to ensure proper and timely actions are taken. The State Highway Patrol's Troop A and B Coastal Region Evacuation Plans will serve as the primary basis for traffic management for coastal evacuations, and any potential implementation of the I-40 Reversal Plan will be based on very specific hurricane tracking parameters and remains a decision that will be made by the Secretaries of the Departments of Transportation and Crime Control and Public Safety in consultation with the Governor.

When significant events like hurricanes threaten the State of North Carolina, it is the responsibility of local governments and the state to gather the facts concerning the potential risks, evaluate those facts, and to make and implement effective decisions. Our efforts must be coordinated and complementary. The public also bears responsibility to heed the evacuation orders and be prepared to act accordingly.

H. Douglas Hoell, Jr.  
Director of Emergency  
Management



North Carolina Emergency Management Division Directive 200-01  
**BDA Processing**

- I. Purpose. This directive is intended to supplement the NC Department of Crime Control and Public Safety Administrative Policies and Procedures Manual (CCPS Directive No.B.2) by providing Division employees with a comprehensive reference for uniform interpretation to complete and submit Budget Division Authorization (BDA) forms (CCPS Form #153). Division employees should refer to the CCPS Administrative Policies and Procedures Manual with additional questions on BDAs. Additional travel policies & regulations can be found in the State Budget Manual.
- II. Policy. Division employees will adhere to State, Department, and Division policies detailing reimbursable expenses as provided in CCPS Directive No.B.2 when completing and submitting BDAs.
- III. Responsibilities.
  - A. Division employees are personally responsible for the correct completion and submission of their BDA form to the Director's office no later than 30 business days prior to the event requiring the BDA – **this includes Blanket BDAs**. If the BDA must be submitted less than 30 business days prior to the event, an explanation from the employee and the employee's supervisor must be attached when forwarded to the Director's office. Processing time for approval of BDAs is usually no less than ten (10) working days.
  - B. For travel requiring payment of **registration costs**, the BDA should be submitted at least **45 business days** prior to travel to allow time for processing and payment of registration fees. The registration form for each traveler on the BDA must be attached to the BDA, including the Federal ID number for the group to which the registration is being paid, along with clear instructions for mailing the registration payment. Processing time for approval of BDAs is usually no less than ten (10) working days.
  - C. If the employee will be **traveling at the invitation** of the Federal Emergency Management Agency (FEMA) or any other agency, and all associated costs will be covered or reimbursed by the inviting agency, the employee must still submit a BDA for the travel.

D. Travel Advances

1. All employees who travel on state business may be issued advance travel pay when authorized by the department head or his or her designee in order that personal funds will not be required.
2. Eligibility for advances and reporting requirements are as follows:
  - a) **Travel Advances for occasional travel** must not exceed the estimated cost of the trip and may not be issued more than five working days prior to the date of departure. Advances must be deducted from the reimbursement request on the travel expense report which shall be submitted within 30 days after travel period or June 30, whichever comes first. When applying for a travel advance, the department Employee Advance Request form must be filled out along with a supervisor's signature (See note 1 below).
  - b) **State employees who have been issued credit cards** for travel purposes should **not** be issued travel advances, unless there is substantiated justification.
  - c) If an employee has money left from the advancement, a check for the difference must be written and sent to CCPS along with a completed travel expense reimbursement form and receipts.
  - d) After completing the trip and if the travel advance exceeds the amount requested in travelers reimbursement request, a check for the difference must be written and sent to CCPS along with a completed travel expense reimbursement form and receipts.
3. **To obtain a travel advance** an employee must submit a completed Employee Advance Request Form with his/her supervisor's signature, along with a copy of the fully approved BDA must be attached with the request.

**(Note 1:** Per an email from CCPS Travel Section dated December 5, 2008 - Submission of a travel advance submitted before Friday at noon will be cut on the following Thursday's check run, otherwise it will be the following Thursday (10 business days later).

IV. Current Rates for Meals, Hotel, and Mileage

- A. Current rates (as of 07/01/07) for State employee meals and lodging for in-state and out-of-state travel are as follows:

	<u>In-State</u>	<u>Out-of-State</u>
Breakfast	\$ 7.50	\$ 7.50
Lunch	\$ 9.75	\$ 9.75
Dinner	\$16.75	\$ 19.00
Hotel (actual, up to)	<u>\$63.75</u>	<u>\$ 75.50</u>
Total	<u>\$97.75</u>	<u>\$111.75</u>

- B. Instructions on which meals can be claimed, and when, is provided in the CC&PS Policies & Procedures Manual at Directive B.1, and in the NCEM Travel Voucher Submission Instructions.
- C. Division employees who choose to drive their personal vehicle when a state-owned vehicle is available will be reimbursed at the rate of **33 cents per mile**. Division employees who must use personal vehicles when no state-owned vehicles are available will be reimbursed at the rate of **55 cents per mile**. To get the 55 cents per mile rate, the motor pool dispatcher must stamp the Motor Fleet FM-2 form before the trip is made in a private vehicle, indicating motor pool vehicle **is** unavailable when needed. The stamped form must be attached to the travel voucher.

V. Procedures for Completing BDAs.

- A. Division employees will use the automated electronic BDA form located on the R drive at R:\FORMS\BDA-XP for downtown Raleigh staff and the Q drive at Q:\FORMS\BDA-XP for the DROC. This automated form will perform the default computations for the user. In order to use this form the employee must copy it from the "R" or "Q" drive onto his/her computer.

Instructions for completing each section are as follow:

**ACTION REQUESTED SECTION**

The Action Requested Section indicates the type of BDA being submitted, i.e., Initial Request, In-State Excess, etc., and is selected by clicking in the appropriate box. Attention to detail is crucial when completing this task because it details the type of expenses expected to be incurred on each travel day.

DATE SUBMITTED

Enter the date the BDA is filled out. The program does not automatically insert the date for you. When revising a BDA, enter the date of the revision.

TRAVELERS

List the name of each traveler covered under this BDA. For classes, you may list "Students and Instructors – see attached" and attach the list of names.

TRAVEL TO (CITY)

Enter the name of the city to which you are traveling.

STATE

Enter the correct state abbreviation.

SOURCE OF FUNDS

Enter the full Cost Center number, to include grant year if applicable, to which the travel is to be charged, which should be obtained from the Branch/Section Manager. Make sure you have sufficient funds before you send the BDA forward for approval.

MODE OF TRANSPORT

Enter mode of transportation (i.e. state vehicle, airline, etc.)

SUBSIST EXPENSE MAX

No entry is required here.

PERIOD BEGINNING

Enter the date travel is to begin.

PERIOD ENDING

Enter the date travel is to end.

PURPOSE AND EXPLANATORY REMARKS

In this section, provide a short and concise explanation of the requested travel. Include the event name ("Hurricane Mike", for example) if applicable.

LIST OF OTHER STAFF MEMEBERS MAKING TRIP

Include the names of other staff members making trip here, or, type in "See Attached List", and attach a list of travelers to the completed BDA before submission.

NUMBER OF TRAVELERS

Enter the total number of travelers.

REGISTRATION COST PER TRAVELER

Enter the registration cost per traveler. If there is more than one traveler, the system will compute the total. Attach the completed registration form for each traveler, including the Federal ID number for the group to which the registration is being paid, and include clear instructions for mailing the registration. BDAs requiring registration payments should be submitted at least 30 days in advance of travel.

# AIRLINE TICKETS

Enter the number of airline tickets required. Please note the Division of Emergency Management is required to use Prestige Travel to purchase all airline tickets. Prestige Travel may be reached at 919-787-8083. Airline tickets should not be purchased/ reserved until the BDA is approved.

AIRFARE PRICE

Enter the price of one airfare. If there are additional travelers, the system will compute the total price for all travelers.

# OF RAIL TICKETS

Enter the number of rail tickets required.

RAIL PRICE

Enter the price of one rail fare. If there are additional travelers, the system will compute the total price for all travelers.

# HOTEL NIGHTS

Enter the total number of nights for one traveler. If there are additional travelers indicated, the system will compute the total cost.

HOTEL PRICE

Enter the per night hotel price.

NUMBER BREAKFASTS

Enter the total number of breakfasts for one traveler. If there are additional travelers indicated, the system will compute the total cost. The approved per diem is already in the system.

NUMBER LUNCHESES

Enter the total number of lunches for one traveler. If there are additional travelers indicated, the system will compute the total cost. The approved per diem is already in the system.

# INSTATE DINNERS

Enter the total number of instate dinners for one traveler. If there are additional travelers indicated, the system will compute the total cost. The approved per diem is already in the system.

# OUT OF STATE DINNERS

Enter the total number of out of state dinners for one traveler. If there are additional travelers indicated, the system will compute the total cost. The approved per diem is already in the system.

STATE VEHICLE MILES

If you are driving a state vehicle obtained from the Motor Pool, enter the anticipated round trip mileage. There are various internet sites that may be used to get a good estimate of one way and/or round trip miles for your destination.

PRIVATE AUTO MILES – 33 Cents

Enter the anticipated round trip mileage. If you drive your personal car instead of an available state vehicle from Motor Fleet, you will be reimbursed at the standard 33 cents per mile rate.

PRIVATE AUTO MILES – 55 Cents

Enter the anticipated round trip mileage. Division employees who must use their personal vehicle when no state-owned vehicles are available will be reimbursed at the rate of 55 cents per mile. To get the 55 cents per mile rate, the motor pool dispatcher must stamp the Motor Fleet FM-2 form before the trip is made in a private vehicle, indicating a motor pool vehicle is unavailable when needed. It must be attached to your Travel Voucher.

RENTAL CAR EXPENSE

Enter rental car expense, if required for the trip.

BUS, TAXI, LIMO EXPENSE

Enter bus, taxi, limo expense, if required for the trip.

OTHER

List any other expenses that might be incurred (parking fees, internet, etc.).

OTHER COST

Enter the anticipated amount for other costs and explain what they are.

BDA FORM REMARKS

If further explanation is required for any field, enter here (i.e., why state rate for hotel cannot be obtained, etc.). If more than one cost center is used, enter a breakdown of which cost center pays for what expenses (i.e., 1510-XXX for Travel, 1510- XXX for Food, etc.). Include instructions for mailing registration fees, if required with this travel.

PREPARED BY:

Enter the name of the employee preparing this BDA.

PHONE #:

Enter the phone number of the employee preparing this BDA.

EXTENSION #:

Enter the phone extension number of the employee preparing this BDA.

VI. BDA REVIEW AND REQUIRED ATTACHMENTS

Upon completion of the BDA form, the employee will attach a list of travelers (if not already listed on the BDA form), a meeting agenda (if applicable), registration form if registration fee is required, or any other descriptive information for the requested travel. Employee will then submit the BDA to their supervisor for review/approval.

VII. PROCEDURES FOR THE SUBMISSION OF THE BDA

1. Once the Claimant's Supervisor has reviewed and approved the BDA, employee should be given a copy, and the original forwarded up the chain of supervision to the Director's office.
2. ALL BDAs MUST BE DELIVERED TO THE ADMINISTRATIVE ASSISTANT IN THE DIRECTOR'S OFFICE TO BE DATE STAMPED AND LOGGED IN.
3. The Administrative Assistant forwards the BDA to the appropriate Assistant Director for approval/disapproval; the BDA is then returned to the Administrative Assistant for further routing.
4. If the BDA is disapproved by the Assistant Director, notation is made in the log book by the Administrative Assistant and returned to the appropriate Branch Manager.
5. If the BDA is approved by the Assistant Director, the Administrative Assistant will then forward to the Deputy Director for signature. The Deputy Director returns the BDA to the Administrative Assistant for further routing and log notation.
6. If the BDA is disapproved by the Deputy Director, the Administrative Assistant will note in the log book and return to the appropriate Assistant Director.
7. If the BDA is approved by the Deputy Director, the Administrative Assistant will forward to the Director for signature.

8. Once the BDA is signed by the Director, the Administrative Assistant will make a copy for the BDA book, make notation in the log, and forward the approved BDA to the Fiscal Section of the Dept. of Crime Control & Public Safety.
9. When the BDA is returned from the Dept., whether approved or disapproved, a copy is sent back to the requesting Section, where it should be distributed to all affected travelers, and a copy is placed in the BDA book and noted in the log.

REMINDER: A copy of the approved BDA shall always be submitted with the travel reimbursement form.

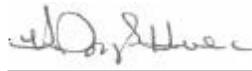
If any part of the travel changes before the travel date, a REVISED BDA must be prepared and submitted following the above directions.

This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

#### VIII. Coordination

Operations MS Logistics silence Recovery silence GTM silence Plans silence

Approved:



H. Douglas Hoell, Jr.  
Director

03-12-09  
(Date)

North Carolina Emergency Management Division Directive 200-02  
**Travel Reimbursement**

I. Purpose.

It is the intent of this section to supplement the NC Department of Crime Control and Public Safety Administrative Policies and Procedures Manual (CCPS Directive No.B.1) by providing Division employees with a comprehensive reference for uniform interpretation to complete and submit Travel Vouchers for reimbursement. Division employees should refer to the CCPS Admin. Policies and Procedures Manual with additional questions on [travel](#). Additional [travel policies & regulations](#) can be found in the State Budget Manual.

II. Policy.

Division employees will adhere to State, Department, and Division travel policies detailing reimbursable travel expenses as provided in CCPS Directive No.B.1 when completing and submitting Travel Vouchers

III. Responsibilities.

Each Division employee is personally responsible for the completion and submission of their Travel Voucher to CCPS-Fiscal (Travel) no later than 10 business days after the completion of the travel. Travel vouchers are to be sent via interoffice mail. Should this not be feasible, the mailing address for CCPS is NC Department of Crime Control and Public Safety, ATTN: Fiscal (Travel), 4701 Mail Service Center, Raleigh, NC 27699-4701

IV. Procedures.

A. Division employees will use the automated electronic Travel Voucher form located on the R drive at R:\FORMS\EM Travel Voucher for downtown Raleigh staff and the Q drive at Q:\Admin\FORMS\EM Travel Voucher for the DROC. This automated form will perform the default computations for the user. Claimant will complete the "Itinerary Section" of the Form first; this will place all computations automatically in the "AMOUNT" Section. \*Note: If Claimant types in a number or text on the form that needs to be changed/cleared out, press the "Delete" key to clear the information or the amount total will show an error value (#VALUE!). If you are not sure where your error is located try clicking on the "Undo Typing" arrow  on the toolbar until the #VALUE! error disappears.

B. Current Rates for Meals, Hotel, and Mileage.

Current rates for State employee meals and lodging for in-state and out-of-state travel area as follows:

	<u>In-State</u>	<u>Out-of-State</u>
Breakfast	\$ 7.75	\$ 7.75
Lunch	\$10.10	\$10.10
Dinner	\$17.30	\$19.65
Hotel (actual, up to)	<u>\$65.90</u>	<u>\$78.05</u>
Total	\$101.05	\$115.55

Division employees who choose to drive their personal vehicle when a state-owned vehicle is available on trips that exceed 100 miles round trip and when the Division/Deputy Director authorizes such use will be reimbursed at the rate of 30 cents per mile. Division employees who must utilize their personal vehicle when no state owned vehicles are available will be reimbursed at the rate of 51 cents per mile.

### C. Itinerary Section

The Itinerary Section includes the TRAVEL, TRANSPORTATION, SUBSISTENCE and MISCELLANEOUS EXPENSES sections. Attention-to-detail is crucial when completing this task as it details the expenses incurred each travel day by the Claimant. Instructions for each section are as follows:

#### 1. Travel

Under Day, enter the month, day and year of travel e.g. 1/2/11. The date should be completed for each day claimant is out of the office.

- a. From and To – Enter the city departed from and the city and/or state traveling to. For travel within North Carolina, you do not need to put the state abbreviation in the TRAVEL From and To section. However, if travel out of state, include the city and state abbreviation in the “From” and “To” section. On the second travel day, put the name of the city of travel in the “From” area. The day of return back to headquarters, put the city of departure in the “From” area and the returning to city in the “To” area.
- b. Depart – Enter the time departed headquarters. Please indicate the hours as AM or PM after the time, e.g. 10:03 AM or 2:05 PM.
- c. Arrive – Enter the time arrived at destination. Please indicate the hours as AM or PM after the time, e.g. 10:30 AM or 3:25 PM.
- d. Daily Private Car Mileage (0.30/mi) – If you have the Division/Deputy Director approval and you drive your personal car instead of an available state vehicle from Motor Fleet on a trip that exceeds 100 miles roundtrip, you will be reimbursed at the standard 30 cents per mile rate.
- e. Daily Private Car Mileage (0.51/mi) – Division employees who must use their personal vehicle when no state-owned vehicles are available and have the Division/Deputy Director approval will be reimbursed at the rate of 51 cents per mile. To get the 51 cents per mile rate, the motor pool dispatcher must stamp the Motor Fleet FM-2 form before the trip is made in a private vehicle, indicating a motor pool vehicle is unavailable when needed. It must be attached to the Travel Voucher.

#### 2. Transportation

This section includes mileage costs for In-State, Out-Of-State and Out-Of-Country travel. The Mode of Travel codes are G, A, O and P stand for:

G - Ground, rail, bus, taxi  
A – Air  
O – Other  
P – Private Car

Enter any G, A, or O costs in the appropriate In-State, Out-Of-State and Out-Of-Country column. Once the daily Private Car Mileage under TRAVEL has been entered, the dollar reimbursement cost will automatically be inserted in the In-State column. If travel is Out-Of-State then delete the default cost in the In-State column cell and the cost will automatically be moved to the Out-Of-State cell.

### 3. Subsistence

- a. This section is for entering meals and hotel costs for during travel. Enter in the appropriate cell the breakfast, lunch and dinner costs. The allowable costs for meals are located at the bottom of the Travel Voucher for In-State and Out-Of-State subsistence.
- b. For meals during daily travel allowances, refer to the CCPS [directive](#) under Section III-K – “Meals During Daily Travel.”
- c. For overnight stays in a hotel, motel, etc. be sure to include the daily hotel tax on the form. For example, if the hotel costs \$57.00 plus 8% tax, include the total cost of \$61.56 in the H - hotel column cell.

### 4. Miscellaneous Expenses

- a. Miscellaneous expenses which may include discretionary expenditures such as parking fees, tolls, storage fees, etc., are eligible for payment with a receipt. However, costs for non-receipt discretionary items will normally only be allowed up to \$5.00 per day. Write in the “Explanation” area what each discretionary charge was for.
- b. As previously noted, Claimants will adhere to the policies as outlined in CCPS Directive No.B.1 to ensure that their request for reimbursement meets Department and Division standards. Again, the automated form will compute most expenses. The remainder of the automated Travel Voucher will be completed by the Claimant.

### D. Administrative Section

All ten sections located at the top of the Travel Voucher form will be completed by the Claimant. Information should include the following:

1. Contact Phone # - Work number starting with the area code that CCPS-Fiscal can contact claimant with any questions. Include an extension number on the next line if applicable.
2. Payee's Name – First, Middle Initial, Last name of person requesting reimbursement
3. Division/Section – Division or Agency and section claimant works for

4. Social Security – Enter the last 4 digits of your Social Security number in this field
5. Employee Code – Enter the letters PE if a full time or time limited employee in the state payroll system. Enter the letters PN if claimant is not on the state payroll system.
6. Payee's Address –Street name or PO Box where mail is received.
7. Title – Working Job Title
8. Headquarters (City) – The city working in
9. City, State, Zip –City, state and zip code where mail is received.
10. Period Covered by this Request – The date(s) of travel costs incurred.
11. Claimant and Claimant's Supervisor will sign and date the form below these blocks.

D. Accounting Office Section

The tan area in the center of the Travel Voucher form entitled "Accounting Office Use Only" will NOT be completed by the Claimant.

E. Amount Section

1. Total expenses for transportation will be automatically entered in "Line No. 0001" in the "AMOUNT" column by the computer from Transportation totals.
2. Total expenses for meals will be automatically entered in "Line No. 0002" in the "AMOUNT" column by the computer from Subsistence totals.
3. Total expenses for hotel will be automatically entered in "Line No. 0003" in the "AMOUNT" column by the computer from Subsistence totals.
4. Total expenses for miscellaneous items will be entered in "Line No. 0004" in the "AMOUNT" column by the computer from "MISCELLANEOUS EXPENSES" totals.
5. Total expenses for Miscellaneous items that have their own cost center ACCOUNT Codes will be entered in "Line No. 0005" in the "AMOUNT" column by the computer from "MISCELLANEOUS EXPENSES" totals.
6. "Total Expense" and "Total Due (Owed)" amounts will be automatically entered in the "AMOUNT" column by the computer; "Less Advance" amount must be entered manually by the Claimant.

F. Company Section

The "COMPANY" Code 470 will have a 1 or 2 entered in the "COMPANY" column for each Line No. depending on the Cost Center used. "1" will be entered for Cost Centers used not beginning with the number "2" (e.g. 1510511, 1510516, 1510523). "2" will be

entered for Cost Centers beginning with the number “2” (i.e. disaster funded programs such as Public Assistance, Mitigation, Floodplain Mapping). Supervisor can tell which code to use, or refer to the “Source of Funds” block on BDA form for that information.

G. Account Section

1. For Line No. 0001 (TRANSPORTATION), Claimants will select one of the following pertinent codes to place in the “ACCOUNT” column:
  - a. 532711 for In-State Air Travel
  - b. 532712 for Out-of-State Air Travel
  - c. 532714 for In-State Ground Travel
  - d. 532714900 for In-State Ground Travel to Conferences/Workshops
  - e. 532715 for Out-of-State Ground Travel
2. For Line No. 0002 (SUBSISTENCE - Meals), Claimants will select one of the following pertinent codes to place in the “ACCOUNT” column:
  - a. 532724 for In-State Meals
  - b. 532724900 for In-State Meals at Conferences/Workshops
  - c. 532725 for Out-of-State Meals
3. For Line No. 0003 (SUBSISTENCE - Lodging-including Hotel Tax), Claimants will select one of the following pertinent codes to place in the “ACCOUNT” column:
  - a. 532721 for In-State Lodging
  - b. 532721900 for In-State Lodging at Conferences/Workshops
  - c. 532722 for Out-of-State Lodging
4. For Line No. 0004 (MISCELLANEOUS EXPENSES – tolls, baggage tipping, etc.), Claimants will select one of the following pertinent codes to place in the “ACCOUNT” column:
  - a. 532727 for In-State Miscellaneous Expenses
  - b. 532727900 for In-State Miscellaneous Expenses at Conferences/Workshops
  - c. 532728 for Out-of-State Miscellaneous Expenses
5. For Line No. 0005 (MISCELLANEOUS EXPENSES with assigned Cost Center ACCOUNT Codes – telephone service, gasoline, etc.), Claimants will select one of the following pertinent codes to place in the “ACCOUNT” column:

- a. 532521 for Rent/Lease-Motor Vehicle
- b. 532524 for Rent/Lease General Office Equipment
- c. 532811 for Telephone Service
- d. 533310 for Gasoline
- e. Claimants will place zeroes in the remainder of blocks in the "ACCOUNT" Section.

#### H. Center Section

Claimants will enter the Cost Center from which the travel is to be charged against in the "CENTER" Column. This number will be taken from the "Source of Funds" block located in the upper right hand corner of the Budget Division Authorization (BDA) Form (just to the right of the "Travel To" block). An example would be 15105C310. In this example the last two numbers "10" represent the Grant Year of the Cost Center from which the travel is being charged. Examples of exceptions to the above statement would be travel paid from Cost Centers 516 (Fixed Nuclear Planning/Receipt Support), 517 (Risk Assessment), and 523 (HAZMAT Regional Response Team). For these Cost Centers, no additional last two code numbers are required as they are either State Appropriated or federally funded with a specific grant year identifier built into the cost center number, so leave the last two cells blank on that line.

#### I. Accrual Code Section

The "ACCRUAL CODE" column, Checked by/Date blocks, and the A/P Accountant/Date blocks will NOT be completed by the Claimant.

#### J. Travel Voucher Review and Required Attachments

1. Upon completion of the Travel Voucher form, the Claimant will sign and date the form, then attach a copy of their approved BDA and all original expense receipts (meal receipts are not required) and then forward the form to the Supervisor for review. Copies of the BDA and expense receipts will be kept by the Claimant for backup documentation.
2. A sample of a completed Travel Voucher form is provided as a worksheet tab in the EM Travel Reimbursement file.

#### K. Submitting the Travel Voucher

1. Once the Claimant's Supervisor has reviewed, signed/dated and returned the Travel Voucher form to the Claimant, the Claimant will then make a copy of the signed Travel Voucher form and forward the reimbursement package (Travel Voucher form, BDA, expense receipts) to CCPS-Fiscal (Travel) for payment. If costs are incurred due to unforeseen circumstances that were not on the initial BDA, a short note signed by Claimant's supervisor explaining the charge must be attached to BDA to justify the cost for reimbursement.

2. If no reimbursement has been received by the Claimant after 12 business days, the Claimant should notify their chain of supervision by email. A copy of the Travel Voucher should be taken by the Claimant directly to the Deputy Director without delay for action. The Deputy Director will contact the CCPS-Fiscal Accounts Payable Section directly for a status update and notify Claimant of status.

V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination

Operations\_\_\_\_\_Logistics\_\_\_\_\_Recovery \_\_\_GTM \_\_\_\_\_Plans\_\_\_\_\_

Approved:

H. Douglas Hoell, Jr.  
Director

\_\_\_\_\_  
(Date)

This page is intentionally left blank.

## North Carolina Emergency Management Division Directive 200-03 Purchasing

### I. Purpose

The purpose of this division directive is to provide overall policy and procedural guidance for purchasing and procurement activities conducted by the Division of Emergency Management. It covers purchases made using purchase cards, E-Procurement, and expedited procedures when there is not time for routine procedures. Contracts for disaster goods and services and personal services contracts are covered in other Division directives. This policy and procedure document includes required steps to comply with North Carolina Executive Order 50.

### II. Policy

- A. It is the policy of this Division that all employees adhere to this document, the Department of Crime Control and Public Safety fiscal policies (found at <http://www.nccrimecontrol.org>), and the policies of the North Carolina Division of Administration, Division of Purchase & Contract (found at <http://www.ncpandc.gov>).
- B. The Deputy Director will approve purchases for the Director. The Assistant Director for Logistics will approve purchases in the Deputy Director's absence.
- C. The Assistant Director for Logistics is designated as the Division Purchasing Manager, and he/she will designate a Division Purchasing Officer to accomplish duties in paragraph IIID below.
- D. Purchasing will be decentralized to the section and branch level for routine purchases, and each subordinate office manager will designate a purchasing agent who receives purchasing training and accomplishes purchasing requirements.
- E. All purchasers will adhere to the policies set forth in North Carolina Executive Order 50. The executive order is applicable to all bid and awarded goods purchase orders.
- F. *When purchasing on behalf of other state agencies or local governments, purchasers will follow the procedures found in section IV. G of this document.*

### III. Responsibilities

- A. The Assistant Director for Logistics will manage a Division purchasing program consistent with applicable state laws, policies, and procedures.
- B. Supervisors will ensure personnel adhere to this document, designate purchasing agents for their organizations, and ensure they receive training.
- C. Purchasing Agents are appointed the responsibility to handle purchases within their branch or section. They maintain purchasing files for their branch or section, to include packing slip and shipping document files for their purchases. Purchasing Agents must

take a course instructed by CCPS Purchasing Office and must take the following courses offered by State Purchase and Contract Division:

1. P&C *Basic Purchasing 101*,
2. P&C *Basic e-Procurement* and/or CC&PS *e-Procurement*,
3. P&C *e-Quote*,
4. P&C *Basic IPS User Training*, and
5. P&C *Receiving*.

- D. Division Purchasing Officer, appointed by the Assistant Director for Logistics, will provide technical supervision and quality control over Division purchasing activities to ensure compliance with applicable laws, policies, and procedures. He/She will supervise a training program for purchasing agents and provide them with routine assistance on purchasing issues.
- E. Division Information Technology Purchasing Agents will handle purchases for IT equipment for the Division.
- F. CC&PS Purchasing Office supervises all purchasing activities within the department as specified in the CCPS Policy and Procedures Manual.
- G. N.C. Division of Purchase and Contract manages purchasing for all of State government and handles purchases in excess of \$10,000.
- H. N.C. Information Technology Services (ITS) manages IT purchases for State Government and handles IT purchases in excess of \$25,000.

#### IV. Procedures.

- A. There are several general rules that must be followed, regardless of the purchasing method used.
  1. We must buy items from Correction Enterprises if they have what we need.
  2. We must buy items that are on existing State contracts from State contract vendors.
  3. A minimum of three competitive bids are required for purchases costing more than \$500 unless disaster related purchases and time requirements are involved.
  4. We must use historically under-utilized businesses when practical and economically feasible.
  5. We must attempt to purchase recyclable products or products with recycled contents.
  6. All bids and awards for goods must be compliant with North Carolina Executive Order 50. The executive order can be found at:  
<http://www.governor.state.nc.us/NewsItems/ExecutiveOrderList.aspx>. North Carolina Preference Buyer Instructions can be found at:  
<http://www.doa.state.nc.us/pandc/Documents/NCPreferenceInstructionsToBidders.doc>.
- B. There are several methods which may be used to purchase items:
  1. Credit cards issued for individual travel expenses (in rare cases),
  2. Purchase cards,
  3. The State's E-Procurement system, and
  4. Expedited procedures for use during emergencies.

- C. American Express/Diners Club travel cards are strictly to be used to pay for authorized travel expenses listed on an approved Budget Division Authorization (BDA), the document which authorizes the travel. To obtain credit cards for official travel expenses, employees must apply through the Division Personnel Manager. Abuse of the issued credit card for unauthorized personal use is grounds for termination. Emergency

purchases during authorized travel must first be approved by the employee's supervisor, kept under \$500 dollars and relate to the duties associated with the authorized travel.

1. When filling out the BDA, the employee must enter the estimate emergency costs in the "miscellaneous" line.
2. The employee must seek prior approval from their supervisor to use the American Express or Diners Club credit card for emergency purchases.
3. Once authorization is received, the employee will make the purchase and keep a copy of the receipt.
4. After travel is completed, the employee must list any emergency purchases on the travel reimbursement form under the "miscellaneous" section and attach appropriate receipts.
5. The supervisor must validate the above has been done and initial next to the entry on the travel reimbursement form to annotate his/her approval of the authorized emergency purchase.
6. Travel vouchers must be processed in accordance with NCEM Directive Number A.1.

- D. Purchase Cards (P-Cards) may be issued to individuals at the Director's discretion and with CC&PS approval. P-Cards are used for routine purchases under \$500 dollars. P-Cards are also used during disaster activation to purchase required goods and services in amounts greater than \$500. Use of P-cards greatly simplifies purchasing and payment processes.

1. Personnel in the Division currently authorized to have P-Cards are: Branch Managers and their program assistants, the Logistics Operations Manager, the truck driver in Logistics operations, and the Homeland Security Branch Manager. Others may be authorized depending upon need.
2. P-Card holders must take a P-Card course, which covers CC&PS Purchasing Card Procedures, prior to being issued the card.
3. Card holders must follow the procedures outlined in the CC&PS Procurement Card Program Policy and Procedures Manual.
4. Card holders wishing to use the P-Card for a purchase must obtain email approval of the Deputy Director prior to making the purchase.
5. Card holders must not exceed the daily and monthly limits established for their card.
6. When the State Emergency Response Team is activated, the Division Budget Officer will coordinate increased disaster card limits with the Controller:
  - a. The Division Budget Officer will officially request from CC&PS Controller that P-Card threshold limits (each purchase, daily, and monthly) are increased appropriately based upon the needs of the disaster.
  - b. With Controller's approval, the CC&PS Purchasing Office will coordinate with the bank to adjust P-Card limits.

- c. Once thresholds are adjusted, the CC&PS Purchasing Office will notify the NCEM Budget Officer of the new limits by card holder name and the new limits (each purchase, daily, monthly).
  - d. P-Card users must not exceed their routine P-Card limits until notified that the increased limits are in effect.
  - e. The Budget Officer will notify all Section Chiefs when the increased limits are in effect.
  - f. During both activations and routine periods, P-Card users must:
    - (1) Obtain approval from the Deputy Director via email to use the P-Card to purchase an item.
    - (2) Stay within their allotted threshold limits.
    - (3) Annotate the incident/event name on each receipt.
    - (4) Process monthly statements for payment in accordance with the CCPS P-Card manual.
- E. The E-Procurement System must be used for all other routine purchases. The paragraphs below outline procedures for making routine purchases using the E-Procurement system.
- 1. Common process for any E-Procurement requisition.
    - a. Employee obtains approval for the purchase from his/her supervisor.
    - b. The supervisor ensures adequate funding is in place and gives the Purchasing Agent a cost center and account code.
    - c. The Purchasing Agent assists the employee in identifying the detailed specifications of items needing to be purchased.
    - d. The Purchasing Agent verifies whether the product is available from the North Carolina Correction Enterprises or on a State term contract (see below).
    - e. The Purchasing Agent enters a purchase requisition into the North Carolina e-Procurement system.
    - f. Every requisition requires a written justification so that approvers in the e-Procurement chain understand the reason for the purchase. The written justification may be entered into the "Comments" field for routine requisitions costing less than \$10,000 (\$25,000 for IT purchases); however, for more expensive purchases, the justification must be prepared as a memorandum for record in MS Word and attached to the requisition. The reason for using a Word document is that the justification can be easily edited and changed if required by supervisors in the approval chain, whereas entries in the "Comments" field can not be edited after they are entered. The memorandum must address the reason for the purchase, what is being purchased, why the items must be purchased, how the items will be used, and the source of funds (Federal or State). See Attachment 1 for a sample justification memorandum.
    - g. Supervisors in the e-Procurement approval chain will approve or deny the requisition. The Division Purchasing Officer is in the approval chain as a quality control agent to ensure Division and Department requirements are followed.
    - h. The CC&PS Purchasing Office's team buyers will review the purchase request, make corrections if necessary, and issue the purchase order (usually the day they receive it depending on volume of orders in a work queue).
    - i. The end user that requested the purchase shall receive said goods or services and notify his/her Purchasing Agent. At no time shall the original Purchasing Agent receive good/services directly where they are the end user.

2. Term Contract Commodities in any amount. Employees must purchase items that are on term contract from a term contract vendor unless the vendor cannot supply the item in the time frame required. A Term Contract is a contract administered by the Department of Administration (DOA) Division of Purchase and Contract (P&C). A term contract results from bids advertised by P&C and covers commodities used most frequently by all departments of State Government. Term contracts are legally binding agreements between the state and the awarded vendor to buy and sell certain items at certain prices for a specific period of time. To purchase an item on a term contract:
  - a. The same procedures outlined above for an e-Procurement requisition are followed.
  - b. The purchasing agent is able to select items on State contract from state contract catalogues built into the E-Procurement system.
  
3. Open Market/Non-Contract Purchases costing from \$500 to \$10,000.00 for non-IT items. Purchases of commodities not covered by an existing statewide term contract and not available from Correction Enterprises are called Open Market/Non-Contract Purchases. They must be purchased using the e-Procurement System.
  - a. For each purchase action, the Purchasing Agent must obtain a minimum of three (3) quotes with accepted NC Terms & Conditions. The only exceptions to these requirements are unscheduled repair requests and emergencies. All quotes must include the EO 50 paperwork.
  - b. The e-Procurement e-Quote system is an efficient means for obtaining competitive bids and should be used whenever possible. The Purchasing Agent enters the specifications of the product or service via e-Procurement as an e-Quote. A minimum of three vendors who have registered with the e-Procurement System must be selected. Vendors are then sent the e-Quote electronically and normally have from six to ten days to bid on e-Quotes. In emergencies, the purchasing agent may shorten the time limit to as little as four hours.
  - c. If the Purchasing Agent does not desire to use the e-Quote feature, then he/she must attach detailed specifications to the requisition so that CCPS Purchasing Agents can put the item out for bid. The specifications should not be so detailed as to limit competition. It is also a good practice to consult subject matter experts in other State agencies for developing accurate specifications.
  - d. In lieu of the e-Quote process, the Purchasing Agent may also solicit written bids from vendors which are then scanned and attached to the requisition. When this option is used, the purchasing agent must give the vendors written specifications upon which to bid so all vendors are bidding on the same requirements. The vendors must also sign and submit with their written bids a copy of the "NC Terms and Conditions" which is part of the e-Quote process. In light of these requirements, it is much easier to use the e-Quote procedure. All quotes, whether written or through e-Procurement must include the EO 50 paperwork.
  - e. When vendors respond to bids or e-Quotes, the Purchasing Agent must determine the "best value" or "most advantageous offer" based upon the quotes received, and convert the selected e-Quote into a requisition in the e-Procurement system.
  - f. The only exception to receiving three (3) quotes or bids for non-repair purchases is when the Division needs to purchase via a "sole source" vendor. Justifications for sole source must be prepared as MS Word documents and attached to the requisition.

- g. As noted in paragraph IV.E.1.f. above, a written justification for the purchase must be included in the "Comments" field within the purchase request. It will still include why the item or service is needed, the funding stream, and any other relevant information required. See Attachment 1 for a sample justification memorandum.
  - h. For brand specific items, the Purchasing Agent must include in the "Comments" the rationale for using a specific brand, such as standardization of equipment and training used by multiple teams.
4. Open Market/Non-Contract Purchases for Non-IT Commodities Greater Than \$10,000.00.
- a. These purchases are sent via e-Procurement to the Division of Purchase and Contract (P&C) who will execute the purchase.
  - b. The purchases must be entered into e-Procurement. Purchasing Agents must attach detailed specifications to the requisition if the line item descriptions are not sufficiently clear to stand alone. For brand specific items, the Purchasing Agent must include in the justification memorandum the rationale for using a specific brand, such as for standardization of equipment and training used by multiple teams.
  - c. Once approved by everyone in the Division and CCPS approval chains, the CC&PS Purchasing Office reviews the requisition for required documentation and forwards it to P&C for processing.
  - d. P&C prepares specifications for posting to their website which solicits vendor bids/proposals via the internet. This P&C listing is called the Interactive Purchasing System (IPS). All active bids can be viewed on the P&C website at this URL: <http://www.ips.state.nc.us/ips/pubmain.asp>. P&C will add the specific EO 50 paperwork to all bid packages.
  - e. It is important for the Division Purchasing Agent to contact vendors to let them know when P&C has posted the bid to their website. Many bids have been posted to this site without receiving any bid proposals because vendors did not know to look for the posting.
  - f. When bid proposals are received, P&C forwards them to the CC&PS Purchasing Office, which forwards them to the Division's Purchasing Officer.
  - g. The Purchasing Officer, working with the Purchasing Agent and the employee(s) that requested the items/services, review the bids and make a selection based upon "best value" or "most advantageous offer." Bid review documentation must include documenting EO50 responses from vendors.
  - h. The Purchasing Agent then prepares a written recommendation of the selected bid (with selection rationale) on official Division letterhead in the form of a memorandum from the Deputy Director to the CCPS Purchasing Officer. The Purchasing Agent forwards the signed recommendation memorandum, with all bid material, to CCPS Purchasing Office, maintaining a copy of the recommendation and all bid material on file. See Attachment 2 for a sample recommendation package.
  - i. The CC&PS Purchasing Office will review the bid packet and recommendation for completeness.
  - j. CC&PS Purchasing Office will prepare a letter for P&C recommending that the selected bid be awarded. The letter and proposed bid packet will be forwarded to P&C for processing.

- k. P&C will review the request packet for completeness and approve or gain approval from the Board of Awards.
  - l. Once approved, P&C will forward a letter of approval or a certification document to the CC&PS Purchasing Office.
  - m. CC&PS Purchasing Office will provide a copy of the approval to the Division's Purchasing Officer and issue a purchase order to the awarded vendor.
  - n. The Purchasing Officer shall notify the Purchasing Agent that award has been made and a purchase order placed.
5. Open Market/Non-Contract Purchases for Information Technology (IT) Commodities Greater than \$10,000.00 and Less Than \$25,000.00.
- a. Only Division Information Technology (IT) staff is authorized to purchase IT equipment. Additionally, most computers and computer equipment can only be bought during certain periods each year when State ITS conducts bulk purchases for all of State Government.
  - b. IT purchases are also required to be posted on the Interactive Purchasing System (IPS) due to the purchase amount.
  - c. Branch Managers and Section Chiefs will forward their IT requirements, along with cost center and account code information, to the Division IT Manager for procurement.
  - d. An IT Purchasing Agent will enter the requisition into the e-Procurement system and attach detailed specifications and the justification provided by the requestor. Justification will be entered in the "Comments" field within the e-Procurement purchase request. The IT Purchasing Agent shall determine whether the product is available from existing term contracts and enter the e-Procurement requisition accordingly.
  - e. The CC&PS Purchasing Office will assign a buyer for the requisitioned items.
  - f. The CC&PS Purchasing Office buyer will review the requisition for required documentation. If additional information is required, the requisition will be placed on hold until the requested information is submitted from the Division.
  - g. The CC&PS Purchasing Office buyer will prepare a bid document in the appropriate solicitation format and post it to the IPS for ten (10) days. An established time and date will be determined and referenced on the bid solicitation. Sealed bids will be solicited.
  - h. The CC&PS Purchasing Office buyer will receive, open and tabulate bids from the vendor community. All bids, once tabulated, will be provided to the Division's IT Purchasing Agent.
  - i. The Purchasing Officer, Purchasing Agent, and the requestor will review and make a formal recommendation for bid acceptance to the CC&PS Purchasing Office buyer on Division letterhead. The recommendation letter, signed by the Division's Deputy Director or Assistant Director for Logistics, with all original bid materials attached, must be forwarded to the CC&PS Purchasing Office buyer.
  - j. The CC&PS Purchasing Office buyer will validate the recommended bid package for completeness, post an award on the IPS system and initiate a purchase order to the awarded vendor.
  - k. CC&PS Purchasing Office will provide a copy of the approval to the Division's Purchasing Officer, who will notify interested Division personnel.

- I. Open Market/Non-Contract Purchases for IT Commodities Greater Than \$25,000.00. Proposed purchases that exceed \$25,000.01 are forwarded via e-Procurement to the N.C. Office of Information Technology (ITS) for processing. Procedures are the same as described above for IT purchases up to \$25,000, except that State ITS posts the purchase proposal to the Interactive Purchasing System instead of CCPS Purchasing Office and a written justification memorandum in MS Word must be attached to the e-Procurement purchase request.
  
- F. Emergency purchasing procedures are covered in detail in the Logistics Emergency Operations Center SOP. They are summarized below.
  1. During emergency or disaster conditions, purchased goods and services are needed much sooner than can be procured using routine procedures. Emergency procedures are used to meet the time requirements while still ensuring that: the purchase is approved at the appropriate level, that a written purchase order is used to make the purchase, and that the purchase is entered into the e-Procurement with 24 hours. The latter requirement ensures the purchase is documented in the N.C. Accounting System which also facilitates invoice payment using normal procedures. Personnel from State P&C, working as a Purchasing Unit in the Logistics Section, conduct all emergency purchases costing more than \$500, except for purchases made using P-Cards by field personnel. Disaster related time-constrained purchases are exempt from the requirement to obtain three bids. When obtaining bids, the Purchasing Agent must attach the EO 50 paperwork.
  2. Occasionally, during non-disaster periods, the need arises to purchase items costing more than \$500 more quickly than routine procedures make possible. The following procedures will be used in these instances:
    - a. Email the Division Purchasing Officer with the item(s) to be purchased with the justification for the purchase, the reason expedited procedure is required instead of routine purchase, and the cost center/account to be used. The email must "copy" the appropriate Branch Manager and Assistant Director.
    - b. The Division Purchasing Officer will obtain the approval of the Deputy Director.
    - c. The Division Purchasing Officer will then designate a Logistics Purchasing Agent to prepare a written purchase order, make the purchase, and enter the follow-up requisition into e-Procurement. The billing address on the PO must be:  
NC Division of Emergency Management  
Attn: Accounts Payable  
4713 Mail Service Center  
Raleigh, NC 27699-4713
    - d. An emergency purchase order number must be used so the vendor has a PO number to place on the invoice to identify the purchase. The emergency PO number must use the letters "EM" followed by the six digit date (MMDDYY) and a sequence number, usually "-01." An emergency PO number made on December 15, 2008 would be "EM121508-01."
    - e. The availability of this procedure must not be abused by over use.
  
- G. When purchasing equipment on behalf of other state agencies or local governments, the following procedures shall be followed:

1. The purchasing agent shall ensure the equipment being purchased is authorized and eligible under the grant guidance by reviewing the guidance with the respective Program Manager.
2. Use account code of 536XXX *Aid & Public Assistance* or *Aid to Local Governments*.
3. Obtain written approval from the Director or Deputy Director to make the purchase on behalf of the outside entity.
4. Obtain the funding source (cost center) that will be used to purchase the equipment from the program manager.
5. Check the North Carolina Accounting System (NCAS) SA02 report to:
  - a. Validate that the appropriate 536XXX account code has been established within the cost center; and
  - b. Validate that sufficient funding is available in the appropriate 536XXX account code within the cost center.
6. If the appropriate 536XXX account code is not established within the cost center or there are insufficient funds within the account code to acquire the equipment, then prepare a BD-701 Budget Revision Form and submit it to the Division Accountant.
7. When the account code is established within the cost center and it has sufficient funds to cover the expenditure, develop the Memorandum of Agreement (MOA) in accordance with NCEM DD 200-07 Contractual Agreements.
8. Once the MOA is signed by all parties, forward it to the Division Accountant.
9. The Division Accountant will forward the MOA to the CCPS Fiscal Section.
10. CCPS Fiscal will prepare a cost report and forward it through the chain of command to the purchasing agent.
11. The purchasing agent creates the requisition into e-Procurement only when the steps above are completed.
12. The program manager will receive the property, and provide:
  - a. A copy of the documentation to the purchasing agent; and
  - b. Originals to the Division Property Officer for processing along with a copy of the requisition order.
13. The purchasing agent will receive the item into e-Procurement.
14. The program manager will complete the cost report, and provide the cost report and a copy of the invoice to the Division Accountant for payment processing.
15. Property will be transferred to the receiving agency in accordance with NCEM DD 830-01 Fixed Asset Management. The receiving agency is responsible for fixed asset processing and, if applicable, title and tag processing for vehicles and trailers.

V. Coordination

Operations \_\_\_\_\_ Logistics \_\_\_\_\_ Recovery \_\_\_\_\_ GTM \_\_\_\_\_ Plans \_\_\_\_\_

Approved:

H. Douglas Hoell, Jr.  
Director

\_\_\_\_\_  
(Date)

North Carolina Emergency Management Division Directive 200-05  
**Budget Management**

- I. Purpose. The purpose of this document is to establish budget management for North Carolina Emergency Management. The purpose of such a program is to ensure that budgets are established, maintained and expenditures/expenses do not exceed the allowable state appropriations or receipt revenues designated for the cost center.
- II. Policy. GS 143-1-1 (State Budget Act), The Office of State Budget and Management (OSBM), Office of State Controller (OSC) and Crime Control and Public Safety (CCPS) requires all budgets in cost centers be balanced. To accomplish this requirement any cost center that is supported with state appropriation funding be within balance and not exceed the authorized funding amount at the end of the state fiscal year, June 30th. Cost centers that involve federal funding cannot exceed the grant award amount at the end of grant period of performance. To assure this, NC Emergency Management Budget Management is established.
- III. Responsibilities.
  - A. The Director of Emergency Management has overall responsibility for the Budget Management.
  - B. The Deputy Director has responsibility for detailed budget management for all cost centers that are the responsibility of the Division. Responsibilities include:
    1. Ensuring all active cost centers have budgets established and are within the authorized state appropriation funding, receipt based funding and federal grant, funding budget throughout the state fiscal year and/or the life period of performance of the grant.
    2. Ensuring that cost centers and grants expenditures do not exceed their authorized funding amount.
    3. Conduct monthly Budget Briefback meetings on the status of the cost centers with Assistant Directors, Branch Manager and or Program Manager (PM).
  - C. The Assistant Directors have responsibility for detailed budget management and execution for all cost centers within their Branch. Responsibilities include:
    1. Ensuring all active cost centers have budgets established and are maintained within the authorized funding amount throughout the state fiscal year and/or life period of performance of the grant.
    2. Ensuring that cost centers and grants expenditures do not exceed their authorized funding amount.
    3. Provide guidance to the Branch Manager and Program Manager on the implementation and operation of the budget.
    4. Review the budget briefback material prior to Budget Breifback meeting.
    5. Attend the monthly Budget Briefback meetings.
    6. Review budget revisions submitted by the Program Manager.

D. The Division Fiscal Unit is responsible for the following:

1. Ensure cost centers and grant expenditures are within their authorized funding amount.
2. Be the liaison between the Division and CCPS on budgetary issues.
3. Provide technical assistance and guidance to Division staff and PM.
4. Resolve budget and cost center issues.
5. Review budget revisions submitted by the program managers.
6. Attend the monthly budget briefback meetings.

E. The Program Manager (PM) is responsible for ensuring their funding source (state appropriations, receipts or federal grants) are assigned cost centers and have budgets established before any expenditures are charged to it. Additionally, he/she is responsible along with management, for ensuring that expenditures/expenses do not exceed the funding source authorized amount.

F. Other Branches or Program Managers that have funds designated within a particular cost center or have expenditures/expenses charged to the cost center but do not manage the cost center will coordinate with the cost center Program Manager on expenditures/expenses and budget.

IV. Procedures.

A. The Deputy Director will:

1. Notify Assistant Directors, Branch Managers and Program Managers the date and time for the monthly budget briefback and conduct the briefback.
2. Take appropriate action to balance authorized budgets.
3. Approve or disapprove budget revisions submitted by the Program Managers.
4. Forward approved initial and revised budgets to CCPS-Fiscal.

B. Assistant Directors will:

1. Review with Branch Managers and Program Manager cost center data prior to scheduled budget briefback meeting.
2. Take appropriate action to expend funds in accordance with eligibility guidance and balance authorized budgets.
3. Review all issues identified by Branch Manager and or Program Manager, take appropriate action to resolve issues, and report action at budget briefback meeting.
4. Approve or disapprove budget revisions submitted by the Program Managers and forward approved revision to Fiscal Unit.

Formatted: Indent: Left: 0.49"

C. The Fiscal Unit will:

1. Assist the Program Managers on the establishment of budgets and understanding the budgeting requirements and processes.
2. Assist the Deputy Director, Assistant Director, Branch Manager and Program Managers in ensuring their budgets are balanced and are not exceeding their authorized funding amount.

OPR: \_\_\_\_\_

3. Coordinate with CCPS-Fiscal on the establishment of disaster cost centers as needed. Coordinates with the Recovery Section on disasters cost center budgets.
4. Review initial budget submissions and budget revision changes submitted by the Program Manager.
5. Forward budget submissions and revision changes to the Deputy Director for review and approval.
6. Maintain a budget revision tracking log for revisions submitted.
7. Resolve issues identified during the monthly budget briefback meeting and at any other time when notified. Provide feedback to the Program Manager on resolution of problems/issues.
8. Process all accounts payable invoices for the Division. Submit invoices for payment in accordance with the Fiscal Unit Accounts Payable Procedures and review the Accounts Detail Transaction Report twice a month for payment processing.
9. Coordinate with CCPS-Fiscal and Program Manager to close cost centers when required.

D. The Program Manager will:

1. Review the following NC Accounting System (NCAS) reports monthly to ensure the budget(s) and expenditures/expenses are correct and cost center or grant is not exceeding the authorized funding amount:
  - a. SA01-Monthly Federal Cost Report, is a continuous roll up of life to date expenditures/expenses on federal grant monies.
  - b. SA02-Detail Report by Center, is based on the state fiscal year (Jun-Jul) expenditures, both federal and state and or other revenue.
  - c. SA03-Account Detail Transaction Detail-is the monthly expenditures/expenses charged to the cost center listing the vendor/individual charges.
  - d. SA05-Encumbrance Report-showing what goods or services have been encumbered for each account line.
2. Contact the Fiscal Unit for research and resolution for expenditures incorrectly coded and for submitted invoices that have not been paid within three (3) weeks. For incorrect expenditures, annotate the expenditure line on the Account Detail Transaction (SA03) report and indicate where the expenditure is to be coded.
3. For new grants the PM will submit an initial Budget Request to set up the budget using the Office of State Controller Chart of Accounts (~~account~~ expenditure lines) for the cost center to the appropriate Assistant Director who will forward the request to the Fiscal Unit for further processing.
4. ~~Prior to submission of the budget to the Fiscal Unit~~ the PM will obtain the salary and benefits information from their Assistant Director before completing the budget for salary adjustments.
5. Following approval of the applicable Assistant Director and Branch Manager, the PM will forward (electronically) the Budget Request to the Assistant Director for review and approval prior to forwarding to the Fiscal Unit.
6. The PM will prepare or provide the status on the cost center and budgets for the monthly budget briefback. The briefback meetings will assist the PM to ensure that the grant is tracking appropriately and if there any issues to be resolved prior to the end of the period of performance.
7. As required the PM will submit budget revisions to keep all ~~chart of account~~ expenditure lines positive and in a timely manner.

NCEM DD 200-05

Nov 2007

OPR: \_\_\_\_\_

8. Before goods and services are entered in the Eprocurement system the PM is to ensure there is enough funding overall in the budget to support the expenditure. Funding is also required to be in the 53XXXX lines to support the expenditure. ~~and in the specific chart of account line(s) to support the purchase(s).~~ New chart of account expenditure lines may need to be validated if they haven't been used before Eprocurement will accept the requisition ~~For new chart of account lines a budget revision will need to be submitted. For chart of account expenditure lines already established and validated and there is not enough funds in the line, a budget revision is required to be submitted before Eprocurement is submitted or good and services ordered.~~
9. Review the Encumbrance Report (SA05) to ensure encumbrances are removed timely (no more than 30 days) after goods and services are received. Notify the Fiscal Unit to remove outdated or received encumbrances.

Formatted: Not Strikethrough

F. Other Branches and Program Managers will:

1. Coordinate with the Program Manager ~~who is responsible for the cost center~~ for expenditures/expenses and budget adjustments.
2. Ensure only eligible expenditures/expenses are charged to the cost center in accordance with the agreed to expenditures/expenses.
3. Coordinate with the Program Manager ~~who is responsible for the cost center~~ to exceed the agreed to funding amount prior to incurring any expenditures/expenses.
4. Provide the Program Manager ~~who is responsible for the cost center~~ any information/documentation for the monthly budget briefback meeting.
5. Inform the Program Manager ~~responsible for the cost center~~ of issues or concerns internally or with sub-recipients.

V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination  
Operations \_\_\_\_\_ Logistics \_\_\_\_\_ Recovery \_\_\_\_\_ GTM \_\_\_\_\_ Plans \_\_\_\_\_

Approved:

H. Douglas Hoell, Jr.  
Director

\_\_\_\_\_  
(Date)

North Carolina Emergency Management Division Directive 200-06  
**Grants Management**

- I. Purpose. The purpose of this document is to establish grants management for North Carolina Emergency Management. The purpose of such a program is to ensure that the Division applies, executes and closes state and federal grants that have been awarded to the Division.
- II. Policy. North Carolina Emergency Management should apply for all federal and state grants that are proper for the Division. It is very important that once the grant has been awarded that the execution during the period of performance and closing of the grant is in accordance the grant guidance, rules and regulations.
- III. Responsibilities.
  - A. The Director of Emergency Management has overall responsibility for grants that are applied for by Emergency Management.
  - B. The Deputy Director has responsibility for detailed grants management by ensuring they are applied for, monitored and closed out in accordance with the program guidance, rules and regulations as stipulated by the grant agreement.
  - C. The Assistant Directors have responsibility for detailed grants management by ensuring they are applied for, monitored and closed out in accordance with the program guidance, rules and regulations as stipulated by the grant agreement. Provide guidance to the Branch and Program Managers on the implementation and operation of the grants.
  - D. The Division Fiscal Unit is responsible for assisting in the preparation, submitting, monitoring and closing out the grants.
  - E. The Program Manager (PM) is responsible for applying for the grant, submitting the application within the application period, submitting the required progress reports, managing the grant funding in accordance with the grant guidance, rules and regulations. Respond to sub-recipient (if applicable) questions and issues that are raised. Provide eligibility guidance to the sub-recipients.
- IV. Procedures.
  - A. The Deputy Director will.
    - 1. ~~The Deputy Director will~~ Ensure that grants are managed in accordance with the grant guidance and polices.
    - 2. Schedule monthly budget briefback briefings.
    - 3. Resolve issues between the Division and sub-recipients on grants.
    - 4. Propose recommendations to the Secretary of Crime Control and Public Safety and/ or the Director to reduce de-obligations.

B. The Assistant Directors will.

1. Review the grant application and guidance with the Branch Manager and Program Manager prior to the briefing the Secretary of Crime Control and Public Safety and/or the Director and Deputy Director.
2. Resolve issues between the Division and sub-recipients.
3. Review proposed budget with Branch Manager and Program Manager prior to submission.
4. Ensures the Program Manager manages the grant in accordance with applicable grant guidance and awarding instructions.
5. Oversees the briefing to the Secretary of Crime Control and Public Safety and/or the Director and Deputy Director.
6. Propose recommendations to the Secretary of Crime Control and Public Safety and/or the Director and Deputy Director to reduce de-obligations.

C. The Fiscal Unit will.

1. Assist the Program Manager in the completing the application. Identify "match" positions if the grant requires matching state funds.
2. Notify CCPS-Fiscal of application for grant and request establishment of a cost center(s).
3. Review the budget submitted by the Assistant Director and forward to Deputy Director for approval.
4. Review the OSBM Grant Notification form and forward to CCPS-Fiscal.
5. 90 days from the end of the period of performance, review the encumbrance report (SA05) for outdated encumbrances to be removed and coordinate with the PM on status of current encumbrances.
6. Set up and maintain grant files.
7. Attend the briefing given by the PM to the Director and Deputy Director.
8. ~~Track the grant from the beginning of the period of performance to the end of the 8 period of performance.~~ 8. Track the grant from the beginning to the end of the period of performance.
9. On a quarterly basis review all grants to ensure the authorized funding amount is not being exceeded.
10. Coordinate with CCPS-Fiscal, Federal Grants Section to ensure that financial reports are being submitted as required to the grant awarding agency and receive a copy of the financial reports. A copy of the financial report is forwarded to the PM.
11. Assist the Program Manager in closing out the grant, ensuring the proper close-out documentation is prepared and submitted to the awarding agency, Fiscal Unit and CCPS-Fiscal and CCPS-Federal Grants Section.
12. Keep the Grant Update spreadsheet updated located on the R:drive.

D. Program Manager will.

1. Upon receipt of notification to apply for a grant, notify the appropriate Assistant Director who will advise the Director and Deputy Director and establish date for PM brief.
2. If "match" is a requirement for the grant, check with the NCEM Fiscal Unit on availability of match funding prior to the grant being briefed to the Director or Secretary,

Formatted: Indent: Left: 0.5", Don't adjust space between Latin and Asian text

Formatted: Strikethrough

Formatted: Not Strikethrough

OPR: \_\_\_\_\_

and submission of the grant to the grant awarding agency. Additionally, the PM will provide recommendations to the Fiscal Unit on where the match is to come from.

3. Complete application for the grant. Obtain salary information from Section Assistant Director if required for budget proposal.

4. Complete and forward the OSBM Grant Notification Form to the Fiscal Unit.

5. Prepare an initial budget for the grant and revisions thereafter to revise the budget as necessary.

6. Once the grant is awarded by the approving agency, ensure required reports (progress and financial reports) are submitted as required by the grant guidance and policies to the awarding agency.

7. Create and maintain a complete file of all documentation pertaining to the grant throughout the period of performance of the grant.

8. Prepare Memorandum of Agreements (MOA) if required or other documentation as required. Ensure MOAs are reviewed and approved by CCPS legal counsel before sending them out to the sub-recipients.

9. Ensure all grant monies are expended in accordance with the grant guidance and policies throughout the period of performance of the grant and does not exceed the authorized funding amount.

10. Provide grant eligibility guidance to Division staff and sub-recipients.

11. Review the following reports on a **monthly** basis to ensure expenditures are posted correctly and timely and the grant is staying within authorized funding amount:

- SA01-Monthly Federal Cost Report
- SA02-Detail Report by Center
- SA03-Account Detail Transaction Detail
- SA05-Encumbrance Report (coordinate with Fiscal Unit to remove outdated (greater than 30 days old) encumbrances)

**\*\*Report issues or concerns during the monthly Budget Briefback meeting.\*\***

12. At **180 days** prior to the end of the performance period or earlier ensure the grant(s) are tracking appropriately and take necessary action to make any necessary adjustments.

13. At 90 days prior to the end of the performance period, coordinate with the Fiscal Unit on outdated encumbrances to be removed and provide status of current encumbrances.

14. All expenditures or encumbrances must occur prior to the end of the period of performance. Invoices can be received and processed for payment after the period of performance, but must be dated prior to the end of the period of performance

15. At the end of the period of performance of the grant ensure the grant is not over extended and all expenditures/expenses have been processed. All invoices should be paid to the vendor no later than 30 days after the period of period of performance has ended. Any encumbrances that are remaining must be resolved and closed prior to closeout.

16. Prepare the required closeout documentation in accordance with the grant guidance and policy. During the liquidation period (as stated in the grant reporting requirements) ensure all invoices/expenses have been submitted and paid. Coordinate with CCPS-Fiscal, Federal Grants Section for the preparation and submission of the final Financial Statement (SF 269). Provide copies of the close-out documentation to the Fiscal Unit, CCPS-Fiscal Section and CCPS-Federal Grants Section.

17. Obtain official close-out documentation from the awarding agency and forward copies to the appropriate NCEM and CCPS-Fiscal staff.

Formatted: Centered

Formatted: Font: Bold, Italic

Formatted: Font: Bold

NCEM DD 200-06

Nov 2007

OPR: \_\_\_\_\_

18. Retain the grant files after official closeout in accordance with the grant guidance and polices. Federal grant files are normally maintained for three (3) years after receipt of the close-out letter from the awarding agency.

19. Prepare the required information to brief at the monthly Budget Briefback briefings on issues pertaining to the grant.

20. Propose recommendations to the Secretary of Crime Control and Public Safety and or the Director and Deputy Director to reduce de-obligations.

V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination

Operations \_\_\_\_\_ Logistics \_\_\_\_\_ Recovery \_\_\_\_\_ GTM \_\_\_\_\_ Plans

Approved:

H. Douglas Hoell, Jr.  
Director

\_\_\_\_\_  
(Date)

North Carolina Emergency Management Division Directive 300-03  
**Grievance Procedures**

I. Purpose

- A. This directive ensures a consistent method that employees covered by this policy may use to have their problems or complaints considered in a timely fashion--fairly and without fear of interference, restraint, coercion, or retaliation.
- B. This document serves as a tool to assist employees and managers to resolve problems within the workplace

II. Policy

- A. It is the policy of the North Carolina Department of Crime Control and Public Safety and the Division of Emergency Management to ensure prompt and fair response to employee grievances. This is accomplished by creating an orderly procedure that will provide a means of communication between supervisors and employees and uniformity in processing a grievance or appeal. This policy is in compliance with State Personnel policy found in Section 7 and 10 of the State Personnel Manual.
- B. This Division/Department is committed to ensuring that every employee has the right to present a legitimate grievance, free from interference, restraint, coercion, unlawful discrimination or reprisal.

C. Definitions

The following definitions apply to this policy:

- 1. Grievance - A work-related problem which gives rise to a legitimate complaint by the employee.
- 2. Department - The Department of Crime Control and Public Safety.
- 3. Division Director - In the case of employees in the Office of the Secretary, the Director of Administrative Services; in the case of divisions, the Directors of the Divisions of Alcohol Law Enforcement, Butner Public Safety, Civil Air Patrol, Emergency Management, Governor's Crime Commission, National Guard, State Highway Patrol, Victim's Compensation Services, Boxing Commission and Law Enforcement Support Services.
- 4. Performance Management/Pay Dispute - A complaint by an employee concerning the amount of performance increase, a failure to receive any performance increase or regarding an overall performance appraisal rating.
- 5. Immediate Supervisor or Supervisor - For grievance procedure purposes, the Supervisor assigned supervisory control and responsibility of the organizational work unit (district, unit or section) of the grieving employee.

6. Supervisor's Manager - For grievance procedure purposes, the Supervisor assigned supervisory control and responsibility at the next organizational level above the district, unit or section from which the grievance was filed.

D. Applicability

This policy applies to employees who have attained career status as follows: Effective July 1, 1996, career status will be accorded every current state employee who has a permanent appointment and has been continuously employed by the state of North Carolina in a position subject to the State Personnel Act for the immediately preceding 24 months.

E. What May Be Grieved.

1. Covered Persons – Grievable Issues

- a. Career State employees or former career State employees
  - (1) Dismissal, demotion, or suspension without pay without just cause
  - (2) Denial of promotion due to failure to post
  - (3) Failure to give promotional priority over outside applicants
  - (4) Failure to give RIF reemployment consideration
  - (5) Failure to give policy-making/confidential exempt status priority reemployment consideration
  - (6) Failure to follow systematic procedures in reduction in force (not alleging discrimination)
  - (7) Denial of veteran's preference in connection with RIF
- b. Any State employee or former State employee
  - (1) Denial of request to remove inaccurate or misleading information from personnel file
  - (2) Policy-making designation
  - (3) Discrimination in denial of promotion, transfer, or training; or retaliation in selection for demotion, RIF or termination
- c. Any applicant for State employment
  - (1) Denial of veteran's preference in initial State employment
  - (2) Denial of employment on the basis of illegal discrimination

- d. Any State employee
  - (1) A false accusation about political threats or promises
  - (2) Violation of the FLSA, Age Discrimination Act, FMLA or ADA (except for employees in exempt policy-making)
- 2. No employee, regardless of length of service, may grieve or appeal the following issues:
  - a. written warnings
  - b. performance pay issues not covered by Section II. D.
  - c. assignment or reassignment of staff (unless it constitutes a demotion)
  - d. duty stations or shifts
  - e. transfer (unless it constitutes a demotion or is based on discrimination)
  - f. any other matters of inherent management rights
  - g. any other matter not specifically made grievable herein or by law.

F. Guidelines

- 1. Employees shall be allowed time off from regular duties as may be necessary and reasonable, up to a maximum of eight hours, for the preparation of the internal grievance without loss of pay, vacation leave or other time credits. Employees must notify their supervisor in advance and receive prior approval to be absent from work for preparation of the internal grievance.
- 2. Upon request, the employee's supervisor shall grant leave to an employee, who is a party in a contested case hearing, to participate in the hearing and other administrative proceedings related to the employee's employment.
- 3. Neither the Department nor the employee shall be represented by any outside party (i.e., legal counsel, etc.) during the internal process.
- 4. If a deadline falls on a weekend or an established state holiday, the deadline shall be extended until the next business day.
- 5. This policy shall be posted in a permanent and conspicuous manner in the departmental Human Resources Office and in each Division office. New employees will be informed of the grievance policy and procedure during employee orientation sessions. All employees will be notified of subsequent grievance policy or procedure changes through mailings, paycheck inserts or by their division Human Resource Representative no later than 30 days prior to the effective date of the change.
- 6. Appropriate forms may be obtained from Division Human Resource Representatives or the Departmental Human Resources office.

7. Employees may contact the Human Resources Office for information regarding their rights and any other information dealing with the grievance policy and procedure. Employees may also request assistance from the Departmental Human Resources office in preparing the grievance.
8. Employees' failure to comply with timeframes may result in invalidation of grievance or appeal.
9. A grievance that involves dismissal or demotion shall be resolved within 90 days from the date the grievance was initiated unless the employee and management agree to additional time. In all other cases, the grievance shall be resolved within 120 days from the date the grievance was initiated unless the employee and management agree upon additional time.
10. When a disciplinary action is imposed, the grievant shall be informed in writing of any applicable appeal rights and shall be provided a copy of the grievance policy and procedure.

### III. Responsibilities

#### A. Supervisor Responsibilities

1. It is the responsibility of every Supervisor in the Department, consistent with delegated authority, to take appropriate action promptly and fairly on each grievance presented.
2. Open and effective communication between employee and supervisor is essential to the most productive operation of the Department. All employees are encouraged to resolve problems through informal discussion with their immediate Supervisor and Supervisor's supervisor; however, an employee who wishes to file a formal grievance on a work-related problem shall present the grievance in accordance with the following procedure. If the grievance is a result of a dismissal, the employee may appeal directly to the Department Secretary as provided in Step Three.

#### B. Agency Responsibilities

By January 1 of each even-numbered year, the Department of Crime Control and Public Safety shall:

1. File its grievance procedure with the Office of State Personnel.
2. File, for approval by the State Personnel Commission, any modification(s) to the Department's grievance procedure prior to the procedure becoming effective.
3. Submit a certified statement that no changes have been made to the grievance procedure since the last submission, if such is the case.
4. Include in the grievance procedure the effective date of the procedure and the effective date of any changes to the procedures.

5. Continuously evaluate the grievance procedure's effectiveness in achieving the Department's goals.
6. Compile information on employee grievances and submit to the Office of State Personnel as requested.

#### IV. Procedures

##### A. For Filing Grievances

1. Step 1 – Discussion Between Employee and Immediate Supervisor, or Appropriate Supervisor.
  - a. If an employee has a problem or grievance that does not involve appeal of a disciplinary action or does not allege unlawful discrimination, it should first be discussed with his/her immediate supervisor.
  - b. To initiate a grievance, the employee must file notice of the grievance by completing CCPS Form 58 and submitting it within 15 calendar days from date of last incident for which the grievance is being filed to the immediate or appropriate Supervisor, with a copy to the Personnel Director. If the grievance involves the appeal of a disciplinary action, the appropriate Supervisor shall be the next higher level of supervisory authority. The form must include a description of the act or acts being challenged, the basis for the grievance and the relief requested.
  - c. When the grievance does not fall within the administrative or decision making authority of the immediate supervisor, this supervisor shall, within 48 hours of receipt of the grievance, refer the grievance to the lowest level supervisor with administrative or decision making authority over the subject matter of the grievance and notify the employee of the referral and the reason for it.
  - d. The Supervisor may call higher level supervisors into the discussion if the employee agrees. The Supervisor may consult or seek advice from higher level supervisors before answering the grievance.
  - e. The Supervisor shall respond to the employee on CCPS Form 59, with a copy to the Personnel Director, within 5 calendar days of the filing date of grievance or advise the employee of the conditions that prevent a response within the five calendar days. This response must notify the employee of their appeal rights. In appeals of disciplinary actions where the appropriate supervisor is the Division Director, the response is due within 15 calendar days of the filing date of the grievance.
2. Step 2 – Discussion Between Employee and Division Director
  - a. If the discussions and subsequent decision of the Supervisor in Step 1 above are not satisfactory, or if an employee fails to receive a response within the designated 5 calendar days, the employee may request the consideration of the grievance by the employee's Division Director. The request shall be on CCPS Form 59-A, with a copy to the Human Resources Director, and it must be

presented within 10 calendar days of receipt of the Step 1 decision or the date the Step 1 decision should have been received.

- b. The Division Director shall consider all facts of the grievance, including all pertinent information provided by the employee and the supervisor(s). The Division Director shall respond to the employee on CCPS Form 60 within 10 calendar days after receipt of the grievance, with a copy to the Human Resources Director. This response must notify the employee of their appeal rights.
3. Step 3 – Appeal to Secretary/Employee Advisory Committee
- a. If the decision in Step 2 is not satisfactory to the employee, the employee may file an appeal with the Secretary on CCPS Form 61. The employee must file the appeal directly with the Secretary's Office within 10 calendar days of the receipt of the aforementioned decision with a copy to the Human Resources Director.
  - b. **Special Note:** It is the employee's responsibility to ensure that the grievance received in the Secretary's Office on the appropriate form and within the appropriate timeframe.
  - c. Upon receipt of the written appeal from the employee, the Secretary shall, within 15 calendar days, appoint an Employee Advisory Committee.
    - (1) The committee shall consist of three to five employees of the Department, one of who shall be appointed by the Secretary to serve as Chairperson. The Chairperson shall regulate the course of the hearing and the deliberation of the members.
    - (2) The committee shall not include an employee from the same operational unit as the employee appealing and may include not more than two employees from the same Division as the appealing employee. The committee shall contain at least two non-supervisory employees.
    - (3) No member of the committee shall be an employee of the departmental Human Resources Office.
    - (4) No member of the committee shall be in a direct supervisory line over the employee who is appealing.
    - (5) The employee may disqualify up to two of the initial members of the committee. Committee members disqualified by the employee will not be replaced. If the employee disqualifies the Chairperson, the committee members shall select a member to act as Chairperson.
    - (6) The committee shall hold a hearing and give both parties an opportunity to be heard.
    - (7) The hearing shall not be open to the public, nor have witness testimony. No attorneys shall represent either side.

(8) The hearing may not be tape-recorded.

(9) No person may be required to testify under oath.

(10) The committee Chairperson, using CCPS Form 169, shall report to the Secretary within 5 business days, the details of the grievance and the recommendation(s) of the committee.

(11) The Secretary shall consider the committee's report, but shall not be bound by their recommendation.

- d. The Secretary shall present the decision to the employee within 20 calendar days on CCPS Form 62 or 62-A, with copies to the Personnel Director and the Division Director. If the Secretary is unable to render a decision within 20 calendar days, he shall notify the employee and establish a date within a reasonable period of time.
- e. In instances where the employee has further right of appeal, the decision of the Secretary shall include a statement that informs the employee that appeal must be submitted to the Office of Administrative Hearings in writing within thirty (30) days.
- f. The decision of the Secretary regarding performance management pay is final and cannot be appealed further.

4. Step 4 - Appeal to the State Personnel Commission

- a. If the decision in Step 3 is not received within the designated time period or if the decision is not satisfactory to an employee who has the right of further appeal, the employee may appeal to the State Personnel Commission within 30 days. To appeal to the State Personnel Commission, the employee must submit OAH Form H-06A to:

Office of Administrative Hearings  
6714 Mail Service Center  
Raleigh, NC 27699-6714

- b. This form must be filed (received) within 30 days of receipt of the final department decision. After the hearing, the Administrative Law Judge has 45 days from the close of the record to file a recommended decision to the State Personnel Commission. Cases are then heard at the next available State Personnel Commission meeting and the State Personnel Commission renders a final administrative decision.

B. For filing Grievances based on Unlawful Discrimination:

Any applicant, state employee or former state employee who has reason to believe that employment, promotion, training, or transfer was denied the employee; or, that demotion, reduction in force or termination of employment was forced upon the employee because of age, sex, race, color, national origin, religion, creed, political affiliation or handicapping condition (disability), except where specific age or sex

requirements constitute a bona fide occupational qualification necessary to proper and efficient administration, or where specific physical or mental abilities are necessary to perform the essential functions of the job, alleging unlawful discrimination, shall have the right to appeal through the departmental grievance procedure within the timeframe established or may appeal directly to the State Personnel Commission within thirty (30) calendar days after receipt of notice of the alleged discriminatory action, as outlined in Section VI, Step 4.

C. For Performance Pay Dispute Resolution

This applies to any employee who has successfully completed an initial probationary period. The appeal must meet the requirements as defined in Section II, C.

1. Step 1 - Discussion between Employee and Immediate Supervisor, or Appropriate Supervisor. An appeal must be filed with the immediate or appropriate supervisor within 15 calendar days of receipt of the performance decision, using CCPS Form-58.
2. Step 2 - Appeal to Secretary/Employee Advisory Committee
  - a. If the employee is not satisfied with the first step response, the dispute may then be appealed directly to the Secretary, within 10 business days after receipt of the decision in Step 1, on CCPS Form-61.
  - b. The Secretary shall appoint an Employee Advisory Committee as identified in the Step 3 process above.
  - c. After receipt of the Committee's report, an employee must receive a decision in writing by the agency head within 20 calendar days. This is the final agency decision and cannot be appealed further.
3. **SPECIAL NOTE:**
  - a. Unlawful Workplace Harassment Unlawful Workplace Harassment is unwelcome or unsolicited speech or conduct based upon race, sex, creed, religion, national origin, age, color, or handicapping condition as defined by G.S. 168A-3 that creates a hostile work environment or circumstances involving quid pro quo. (Additional information is available in the Unlawful Workplace Harassment Policy and Procedure).
  - b. Any former employee, full-time or part-time employee with either a permanent, probationary, trainee, time-limited permanent or temporary appointment who feels that he/she has been unlawfully harassed in the workplace must do the following:
    - (1) Submit a written complaint to the employing agency within 30 calendar days of the alleged harassing action.
    - (2) Agency must respond with appropriate remedial action within 60 calendar days from receipt of written complaint. The employing agency shall provide a written response to the grievant when the agency has determined what action, if any, will result from the grievant's written complaint.

- (3) If not satisfied with the agency's response to the complaint or after the agency's 60-calendar day response period has expired, the grievant may appeal directly to the State Personnel Commission through the Office of Administrative Hearings as outlined in Section VI, Step 4. This appeal must be filed within 30 calendar days of the 60-day expiration date.
- (4) Because Unlawful Workplace Harassment is a form of illegal discrimination, the employee also has the right to bypass the agency grievance procedure and appeal directly to the State Personnel Commission.

4. Additional considerations

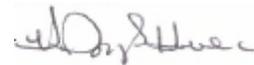
- a. An employee, who alleges unlawful workplace harassment and elects to utilize the departmental grievance procedure, shall have the right to bypass any step in the procedure involving discussions with or review by the alleged harasser.
- b. Grievants may file a simultaneous complaint under Title VII with the Equal Employment Opportunity Commission (EEOC).
- c. Former employees may appeal directly to the Office of Administrative Hearings and the State Personnel Commission.
- d. Forms for filing a grievance may be obtained from the Division Personnel Manager, the Department Human Resources office, or at:  
<http://www.nccrimecontrol.org/emp/GrievanceForms2004.doc>

V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination.

Operations MS Logistics Silence Recovery Silence GTM Silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

27 April 2008  
(Date)

This page is intentionally left blank.

North Carolina Emergency Management Division Directive 300-05  
**Leave Policy**

- I. Purpose. This directive supplements the NC Department of Crime Control and Public Safety Administrative Policies and Procedures Manual (CCPS Directive No.B.1) by providing Division employees with a comprehensive reference for uniform interpretation concerning the various types of leave that may be used. Division employees should refer to the CCPS Admin. Policies and Procedures Manual for answers to most leave questions. Detailed State Government leave policies can be found in the State Personnel Manual.
  
- II. Policy. Employees are encouraged to request leave during each year to renew individual physical and mental capabilities and to strengthen productivity. Because of the nature of emergency management, and because the North Carolina Division of Emergency Management (NCEM) is the lead agency in this state for all things pertaining to emergency management, NCEM personnel will normally not be granted annual leave, unless it is emergency in nature, during disasters, scheduled exercises, or when the possibility of imminent disaster exists. Annual leave in excess of one week will normally not be granted during hurricane season. All employees are encouraged to schedule annual leave before July 4<sup>th</sup> and after the middle of October.
  - A. The primary purpose of paid vacation is to allow employees to renew their physical and mental capabilities and to remain a fully productive employee. Employees are encouraged to request leave during each year in order to achieve this purpose.
  
  - B. Sick leave may be used for illness or injury, medical appointments, temporary disability due to childbirth, to care for a member of your immediate family, a death in your immediate family, donations to a member of your immediate family who is an approved voluntary shared leave recipient, and adoption of a child, limited to a maximum of 30 days for each parent (which is equivalent to a biological mother's average period of disability).
  
- III. Responsibilities
  - A. Supervisors are responsible for monitoring employee leave balances to ensure unearned leave is not taken. If, at any time, it becomes necessary for an employee to take annual leave or sick leave before it is earned, a written request including justification must be presented to the immediate supervisor and approved by the Director of Emergency Management.
  
  - B. Employees are responsible to request annual leave as far in advance as possible, and to make sure there are no drills or exercises scheduled at the time they request annual leave. Denial of annual leave is a right of any member of the chain of supervision if a request falls outside the general guidance identified, and annual leave previously approved may be cancelled if events/ conditions necessitate.

IV. Procedures.

- A. Vacation time should be planned and requested well in advance so that assignments will suffer as little interruption as possible. When unplanned leave is necessary, the employee will notify the person to whom he/she is responsible (by phone, if possible) as soon as practicable. Immediately upon return to work, the employee should report to and obtain approval from the supervisor.
  
- B. Sick leave for planned medical events should be requested in advance. When unplanned sick leave is necessary, the employee will notify the person to whom he/she is responsible (by phone, if possible) as soon as practicable. Immediately upon return to work, the employee should report to and obtain approval from the supervisor.

**NOTE:** There are other types of leave outlined in the State Personnel Manual. These may be reviewed at <http://www.osp.state.nc.us/manuals/man5.html>. Supervisors and/or the Division Personnel Manager will be available to answer questions about State Government and Emergency Management leave policy.

- V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination

Operations     Silence     Logistics     Silence     Recovery     Silence     GTM     Silence     Plans           GF          

Approved:



H. Douglas Hoell, Jr.  
Director

5 May 2008

(Date)

North Carolina Emergency Management Division Directive 400-03  
**State/County Contact Directory**

- I. Purpose. The purpose of this Directive is to prescribe procedures for preparing, publishing, and maintaining the NCEM State/County Contact Directory. This document lists information contained in the directory, describes how the information is collected, assigns responsibilities for collecting the information, and describes how it is made available to the public.
- II. Policy. The State/County Contact Directory will be the NC Emergency Management Program's primary contact listing for the Office of the Secretary, Department of Crime Control and Public Safety (CCPS). Additionally, it is the primary contact listing for all Local Emergency Management Coordinators, as well as key county officials and department heads. Contact information for the three NCEM Branch Offices (Eastern/Kinston, Central/Butner, Western/Hickory) and all other NCEM Division Personnel is also included. The Directory also contains NCEM's Radio Communications System Guide.
- III. Responsibilities.
  - A. The 24-Hour Operations Center is responsible for collecting and verifying Sections I & II – CCPS & 3 Raleigh Offices Information.
    1. Office of the Secretary Contact information; addresses, phone and fax numbers
    2. NCEM Employee telephone listing
    3. Addresses for all Raleigh Facilities with maps
    4. Address for the Badin Warehouse with area map
    5. All Division fax numbers
  - B. The Branch Office Program Assistants are responsible for collecting and verifying all information on their Offices (Section III – All Branch Information) to include:
    1. Branch Manager, Area Coordinators & Program Assistant Contact Information, i.e. business/home phone, cell phone numbers, etc.
    2. Branch Office address, phone and fax numbers.
    3. Area Map to Branch Office
  - C. Local Emergency Management Coordinators will provide updated contact information (Section IV – All County Information) through WebEOC to include:
    1. County Warning Point Phone Number
    2. State DEM Channel with SATCOM ID #
    3. County EM Call Sign/Frequency
    4. Mailing Address
    5. Physical Location of Office if different from mailing address

6. EOC Location
7. Office Phone, After Hours Number & Office Fax Numbers
8. Courier Box Number
9. Listing of Local EM Personnel with Names, Positions, Email addresses, Office Phones, Cell phone and Nextel phone numbers
10. "Alert For Notification", Local EM Coordinators will determine which key county officials' positions, names, and office phone numbers are to be listed in the directory.
11. Miscellaneous Information/State Office Contact Numbers will consist of counties' SHP District Offices, NCNG Armories and Offices, DOT District Offices, etc.

D. NCEM GTM personnel will be responsible for managing the WebEOC database and correcting any problems that may occur while entering the contact information. GTM will also be responsible for creating the Alphabetical County Information Listing (Section V).

IV. Procedures. The 24-Hour Operations Center, the Branch Office Program Assistants and the Local EM Coordinators are expected to make updates as they occur to keep the document always current. It is imperative that correct information be entered immediately whenever phone numbers and staff changes occur. When the Local EM Coordinators make changes in the directory, they are to notify the appropriate NCEM Branch Offices by email. Branch Office Program Assistants will notify the 24 Hr. Operations Center by email whenever they make updates.

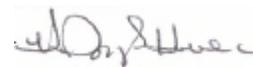
The State/County Contact Directory will be maintained electronically on Web EOC. Anyone with a WebEOC password will have access to the directory.

V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination.

Operations MS Logistics Silence Recovery Silence GTM Silence Plans Silence

Approved:



H. Douglas Hoell, Jr.  
Director

27 April 2008  
(Date)

North Carolina Emergency Management Division Directive 400-04  
**NCEM Infrastructure Program**

- I. Purpose. The purpose of the Infrastructure Program is to monitor and support: state and local emergency operations, including:
  - A. Water and wastewater system restoration (ESF 3),
  - B. Road, highway, and traveler's capabilities assistance and system restoration (ESF 1),
  - C. Electric power operations and systems restoration (ESF 12),
  - D. Fuel capabilities assistance and system restoration (ESF 12),
  - E. Dam safety and land resources assistance and system restoration (ESF 3), and
  - F. Statewide critical infrastructure protection programs; to implement recommended CIKR sector guidance (HSPD 7, HSPD 8), ensure consist operations with other ESFs in the Emergency Operations Center, and assist an effective transition from the response phase to the recovery phase of an emergency or disaster event.
- II. Policy. North Carolina Emergency Management will take action to achieve planning and operational objectives for EOC/SERT activations and Critical Infrastructure and Key Resource (CIKR) protective measures consistent with NCEOP, event incident action plans (IAP), and state/federal guidance.
- III. Responsibilities. The Infrastructure program manager is responsible for coordination and management of Infrastructure ESF activities that support and implement CIKR protection, SERT/IAP objectives, and other planning and response efforts, to include:
  - A. Implementing the operational objectives of the SERT leader,
  - B. Ensuring Infrastructure staffing is appropriate to the magnitude of the event,
  - C. Updating, regularly, the Operations Chief and GTM Director on ESF activities,
  - D. Participating in planning meeting and briefings as required,
  - E. Tasking and tracking ESF mission/resource requests,
  - F. Monitoring CIKR protective measures,
  - G. Maintaining knowledge of SERT/EOC operations, NIMS, NRP, NCEOP, NIPP, and other guidance as required,
  - H. Proficiency in GIS, WebEOC word processing, spreadsheet and database, research and writing, interpersonal, and oral communications skills to address planning, response, and CIKR issues, and
  - I. Ensuring that plans, procedures, and supplies are timely and available.

IV. Procedures. The Infrastructure program manager performs the duties tasked within its scope of responsibility, in a manner consistent with NCEOP operational standards, Division directives and guidance, and in conjunction with other stakeholders, including:

- A. Briefing Assistant Infrastructure Manager, Operations Chief, or SERT, as appropriate, to include: the current scope/status of event, immediate and potential risks to life and property, current and anticipated response actions, currently deployed SERT assets, weather, hazard, and CIKR sector analysis,
- B. Reviewing situational awareness reports, incident action plans, and branch operational objectives,
- C. Participating in Operations Chief meeting to discuss current operational objectives, action planning items, resource priorities and staffing issues,
- E. Ensuring Infrastructure Support is appropriately staffed to meet anticipated event needs and determining what resources have been activated and adjust as necessary to account for current and future operations,
- F. Providing other ESFs information as required, and
- G. Performing operational objectives related to designated D-Day checklist, emergency support functions, incident actions plans, CIKR protective measures, and other required guidance.

V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination  
Operations MS Logistics Silence Recovery Silence GTM Silence Plans Silence

Approved:



H. Douglas Hoell, Jr.  
Director

27 April 2008  
(Date)

North Carolina Emergency Management Division Directive 400-05  
**Floodplain Mapping**

I. Purpose.

The purpose of this program is for the State of North Carolina to work in partnership with the Federal Emergency Management Agency (FEMA) while leading all activities associated with Multi-Hazard Flood Map Modernization (Map Mod) and Map Modernization Management Support (MMMS). The State of North Carolina manages its program through the North Carolina Floodplain Mapping Program (NCFMP), in the Office of Geospatial Technology Management, in the Division of Emergency Management. The NCFMP is able to lead the activities associated with Map Mod and MMMS by implementing two strategies when the program was formed:

1. Strategy 1 — Establishment of a statewide program to acquire, process, and disseminate current, accurate, and detailed elevation data, flood hazard studies, reports, and maps (hard copy and digital).
2. Strategy 2 — Establishment of North Carolina as a Cooperating Technical State (CTS) through FEMA's Cooperating Technical Partners (CTP) program.

The NCFMP follows the objectives outlined below:

- Define boundary and Base Flood Elevations (BFEs) for all North Carolina Special Flood Hazard Areas using current, accurate digital elevation data and engineering models, and produce statewide, seamless digital Flood Insurance Rate Map (DFIRM) paneling.
- Replace all unnumbered A Zones in watersheds of 1.0-square mile or more in rural areas and 0.5-square mile or more in urban areas with BFEs (through limited detailed and/or detailed studies).
- Foster better floodplain management to minimize long-term losses.
- Produce and maintain DFIRMs in a time- and cost-efficient manner, and conduct aggressive outreach to achieve community buy-in of DFIRMs and reduce the number of appeals and protests.
- Provide 24-hour free, online access to Geographic Information System (GIS) data, flood maps, and reports through an enhanced DFIRM database.
- Enable more precise flood risk determinations by providing accurate, detailed, digital data.
- Maintain the high quality of statewide, seamless digital DFIRM data through a robust, regular map maintenance program that includes Letters of Map Change and Physical Map Revisions.

To achieve these objectives, the NCFMP defined business rules that call for leveraging efficient and effective technology and procedures for DFIRM creation and future updates. The rules also call for studying as many stream miles as needed and as possible, and for attaining complete State coverage. To defray overall cost and further implement other State programs, the NCFMP leverages program deliverables and existing data and analysis done by local and State governments; produces build-able/scale-able products; attains strong,

upfront community involvement and buy-in; emphasizes strong partnering with potential users of maps, data, and applications; and shares with and learns from all partners.

## II. Policy

The policy/regulations of the National Flood Insurance Program (NFIP) that the NCFMP follows are pre-set at the federal level in Title 44 of the Code of Federal Regulations. The NCFMP also follows FEMA's policies and standards for Map Mod and MMMS as outlined in FEMA's *Guidelines & Specification for Flood Hazard Mapping Partners*, FEMA Procedure Memoranda, and FEMA MMMS Guidance Documents. The NCFMP has developed additional policy and standard documents for which the program follows. These include the *North Carolina Restudy Manual*, *LOMC Policy & Procedure Manual*, *North Carolina Graphic Specifications*, *North Carolina MXD Specifications Document*, *NC DFIRM Database Schema*, and *NC DFIRM Database Dictionary*.

## III. Responsibilities.

- A. The NCFMP Program Director is responsible for managing the floodplain mapping program, providing guidance to the floodplain mapping program staff, coordinating with FEMA, requesting and securing funding for program continuation and expansion, managing contractors, managing agreements for work sharing with other State and Federal agencies, setting and developing statewide guidance documents, implementing legislative actions, etc. He/she reports quarterly and annually to FEMA through this program to ensure continued funding.
- B. The NCFMP Assistant Program Director is responsible for assisting the Program Director with the activities assigned to the Program Director. The Assistant Director also leads regular NCFMP meetings, both with internal staff and with contractors.
- C. The NCFMP Program Manager is responsible for assisting in meeting preparation and leading internal meetings and meetings with contractors. The NCFMP Program Manager is also responsible for managing and maintaining master schedules for all mapping projects within the program and for regular schedule reporting to FEMA.
- D. The NCFMP engineers are responsible for providing technical services within the floodplain mapping program. NCFMP engineers work directly with contractors to set study scopes of work, to determine appropriate engineering models and methodology to be used for study, to perform independent quality reviews of engineering data, and to resolve complex technical issues. The NCFMP engineers also attend preliminary and public outreach meetings to assist in explaining modeling and mapping changes to the public, assist in resolution of community concerns with modeling and mapping data, and perform training.

- E. The NCFMP outreach staff are responsible for setting, preparing for, attending, and following up on all outreach activities and meetings. This includes scoping meetings with communities to determine unmet needs and requests for restudy, preliminary and public outreach meetings to explain the modeling and mapping changes to the public, various training workshops and conference presentations throughout each year, regular coordination with the public to answer questions and provide additional data to ensure proper usage of the maps, development and maintenance of an outreach strategy, miscellaneous outreach activities that include news release drafting and mass mailings, and direct coordination with contractors.
- F. The NCFMP IT staff are responsible for development and maintenance of the NC DFIRM database schema and dictionary, the NC Floodplain Mapping Information System, and all other IT and GIS-related data. The NCFMP IT staff are responsible for acquiring, managing, archiving, and distributing statewide GIS data, including topographic, base, flooding, and other miscellaneous data. The IT staff work directly with contractors and other State and Federal agencies.
- G. The FIMAN engineer is responsible for development, maintenance, and dissemination of the Flood Inundation and Mapping Alert Network. This includes the acquisition, processing, archival, and dissemination of data, direct coordination with contractors, and director coordination with other State and Federal agencies.
- H. The Administrative Assistant works directly with the Program Director, Assistant Director, and other NCFMP staff to manage schedules, facilities, logistics, administrative activities, and to assist with financial reporting and payments.

#### IV. Procedures.

NCFMP staff work together as a team to ensure the same technical guidance is provided across the State and to ensure that all aspects of the floodplain mapping program are working together efficiently and effectively to provide accurate flood hazard data statewide. To ensure this is done, the NCFMP staff conduct weekly NCFMP Core Group meetings, bi-weekly NCFMP Contractors Meetings, and internal Group Leads meetings. Regular communication occurs through impromptu meetings, telephone calls, and emails. The NCFMP staff work closely with the NFIP branch of NCEM as well. The NCFMP follows all procedures outlined in the documents listed in the Policy section of this directive as well to ensure efficient and accurate creation, acquisition, processing, dissemination, and archival of topographic data, base data, engineering data, floodplain mapping, DFIRM database information, and other hazard data. The NCFMP also follows these procedures to ensure timely and responsible outreach to community leaders and the public so they not only receive the data they need to effectively perform floodplain management activities, but they also have the knowledge to use the data properly. The entire DFIRM production process is outlined in the attached flowchart.

#### V. One Attachment: North Carolina Floodplain Mapping Program Production Process

NCEM DD 400-05

MAY 2008

OPR: GTM

VI. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VII. Coordination.

Operations Silence Logistics Silence Recovery Silence GTM Silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

15 May 2008  
(Date)

North Carolina Emergency Management Division Directive 400-10  
**NFIP - National Flood Insurance Program**

I. Purpose.

The purpose of this program implementation at the state level is to provide technical assistance throughout the state of NC. Through FEMA's Community Assistance Program (CAP) and in partnership with FEMA NFIP representatives, the State of NC can better assist the communities, citizens, professionals and other state agencies in ensuring that all aspects of this program are better implemented by all. This includes primarily regulatory assistance but also includes flood insurance assistance, certification completions and reviews, and flood map assistance. With this program implementation provided at the state level under the Division of Emergency Management and as a Public Safety entity, our staff is better able to coordinate with state and local emergency management coordinators to ensure protection of critical facilities and better to assist post-disaster by providing the necessary technical assistance for compliant and safe rebuilding. In addition, the state NFIP program staff are much more informed of local enforcement issues which better enables the staff continually to strive for better ways to assist NC as a whole and at times offer suggestions to FEMA for improvement of the NFIP program as a whole at the federal level or set higher standards to be implemented at the state level.

II. Policy.

Policy and regulations for the NFIP are set at the federal level in Title 44 of the Code of Federal Regulations--primarily set in sections 59-76. Additionally, North Carolina has enacted a higher standard legislation commonly referred to as the "The Flood Act of 2000". This legislation was adopted by the state following Hurricane Floyd's devastation in 1999, and it requires prohibition of several hazardous materials from the mapped floodplains of NC communities that participate in the NFIP. Another regulation further expanded better to protect the citizens of NC is the NC Residential Building Code. In this code book, many NFIP minimum regulations were adopted within the 'blue pages' which makes this code applicable throughout all communities in NC without regard to NFIP participation. These code additions help strengthen the importance of flood protection and safety through regulatory requirements. With all these regulations in place, protection from flood hazards is continuing to grow.

III. Responsibilities. The GTM Section is responsible to administer the NFIP in North Carolina as follows.

- A. The State NFIP Coordinator is responsible for providing guidance to each of the three NFIP planners, setting and developing statewide guidance documents, implementing legislative actions, etc. The State NFIP Coordinator is also the main point of contact in coordination with FEMA on technical assistance, CAP work plan and funding, etc. He/she coordinates the work activities of the planners to ensure the CAP work plan is completed each year and reports quarterly and annual reports to FEMA through this program to ensure continued funding. The State NFIP Coordinator is also the main point of contact for post-disaster assistance from volunteer professionals and FEMA Disaster Assistance Employees.
- B. The State NFIP Engineer is responsible for providing technical services throughout the state with regard to engineering plans and studies such as no-rise studies for floodway

or non-encroachment area development, floodproofing plans for non-residential A zone developments and coastal engineering/breakaway wall analyses'. The State NFIP Engineer is also responsible to ensure proper technical training is provided to these professionals (engineers, surveyors, architects, etc.) throughout our state and provide them professional development hour credits when applicable. Further, the State NFIP Engineer assists in training professionals such as engineers and architects who wish to become post-disaster volunteers and assist communities when they are overwhelmed and need additional assistance in performing their required substantial damage determinations.

- C. Each NFIP Planner is tasked with providing technical assistance throughout his/her branch assigned area. These areas of responsibility are divided along the same boundaries as the NC Division of Emergency Management branch office divisions. Therefore, the NFIP staff includes three NFIP Planner positions – Eastern Branch area (33 counties plus municipalities), Central Branch area (33 counties plus municipalities), and Western Branch area (34 counties plus municipalities).
  - D. Post-Disaster coordination is an important role. Although the NFIP is primarily a pre-disaster planning program, it also includes very important disaster recovery requirements. Most importantly, this includes substantial damage determinations of all structures located within a mapped special flood hazard area. This determination must be made by each community's floodplain administrator regardless of the peril of damage and must be conducted prior to any demolition or repair work may start. For this primary reason, the NFIP staff must work extremely close with other Emergency Management sections...not just the area coordinators. One of our largest roles is coordinating with the state Mitigation and Public Assistance sections to ensure grant funds are limited to those communities eligible through participation and compliant implementation of the NFIP. This is to ensure that the communities are rebuilding in a safe and compliant manner.
  - E. As an important note of responsibility, there is one major point of difference with the NFIP than the rest of Emergency Management. This is that under the NFIP, each community is identically equal. Emergency management at the state level typically works primarily with each county coordinator and then the county works with each municipality as an extra level of government. This is not and cannot be so with the NFIP. Each community is assigned a federal Community ID number through the NFIP that is unique to that community and each community is responsible for the implementation of their own NFIP regulatory program. Coordination with the state and county EM coordinators is of continuing importance, and each staff member is responsible to ensure these coordinators are continually informed. There are many communities that decide to enter into interlocal agreements with their counties or some other regulatory entity such as a COG or Planning Consultant firms to implement their local floodplain management programs. This works very well in many instances, but the ultimate responsibility for compliance with the NFIP program still lies directly with the community itself--regardless of who implements the program requirements.
- IV. Procedures. NFIP staff work together as a team to ensure the same technical guidance is provided across the state and to each audience the same. To ensure this is done, the NFIP staff conduct monthly staff meeting in Raleigh to coordinate activities, technical advice and to discuss guidance documents. These are also done via staff email groups to aid in coordination and document reviews. This coordination effort is a must as the NFIP staff are

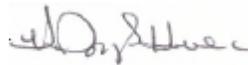
primarily a regulatory entity and must provide accurate and prompt technical guidance to all audiences...community officials, citizens, and professionals such as surveyors, engineers, contractors/builders, insurance agents, real estate agents, etc. The state efforts are designed to ensure communities are not sanctioned from the NFIP. These efforts by our state NFIP staff continue to aid communities in maintaining a compliant program locally, to ensure citizens flood prone investments are properly developed and protected and to ensure flood insurance remains affordable.

V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination.

Operations MS Logistics [Silence](#) Recovery [Silence](#) GTM [Silence](#) Plans [Silence](#)

Approved:



H. Douglas Hoell, Jr.  
Director

27 April 2008

(Date)

This page is intentionally left blank.

North Carolina Emergency Management Division Directive 400-15  
**North Carolina State Preparedness and Resource Tracking Application (NC SPARTA)**

I. Purpose

The purpose of the North Carolina State Preparedness and Resource Tracking Application (NC SPARTA) is to enable the North Carolina Division of Emergency Management (NCEM), its State Emergency Response Team (SERT) partners, and county emergency management to communicate efficiently and effectively regarding resource needs and situational awareness; and enable NCEM to track all resources used prior to, during, and following an event for purposes of financial reimbursement. NC SPARTA is the name given to the North Carolina application of WebEOC.

The NC SPARTA provides a crisis information management system to assist decision makers during daily operations, trainings, exercises and during responses to disasters by providing real-time information through a web-based, secure platform such as:

- real-time traffic pattern data including road closures.
- power outages and generate situational reports from event to event.
- EOC status.
- dam status.
- reports for the Governor's office and the SERT team.
- project real-time data on a large screen in the EOC.
- track airport status and if fuel is needed.
- track and record sheltered population (names, meals provided, etc...)

An additional purpose of the NC SPARTA is to support the National Infrastructure Plan, by including datasets in the 17 Critical Infrastructure/Key Resource sectors, and complying with NIMS standards.

Integrate with GIS and provide total GIS compatibility including the ability to:

- map status information (bridge closures, open shelters, and resource locations).
- import local and State GIS data.
- disseminate GIS products.
- visualize incident location throughout the State at any time.
- be compatible with State GIS standards.
- export data for use in GIS software.

In order to satisfy the purpose of effectively communicating situational awareness among the NCEM staff and our partners the NC SPARTA has been designed to be flexible enough to provide customized reports:

- Must allow the exchange of information county-to-county as well as county-to-State and municipal-to-county.
- Users with appropriate access must be able to view situation reports.

- Hard copy forms should be input into the system to allow the State and counties to move away from a paper environment towards managing the information in the CIMS software.
- Ability to take incident reports at the State level and edit them for the county reports.
- Ability to create operational reports to determine the status of activity during a certain time period (i.e., how many missions are active and/or completed, etc.).
- Provide standardized situation reports.
- Provide a one-step process to create the year-end report generated by the State. This will include the graphics, text, charts, etc. that are included in the year-end report.
- Ability to query and generate reports by location, geographic area, assets, resources, lead functions, population, etc.
- Ability to expand or modify reports on the fly including the ability to collapse or expand information as needed.
- Ability to export the report to other formats.

Enable NC SPARTA users the ability to “message” each other instantaneously.

## II. Policy

NC SPARTA will be available 24x7 for users to access incidents including: daily operations, trainings, exercises and disaster operations.

NC SPARTA is backed up and maintained on several servers at the EOC and State Highway Patrol.

All NC SPARTA patches and upgrades are loaded by the IT manager and/or NC SPARTA administrators on an as-needed basis.

New users will be added to NC SPARTA as requests are made.

Any and all requested board development and process changes require proper documentation and authority of GTM personnel and Emergency Management senior staff.

## III. Responsibilities

GTM has on staff several technology & support analysts dedicated to NCSPARTA. Their efforts to support all phases of emergency management include:

- Maintaining and updating existing boards
- Creating new boards as requested
- Training (State Emergency Management staff, local emergency management, SERT, etc...)
- Continuing to develop stronger geospatial analysis with NC SPARTA technology Geospatial Analysis
- Documentation (Documentation reflecting the current version of NC SPARTA is maintained in the NC SPARTA file library to include Word documents and Power Point presentations)
- Attending classes to keep abreast of new technology such as NC SPARTA, java, html, gis

- Attending NC SPARTA conferences to share data and ideas with users nationwide
- Working with NC SPARTA users in contiguous states to provide a seamless crisis management software in FEMA Region IV
- Co-coordinating the NC SPARTA User's Group which meets quarterly to share technology and avoid duplication of effort
- Maintain an administrative data dictionary, secure user documentation and flow charts
- Integrate modeling and response software applications into NC SPARTA such as HAZUS, SLOSH and Hazard Analyst

The IT manager will maintain the servers and operating systems ensure proper backups are conducted and that there is availability of redundant systems at the EOC and Sate Highway Patrol. The technology & support analyst assigned to IT will serve as the back up to the IT Manager in their absence. Additionally, the IT manager will create, maintain, and communicate real-time data to emergency managers at all levels of government, private and non-profit agencies, and to the public sector. The IT manager is responsible to ensure that all designated users have the capability to login to NC SPARTA and that they have the necessary rights to view and post critical information such as: shelter management, resource requests, significant events, damage assessment, incident reporting, weather updates, etc.

Three servers have been established: one to test NC SPARTA upgrades, one for development of new boards and one for production. Each server is housed in Emergency Management in the Administration building.

It will be the responsibility of local emergency management and SERT to add and maintain the data in NC SPARTA during activations and exercises. All users will post NC SPARTA suggestions and recommendations in the After Action Review Board. The NC SPARTA administrators are responsible for reviewing the information, making necessary corrections and communicating these changes to Emergency Management senior staff.

GTM will implement the Critical Infrastructure Protection Application (CIPA) into SPARTA. CIPA will encompass the 17 sectors of the National Infrastructure Protection Program. CIPA will provide a unified, fused inventory of critical infrastructure, key resources and identified hazards and threats in the state of North Carolina, ongoing and up-to-date operational status of select critical infrastructure/key responsibilities, (CI/KR) and establish dependencies, risk and consequence analysis and mapping (escalating and cascading effects) for each CI / KR sectors to hazards and threats.

GTM will model, event-by-event, cross infrastructure dependency and the impact of disruptions on affected populations. Cross-infrastructure dependency modeling will improve response and mitigation strategies for emergency managers, planners, responders and the private sector.

#### IV. Procedures

Within the NC SPARTA File Library is a cadre of files which contain documents such as NC SPARTA manuals, NC SPARTA training presentations, Emergency Management related guidelines, and incident specific information. These documents were generated to provide guidelines and procedures for NC SPARTA users to draw on during incidents and exercises.

NCEM DD 400-15

MAY 2008

OPR: GTM

As changes to NC SPARTA occur or upgrades to the software are made, documentation will be modified to include any and all changes.

The NC SPARTA User Group will be responsible for producing further documentation such as best practices, change control procedures, configuration management, standards and development.

V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination.

Operations Silence Logistics       Silence Recovery Silence GTM Silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

2 June 2008  
(Date)

North Carolina Emergency Management Division Directive 400-20  
**Application Change Management**

I. Purpose

The North Carolina Division of Emergency Management has numerous web-based and stand alone applications that have been developed to: (1) identifying hazards and threats, (2) assessing the risk and consequences of hazards and threats, (3) coordinating and tracking resources in response to hazards and threats, and (4) support core business operations. These applications include, but are not limited to:

- Public Assistance Management System (PAMS);
- Floodplain Mapping Information System (FMIS);
- Flood Inundation Mapping and Alert Network (FIMAN);
- NC State Preparedness and Response Tracking Application (NC SPARTA);
- Disaster Assistance Management Program (DAMP);
- Hazard Analyst; and
- Core Operating Resource Information System (CORIS).

As these applications are enhanced, modified and maintained, there must be a formal process for tracking and approving all changes to such applications.

II. Policy

All proposed changes to applications (hardware, software, and programming) that alter the functionality of an application will be required to follow the NCEM change management process.

III. Procedures

A. Major Changes

For all major enhancements / changes to a system totaling more than \$100,000, a PMM (Project Portfolio Management) Express project shall be initiated within the state's system. Through the PMM Express process, NCEM and CCPS-IT will track and document all hardware, software and functionality changes to new and/or existing applications.

B. Minor Changes

For those change management projects under the \$100,000 threshold, the following process shall be followed:

1. NCEM division accountant shall formally request a functional change to an application via email to the Geospatial Technology Management (GTM) Chief;

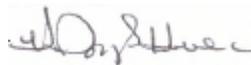
2. GTM Chief will assign the request to a GTM Business & Technology (B&T) applications analyst;
3. GTM B&T Applications Analyst will document a proposed change to the applications in response to the business manager's request via the Change Management Form;
4. GTM Chief and/or his designee will review the application change proposal;
5. If deemed appropriate, the GTM Chief will sign off on the approach and instruct the B&T Applications Analyst to implement the proposed changes on a development copy of the application;
6. Once the changes have been implemented within the development copy of the application, unit testing of the new functionality will be done by the: Division Accountant requesting the change, the EM IT Manager, and a different B&T Applications Analyst within GTM.
7. If testing of the new functionality is deemed successful by the unit testers, the GTM Chief will sign off on moving the new functionality to the operational copy of the application;
8. Documentation for the requested change, programming and testing will be stored and managed within the NCEM change management software package located on the R: drive.

IV. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

V. Coordination.

Operations MS Logistics silence Recovery silence GTM silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

May 12, 2009

Date

North Carolina Emergency Management Division Directive 500-01  
**Website Publishing**

I. Purpose

This directive describes NCEM website publishing requirements and their implementation and maintenance.

II. Policy

The website will be used to educate and inform citizens, government agencies, and private companies of emergency preparedness activities and responsibilities. Content herein will be derived from and adhere to [CCPS website policies](#).

III. Responsibilities

The Geospatial and Technology Management (GTM) Section will be responsible for developing and maintaining the NCEM website by appointing a webmaster. Each Assistant Director/Section Chief will appoint an individual who will be trained to add approved website information. Employees wishing to add material to the website will contact their section website coordinators.

IV. Procedures

A. The Director is ultimately responsible for content of the NCEM website and will review the website from time to time to ensure it properly represents the NCEM division and the NCEM Program at large.

B. GTM will assign a webmaster who will:

1. Coordinate significant website changes with CCPS's Offices of Information Technology and Public Information,
2. Provide training to section coordinators,
3. Develop a website that has a strong positive appearance and ease of navigation for citizens, private companies and other public agencies, and
4. Inform NCDEM senior staff of website issues such as number of 'hits', significant problems, concerns, and Internet trends.

C. Each Assistant Director/Section Chief will:

1. Assign a section website coordinator who will:
  - a. Receive training on how to add material to the website,
  - b. Quality control candidate material for readability and conformance to website publishing standards, and
  - c. After approval, post material to the website.
2. Approve website material before it is posted.

D. Employees will:

1. Compose website content using CCPS's Effective Writing Style guide, and
2. Submit material for the website to the section website coordinator.

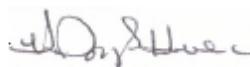
E. The webmaster will establish and implement appropriate standards for the website.

V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination

Operations MS Logistics Silence Recovery Silence GTM Silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

30 April 2008  
(Date)

North Carolina Emergency Management Division Directive 600-01  
**Field Branch Operations**

- I. Purpose. The purpose of the Directive is to describe the role of NCEM Field Branch Office Operations. This Directive addresses the responsibilities for all phases of Emergency Management.
- II. Policy. It is the policy of NCEM that the three Field Branch Office staff are tasked to work directly with their assigned counties to promote and enhance emergency management preparedness, response, recovery and mitigation activities at the local level.
- III. Responsibilities.
  - A. Branch Manager
    1. The Branch Manager is responsible for providing supervision of all NCEM staff assigned to the Branch Office.
    2. The Branch Manager establishes Branch priorities in coordination with the Operations Section Chief for Branch staff.
    3. The Branch Manager provides supervision of day-to-day response operations and becomes Regional Coordination Center (RCC) Manager during events which require activation
    4. When responding on-scene to a local event where two or more State agencies are present, the Branch Manager serves as the Agency Representative per delegation of that authority from the Secretary of Crime Control and Public Safety.
    5. The Branch Manager is responsible for ensuring that the Branch Office is operationally ready with proper procedures, working equipment and adequate supplies at all times.
    6. The Branch Manager coordinates program implementation of training and exercise programs, planning efforts, and grant management with the Division Program Managers in Division headquarters.
    7. The Branch Manager chairs the Radiological Emergency Preparedness (REP) Task Forces for Nuclear Power Plants within the Branch boundaries. This is done in coordination with impacted counties, the NCEM REP Program Manager, SERT partners and the Utilities.
    8. The Branch Manager supports activities of the Domestic Preparedness Readiness Regions (DPRR's) to include annual assessments, grant investment justifications and other activities as required.

9. The Branch Manager makes regular county visits to all counties within their assigned Branch. This visit includes discussions on NCEM programs and policies and provides opportunities for information flow and sharing.

B. Program Assistant

1. The Program Assistant is responsible for the day-to-day administrative duties of the Branch Office.
2. The Program Assistant supports Branch Training activities through student notifications, tracking applications for training, and creating course certificates.
3. The Program Assistant is responsible for coordinating with Division and Department Finance Sections on issues involving purchasing, billing, staff reimbursements and E-Procurement.
4. The Program Assistant serves as the Branch Inventory Officer and maintains Branch Office records of all inventory assigned to Branch staff and Branch counties.
5. The Program Assistant serves as the Branch Supply Officer and is responsible for the ordering of and distribution of supplies to all Branch staff as well as maintaining a stock of office supplies for RCC activations.
6. During RCC activations, the Program Assistant works in the Finance Section and ensures that all Division and Departmental Finance policies are followed.

C. Area Coordinators

1. The Area Coordinators work out of home offices. They leave those offices and travel to their assigned counties to conduct daily business.
2. Each Area Coordinator is assigned six – seven (6-7) counties. He/she is responsible for coordination of Division programs, policies and information sharing with those assigned counties.
3. The Area Coordinators (A/C) rotate Branch “On-Call” responsibility with each A/C being “on-call” once every five weeks for the entire Branch.
4. When responding on-scene to a local event where two or more State agencies are present, the A/C serves as the Agency Representative per delegation of that authority from the Secretary of Crime Control and Public Safety.
5. Area Coordinators support County preparedness efforts by scheduling and/or conducting training classes for local responders.

6. Area Coordinators are responsible for assisting County EM Coordinators with the development of local ordinances, policies, all hazard operational plans and supporting documents.
7. Area Coordinators assist Counties with the development, implementation, evaluation and critique of exercises.
8. Area Coordinators support the DPRR's as Executive Directors and/or technical advisors as needed.
9. Area Coordinators support REP training, planning and exercise activities through participation in the REP Task Forces.
10. During RCC activations, A/C's will report to their assigned Branch RCC as a part of the ICS Overhead Team until post-impact. Then A/C's may be dispatched to the impacted areas to assist with assessment, management of resources, and preliminary recovery activities.

#### D. Multi-Hazard Field Planners

1. Multi-Hazard Field Planners (Field Planners) are responsible for coordinating with their assigned counties on Homeland Security (HLS) grant paperwork, to ensure that all paperwork is properly completed and all deadlines are met.
2. Field Planners support DPRR activities by serving as technical advisors to the DPRR's, assisting in the development of grant proposals and investment justifications from the DPRR's and other support activities as needed.
3. Field Planners review local Emergency Operations Plans (EOPs) for NIMS compliance.
4. Field Planners support County and Branch planning efforts with technical guidance in the development of COOP plans, strategic plans, and other planning support documents.
5. Field Planners assist A/C's and counties with exercise development and evaluations.
6. Field Planners provide planning and exercise support to the REP Task Forces.
7. Field Planners report to their assigned Branch RCC during activations and are assigned positions as a part of the RCC Overhead Team by the Branch Manager.

IV. Procedures. Within NCEM, the chain of command for the staff of the Branch Field Offices is the Division Director and Deputy Director/Operations Section Chief. Requests from other NCEM Sections for support from Branch Field staff should come through the Deputy Director of NCEM. Branch taskings come from the Deputy Director/Operations Section Chief to the Branch Managers to the other Branch staff. Field staff are responsible for the implement the programs, policies and directives developed by the Director of NCEM.

V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of the North Carolina Division of Emergency Management.

VI. Coordination.

Operations Silence Logistics Silence Recovery Silence GTM Silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

2 June 2008

(Date)

North Carolina Emergency Management Division Directive 600-2  
**NCEM 24-Hour Operations Center**

- I. Purpose. The purpose of this Directive is to outline the duties and responsibilities of the 24-Hour Operations Center.
- II. Policy. The 24-Hour Operations Center (24OC) is established to provide the citizens of North Carolina and the Division of Emergency Management with efficient and effective communications during normal periods as well as pre and post disaster and to serve as the single point to disseminate information and warnings to governmental officials (federal, State and /or local) that a hazardous situation could threaten the general welfare, health, safety, and/or property of the State's population.
- III. Planning. Certain parts of the North Carolina population are identified as vulnerable populations. For purposes of this directive, as well as procedures and other documents supporting this directive, those vulnerable populations include, but are not necessarily limited to: the deaf and hard-of-hearing, non-English (mainly Spanish) speakers, people in fragile health and the coastal population for purposes of hurricane evacuation. Other vulnerable populations may be identified as circumstances require.
- IV. Responsibilities. The 24OC has two (2) distinct roles:
  - A. Daily Operations in which the primary tasks of the EM Officers are to collect, analyze, interpret, and quickly and accurately distribute information to and from Federal, State and County Emergency management officials regarding resource request, weather events, chemical spills, search and rescue operations, etc.
  - B. Disaster Operations in which the EM Officers serve as the Mission Assignment Coordinator (MAC) responsible for processing mission request from counties or municipalities to the appropriate lead agency providing the resource.
- V. Procedures.
  - A. Daily Operations
    1. Respond to requests for emergency assistance on an as-needed basis. Analyze data received from a variety of sources in order to properly coordinate response activities and disseminate information regarding on-going events.
    2. Maintain notification checklists and other resource documents. Modify and disseminate information when changes occur. These lists include Federal, State and Department contacts, State Emergency Response Team (SERT) points of contact, Division and Section on-call duty assignments and mailing lists.
    3. Perform immediate incident-specific planning for events or disasters that occur outside the parameters of a routine emergency.
    4. Prepare and disseminate special Situation Reports (Flash Reports), Department Secretary's Homeland Security Report, and Annual Operations Reports. Generate reports for the State Emergency Response Commission (SERC) identifying SARA Title III events. These reports are both narrative and graphic in nature.

5. Develop and implement procedures and changes to the Operations Guide, which is the notification procedures used by the EM Officer.
6. Dispatch Regional Response Hazardous Materials teams as required.
7. Develop and maintain emergency management databases to be incorporated into the division's newly acquired Web-EOC (web-based emergency information management system) used daily or during SERT activation.
8. Routinely test computer systems and communications equipment at the State Emergency Operation Center, as well as, Alternate EOC to ensure operational capability is maintained.
9. Brief the Director of Emergency Management, Department Heads, Council of State, Lieutenant Governor, and Governor, on emergency situations.
10. Coordinate movement of State resources during emergency situations.
11. Maintain and update the following:
  - a. Operations Guide
  - b. Operations Center Branch SOG
  - c. EM Directory
  - d. Fixed Nuclear Facility (FNF) Authentication Code List
  - e. SERT notification contact lists
  - f. Incident Specific Contact lists.
  - g. Various directories, reference materials and plans
12. Participate in exercises, including Fixed Nuclear Facility 10- and 50- mile Emergency Planning zones; Energy Emergencies; Repatriation; Dam Failure; Homeland Security; and Hurricanes.
13. Monitor and maintain the DTN weather imagery system equipment, and Interactive Weather Information Network (IWIN). Interpret data received, to ensure that all agencies receive accurate and timely weather information through voice or written communication.
14. Develop and implement new applications for the Branch Center computers. Work with Division Information Systems Staff toward integration of system applications.
15. Conduct Emergency Alerting System (EAS) Required Monthly Tests. Compose and transmit Civil Emergency Messages, Child Abduction Emergency and Weather related emergency messages as necessary.
16. Monitor and maintain radio and satellite communications with Emergency Management Branch Offices and Area Coordinators on a daily basis as well as during times of on-scene responses to an emergency.
17. Monitor and maintain continuous Selective Signaling System communications with Fixed Nuclear Facilities operating within the state or those with 10-mile Emergency Planning Zones affecting the state.
18. Develop guidelines and procedures for activation of EAS from the State EOC.
19. Ensure appropriate information is relayed during shift briefings.
20. Maintain availability for back-up operations 24 hours a day, 7 days a week.

21. Monitor tropical weather information and update information on computer software as required. Maintain hard copy information for historical purposes.
22. Respond to weekly National Alert and Warning System (NAWAS) state circuit roll calls and maintain agency response log.
23. Record and disseminate citizen's requests for information.
24. Coordinate as needed with Department PIO and NCEM Human Services Coordinator to ensure warning information is disseminated to vulnerable populations within the State.
25. Perform collateral duties as assigned.

**B. Disaster/SERT Operations**

1. Determine the type and quantities of supplies and equipment needed to support operations within the Operations Center during activation of the SERT Notify State agency representatives during the activation of SERT.
2. Prepare recommendations to the SERT Leader regarding the State's response to a particular event and coordinate appropriate resource allocations as directed.
3. Assist the Operations Center Manager in formulating recommendations for responses to anticipated or actual emergency situations including incident specific response planning, revised staffing patterns, communication testing and briefings.
4. Gather, analyze, and disseminate information via oral briefings, written documents, and multi-media equipment to SERT members during emergencies and exercises.
5. Directly support and assist the SERT Leader during EOC activations for emergencies or exercises.
6. Perform the role of the Operations Center Manager in his/her absence during activation of the SERT.
7. Maintain a current SERT Telephone Directory used during EOC activations.
8. Gather appropriate information necessary for establishing an "Open Incident" in WebEOC during the initial Response Phase of a disaster or SERT activation.
9. Coordinate as needed with Department PIO and NCEM Human Services Coordinator to ensure warning information is disseminated to vulnerable populations within the State.

NCEM DD 600-02

MAY 2008

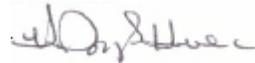
OPR: OPERATIONS

VI. This document is directive in nature and will remain in effect until revised or rescinded by the 24 Hour Operations Center Manager.

VII. Coordination.

Operations MS Logistics Silence Recovery Silence GTM Silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

19 May 2008

(Date)

North Carolina Emergency Management Division Directive 600-03  
**Division Duty Officer**

I. Purpose.

This directive is to outline the duties and responsibilities of the NC Division of Emergency Management (NCEM) Division Duty Officer (DDO) and to outline the actions to be taken in concert with the 24-Hour Operations Center (24OC) during emergency situations that require State assistance and/or resources. These predetermined actions, as outlined in this directive, and further developed in the *24-Hour Operations Center Operations Guide*, are intended to ensure timely and accurate notification of appropriate authorities for any given event/situation.

II. Policy.

- A. Division Duty Officers will be selected (normally from the Senior Staff) according to qualifications and criteria established by the Director. DDO tour lengths will usually be one week.
- B. Upon receipt of any notification of an emergency or disaster, EM Officers in the 24-Hour Operations Center (24OC) will be following the protocols established in their Standard Operating Guide. The EM Officers will determine which EM Level (See the North Carolina Emergency Operations Plan) specifically applies to the event/incident at hand. If the EM Officer is uncertain of the EM Level, he or she may use discretion to establish a higher EM Level for the purpose of notification. Depending on magnitude and severity, the need for State resources, and the obvious public attention which such events can draw, first notifications will be made to the DDO, 24OC Manager, and Field Staff personnel on call.

III. Responsibilities.

- A. The Director of Emergency Management is responsible to select and train members to serve as DDO and to approve the DDO duty roster/schedule.
- B. The 24OC is responsible to prepare the DDO duty roster/schedule for the Director's approval and to maintain the roster for ready reference. The name of the current DDO will be prominently posted in the 24OC.
- C. The DDO provides Senior Staff supervision in the 24OC during an event/emergency. The DDO is also responsible to take information on events/emergencies and information on requests for State resources directly to the Director of Emergency Management and/or the Deputy Secretary for Crime Control and Public Safety as necessary to determine the State's course of action—essentially to approve or disapprove a resource request or to activate the State Emergency Response Team (SERT).
- D. Although this directive refers to a broad range of events/incidents, it is not all-inclusive. There inevitably will be certain situations that require EM Officers and the

DDO to use experience and best judgment to determine the most appropriate response to an event/incident. In the event EM Officers are unable to rule on a classification, the 24OC Manager should be consulted.

IV. Procedures.

A. For tasking resources.

1. State resources will be used in the following cases:

- a. The emergency response capability does not exist in the county;
- b. The appropriate emergency response capability within the county has been exhausted;
- c. An agency within North Carolina State Government has statutory responsibility;
- d. The responsibility is assigned to the State of North Carolina in an approved plan; and/or,
- e. State agency involvement has been directed by the Governor or the Council of State

2. Department of Crime Control and Public Safety Resources. Each of the agencies within the Department of Crime Control and Public Safety have some type of resource, either in terms of manpower and/or equipment, which may be useful during an emergency event. The following procedure will be used to request these resources:

- a. EM Officers will receive requests from an authorized government entity. EM Officers will gather information concerning individuals to contact at the scene, the length of time the resource will be needed, and other appropriate data.
- b. EM Officers will advise the on-call Area Coordinator will be advised of the request and, if the request was not received from the Local Emergency Management Office, will ask the Area Coordinator to verify the request with the local EM office.
- c. EM Officers will make every reasonable effort to confirm the requested resource is not available at the local level.
- d. EM Officers will brief the 24OC Manager and the DDO on the situation and request authorization to proceed according to paragraph IV.A.2.e below.
- e. EM Officers or the DDO will contact the Secretary of Deputy Secretary of Crime Control and Public Safety (CCPS) to obtain permission to make resource requests of agencies within CCPS.

- (1) If this contact cannot be made in an expedient manner, EM Officers will contact an Assistant Secretary of CCPS.
  - (2) In incidents that pose an imminent threat to life and property, the DDO should use his/her best judgment in determining whether to authorize the resource request without delay.
  - f. Once permission is obtained, the Division Duty Officer will authorize the EM Officer to contact the appropriate agency and assign the mission.
  - g. In most instances, the on-call Area Coordinator or Coordinator responsible for the affected county will go to the scene of the event/situation for which a resource has been requested and will remain there until the resource is released and/or the event is terminated.
  - h. Whenever an Area Coordinator goes on-scene, or leaves the scene, EM Officers will notify the appropriate Branch Manager and DDO.
3. Resources from any other agency in State Government. Any agency within State Government may have resources that can be used during an emergency/disaster. The following procedure will be used to request these resources:
- a. EM Officers will receive requests from an authorized government entity. EM Officers will gather information concerning individuals to contact at the scene, the length of time the resource will be needed, and other appropriate data.
  - b. EM Officers will advise the on-call Area Coordinator will be advised of the request and, if the request was not received from the Local Emergency Management Office, will ask the Area Coordinator to verify the request with the local EM office.
  - c. EM Officers will make every reasonable effort to confirm the requested resource is not available at the local level.
  - d. EM Officers will brief the 24OC Manager and the DDO on the situation and request authorization to proceed according to paragraph IV.A.3.e below.
  - e. EM Officers or the DDO will contact the agency's SERT Representative and advise him/her of the request. Available information regarding the on-scene contact person will be provided. Appropriate SERT representatives will be asked to
    - (1) Ensure the requesting agency is contacted by someone from the SERT agency; and
    - (2) Advise the EOC or EM Officers when the request has been approved and the resource is en route.

- f. In most instances, the on-call Area Coordinator or Coordinator responsible for the affected county will go to the scene of the event/situation for which a resource has been requested and will remain until the resource is released and/or the event is terminated.
  - g. Whenever an Area Coordinator goes on-scene or leaves the scene, EM Officers will notify the appropriate Branch Manager and the DDO.
4. Resources from the Federal Government.
- a. EM Officers will receive requests from an authorized government entity. EM Officers will gather information concerning individuals to contact at the scene, the length of time the resource will be needed, and other appropriate data.
  - b. EM Officers will advise the on-call Area Coordinator of the request and, if the request was not received from the Local Emergency Management Office, will ask the Area Coordinator to verify the request with the local EM office.
  - c. EM Officers will make every reasonable effort to confirm the requested resource is not available at the local and state level.
  - d. EM Officers will brief the 24OC Manager and the DDO and ask for authorization to contact the Secretary of CCPS for permission to make a request to the appropriate Federal Agency.
  - e. EM Officers or the DDO will make the request through the FEMA 24-hour emergency number. EM Officers will provide information regarding on-scene contact personnel and ask the FEMA representative to advise the EOC or EM Officers when the request has been approved and resources are en route. EM Officers will then notify the DDO, 24OC Manager, Director of Emergency Management, and the CCPS Deputy Secretary when the request has been approved and resources are en route.
  - f. In most instances, the on-call Area Coordinator or Coordinator responsible for the affected county will go to the scene of the event/situation for which a resource has been requested and will remain until the resource is released and/or the event is terminated.
  - g. In cases which pose an imminent threat to life, military resources may be requested directly from military bases within the state. Because of the life threatening urgency of this type of situation, the DDO need not secure prior approval from higher authority before making such a request.

5. Resources from Counties or Municipalities STATE WIDE MUTUAL AID (USAR, Swift water, Search and Rescue Teams, Dog Teams, SMATS, etc.).
  - a. EM Officers will receive requests from an authorized government entity. EM Officers will gather information concerning individuals to contact at the scene, the length of time the resource will be needed, and other appropriate data.
  - b. EM Officers will advise the on-call Area Coordinator of the request and, if the request was not received from the Local Emergency Management Office, will ask the Area Coordinator to verify the request with the local EM office.
  - c. EM Officers will notify the DDO of the request. If the resource is approved, the Duty Officer will have the appropriate SERT Functional Lead to coordinate resource delivery. The Functional Lead will ensure the requesting county understands that this request will fall under the State Wide Mutual Aid Agreement and the requesting county will be responsible for any associated costs.

B. For Standard Notifications For Emergency Events

1. The 24OC uses various communications equipment, from telephone, mobile phone, pager, and radio equipment, to conduct notifications. Telephone/pager is the primary means of communication with Federal, State, Local staff and SERT Agencies. If telephone use is not appropriate or possible, EM Officers will use discretion to determine the appropriate communication method for completing notifications.
2. When an event occurs, and any or all of the following conditions are met, EM Officers will notify the DDO and the 24OC Manager. The DDO (or the 24OC Manager) will decide whether to make additional notifications (Division Director; Logistics Chief; Operations Chief; Public Affairs Office of CC&PS; and the EM Liaison for the Governor's Office).
  - a. There are multiple deaths.
  - b. There are multiple injuries.
  - c. There is an immediate threat to public safety.
  - d. There is a substantial chemical spill. This does not include "routine" diesel fuel spills of 100 gallons. However, if, for example, the 100 gallon diesel spill were to threaten the public water supply for a town, notification would be required.
  - e. There are existing weather conditions that could cause death, injury, or destruction.

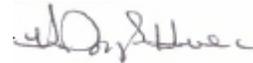
- f. The safety of children is threatened.
    - g. The news media already indicates some prior knowledge of the event.
    - h. There are evacuations or sheltering.
  3. Prior to making any notifications, EM Officers should obtain complete details, or as much information as possible about the event. Questions which may need to be answered include:
    - a. What specific geographical area is affected?
    - b. How many people may be affected (dense v. sparse population)?
    - c. How many injuries and/or deaths have occurred?
    - d. Is the Local Emergency Management Coordinator en route or on-scene?
    - e. Is the on-call Area Coordinator en route or on-scene?
    - f. Contact names / numbers (POCs / EOCs etc.) regarding the incident?
  4. Whenever an Area Coordinator arrives as or departs from an event scene, EM Officers will notify the appropriate Branch Manager and the DDO.
- C. For State Emergency Response Team Activation
  1. Depending on the severity of the incident, the Division Duty Officer may request notification to the Director of Emergency Management; the Logistics Chief; the Operations Chief; Emergency Group Managers; the Division Public Affairs Officer, and the Director's Administrative Assistant. If the Division Duty Officer chooses to notify the above listed individuals, notification should be made using one of the following means:
    - a. Group Page requesting a meet-me conference call.
    - b. Individual notification accomplished by the DDO or EM Officers if the situation allows.
  2. Further Notifications outside of the Division will continue to be made by EM Officers as specified in the Operations Guide.
  3. If a decision is made to activate the SERT, further notifications will then be made by the appropriate Emergency Group Manager(s) and the EM Officer will continue to gather information on the event/situation and be prepared to brief senior staff as needed until the SERT is in place.

V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination.

Operations MS Logistics Silence Recovery Silence GTM Silence Plans GF

Approved.



H. Douglas Hoell, Jr.  
Director

28 April 2008  
(Date)

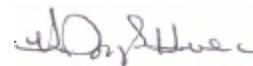
This page is intentionally left blank.

North Carolina Emergency Management Division Directive 600-04  
**NCEM Program for the National Incident Management System (NIMS)  
Implementation**

- I. Purpose. This directive assigns responsibility and establishes general procedures for implementing the NIMS within the North Carolina Emergency Management program.
- II. Policy. NCEM will comply with federal requirements to implement the NIMS. The NIMS ensures agencies from all levels of government can be organized in a coherent way to assure efficient and effective response to a disaster incident. Improved response offers enhanced opportunity to save lives and reduce property damage.
- III. Responsibilities. The Assistant Director, Information and Planning will lead a multi-sectional NCEM team as outlined below. Employees will be trained to the extent necessary for disaster support operations.
- IV. Procedures
  - A. The Information and Planning Section and all others writing plans will ensure plans are consistent with provisions of the NIMS.
  - B. The Logistics Section Training and Exercise Branch will administer and document NIMS training as required.
  - C. All managers and supervisors will ensure their people complete properly documented NIMS training.
- V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.
- VI. Coordination.

Operations MS Logistics Silence Recovery Silence GTM Silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

28 April 2008  
(Date)

This page is intentionally left blank.

North Carolina Emergency Management Division Directive 600-05  
**Dispatching State Hazardous Materials Regional Response Teams**

- I. Purpose. This directive is to outline duties and responsibilities for the decision-making process involved in dispatching the State Hazardous Materials Regional Response Teams (RRT). It applies to Division Duty Officers (DDO), the 24-Hour Operations Center (24OC), and to others involved in decisions to dispatch the RRTs.
- II. Policy. The Hazardous Materials Regional Response Teams may respond to any incident beyond the capabilities of local responders. The incident must involve a hazardous material spill, leak, explosion, or injury, or potential thereof, with immediate threats to life, environment or property. The Secretary of the Department of Crime Control and Public Safety will authorize dispatch of the RRTs.
  - A. Regional Response Team responses to hazardous materials incidents fall into two categories:
    1. Immediate response for extremely hazardous substances (EHS), and unknown materials.
    2. Responses not covered under EHS and Unknown Materials guidelines.
  - B. Although both response categories require approval through the Director (or DDO) and the Secretary of CC&PS or his designee, EM Officers assigned to the 24OC are delegated authority immediately to dispatch an RRT when Category 1 conditions exist as stipulated in paragraph II.A.1. above and in the NC Hazardous Materials Regional Response Teams SOG.
- III. Responsibilities.
  - A. The Director of Emergency Management (or the DDO acting for the Director) is responsible to communicate as necessary to keep the Secretary of Crime Control and Public Safety appropriately informed of and involved in decisions to dispatch the RRTs.
  - B. Response Team Leaders, the Director (or DDO), State EM Area Coordinators, and 24OC EM Officers will make decisions concerning RRT response based on, the State of North Carolina Hazardous Materials Regional Response Teams Standard Operating Guideline.

IV. Procedures.

The Division of Emergency Management 24OC EM Officer may receive a request for Regional Response Team dispatch from various sources.

- A. If the RRT is requested from a State / County Emergency Management Official, including County EM staff members, Fire Chief, or other local government official, EM Officers have authority IMMEDIATELY to DISPATCH the RRT without gaining initial approval—provided either of the following criteria apply:
  1. The chemical is an Extremely Hazardous Substance (EHS) listed in the Title-III List of Lists book and the product has spilled, leaked, been released, or is producing a vapor cloud, or is off gassing, or
  2. The chemical is an UNKNOWN and has spilled, leaked, been released, or is producing a vapor cloud, or is off gassing.
  3. Once an RRT is dispatched under conditions listed above, EM Officers will immediately notify the Director (or DDO), Secretary of the Department of Crime Control and Public Safety, the 24OC Manager, and the appropriate on-call EM Area Coordinator and advise them of the dispatch.
  4. Even when an RRT has already been dispatched, meeting the criteria above, the Secretary of Crime Control and Public Safety may disapprove the response and recall the RRT. If the response is disapproved, EM Officers immediately will contact the RRT, advise the RRT of disapproval, and direct the RRT to return to station. If the request is received from a Fire Chief or other local government official and qualifies for immediate dispatch, the on-call Area Coordinator will keep the appropriate local government EM Coordinator advised of the request/response status.
- B. If a request is received from any individual other than those listed above and if the request meets criteria for immediate dispatch, EM Officers will contact the appropriate on-call Area Coordinator for verification. With Area Coordinator verification, EM Officers immediately will dispatch the appropriate RRT, contact the Secretary for approval, and brief the DDO and the 24OC Manager.
- C. If a request for an RRT does not meet the criteria for immediate dispatch, EM Officers will brief the appropriate on-call EM Area Coordinator and the requested RRT Team Leader, who will recommend an appropriate level of response. With the RRT Team Leader recommendation, EM Officers will brief the DDO and the 24OC Manager and request authorization to proceed with request approval from the Secretary or his designee.

If the request is approved, EM Officers will dispatch the appropriate RRT, and make notifications following the RRT Worksheet and OPS Guide. If the RRT assigned to the county needing assistance is otherwise committed, EM Officers

will dispatch the next reasonably available RRT. If the request is disapproved, the EM Officers will notify the requestor of disapproval.

D. Incidents requiring RRTs include but are not limited to:

1. A transportation incident involving release or potential release of an IDENTIFIABLE hazardous material.
2. Hazardous material incidents at "fixed sites" (e.g., manufacturing facilities with known hazards).
3. An incident with victims incapacitated from unknown causes.
4. A spill or release with known, visible environmental impact (e.g., dead fish, vegetation).
5. A request by another State Hazardous Materials Regional Response Team (e.g., back up).

E. Incidents not authorized for RRTs (and not reimbursable) include, but are not necessarily limited to:

1. Requests for the cleanup of HAZMAT incident not involving the mitigation of a spill or leak.
2. Local requests for services not requiring OSHA Technician level expertise.
3. Local responses not meeting the State response criteria.
4. Standby time when no emergency situation has occurred.

F. RRT Specific Information.

1. Selection of a Regional Response Team. The dispatch of an RRT will go initially to the RRT in the designated area of responsibility. (See Regional Response Team Area of Responsibility Chart). If the designated RRT is not in service or already responding to another incident, EM Officers will recommend, for DDO approval, the next closest RRT available to the incident site.

2. Incident Numbering. Once a decision is made to dispatch an RRT, EM Officers will assign an incident number. This incident number will be given to the RRT leader. The incident number will consist of 10 digits as follow.
  - a. The date of the response.
  - b. The Regional Response Team number, and
  - c. The number of response incidents for the particular calendar year.

For example, Incident Number 0101085001 would indicate the first incident for RRT 5 in calendar year 2008 occurred on January 1<sup>st</sup>.

3. Emergency Management Form 43. EM Officers will complete an EM 43 for each incident that involves a request for RRTs. In cases where an EM 43 has already been initiated, and the situation developed to a point requiring a request for an RRT, it is not necessary to prepare a second EM 43. EM Officers will update the initial EM 43 following established procedure.
4. Regional Response Team Time/Worksheet. Once an RRT request is received, EM Officers will initiate the Regional Response Team Time/Worksheet within the EM 43.

#### G. Staff Notifications.

1. For RRT incidents, EM Officers will consult the 24OC Manager to determine the need to bring in additional staff. The EOC Manager will be notified if the 24OC Manager is not available.
2. Notification for Field Staff. EM Officers will notify appropriate on-call Area Coordinators for all RRT incidents. Once approval of the RRT is obtained, the appropriate Area Coordinator will go to the scene. The DDO and the appropriate Field Branch will be notified when an Area Coordinator goes to or leaves the scene. The appropriate Area Coordinator to report to the scene of a RRT response will be determined according to the incident county—not according to the county in which the RRT is based.
3. Conferring with the RRT Leader.
  - a. When a request for an RRT is received, EM Officers will complete the RRT Request Form with as much information as is available—to include information from the scene or the reporting party, and other information requested by the RRT leader. After completing the RRT Request screen on EM 43, EM Officers will confer as necessary with the RRT Leader designated for the response.

- b. The RRT leader will advise EM Officers regarding the recommended level of tiered response for deployment. The RRT leader will also make recommendations regarding deployment of another RRT that may be closer to the scene.
- c. EM Officers will notify the Director or his designee of the recommended tiered response (described below).
  - (1) As part of the decision making process of whether or not to respond to a hazardous material incident, the hazardous materials regional response teams need to consider the level of the incident
  - (2) The incident levels are tiered (Levels I through III) and sub-tiered. These levels give the RRT leader the option of responding to the incident from a phone call for advice to the Incident Commander on the scene to a 12-Man response directly to the incident site.
  - (3) Expanded information regarding incident levels and tiered response information is available in the State of North Carolina Hazardous Materials Regional Response Team Standard Operating Guideline.
- d. RRT Out-of-Service Notifications. When an RRT reports to the NCEOC they are Out of Service and unavailable to respond to an emergency situation, EM Officers will notify:
  - (1) 24OC Manager
  - (2) Division Duty Officer (at the discretion of EM Officers and the 24OC Manager)
  - (3) RRT Program Manager, and/or

EM Officers will make appropriate entries on the Daily Log, indicating notifications, time out of service, etc.
- e. When an RRT reports to the NCEOC they are In-Service and available to respond to an emergency situation, EM Officers will notify:
  - (1) Communications Manager
  - (2) Division Duty Officer (at the discretion of EM Officer)
  - (3) RRT Program Manager, and / or

EM Officers will make appropriate entries on the Daily Log, indicating notifications, time in service, etc. These notifications are not associated with an RRT Response, but are to be used for out-of-service notifications involving planned activities such as routine maintenance/repairs, out-of-

NCEM DD 600-05

APRIL 2008

OPR: OPERATIONS

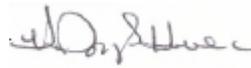
state travel, etc., as well as unplanned activities such as damage repairs and inoperable equipment.

V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination

Operations MS Logistics Silence Recovery Silence GTM Silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

28 April 2008

(Date)

North Carolina Emergency Management Division Directive 700-01  
**Public Assistance Program Description and Duties**

- I. Purpose. The purpose of this Directive is to describe the duties and responsibilities of the Public Assistance Program which operates under the Recovery Section. It applies to the North Carolina Emergency Management Program at large.
- II. Policy.
  - A. The Public Assistance program is designed to meet the needs of all eligible applicants for the repair/replacement of disaster-damaged infrastructures, such as roads, bridges, and other public property. Timely implementation of the Public Assistance Program is crucial to the recovery of local governments, other political subdivisions, and certain private non-profit organizations within the disaster-declared areas.
  - B. Public Assistance funding is limited to repairing and/or restoring eligible damaged items/facilities to their pre-disaster condition, and identifying potential Public Assistance mitigation opportunities and corrective engineering solutions. The grants will be provided for uninsured losses or when no other funding sources are available, as further described within the rules and regulations of the Public Assistance Program and outlined in other areas of this plan.
  - C. Following a disaster declaration by the President and a designation for Public Assistance grant funding by FEMA, assistance for response and recovery operations is made available to eligible applicants. Four types of entities are eligible applicants: (1) State governments, (2) local governments, (3) Indian Tribes or authorized Tribal organizations and Alaskan Native Villages, and (4) private non-profit (PNP) organizations. Applicants that are successful in obtaining assistance are formally identified as subgrantees. In common usage, the terms "applicant" and "subgrantee" are often used interchangeably.
  - D. FEMA Policy 9521.3 Guidance for determining the eligibility of PNP organizations and their facilities is as follows:
    1. PNP organizations that own or operate facilities that provide certain services of a governmental nature are eligible for assistance. These organizations, their facilities, and their services must meet additional eligibility criteria beyond those that apply to governmental applicants. Qualifying PNPs are those that provide education, medical, custodial care, emergency, utility, certain irrigation facilities, and other essential governmental services. Essential governmental services are:
      - Museums;
      - Performing arts facilities; community arts centers;
      - Zoos;
      - Community centers;
      - Libraries;

- Homeless shelters;
  - Rehabilitation facilities;
  - Senior citizen centers;
  - Shelter workshops; and health and safety services of a governmental nature such as low-income housing, alcohol and drug treatment centers, residences and other facilities offering programs for battered spouses; facilities offering food programs for the needy, and daycare centers for children or those individual with special needs (such as autism, those with Alzheimer's disease, and muscular dystrophy).
- a. The PNP organizations must have an effective ruling letter from the U.S. Internal Revenue Service at the time of the disaster granting tax exemption under Section 501(c), (d) or (e) of the Internal Revenue Code.
  - b. The applicant must meet requirements as listed in 44 CFR 206.221 -44 CFR 206.226, including the need to own or operate an eligible facility and to be legally responsible for disaster-related projects.
  - c. The applicant must meet the requirements of the Civil Rights Act of 1964.
2. Facilities - Basic Statutory and Regulatory Requirements/Information.
- a. The facility, at a minimum, must meet the criteria outlined in 44CFR 206.221(e).
  - b. The facility must be primarily used for one of three services or facilities listed in 44 CFR 206.221(e).
  - c. Eligible PNP Facilities. The following generally are eligible for assistance, but must meet specific criteria: educational facilities {as defined in §206.221 (e)(1)}, utilities {as defined in §206.221 (e)(2)}, irrigation facilities {as defined in §206.221 (e)(3)} emergency facilities {as defined in §206.221 (e)(4)}, medical facilities {as defined in §206.221 (e)(5)}, custodial care facilities {as defined in §206.221 (e)(6)}, facilities that provide essential governmental services and which must be open to the general public {as defined in §206.221(e)(7), such as:
    - (1) museums, zoos,
    - (2) performing arts centers
    - (3) community arts centers,
    - (4) libraries, rehabilitation facilities,
    - (5) homeless shelters,
    - (6) senior citizen centers, shelter workshops, and

(7) health and safety services of a governmental nature, including, for example:

- low-income housing (as defined by Federal, State or local law or regulation),
- alcohol and drug treatment centers,
- residences and other facilities offering programs for battered spouses,
- facilities offering food programs for the needy, and
- day care centers for children, or individuals with special needs (e.g., those with Alzheimer's disease, autism, muscular dystrophy, etc.).

3. Requirements for Application to the Small Business Administration (SBA). To be eligible for Public Assistance, PNP organizations are required by law and regulation to provide certain types of services and to follow special procedures. PNP organizations must have an effective ruling letter from the Internal Revenue Service at the time of the disaster granting tax exemption under Sections 501(c), (d) or (e) of the Internal Revenue Code, or satisfactory evidence from the State that the organization is a non-revenue producing, non-profit entity organized or doing business under State law. Further, the specific facility for which the PNP organization is requesting funding must be used primarily for an eligible purpose consistent with the services identified above and, generally, be open to the public.

- a. Emergency Work. All PNPs that are eligible for FEMA assistance, as described above and in 44 CFR 206.221(e), apply directly to FEMA through the State for emergency assistance under 44 CFR 206.225
- b. Permanent Work. Eligible PNPs seeking reimbursement from FEMA for permanent repairs and restoration apply for disaster assistance according to the following requirements, depending on whether their facility is deemed to provide "critical" or "non-critical" services by the Stafford Act.

(1) Critical services are defined as those providing power, sewer, wastewater treatment, communication, education, and emergency medical, fire protection, and emergency service. PNPs that provide critical services apply to FEMA through the State for permanent repair and restoration. All other PNPs are considered to provide "non-critical" services and must follow the application process described below.

(2) PNPs that provide critical services may have damaged facilities that do not provide critical services, e.g., auditoriums. When critical and non-critical services share a single facility, the PNP is not required to apply to the Small Business Administration (SBA) for a repair loan for the facility.

- (3) Non-critical services are those that do not qualify as critical service facilities. PNPs with non-critical services must first apply to the SBA for a low-interest loan for repair of disaster damages.
  4. Federally Recognized Indian Tribes —Indian tribes or authorized tribal organizations and Alaskan Native villages.
  5. Public Assistance costs are shared on a Federal and non-Federal basis. The cost share may be adjusted by the President of the United States for catastrophic disasters or multiple/concurrent events.
  6. The State's share of eligible costs will be defined in the FEMA-State Agreement for each declaration.
- E. Available Public Assistance. The Public Assistance Program consists of two main types of work: Emergency and Permanent.
  1. "Emergency" work is done immediately to save lives, maintain public health and safety, protect and preserve property, and to provide temporary facilities to restore essential public services. The two "Emergency" categories are identified by the letters "A" and "B" and include the following work:
    - a. Category A - Debris Removal: Public Assistance provides for removal of debris and wreckage resulting from a major disaster or emergency. Eligible work includes removal from public roads and streets, including right of way, other public property, and in special cases with FEMA prior approval, private property.
    - b. Category B - Emergency Protective Measures: Public Assistance provides reimbursement for emergency protective measures to save lives, remove health and safety hazards, and protect property in a Presidentially declared disaster or emergency.
  2. "Permanent" work provides assistance for repairing, restoring, reconstructing, or replacing any impacted public facility belonging to an eligible applicant. The Federal contribution is made on the basis of the design of the facility as it existed immediately prior to the disaster and/or in conformity with applicable local, state, and national codes, specifications, and standards. Public facility includes any publicly-owned flood control, navigation, irrigation, reclamation, public power, sewage treatment and collection, water supply and distribution, watershed development; or airport facility; and non-Federal aid street, road or highway; or any other public building structure or system, including those used for educational, recreational, or cultural purposes. The five "Permanent Work" categories are identified by the letters "C" through "G" and include the following work:

- a. Category C - Road Systems - roads, bridges, traffic controls, streets, culverts, etc.
- b. Category D - Water Control Facilities - dikes, levees, dams, drainage channels, and irrigation systems.
- c. Category E - Public Buildings and Equipment - public buildings, supplies or inventory, vehicles or other equipment, transportation systems, and higher education facilities.
- d. Category F - Public Utilities Systems - storm-water drainage systems, sanitary, sewage, light, and power facilities.
- e. Category G - Other - Park Facilities - Recreational facilities

F. The North Carolina Department of Crime Control and Public Safety is the overall program administrator for the State of North Carolina, with the North Carolina Division of Emergency Management (Public Assistance) charged with administering the Public Assistance Program.

III. Organization and Responsibilities. Overall administration of the Public Assistance Program is the responsibility of the Public Assistance Branch, which is in the Recovery Section of the Division of North Carolina Emergency Management. The Public Assistance Branch will review and update the administrative plan annually, as well as whenever there is a Public Assistance Disaster Declaration.

A. Management and Staffing Requirements.

The Public Assistance Branch of the Recovery Section within the Division of Emergency Management (NCEM) is responsible for implementation of the Public Assistance Program.

The Recovery Chief supervises the Public Assistance Branch as well as other programs within the Recovery Section. The Public Assistance Manager (Public Assistance Officer) administers the Public Assistance Branch with the supervisors directing the Grants Managers in the day-to-day operations and performance of the Branch. The PA Supervisors will serve as the Deputy Public Assistance Officers (DPAOs), and in conjunction with the Operations Section Chief (SCO) and the NCEM Director (GAR), will administer the State Public Assistance Program's disaster recovery plan and field operations structure.

The Public Assistance Branch also employs temporary employees to fill vacant positions, unmet requirements, and missions. The Public Assistance Branch uses legal support at the Department of Crime Control and Public Safety to handle specific legal/policy research. The Public Assistance Branch will employ selected disaster Reservists who have been trained in the Public Assistance Program to work as Project Officers or in specialized areas such as insurance, environment, debris, historic preservation, or as established by the Public Assistance Program and so forth in disaster and special non-disaster events.

B. Disaster/Emergency Activation Roles/Responsibilities.

1. Governor's Authorized Representative (GAR) Responsibilities:
  - a. Normally, the Director of Emergency Management is the designated GAR.
  - b. Empowered by the Governor to execute, on behalf of the State, all necessary documents for disaster assistance;
  - c. Responsible for State performance of hazard mitigation activities under the FEMA-State Agreement and 44 CFR, Subpart M (Hazard Mitigation); and
  - d. Designates a State Hazard Mitigation Officer to serve on the FEMA/State survey team and a State planner to serve on the FEMA/State Hazard Mitigation Planning team;
  - e. Ensures that State-filled operations for Public Assistance initial response and recovery activities comply with NIMS staffing and organizational requirements.
2. Alternate Governor's Authorized Representative (AGAR) Responsibilities. The Chief of Recovery and the Public Assistance Branch Manager are designated AGARs. They assist the GAR in ensuring compliance with all Public Assistance Program requirements and forward applicant formal appeals, with State recommendations, to FEMA in accordance with the procedures outlined in 44 CFR, Section 206;
  - a. Approves Large Project Closeout reports prior to submission to the FEMA PAO; and
  - b. Approves final closeout of each applicant and payment of State share.
3. State Coordinating Officer (SCO) Responsibilities.
  - a. The SCO coordinates State activities in cooperation with the Federal Coordinating Officer (FCO) to administer disaster recovery efforts;
  - b. Coordinates State and local disaster relief activities and implements the State Emergency Plan;
  - c. Ensures that all affected local jurisdictions are informed of the declaration, the types of assistance authorized, and the counties eligible to receive such assistance;
  - d. Works with the FCO to establish field offices as necessary to coordinate and monitor assistance programs, and to disseminate information;
  - e. The SCO oversees the implementation of all disaster services, functions, and programs (Human Services, Mitigation, Public Information, etc.);

- f. Ensures any applicable State disaster recovery programs comply with Federal rules and regulations;
  - g. Establishes policies for JFO operations; and
  - h. Requests direct Federal assistance, as necessary.
4. Deputy State Coordinating Officer (DSCO) Responsibilities. NCEM Recovery Chief normally is designated as the DSCO.
- a. Implements State activities in conjunction with FEMA to administer recovery efforts;
  - b. Principal point-of-contact to coordinate State and local disaster relief activities and implements the State emergency plan;
  - c. Coordinates the dissemination of all disaster related information including (but not limited to) declaration status, types of assistance authorized, changes to the declaration of local jurisdictions, State agencies, as well as local and State public officials;
  - d. Supervises the establishment of the JFO in conjunction with FEMA;
  - e. Implements any and all applicable policies set forth by FEMA and the SCO;
  - f. Oversees and manages the daily operations of the JFO;
  - g. Approves necessary and required expenditures applicable to disaster recovery efforts and JFO operations;
  - h. Approves the release of any information to the media and public sector;
  - i. Determines the staffing and budget requirements for JFO operations;
  - j. Assumes the SCO duties in the absence of the SCO;
  - k. Performs other duties and responsibilities as directed by the SCO.
5. Operations Chief Responsibilities.
- a. Ensures the administration of disaster assistance programs in accordance with the State Administrative Plan and Federal regulations;
  - b. Ensures staffing and budgeting requirements necessary for program management;
  - c. Determines staffing and budgeting requirements necessary for program management;

- d. Trains and supervises operations staff.
  - e. Coordinates requests for assistance from other State agencies as needed (e.g., State Emergency Response Teams [S.E.R.T] functions).
6. Public Assistance Officer (PAO) Responsibilities.
- a. Oversees the daily operation of the Public Assistance Program;
  - b. Assists FEMA PAO in determining applicant eligibility;
  - c. Assists the GAR in preparing all necessary and required reports;
  - d. Submits 'Requests for Public Assistance' to the FEMA PAO;
  - e. Makes project eligibility recommendations to FEMA PAO;
  - f. Monitors the potential disaster situation;
  - g. Assesses State and Federal resource needs;
  - h. coordinates with FEMA, State, and local governments for PDA time, location, extent of damage, duration, etc;
  - i. Reports non-inspected damage to RD within 30 days of discovery;
  - j. Identifies State human resources for JFO, including other State agencies;
  - k. Completes additional tasks listed under Public Assistance Branch staff.
7. Deputy Public Assistance Officers (DPAOs) Responsibilities.
- a. Coordinates training of State Public Assistance staff;
  - b. Provides technical assistance and guidance to applicants, PACs, and POs;
  - c. Assists the PAO in preparing all necessary and required reports;
  - d. Coordinates State support for damage survey activities;
  - e. Coordinates applicant briefings;
  - f. Coordinates with local governments to assess need during emergency response activities;

- g. Oversees the daily operation of the Public Assistance Program for assigned areas;
  - h. Completes additional tasks as required.
8. Resource Coordinator (RC) Responsibilities.
- a. Assists the PAO to determine staffing needs;
  - b. Serves as lead for resource coordination/special considerations;
  - c. Assigns technical specialists as requested by PAO or his/her designee;
  - d. Coordinates with the FEMA FIC;
  - e. Develops a resource plan;
  - f. Maintains resource tracking.
9. Special Considerations Liaison (SCL) Responsibilities:
- a. Coordinates with the RC, PAC, and environmental officers from external agencies (e.g., State Historic Preservation Officer);
  - b. Provides guidance to PAO, DPAO, RC, PAC, PO, and specialists regarding procedures, laws, and requirements for the following special considerations:
    - (1) Environmental
    - (2) Historic
    - (3) Flood Insurance
    - (4) Property Insurance
    - (5) Hazard Mitigation (404,406 and 409 HMGP)
  - c. Forwards 404 HMGP issues to the State Hazard Mitigation Officer;
  - d. Coordinates with specialists to ensure that required steps are taken;
  - e. Maintains special considerations tracking;
  - f. Ensures that all necessary documentation is filed with each project;
  - g. Coordinates with the FEMA SCL to ensure that all special considerations materials are updated and provided to RC, PAC, and PO:
    - (1) Special Considerations Checklist "Nine Questions;"
    - (2) National Register of Historic Sites;
    - (3) Endangered Species List;
    - (4) Coastal Barrier Resource Act (CBRA) locations;
    - (5) Flood Insurance Rate Maps (FIRM);

- h. Interprets special considerations laws, regulations, and policies, and applies them to projects.
  - i. Implements the Public Assistance Pilot Program.
10. Public Assistance Coordinators (PACs) Responsibilities:
- a. Review the RPAs and PDAs and forwards them to the PAO;
  - b. Conduct briefings/Kick-off meetings with applicants to discuss their PA needs;
  - c. Determine the appropriate field inspection staff skills required to complete PWs;
  - d. Maintain direct contact with State emergency management staff, local governments, and the DPAO, RC, SCL, and PO;
  - e. Serve as a liaison between the applicant and FEMA;
  - f. Resolve issues between the applicant, State PO, and FEMA PO;
  - g. Monitor the progress of the inspections and PW processing until all applicants' projects have been obligated or determined ineligible;
  - h. Review all RPAs, PWs, and funding requests;
  - i. Request information from the applicant to clear suspended projects;
  - j. Review information for eligibility/applicability and forward to the FEMA PAO;
  - k. Report additional damage to the DPAO within 60 days of the applicant's initial inspection, within reason;
  - l. Evaluate cost overruns and recommend action to DPAO,
  - m. Process request for project time extensions in accordance with the procedures outlined in 44 CFR, Section 206.204(c) and (d);
  - n. Conduct final review and recommend approval of eligible projects under \$100,000, but PAO will recommend the obligation of these funds to the RD;
  - o. Complete program closure requirements; and
  - p. An NCEM disaster reservist may serve in the role as PAC.

11. Project Officers (POs) Responsibilities. An NCEM disaster reservist may serve in this role as PO.
  - a. Attend Applicants' Briefings and Kick-off Meetings for assigned applicants;
  - b. Maintain tracking for all assigned applicants;
  - c. Provide technical assistance and guidance to applicants in formulation of small and large projects; reservists' experience in previous disasters will determine their roles.
  - c. Prepare large projects in coordination with FEMA PO:
    - (1) Visit large project damage sites
    - (2) Develop scope of work
    - (3) Identify special considerations
    - (4) Identify hazard mitigation opportunities (406,404, 409); forward 404 issues to the SCL;
  - e. Prepare required paperwork (PW, Project Officer Report, etc.);
  - f. Notify PAC of special needs;
  - g. May be requested to validate small projects.
12. Specialist(s) Responsibilities. An NCEM disaster reservist may serve in this role as a Specialist.
  - a. Coordinates with the PAO, RC, PAC, PO, and applicant;
  - b. Provides technical expertise to the PAO, PAC, PO, and applicant;
  - c. Provides individual expertise on small or large projects;
  - d. May be requested to validate small projects;
13. NCEM Finance Manager (FM)
  - a. Reviews accuracy of payment requests received from the Public Assistance staff;
  - b. Prepares claim vouchers for payment to applicant;
  - c. Prepares payment requests to be routed through and disbursed by the Department of Crime Control and Public Safety;
  - d. Reviews warrants for accuracy and sends to applicants;
  - e. Assists with applicant issues, as requested;

- f. Assists auditors as needed;
- g. Creates reports for the following:
  - (1) Weekly Federal and State payments;
  - (2) Year-to-date Federal and State payments;
  - (3) Closed applicants;
  - (4) Cumulative disbursements for all disasters.

14. Temporary Employees.

- a. NCEM hires employees on a temporary basis to fill vacant positions within PA, positions identified at the JFO, and disaster assistance specialist(s) under the State Public Assistance Disaster Reservists Program;
- b. Assist NCEM Public Assistance Branch staff in conducting the Public Assistance Program.

C. State Agency Function and Responsibility in Support of the PA Program.

1. North Carolina Department of Transportation (NCDOT) Division of Highways.

- a. Provides personnel for PDA inspection teams, as needed to assess reconstruction needs for transportation infrastructures;
- b. Provides personnel for inspection teams, as needed;
- c. Provides technical assistance to resolve Public Assistance-related issues, as needed;
- d. Coordinates contracts for debris clearance / removal from state maintained roads and specified county thoroughfares as requested;
- e. Maintains web page updates on road openings and closings (Transportation and Information Management Systems).

2. Department of Environment and Natural Resources (DENR)

- a. Provides personnel for PDA inspection teams, as needed;
- b. Provides personnel for inspection teams, as needed;
- c. Provides emergency repairs of state wastewater and solid waste facilities.
- d. Division of Forest Resources provides emergency debris clearance teams.
- e. DENR-Division of Water Quality provides assistance for emergency repair of State wastewater facilities.

- f. DENR- Waste Management coordinates the emergency removal and disposal of debris to eliminate threats to life, public health and safety. Authorizes landfill permits.
  - g. DENR - Air Quality - coordinates any required disaster-related permits for burning of debris and/or air quality policies / issues
3. State Auditor.
- a. Performs audits as required by applicable laws and regulations;
  - b. Provides documentation guidance and fiscal compliance requirements to applicants.
4. Secretary of State.
- a. Assists in validating eligibility of PNP organizations;
  - b. Advises applicants of requirements for maintaining their Certificate of Good Standing.
5. Department of Insurance-Division of Safety Services.
- a. Provides assistance to GAR regarding issues with insurance companies during disaster situations;
  - b. Provides information on insurance rules and regulations;
  - c. Provides copies of current codes and standards.
6. Department of Public Instruction.
- a. Administers Department of Education (DOE) assistance programs;
  - b. Ensures compliance with DOE assistance requirements in disaster impacted schools.
7. Department of Labor provides information on North Carolina Labor Standards through the Division of Labor Standards.

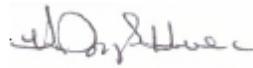
8. Department of Administration:
  - a. Division of Facilities Management provides technical advice and evaluations, engineering, service construction, facilities management and inspection, and emergency contracting.
  - b. Division of Energy provides assessment of energy systems, drainage, supply / demand, and system restoration requirements. Coordinates requests for assistance regarding fuel and power from county Emergency Operations Centers (EOC).
9. Office of State Controller coordinates financial support issues with state and local disaster response elements.
10. Department of Crime Control and Public Safety - Civil Air Patrol-North Carolina National Guard - Radio Amateur Civil Emergency Services (RACES)
  - a. Serves as communications support to state and local disaster response elements;
  - b. Assists with response activities during EOC activation.
11. Department of Agriculture provides technical assistance and advisement for agricultural matters and disposal of disaster-related carcasses of agri-businesses and farm animals.
12. Department of Health and Human Services (DHHS).
  - a. Provides assistance and services to individuals, families, farmers, and businesses affected by disaster events;
  - b. Services include loans and grants, temporary housing, tax relief, legal services, crises counseling, and unemployment assistance. Also works to address unmet needs of disaster victims.
13. Any state agencies not directly addressed in this document may come under direction of the Governor's Authorized Representative, in accordance with NCGS 166A.

IV. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

V. Coordination.

Operations Silence Logistics Silence Recovery Silence GTM Silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

14 May 2008  
(Date)

This page is intentionally left blank.

North Carolina Emergency Management Division Directive 700-02  
**Individual Assistance Program Description and Duties**

- I. Purpose. The purpose of this Directive is to describe the duties and responsibilities of the Individual Assistance Program. It applies to the North Carolina Emergency Management Program at large.
- II. Policy.
  - A. The Mission of the Individual Assistance Program is to ensure that all North Carolina individuals and families have access to the full range of State and Federal programs made available in the aftermath of a disaster. The Individual Assistance Program is carried out by developing and maintaining programs, policies, and partnerships with State, Federal and voluntary organizations to administer human service programs and deliver resources to disaster victims. It is equally important to encourage all citizens affected by the disaster to take part in their own recovery process.
  - B. The Individual Assistance Program provides assistance to:
    1. Home owners whose primary residences were damaged or destroyed by a natural or manmade disaster.
    2. Individuals who face displacement from their homes due to disaster-related income loss.
    3. Individuals whose homes are inaccessible due to road, bridge, and culvert or driveway washout.
  - C. The Individual Assistance Program provides the following services:
    1. Conducts high quality inspections of disaster damaged dwellings as the basis for determining the kinds and amounts of assistance to be provided to individuals and families.
    2. Provides processing services at DRCs for disaster applications which provide assistance to individuals as quickly as possible while ensuring proper stewardship of Federal and State funds.
    3. The capacity to provide housing resources through the state of North Carolina or FEMA for disaster victims.
    4. Continuously evaluates the effectiveness of our programs and systems, on the basis of feedback from our SERT partners, disaster victims, the community and local government to improve our delivery of services to best meet the needs of those impacted by a disaster.

- D. The Federal Emergency Management Agency (FEMA) and the State of North Carolina must establish a partnership for the delivery of assistance under Subsections 408 (e) & (f) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act), 42 U.S.C. 5174 (e) and (f).
- E. Individual & Households Program (Other Needs Assistance (ONA))
1. Money is available for necessary expenses and serious needs caused by the disaster. This includes medical, dental, funeral, personal property, transportation, moving and storage, and other expenses that are authorized by law.
  2. To qualify for assistance under this program applicants must apply to the United States Small Business Administration's (SBA) Disaster Home Loan Program for all available assistance under that program and be declined for SBA Disaster Home Loan Program assistance or demonstrate that the SBA assistance received does not satisfy their total necessary expenses or serious needs arising out of the major disaster. Applicants that do not complete this process are not eligible for INDIVIDUAL ASSISTANCE.
  3. Generally, assistance is available through the State Disaster Individual Assistance Program when the applicant or household has incurred a disaster-related necessary expense or serious need in the county in which the disaster has been declared. Also, in a situation where the applicant has insurance, when the individual or household files a claim with their insurance provider for all Individual Assistance applicable types of insurance coverage and the claim is denied or unmet needs remain.
  4. ONA can be provided for disaster-related serious needs in five categories.
    - a. Repair or Replacement of Personal Property: money may be available to repair or replace items damaged or destroyed as a result of the disaster that are not covered by insurance. The State of North Carolina will not pay for all damaged or destroyed personal property. A flood insurance purchase and maintenance requirement may be placed on the property if the property is in a Special Flood Hazard Area.
      - Clothing
      - Household items (room furnishing, appliances)
      - Specialized tools or job-related protective clothing and equipment
      - Necessary educational materials (such as school books)
      - Clean-up items (such as wet/dry vacuum, air purifier, dehumidifier)
    - b. Transportation. Money to address the cost of repairing and/or replacing a vehicle that is no longer usable because of disaster-related damage.
    - c. Medical and Dental Expenses. Money to address the cost of medical treatment or the purchase of medical equipment required because of physical injuries received as a result of the disaster.

- d. Funeral and Burial Costs. Money to address the cost of funeral services, burial or cremation and other funeral expenses related to a death caused by the disaster.
- e. Other Items. In some cases the state can agree to pay for specific disaster-related costs that are not listed above. Some examples are generators, moving and storage expenses.

F. Conditions and Limitations of FEMA IHP Assistance.

1. Non-discrimination. All forms of State disaster assistance are available to any affected household that meets the conditions of disaster eligibility. No State or Federal entity or official (or their agent) may discriminate against any individual on the basis of race, color, religion, sex, age, national origin, disability, or economic status.
2. Residency status in the United States and its Territories. To be considered for disaster assistance, the individual or an adult household member must provide proof of identity and sign a declaration stating that he/she is a United States citizen, a non-citizen national, or a qualified alien.
3. Supplemental Assistance. Disaster Assistance is not intended to substitute for private recovery efforts, but to complement those efforts when needed. The State expects minor housing damage or the need for short-term shelter to be addressed by homeowners or tenants. Furthermore, IHP is not a loss indemnification program and does not ensure that applicants are returned to their pre-disaster living conditions.
4. Household Composition. People living together in one residence before the disaster are expected to continue to live together after the disaster. Generally, assistance is provided to the pre-disaster household as a unit. If, however, the assistance provided to the household is not shared, or if the new residence is too small or causes the individual undue hardship, the individual may request assistance separate from their pre-disaster household.
5. Type of Assistance. Generally, more than one type of assistance may be provided to the household. The Individual Assistance Coordinators will make every attempt to identify other resources through the state and VOAD agencies to meet an individual's recovery needs.
6. Proper Use of Assistance. All financial assistance provided by State should be used as specified in writing: To rent another place to live, or to make the home repairs identified by the State. Failure to use the money as specified may make the individual ineligible for additional assistance. All State and Federal disaster assistance money is tax-free.

7. Documentation. It is the individuals' responsibility to provide all documentation necessary for the State to evaluate their eligibility. An applicant may need to provide proof of occupancy, ownership, income, loss, and/or information concerning their housing situation prior to the disaster. The individual should keep all receipts and records for any housing expenses incurred as a result of the disaster. This includes receipts for repair supplies and labor, and rent payments.
8. Insurance. If the individual has insurance, any policies must be filed and a decision made before receiving assistance from the State. If the settlement is less than the State's estimated cost to make the home habitable, the individual may qualify for funds to supplement the settlement, but only for repairs relating to the home's habitability. The State does not provide replacement value amounts or assistance with non-essential items.
9. Duration of Assistance. Repair Assistance is provided as a one-time payment. To be considered for additional assistance, eligible applicants must demonstrate that they have used any previous assistance from the State as instructed, and they must demonstrate their efforts to re-establish permanent housing.
10. Appeal Rights. If applicants disagree with the State's determination of eligibility or the form of assistance provided, they have the right to appeal within 60 days of the date of the notification letter.

G. Individual Assistance Program - Emergency Work and Permanent Work.

1. Our program provides assistance to home owners whose primary residences were damaged or destroyed by a natural or manmade disaster;
2. Or individuals who face displacement from their homes due to disaster-related income loss;
3. Or whose homes are inaccessible due to road, bridge, and culvert or driveway washout;
4. Conduct high quality inspections of disaster damaged dwellings as the basis for determining the kinds and amounts of assistance to be provided to individuals and families.
5. Providing processing services at JFO's of disaster applications which provide assistance to individuals as quickly as possible while ensuring proper stewardship of Federal and State funds;
6. Maintain the capacity to provide housing resources through the state of North Carolina or FEMA for disaster victims and;

7. Continuously evaluate the effectiveness of our programs and systems, on the basis of feedback from our SERT partners, disaster victims, the community and local government to improve our delivery of services to best meet the needs of those impacted by a disaster.
- 
- H. NC CareLink. North Carolina Emergency Management and the North Carolina Division of Health and Human Services has a Memorandum of Agreement for the use of NC CareLink. NC CareLink is a database designed to track specific information relative to each disaster. With this information we are able to gather statistical information and detailed data regarding citizens' needs. NCEM is one of the 26 HUBS across the state that utilizes this program.

### III. Organization and Responsibilities.

- A. The North Carolina Department of Crime Control and Public Safety (through the Division of Emergency Management (Individual Assistance)) is the overall Individual Assistance Program administrator for the State of North Carolina.
- B. Management and Staffing Requirements. The Individual Assistance Branch within the Division of Emergency Management (NCEM) is responsible for implementation of the Individual Assistance Program. The Deputy Recovery Chief supervises the Individual Assistance Unit within the Recovery Section. The Individual Assistance Manager (IAM) administers the Individual Assistance Program and supervises the Individual Assistance Planning Coordinators. The Deputy Recovery Chief and the IAM in conjunction with the Recovery Chief, Operations Section Chief and the NCEM Director administer the State Individual Assistance Program's disaster recovery program and field operations structure.
  1. Individual Assistance Manager Responsibilities.
    - a. Oversees the daily operation of the Individual Assistance Program
    - b. Assists FEMA in determining applicant eligibility
    - c. Makes project eligibility recommendations to FEMA
    - d. Monitors the Individual Assistance disaster situation
    - e. Assesses State and Federal resource needs
    - f. Coordinates with FEMA, State and local governments for PDA time, location, extent of damage, duration, etc.
    - g. Identifies State human resources for Disaster Recovery Centers, including other State agencies
    - h. Completes additional tasks as needed

2. Individual Assistance Coordinator Responsibilities:
  - a. Serves as an Individual Assistance liaison between the applicant and FEMA.
  - b. Establishes and sets up Disaster Recovery Center sites during disaster times.
  - c. Manages hotlines at Disaster Recovery Centers during and after events.
  - d. Coordinates resources with communities and individuals during disasters.
  - e. Attends monthly and quarterly FEMA IA conference calls/meetings.
  - f. Attends quarterly VOAD meetings.
  - g. Conducts presentations on IA Program to community resources, government agencies and voluntary agencies.
  - h. Trains reservist and other community resource people on the IA program.
  - i. Maintains direct contact with State emergency management staff and local governments.
  - j. Liaison with the Governor's Citizens Corp Coordinator.
  - k. Development and implementation of Disaster Housing Plan.
  - l. Attends other meetings as directed.
3. Reservist Program. The Individual Assistance Branch will employ selected disaster Reservists who have been trained in the Individual Assistance Program as established by the Individual Assistance Program and so forth in disaster and Individual Assistance non-disaster events. Reservists are state employees working on an intermittent basis to form a major work element of the State Emergency Response Team's (SERT) disaster response and recovery operations.
  - a. Duty Assignments. Reservists are eligible for a wide variety of duties in the North Carolina Emergency Operations Center (EOC), a Joint Field Office (JFO) and a Disaster Recovery Center (DRC). The Deputy Recovery Section Chief, in coordination with the appropriate Program Manager, will select the best-qualified applicants to fill established positions.

- b. Activation. Reservists will be activated only under three circumstances:
    - (1) Training and development authorized by the SERT Leader.
    - (2) Expanded or emergency EOC/JFO Operations.
    - (3) Special Projects.
  - c. The SERT Leader manages funding for the Reservist Program during training and development activations. Reservists are not funded to perform routine staff functions. Reservist attendance at meetings, conferences, or training sessions must be coordinated at least two weeks in advance with the Chief, SERT.
  - d. During a developing disaster or emergency, the Deputy Recovery Section Chief will recommend to the Division Director or Deputy Director whether reservists should be activated. In the case of JFO operations, the Deputy Recovery Section Chief will recommend reservists' activation. NCEM Program Managers will contact and schedule the appropriate reservists for work. During emergency operations, reservists may be contacted to determine their availability for duty; however, they will not be asked to cancel other commitments and await possible activation. Under most circumstances, 48 hours notice will be provided prior to deployment to work a site.
  - e. The final authority for activation is the Director or the Deputy Director.
- C. State Agency Functions and Responsibilities in Support of the IA Program:
- 1. North Carolina Department of Insurance (NCDI) Office of the State Fire Marshall.
    - a. Provides personnel for PDA inspection teams, as needed to assess reconstruction needs for dwellings.
    - b. Provides personnel for inspection teams, as needed.
    - c. Provides technical assistance to resolve Individual Assistance- related issues as needed.

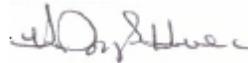
2. 3. State Auditor.
  - a. Performs audits as required by applicable laws and regulations.
  - b. Provides documentation guidance and fiscal compliance requirements to applicants.
4. Secretary of State.
  - a. Assists in validating eligibility of PNP organizations.
  - b. Advises applicants of requirements for maintaining their Certificate of Good Standing.
5. Department of Insurance-Division of Safety Services.
  - a. Provides assistance to GAR regarding issues with insurance companies during disaster situations.
  - a. Provides information on insurance rules and regulations.
  - b. Provides copies of current codes and standards.
6. Department of Labor provides information on North Carolina Labor Standards through the Division of Labor Standards.
7. Department of Agriculture provides technical assistance and advisement for agricultural matters and disposal of disaster-related carcasses of agri-businesses and farm animals.
8. Department of Health and Human Services.
  - a. Provides assistance and services to individuals, families, farmers and businesses affected by disaster events.
  - b. Services include loans and grants, temporary housing, tax relief, legal services, crisis counseling and unemployment assistance. Also works to address unmet needs of disaster victims.
13. Any state agencies not directly addressed in this document may come under direction of the Governor's Authorized Representative, in accordance with State Statute 166A.

IV. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

V. Coordination.

Operations Silence Logistics Silence Recovery Silence GTM Silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

15 May 2008

(Date)

## North Carolina Emergency Management Division Directive 700-03 Mitigation

### I. Purpose

The Hazard Mitigation Section was established by the North Carolina Division of Emergency Management following Hurricane Fran in 1996, and was incorporated into the NCEM Recovery Section as the Mitigation Branch in 2008. The branch operates today under the following mission and vision statements:

**Mission:** To assist North Carolinians, communities, state agencies, local governments and businesses to become less vulnerable to the impacts of natural hazards through the effective administration of hazard mitigation grant programs, hazard risk assessments, wise floodplain management, and a coordinated approach to mitigation policy through state, regional and local planning activities.

**Vision:** Institutionalize a statewide hazard mitigation ethic through leadership, professionalism and excellence, leading the way to a safe, sustainable North Carolina.

### II. Policy

The Hazard Mitigation Section shall operate under the following legislation: N.C.G.S. 166A and the Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, 42 U.S.C. 5165 (Stafford Act). Likewise, the Hazard Mitigation Section will conform to the policies described in 44 Code of Federal Regulations, specifically 44 C.F.R. Part 13, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" and/or OMB Circular No. A-110, "Grants and Agreements with Institutions of High Education, Hospitals, and Other Nonprofit Organizations," and/or OMB Circular No. A-87, "Cost Principles for State and Local Governments," OMB Circular No. A-21, "Cost Principles for Educational Institutions," or OMB Circular No. A-122, "Cost Principles for Nonprofit Organizations."

### III. Responsibilities

- A. The Hazard Mitigation Branch of the NC Division of Emergency Management (NCDDEM) is comprised of two branches: the Grants Management Branch and the Risk Assessment and Planning Branch. Branch activities are coordinated and overseen by the Hazard Mitigation Branch Manager, who also serves as the State Hazard Mitigation Officer (SHMO). The SHMO serves as the point of contact and coordinates all matters relating to hazard mitigation, at the Federal, state and local government levels.
- B. The primary responsibility of the Grants Management Branch is to administer and provide ongoing technical assistance and customer service to potential applicants and recipients of the following mitigation grant programs: Hazard Mitigation Grant Program (HMGP), Pre-Disaster Mitigation (PDM) Program, Flood Mitigation Assistance (FMA), Repetitive Flood Claims (RFC), Severe Repetitive Loss (SRL) and Earthquake Consortia grant funding. The Grants Management Branch will also administer State of North

Carolina mitigation grant funds when appropriated by the General Assembly. Administration and technical assistance entails the following responsibilities and tasks:

(a) Project Development

- Outreach and solicitation of potential mitigation projects
- Eligibility determinations
- Data collection
- Benefit cost analysis
- Project site visits
- Environmental review
- Public meetings
- County/ City/Town Council Meetings

(b) Project Implementation

- Budget creation and execution
- Coordination of funding sources
- Development of grant agreements and memorandum of understanding
- Conduct public meetings as needed
- Grants management, monitoring and compliance.

(c) Grant Closeout

- Reconciliation of expenditures
- Data Collection
- Final site visit
- Submission of closeout documents to FEMA and/or CCPS-Fiscal

C. The Disaster Mitigation Act 2000 by Congress and Senate Bill 300 requires all North Carolina local governments to develop and adopt a natural hazards mitigation plan. Therefore, a key responsibility of Risk Assessment and Planning (RAP) Branch is the provision of mitigation planning technical assistance to local governments. Services that the RAP Branch also will provide include:

(a) Training workshops and presentations on risk assessment and hazard mitigation planning principles

(b) Provision of a mitigation planning "toolkit" for local governments

(c) Training and technical support in the development, update and/or implementation of hazard mitigation plans

(d) Evaluation and review of hazard mitigation plans

(e) Outreach activities

(f) Maintain a mitigation library at the Disaster Recovery Operations Center

IV. Procedures

The Hazard Mitigation Section will operate in accordance with its published internal Standard Operating Procedure (SOP), Federal Emergency Management Agency (FEMA) guidance, its Employee Training manual, and various memoranda and instructional documents published by the Section.

V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination

Operations\_\_\_\_\_ Logistics\_\_\_\_\_ Recovery\_\_\_\_\_ GTM\_\_\_\_\_ Plans\_\_\_\_\_

Approved:

H. Douglas Hoell, Jr.  
Director

\_\_\_\_\_  
(Date)

North Carolina Emergency Management Division Directive 800-01  
**Resource Requests**

- I. Purpose. This directive provides guidance and describes the North Carolina Emergency Management (NCEM) resource request process for all State Emergency Response Team (SERT) personnel, Local Emergency Management Coordinators and other government officials.
- II. Policy. Resource Requests can be made by any agency within North Carolina State Government with statutory responsibility, or State agency that has been directed by the Governor or the Council of State, Local Emergency Management Coordinators (LEMC) or Local Government Officials. If a request is received by a local Government Official the request will be rerouted back to the LEMC to validate the need and to ensure the county has exhausted all local resources and does not have the resource available. Resources are received and deployed during:
  - A. **Daily Operations** are defined as events that have not received a State and/or Federal Disaster Declaration. There is usually no SERT activation for these events. The resource requests are directed to the 24 Hour Operations Center from a LEMC or an Area Coordinator working with a LEMC due to an isolated incident in their local jurisdiction.
  - B. **Disaster Operations** are defined as events that have received a State and/or Federal Disaster Declaration. The State EOC is either partially or fully activated with SERT representatives. The resource requests are directed to the 24 Hour Operation Center where an EM Officer has transitioned into the Mission Assignment Coordinator (MAC) responsible for processing mission requests from counties or municipalities via, Web EOC, telephone, fax, Branch Office/Area Coordinator, Satellite telephone, 800 Mhz radio, etc., and directs it to the proper Functional Lead for action.
- III. Responsibilities.
  - A. The Director or his/her duly appointed representative has final approval authority of resource requests during Daily Operations.
  - B. The SERT Leader is responsible for final approval of resource requests during Disaster Operations.
  - C. Assistant Directors are responsible for coordinating resource requests between sections.
  - D. Functional Leads are responsible for coordinating and filling resource requests within their function during Disaster Operations.
  - E. Supervisors are responsible for coordinating resource requests through the 24 Hr. Operations Center, using the chain of command, during Daily Operations.

- F. Employees are responsible for sending resource requests through the 24 Hr. Operations Center and through their chain of command during Daily Operations.
- G. The 24 Hour Operations Center is responsible for collecting all external resource requests during Daily Operations, and all resource requests during Disaster Operations

#### IV. Procedures

##### A. Daily Operations

1. The 24 Hour Operations Center is responsible for collecting all external resource requests.
2. The request will be received from an authorized governmental entity. Information concerning the "type" of resource needed, a Point of Contact (POC) at the scene, Cell or radio frequency to contact the POC, the length of time it is anticipated the resource will be needed, etc., will be secured at this time.
3. The On Call Area Coordinator will be advised of the request and, if the request was not received from the LEMC, will be asked to verify the request with the local LEMC.
4. Every effort will be made to ensure that the request resource is not available at the local level.
5. The Division Duty Officer (DDO) will be advised of the request and will be asked for authorization to fill the mission.
6. Authorization to make the request of a State agency will be obtained from the Secretary of Crime Control and Public Safety or the Deputy Secretary.
7. Once authorization is obtained from the Secretary, the SERT Representative for the perspective agency with the resource will be contacted and advised of the mission request. The SERT Representative will be given the Secretary's authorization as well as the on scene contact information and what the mission will entail.
  - a. The SERT Representative or someone from his/her agency will contact the requesting agency or POC on the scene to discuss the resource request.
  - b. The SERT Representative will advise the 24 Hour Operations Center when the request has been approved by their agency and is enroute.

B. Disaster Operations.

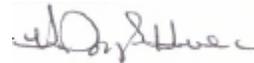
1. Resource requests will be received and processed by the Mission Assignment Coordinator (MAC) from counties or municipalities via, Web EOC, telephone, fax, Branch Office/Area Coordinator, Satellite telephone, 800 Mhz radio, etc. Resource requests will be assigned to the appropriate functional lead or RCC for action. Functional leads and/or RCCs will fill resource requests as appropriate.
2. If the resource request is received in the MAC by some other method than WebEOC, then MAC will enter the request into WebEOC for tracking purposes.
3. Resource requests received from individuals other than the LEMC or his/her designee will be sent to the Regional Coordination Center for verification.
4. The RCC will notify the County EOC that a request has been sent directly to the State EOC, bypassing the County System.

V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination.

Operations MS Logistics Silence Recovery Silence GTM Silence Plans GF

Approved.



H. Douglas Hoell, Jr.  
Director

1 May 2008

(Date)

This page is intentionally left blank.

North Carolina Emergency Management Division Directive 800-03  
**NCEM Emergency Management Assistance Compact (EMAC) Program Participation**

I. Purpose

The purpose of this document is to provide guidance to the State Emergency Operations Center personnel involved in the requesting, receipt, and deployment of Emergency Management Assistance Compact (EMAC) resources and those agencies being Alerted, Mobilized, Deployed, Demobilized, and Reimbursed under the EMAC.

The EMAC is a basic principle of mutual-aid in time of an emergency. EMAC is intended to provide mutual aid to a state from an assisting state that can quickly and effectively respond while providing credentialed, certified, or sworn resources that have the necessary liability and insurance protection as if they were responding within their own state.

If an EMAC state is adversely impacted or expects to be adversely impacted by a major event, emergency or disaster and anticipates the need for interstate mutual aid assistance, a requesting state's Authorized Representative may request EMAC assistance once the Governor has declared that a State of Emergency exists in his state.

All EMAC deployments require written and signed documents prior to deployment. The Request for Assistance (Req-A) form serves as the written contract between two states and allows for implementation of all the provisions of the Emergency Management Assistance Compact adopted by the State of North Carolina's General Assembly in 1997.

A. Basic EMAC Operations

The National Coordination Group (NCG), which is the home state of the NEMA Operations Subcommittee Chair, runs the EMAC day-to-day operations. The NCG is tasked with coordination of EMAC management issues during a response.

The National Coordinating Team (NCT) and the Regional Coordinating Team (RCT) may be activated to work at FEMA headquarters in Washington, D.C. or the FEMA Regional Operations Center in Atlanta, GA. The NCT and RCT are tasked to provide data to FEMA. The NCT may provide a link to the National Guard Bureau (NGB) when the NGB position has been staffed for coordination in FEMA headquarters.

But, it is the Assistance Team (A-Team) that provides resources to the requesting state, tracks personnel, updates situation reports, and makes broadcasts on the EMAC system. The A-Team works with the requesting state to meet the needs of their impacted communities. The NCG is policy level and the A-Team is operational level.

1. The A-Team.

a. The Mission of the A-Team.

- (1) Coordinate and facilitate the provisions of interstate assistance to the requesting state from other non-impacted states in accordance with EMAC procedures.
- (2) Serve as state augmentation to the requesting State EOC under operational control of the requesting state's Emergency Management Director or Authorized Representative(s) in facilitation of the EMAC process.
- (3) Activate the process and facilitate the reception of interstate assistance to the State of North Carolina in accordance with the EMAC procedures and the Standard Operations Guide (SOG).

b. A-Team Considerations.

- (1) A typical A-Team is comprised of two individuals with knowledge of Emergency Operations Center (EOC) operations.
- (2) An A-Team for a catastrophic event will be staffed with more than the two individuals identified above, as the needs of the situation requires. Should the volume of requests be overwhelming, consideration of establishment of an EMAC Incident Management Team (IMT) following the functional areas of Operations, Logistics, Finance/Administration, and Planning will occur.
- (3) All Team members must be able to work within the guidelines established within the EMAC Guidebook and SOP.
- (4) A-Team members should be prepared to deploy within 24 hours of receipt of request.
- (5) A-Teams are initially deployed in 7-14 day cycles, working 12-hour shifts and potentially providing 24-hour coverage.

c. A-Team Alert and Notification

- (1) Authorized Representatives or Designated Contact(s) are the only officials authorized to initiate an A-Team response.
- (2) Authorized Representative is an individual designated by the State to approve the deployment of EMAC resources. The State Emergency Management Director grants his authority. In North Carolina, the Authorized Representatives are 1) Director, 2) Deputy Director, and 3) Assistant Directors.
- (3) Designated Contact(s) is not empowered to approve a deployment but serves as a point of contact for the EMAC system.

(4) No A-Team will be deployed unless the request is accompanied by a Req-A form approved by the Authorized Representative of both the assisting state and the requesting state.

(5) Upon arrival, the A-Team shall report to the Requesting State EMAC POC for an initial operations briefing.

d. In-State A-Team Activation.

(1) The State's Authorized Representative or Designated Contact may activate an in-state A-Team based upon the needs either for an in-state major event, emergency or disaster, or to support an event occurring in another state that requires resources from the State of North Carolina.

(2) Staffing and scheduling of an in-state team will be based upon the requirements of the event and may dictate single A-Team member to monitor broadcasts and pass information to staffing with two or more A-Team members.

(3) A-Team members shall be trained in EMAC Guidebook and SOP and the North Carolina SOG. A-Team members will also be knowledgeable on requesting EMAC assistance procedures (Attachment A) and the Req-A Form.

(4) Staffing for an in-state team may be from NCEM EMAC trained staff, or other agency or local EM EMAC trained staff.

## II. Policy

It is the policy of the Division of Emergency Management to provide support to another State during a time of disaster. The support may be in the form of personnel, equipment, or any combination. All offers of assistance will be coordinated through the Emergency Management Assistance Compact (EMAC), and will be monitored by the Division's EMAC Coordinator.

## III. Concept of Operations.

### A. Requesting and Receiving Assistance.

#### 1. State Emergency Response Team (SERT).

- a. When an event occurs within the State that requires the request for assistance from other States in support of emergency activities, the SERT will request through the EMAC Authorized Representative that an EMAC A-Team be activated to manage the EMAC requests.
- b. The EMAC A-Team will be organized and administratively assigned to the SERT Logistics Section, EMAC office and will function in accordance with the NCEM EOC SOP.
- c. The EMAC A-Team will consist of EMAC trained personnel from local, county, or State agencies and out-of-state EMAC personnel assigned to the State to assist in the receipt and management of requested EMAC resources.

- d. The EMAC A-Team will review all assistance requests received from local, county, or State agencies. Each request for assistance must contain, at a minimum, the following information:
  - (1) Description of the mission request with any special qualifiers, licenses or certifications.
  - (2) The amount of the resource needed to accomplish the mission.
  - (3) Date and Time needed for the resources to begin the mission.
  - (4) Location where the resources will be initially deployed.
  - (5) Duration of need for the resources to accomplish the mission.
  - (6) POC for the request, to include name, phone number, fax number, and e-mail address if available.
- e. The EMAC A-Team will request, manage, report, and coordinate all requested EMAC resources within the State in accordance with the most recent EMAC Operations Guide, as published by the National Emergency Management Association. Refer to "Requesting EMAC Assistance", Attachment A, for specific instructions.

B. Providing Assistance to a Requesting State.

1. North Carolina Division of Emergency Management (NCEM).
  - a. EMAC requests for resources will be initiated through the NCEM EMAC Coordinator (appointed by the Director of Emergency Management) after a State of Emergency declaration has been verified.
  - b. The EMAC A-Team will review all out of state assistance requests received and in coordination with the SERT agency representatives, will identify available resources to meet the needs as stated.
  - c. Once resources have been identified by the EMAC A-Team and the agency representatives, and their availability has been assured, then those resources will officially be placed on "stand-by" and should begin the process of organizing into a Strike Team or Task Force. The Team Leader will complete a certification sheet indicating that team members are properly trained, equipped, and prepared for the mission.
  - d. **The State of North Carolina and the EMAC A-Team will not support any self-deployments. Any self-dispatched resources will not be eligible for reimbursement, workers compensation benefits, or legal protections. Licenses or certifications may not be accepted by the affected State if the individual or team is self-dispatched.**

- e. NCEM will ensure that all resources will be organized along proper command and control structures as outlined in the NIMS-ICS and will deploy as recognizable, typed resources with identified leadership and support.

## 2. EMAC Tasked Agency

- a. When alerted, the Agency Strike Team or Task Force will develop an operational budget based on the guidance issued with the Req-A, Part I document. The budget will be forwarded to the NCEM A-Team for approval.
- b. When the Strike Team or Task Force has received an approval on their budget and have been given authorization to begin full mobilization, they will then request mobilization instructions from the NCEM EMAC Coordinator.
- c. The Team Leader will receive mobilization instructions from the NCEM EMAC Coordinator to include, but not limited to a copy of the completed Req-A, checklists, contact names and numbers, next-of-kin, and forms to be completed during and after the mission. These documents will be contained in the NCEM EMAC Deployment Package.
- d. NCEM will mobilize the Strike Team or Task Force when they have met all the requirements as established in Attachment B - Mobilization/Deployment Checklist. The Strike Team or Task Force must also be prepared in accordance with any special preparedness statements sent by the Requesting State (i.e., self-sustainable for 72 hours).
- e. All Team members will report to a designated staging area prior to deployment. The Team Leader will fax a Deployment SITREP (Attachment B-2) detailing the personnel and equipment deployed, time and date of departure to the NCEM Communications Branch at 919-733-7554. This will ensure that the Team departs and arrives together to the Requesting State. The Deployment SITREP will be forwarded to the NCEM EMAC Coordinator to be placed in the appropriate mission file.
- f. Upon their arrival at the Requesting State's staging area, the Strike Team or Task Force will report their status to the Requesting State EMAC A-Team and contact the NCEM Communications Branch and report their arrival to the staging area and commencement of operations.
- g. The Strike Team or Task Force will document all personnel and equipment activities concerning their daily activities, expenditures and missions, and implement the EMAC Daily Report as outlined in Attachment C – EMAC Reporting.
- h. The Strike Team or Task Force Leader will report all mission location changes to NCEM EMAC Coordinator. Some change of locations or missions may require a new Req-A be signed before the new mission can be carried out.
- i. The Strike Team or Task Force team leader shall check in daily with the NCEM EMAC Coordinator as a standard safety protocol.

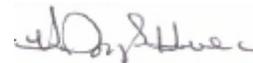
- j. Strike Teams or Task Forces will not normally break up into smaller operational units, but can be under extreme circumstances and at the direction of the requesting state, with notification to the NCEM EMAC Coordinator as soon as possible. This subdivision of the Team or Task Force will be annotated to the approved Req-A.
- k. Upon receiving an end-of-mission order, or the expiration of the mission authorization, the Strike Team or Task Force will notify the NCEM EMAC Coordinator and depart the requesting state staging area and report back to the NCEM EOC or other approved staging area to complete the EMAC Demobilization Checklist.
- l. The Strike Team or Task Force will check out with the Requesting State EMAC A-Team and inform the NCEM EMAC Coordinator of their departure from the staging area.
- m. Upon arrival in North Carolina, the demobilization process will start and be conducted in accordance with Attachment E – Demobilization. This demobilization process will ensure the proper documentation of the deployment.
- n. The NCEM EMAC Coordinator will place out of service the Strike Team or Task Force upon receipt of all supporting demobilization documents. The Team Leader must submit an After-Action Report (AAR) NCEM EMAC Coordinator. The AAR will be forwarded to the Requesting State by the NCEM EMAC Coordinator.
- o. Reimbursement will be made in accordance with Attachment F – Reimbursement, and will be managed by the NCEM EMAC Coordinator.

IV. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

V. Coordination.

Operations MS Logistics Silence Recovery Silence GTM Silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

30 April 2008  
(Date)

North Carolina Emergency Management Division Directive 800-03  
**NCEM Intrastate Mutual Aid Program**

I. Purpose

This document provides guidance for Emergency Management personnel involved in the requesting, receipt, and deployment of resources and it also applies for information purposes to those agencies being alerted, mobilized, deployed, demobilized, and reimbursed under the Intrastate Mutual Aid program.

The NC Association of County Commissioners and the NC League of Municipalities have developed a statewide mutual aid agreement which coordinates the allocation of resources between communities during emergencies.

The agreement was distributed to county governments and municipalities and NC Emergency Management serves as the repository for the agreement. NC Emergency Management is an active partner in facilitating its implementation.

II. Policy

NC Division of Emergency Management provides support to counties that ask for help in requesting resources through the Statewide Mutual Aid System. The support may be in the form of personnel, equipment, or any combination. All offers of assistance will be coordinated through NC Emergency Management, and will be monitored by the League of Municipalities and/or NCEM Mutual Aid Coordinator.

III. Responsibilities

NCEM Mutual Aid Coordinator responsibilities:

- Coordinate requests for assistance according to the terms of this agreement.
- Keep executed agreements on file.
- Maintain a current listing of participants and contact information.
- Provide a current contact list to all participants annually.
- Keep tracking records of aid requests and responses.
- Report status of Mutual Aid Agreement provision.
- Coordinate and request federal reimbursement at the request of the participant.

IV. Procedures for Processing Mutual Aid Agreements

A. Internal Processing of New Mutual Aid Agreements

- All Mutual Aid Agreements must be mailed to the following address:

North Carolina Division of Emergency Management  
Attn: Mutual Aid Coordinator  
4713 Mail Service Center  
Raleigh, NC 27699-4713

Upon receipt of the Mutual Aid Agreement, Mutual Aid Coordinator will complete a staff summary routing slip (example is located in the following file: R:\Logistics\Staff Summary) outlining the following sequence:

Person	Action
Director, NCEM	Review / Sign / Forward
Controller, CCPS	Review / Sign / Forward
Secretary, CCPS	Review / Sign / Forward
Mutual Aid Coordinator, NCEM	Review / Post / File

The routing slip and the Mutual Aid Agreement will be forwarded as soon as possible via internal department correspondence.

- After completion of the routing and approval process, the Mutual Aid Coordinator will provide a copy of the signed and completed Mutual Aid Agreement to the NCEM webmaster for posting on the Division website. The Mutual Aid Coordinator will post the executed agreement to the File Library on WebEOC. The original document and routing slip will be filed in the appropriate Municipality or County mutual aid file.
- The NCEM webmaster will update any information to the ***Jurisdiction with Executed Mutual Aid Agreement*** portion of the NCEM web page. The Webmaster will confirm the update by email to the Mutual Aid Coordinator upon completion of the process.
- The NCEM Mutual Aid Coordinator will mail a copy of the executed agreement to the participating municipality

B. Internal Processing of Updates to Existing Mutual Aid Agreements

- In accordance with “Section 1 **Definitions**” of the Mutual Aid Agreement it is stated that;” The list of Authorized Representatives for each party executing this Agreement shall be attached to the executed copy of this Agreement. (In the event of a change in personnel unless otherwise notified the presumption will be that the successor to that position will be the authorized representative.)”
- All Mutual Aid Agreements must be mailed to the following address as indicted on NCEM website to insure adequate processing into the system

North Carolina Division of Emergency Management  
 Attn: Mutual Aid Coordinator  
 4713 Mail Service Center  
 Raleigh, NC 27699-4713

- The NCEM Mutual Aid Coordinator receives the updated contact information for the Mutual Aid Agreement and takes the following action; a copy of the document is forwarded to the NCEM webmaster to update website within 10 days. The original is affixed to the previously executed Mutual Aid Agreement for the corresponding municipality and filed in the appropriate Municipality or County mutual aid file.

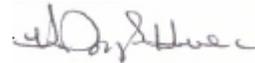
- The NCEM webmaster will update any information to the ***Jurisdiction with Executed Mutual Aid Agreement*** portion of the NCEM web page. A confirmation of the update will be sent in an email to the Mutual Aid Coordinator by the NCEM webmaster upon completion of this process.

V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination

Operations Silence Logistics Silence Recovery Silence GTM Silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

27 May 2008  
(Date)

This page is intentionally left blank.

## North Carolina Emergency Management Division Directive 820-01

**NCEM Exercise & Corrective Action Program**

- I. Purpose.
  - A. The State of North Carolina has developed this Multi-Hazard Exercise / Evaluation and Corrective Action Program Plan (MEECAP) to comply with the Homeland Security Exercise & Evaluation Program (HSEEP) and provide complementary guidance on the planning, conduct, and evaluation of multi-hazard exercises. An attempt has been made to build upon the processes, terminology, and concepts that North Carolina has used previously in other programs, such as the Hazardous Materials (Hazmat) and Radiological Exercise Programs, to more rapidly facilitate the transition to and enhance the understanding of this new evaluation approach.
  - B. The North Carolina Division of Emergency Management (NCEM) recognized the need to develop a plan that integrates the HSEEP methodology in State, tribal and local organizations and provides complementary guidance on the planning, conduct, evaluation of, and improvement planning from corrective actions as a result of multi-hazard exercises or “real world” incidents.
- II. Policy.
  - A. NCEM Exercise Program Guidance
    1. Exercises conducted in North Carolina that are Federal Direct Support or Federal Grant funded (in whole or in part), are required to follow both the given Grant guidance and the HSEEP procedural guidelines for design & development, conduct, evaluation, and reporting. Guidance interpretation will be provided by NCEM Exercise group and Homeland Security Branch. If further information/interpretation is required, the NCEM Homeland Security and/or Exercise Section are responsible for the query to the US Department of Homeland Security/Office of Domestic Preparedness for final resolution.
    2. The NCEM Exercise Group is the default lead in the design, development, conduction, evaluation, and reporting of exercises sponsored by the division. However, other sections may lead their own exercise, must coordinate exercise development with NCEM exercise Branch. The NCEM Exercise Group also provides technical and operational guidance and support in the form of Exercise design & development, conduct, and evaluation

to any/all NC SERT, tribal, local, and in-state military response partners.

3. The NCEM Exercise Group is the delegated administrator for the secure HSEEP portals (Toolkit, NEXS, CAPS), and is the reporting authority for all in-state exercises using Homeland Security funds (in whole or in part). The Exercise Section (if assigned) has the authority to design, develop, and facilitate the creation of a NCEM sponsored exercise After Action Report – Improvement Plan (AAR-IP), but does not have the authority to implement and track Improvement Plans (IP) throughout the division. NCEM “post-exercise/event” Improvement Plans and Corrective Actions are the responsibility of the NCEM Directors Office.
  4. The Director of NCEM will hold monthly meetings with Division Management and Supervisors to assign, track, and assess completion of Corrective Actions identified in AARs of exercises and “real-world” events within the division.
- B. Non-NCEM In-State Agency Exercise Program Guidance (Military, State, Local, Tribal, NGO, Private, etc.)

Other agencies/organizations in North Carolina are responsible for their own policies and procedures when dealing with Exercises that they are sponsoring and do not use any grant funds managed by NCEM. However it is encouraged that all NC response agencies mirror the Exercise Program Management that is defined by HSEEP. This will ensure the standardization and ease of integration with all in-state Federal, State, Tribal, and local agencies when conducting and evaluating multi-agency/multi-jurisdictional training and exercises.

- C. Homeland Security Exercise & Evaluation Program (HSEEP)
1. HSEEP reflects lessons learned and best practices from existing exercise programs and can be adapted to the full spectrum of hazardous scenarios and incidents (e.g., natural disasters, terrorism, technological disasters). The HSEEP reference volumes integrate language and concepts from the National Response Plan (NRP), the National Incident Management System (NIMS), the National Preparedness Goal, the Universal Task List (UTL), the Target Capabilities List (TCL), existing exercise programs, and prevention and response protocols from all levels of government. In the spirit of NIMS, all efforts should be made to ensure consistent use of the terminology and processes described in HSEEP.
  2. The NC State Exercise Program will always recognize the most current HSEEP Doctrine/Policies/Procedures. To survey the

most current HSEEP information, entities should regularly reference the HSEEP website: <http://hseep.dhs.gov>

3. Gaining secure access to HSEEP Portals (Toolkit)
  - a. The Homeland Security Exercise and Evaluation Program (HSEEP) Toolkit is a key component of HSEEP's overall strategy for the creation and ongoing support of self-sustaining exercise programs at the State and local levels. The specific elements of the HSEEP Toolkit include the National Exercise Schedule (NEXS) system, the Design and Development System (DDS), the Master Scenario Event List (MSEL) Builder, the Exercise Evaluation Guide (EEG) Builder, and the Corrective Action Program (CAP) system.
  - b. If you are requesting access to the National Exercise Schedule (NEXS) System (view only), the Design and Development System (DDS), the Corrective Action Program (CAP) System, and the HSEEP Volume IV Library's sensitive documents, e-mail [support@hseep.net](mailto:support@hseep.net) and please include your first and last name, organization, and business phone. If you received a CAP System Registration ID, go to the web page: <https://hseep.dhs.gov/caps/userRegistration.do> and follow the instructions to complete registration.
- D. For Jurisdictions seeking credit for an exercise to satisfy EMPG requirements and to make maximum use of funding and to promote mutual-aid readiness, all efforts should be made by jurisdictions to combine efforts when conducting exercises. In order for each individual jurisdiction to receive "credit" for a regional exercise, said jurisdiction must have met the following individual requirements as a participant in the exercise:
  1. Be an active participant in the planning/conduct of said exercise
  2. Have measurable objectives specific to each organization wishing to receive credit for the exercise.
  3. Have an identifiable IP specific to each organization wishing to receive credit for the exercise attached to the exercise AAR
- E. Training & Exercise Planning Workshop (TEPW). DHS Grant Guidance requires that any State receiving DHS grant funds conduct an annual Training and Exercise Planning Workshop (TEPW). NC has prepared a Homeland Security Strategy that identifies priorities on which the State has chosen to focus its prevention, protection, response, and recovery

improvement efforts. (For further TEPW information, see NCEM DD 850-01 and 850-02)

III. Responsibilities.

A. All NCEM section responsibilities to the program

The North Carolina Department of Crime Control and Public Safety (CCPS) delegates authority to NCEM as the manager of the ODP Grant Program and the North Carolina HSEEP. Because of this, sole responsibility for grant guidance and program development & management does not fall on just one section within the NCEM division

B. Key NCEM Exercise Program Personnel Duties & Responsibilities

1. NCEM State Exercise Program Manager

- a. The Exercise Program Manager's (EPM) position is responsible for providing overall program management for the Exercise Section, including the Radiological Emergency Preparedness (REP) and Homeland Security Exercise and Evaluation Program (HSEEP) programs.
- b. Under HSEEP policy and guidance, the EPM manages NCEM sponsored exercise projects using five phases of the exercise cycle. These are (1) foundation, (2) design and development, (3) conduct, (4) evaluation, and (5) improvement planning. For further guidance, organizations should regularly reference the HSEEP website: <http://hseep.dhs.gov>
- c. The position of EPM is ultimately responsible for keeping records (Hard Copy & Electronic) on all exercises (Federal, State, local, etc.) that NCEM is sponsoring/conducting. The EPM must be able to maintain full-access to the HSEEP and Lessons Learned & Information Sharing (LLIS) systems, in order to effectively post exercises he/she is involved in, and submit AARs to the Office of Domestic Preparedness (ODP) for all exercises receiving Federal funding through grants managed by NCEM.
- d. The EPM position provides budget development, reporting, and execution; administration of contracts and grants; development of short and long term goals, interpretation of federal, state, and local laws and regulations related to Emergency Management; interpretation and implementation of policies and regulations; and overall scheduling, assignment of work

and supervision of subordinate exercise section staff utilizing Quality Management principals. The EPM is also ultimately responsible for developing Personal Service Agreements (PSA) for the conduct of exercises, and ensuring delivery of all contractual obligations executed within the budget.

- e. This position also uses considerable discretion in setting priorities of work, in determining how to apply state and federal funds for exercises at the state and local level; and in developing relationships with colleagues at the local, state, federal levels, as well as with non-governmental organizations to meet the goals and objectives of the Division of Emergency Management.
- f. In addition, the EPM position is responsible for developing short and long-term goals for the program and State Strategy, development of the State Exercise Committee and multi-year calendar, and direct supervision of the EM Planner I – Exercise Officer, and the Processing Assistant IV – Data Entry. This program requires financial management, interpretation and application of federal and state regulations and policies, supervision of support staff, and promotional and training duties to include presentations to audiences of all levels, and training and exercise workshops

## 2. NCEM State Exercise Officer

- a. The Exercise Officer's (EO) position is responsible for administering a compliant Homeland Security Exercise Evaluation Program (HSEEP) across State divisions, all regional & local jurisdictions, and Military installations within North Carolina (101 EM Districts). This involves assisting State and local emergency management positions in the development, implementation and evaluation of exercises to test the jurisdiction's operational capabilities and preparedness. The EO also coordinates State and regional resources for use in the planning and operational phases of exercises under his/her control.
- b. The EO position must review new State and Federal guidance, rules, regulations, and laws to determine necessary exercise procedures in accordance with current HSEEP guidelines. This involves supporting the conduct of Training and Exercise Planning Workshops (TEPW) with key stakeholders in the State in order to create a Multi-Year Training and Exercise Plan. The EO

will support the facilitation and execution of multi-function, multi-disciplinary exercises that involve cooperation among all regions' various jurisdictions throughout North Carolina.

- c. Under HSEEP policy and guidance, the EO manages assigned exercise projects within the State using five phases of the exercise cycle. These are (1) foundation, (2) design and development, (3) conduct, (4) evaluation, and (5) improvement planning. For further guidance, organizations should regularly reference the HSEEP website: <http://hseep.dhs.gov>
  - d. The position of EO is assigned responsibility for keeping records (Hard Copy & Electronic) on all exercises (Federal, State, local, etc.) that NCEM is responsible for. The EO must be able to maintain full-access to the HSEEP and Lessons Learned & Information Sharing (LLIS) systems, in order to effectively post exercises he/she is involved in, and submit AARs to the Office of Domestic Preparedness (ODP) for all exercises receiving Federal funding through grants managed by NCEM.
- C. AAR Submission & Retention. An After Action Report/Improvement Plan (AAR/IP) will be prepared and submitted to the NCEM Exercise Group for review and capitulation for all NCEM sponsored/funded exercises and subsequent submission to the ODP's Grants & Training (G&T) division following every exercise drawing on grant funds (in whole or in part), regardless of type or scope. Some exercises, such as seminars and workshops may not require the same level of analysis as a tabletop, drill, functional or full-scale exercise, but they should still produce an AAR/IP. The NCEM Exercise Group is the default section to lead the design, development, and facilitation of the AAR-IP process of exercises sponsored by the division. However, other sections may lead their own AAR-IPs if it is more practical to do so. Once the AAR-IP has been finalized and a Corrective Action Plan (CAP) has been developed, it is the responsibility of the NCEM Directors Office to assign & delegate responsibilities for Corrective Actions in the Division and track those actions' progress to completion. (See *Section II – Policy* of this document)
- 1. AAR format (to include IP). AAR/IPs, which must conform to the HSEEP format, should capture objective data pertaining to exercise conduct and should be developed based on information gathered through Exercise Evaluation Guides (EEGs) found in HSEEP Volume IV. These EEGs will allow evaluators to assess responder performance within the Universal Task List, which collectively addresses the capacity of the Target Capabilities List. Based on the observations and assessed criteria denoted in the

EEGs, the AAR/IP will include recommendations, action items for improvement, identify educational opportunities for involved disciplines, assigned due dates and responsibilities, and an overall assessment of the exercise. To survey the most current HSEEP documents/templates, entities should regularly reference the HSEEP website: <http://hseep.dhs.gov>

2. Receiving entities. AAR/IPs must be submitted to G&T within 60 days following completion of each exercise. This submission is facilitated via the HSEEP Corrective Action Plan System (CAPS). In order for the AAR/IP to meet G&T requirements for submission, the AAR/IP must be uploaded in "PDF" format, and the "*Share with LLIS.gov*" box must be checked.
3. Form & Time of retention. All AAR/IPs under maintenance requirement of the NCEM Exercise Program shall be kept on file in the NCEM exercise archives by "hard-copy" for a period no less than three (3) years beyond the date of employed FY grant expiration. In addition, an "electronic" copy of the AAR/IP will be stored in a secure network file maintained by NCEM and kept on file for a period no less than one (1) year beyond the date of employed FY grant expiration.

#### IV. Procedures

##### A. Recommended Focus & Purpose of Exercises

1. Jurisdictions/Organizations conducting exercises should select and develop exercises that test the skills, abilities, and experience of their emergency personnel. Said entities should ultimately base their objectives on guidance set forth in DHS's *National Preparedness Guidelines*. There are four critical elements of the *Guidelines*:
  - a. The ***National Preparedness Vision***, which provides a concise statement of the core preparedness goal for the Nation.
  - b. The ***National Planning Scenarios***, which depict a diverse set of high-consequence threat scenarios of both potential terrorist attacks and natural disasters. Collectively, the 15 scenarios are designed to focus contingency planning for homeland security preparedness work at all levels of government and with the private sector. The scenarios form the basis for coordinated Federal planning, training, exercises, and grant investments needed to prepare for emergencies of all types.

- c. The **Universal Task List (UTL)**, which is a menu of some 1,600 unique tasks that can facilitate efforts to prevent, protect against, respond to, and recover from the major events that are represented by the National Planning Scenarios. It presents a common vocabulary and identifies key tasks that support development of essential capabilities among organizations at all levels. Of course, no entity will perform every task.
    - d. The **Target Capabilities List (TCL)**, which defines 37 specific capabilities that communities, the private sector, and all levels of government should collectively possess in order to respond effectively to disasters.
  2. Exercise purpose should be to test or strengthen any of the following (but not limited to):
    - a. COOPs, EOPs, response/readiness plans, etc.
    - b. New guidelines/procedures
    - c. Reinforce training & new organizational credentials
    - d. Test skills with new equipment.
- B. Internal Agency Exercise Procedures (NCEM)
  1. Notification. NCEM sections conducting exercises that either (1) use any federal grant funding, or (2) involve two or more agencies/jurisdictions must coordinate the event(s) with the NCEM Exercise Office and provide the basic information needed to post the exercise to the State T&E calendar and the NEXS.
  2. Planning & Development. NCEM sections that are planning a future exercise should make every effort to involve mutual-aid entities in the planning & development of said exercise in order to make maximum use of limited funds. All NCEM sections are required to use the HSEEP procedure for design & development of "all-hazards" exercises being conducted in the boundaries of the State of NC. For further guidance, sections should regularly reference the HSEEP website: <http://hseep.dhs.gov>
  3. Conduct & Evaluation. NCEM sections conducting exercises should have the players of said exercise evaluated by professional peers/subject matter experts in order to identify best practices and corrective actions in plans, operations, & procedures against current national capabilities. For further guidance, sections should regularly reference the HSEEP website: <http://hseep.dhs.gov>

4. Improvement Plan – Reporting. Following the conduct and evaluation of an exercise, involved NCEM sections should compile data collected from the evaluators of said exercise and create an After-Action Report (AAR) which must include an Improvement Plan (IP). If the exercise uses any Federal funding (in whole or in part), that AAR-IP must be submitted to the NCEM State Exercise Officer for review and capitulation to ODP via the CAP system.
- C. Non-NCEM Agency/Organization Exercise Procedures (State, Tribal, Local, NGO, Private, Military, etc.)
1. Notification. State, Tribal, & Local government agencies conducting exercises that either (1) use any federal grant funding managed by NCEM, or (2) involve two or more agencies/jurisdictions must notify the NCEM Exercise Office and provide the basic information needed to post the exercise to the State T&E calendar and the NEXS. (It is encouraged that local and tribal agencies make this notification through their NCEM Area Coordinator.)  
  
*Note – Federal/Military, NGO, & Private entities conducting “all-hazards” exercises are encouraged to notify the NCEM Exercise Office and provide the basic information needed to post the exercise to the State T&E calendar and the NEXS. (Exception – exercise is agency classified and/or agency specific and will not involve mutual-aid)*
  2. Planning & Development. Agencies that are planning a future exercise should make every effort to involve mutual-aid entities in the planning & development of said exercise in order to make maximum use of limited funds. All agencies in North Carolina are also encouraged to use the HSEEP procedure for design & development of “all-hazards” exercises being conducted in the boundaries of the State of NC. For further guidance, agencies should regularly reference the HSEEP website:  
**<http://hseep.dhs.gov>**
  3. Conduct & Evaluation. Agencies conducting exercises should have the players of said exercise evaluated by professional peers/subject matter experts in order to identify best practices and corrective actions in plans, operations, & procedures against current national capabilities. For further guidance, agencies should regularly reference the HSEEP website:  
**<http://hseep.dhs.gov>**

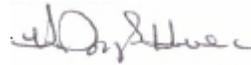
4. Improvement Plan – Reporting. Following the conduct and evaluation of an exercise, State, Tribal, & Local agencies should compile data collected from the evaluators of said exercise and create an After-Action Report (AAR) which must include an Improvement Plan (IP). If the exercise uses any Federal funding (in whole or in part), that AAR-IP must be submitted to the NCEM State Exercise Officer for review and capitulation to ODP via the CAP system.

V. This document is a directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination

Operations MS Logistics [Silence](#) Recovery [Silence](#) GTM [Silence](#) Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

30 April 2008

(Date)

North Carolina Emergency Management Division Directive 830-01  
Fixed Asset Management

I. Purpose

The purpose of this division directive is to provide overall policy and procedural guidance for the management of division fixed assets. A fixed asset is a long lived tangible asset having a value of \$500 or more.

II. Policy

- A. It is the policy of this Division that all employees adhere to this document, the Department of Crime Control and Public Safety fixed asset policies (found at <http://www.nccrimecontrol.org>), and the policies of the North Carolina Office of the State Controller (found at <http://www.osc.state.nc.us>).
- B. All employees will be trained on this division directive as well as fraud, waste and abuse policies.
- C. All employees will properly use and maintain fixed assets assigned to them.
- D. Fixed assets will not be issued to personnel until the item is properly marked, inventoried and a receipt is signed.

III. Responsibilities

- A. The Assistant Director for Logistics will appoint a Division Property Officer and provide oversight of the fixed asset program.
- B. The Deputy Director and Assistant Directors will ensure personnel properly manage fixed assets assigned, and task personnel to assist the Division Property Officer in physical inventories as needed.
- C. Supervisors will ensure personnel adhere to this document and maintain accountability of fixed assets assigned to their programs. They will assist the Division Property Officer in performance of physical inventories, and notify the Division Property Officer when changes in assignment or status of fixed assets are made.
- D. The Supply Support Manager will provide technical supervision and quality control over Division fixed assets to ensure compliance with applicable laws, policies, and procedures. The Supply Support Manager will supervise a training program for employees on the management of fixed assets.
- E. The Division Property Officer, appointed by the Assistant Director for Logistics, will:
  - 1. Ensure all fixed assets are tagged and submit the CCPS Form 20 *Asset Short Form Maintenance*, (Attachment 1) to the CCPS Property Manager in a timely manner.
  - 2. Schedule and conduct annual physical inventories.
  - 3. Submit appropriate reports and documentation in accordance with Department and State policies and directives.
  - 4. Maintain a fixed asset inventory system.

5. File all State Property Incident Reports to the State Bureau of Investigation using SBI Form 78 (Attachment 2).
6. Complete the following:
  - a. Review the North Carolina Accounting System fixed asset policies found at [http://www.ncosc.net/sigdocs/sig\\_docs/documentation/policies\\_procedures/sigFixed\\_Assets\\_Policies.html](http://www.ncosc.net/sigdocs/sig_docs/documentation/policies_procedures/sigFixed_Assets_Policies.html);
  - b. Review the CC&PS fixed asset policy found at <http://www.nccrimecontrol.org/Index2.cfm?a=000002,000056,001012,001015,001054>;
  - c. Review the NCEM Fixed Asset (FAS) Standing Operating Procedure (SOP) found at DROC R: drive, :\\Logistics\FAS\FAS Policy and Procedures folder; and
  - d. NCEM FAS on-the-job training by immediate supervisor.
- F. Purchasing Agents will notify the Division Property Officer within 48 hours of receipt of an item, when a single item is purchased and the item has a value of \$500 or more. In addition, the Purchasing Agent will supply the Division Property Officer any documents required to properly account for the item.
- G. Division Information Technology Purchasing Agents will handle tagging of fixed assets they purchase, and coordinate with the Division Property Officer.
- H. The Warehouse Manager will tag new fixed assets arriving at the warehouse and coordinate with the Division Property Officer.
- I. CC&PS Fiscal Section supervises all purchasing activities within the department as specified in the CCPS Policy and Procedures Manual, to include fixed asset tracking.

#### IV. Procedures.

- A. Initial Receiving, Tagging and Inventory of Purchased Fixed Assets.
  1. These procedures will be followed for all items costing \$500 or more, and those items less than \$500 that are operationally significant (computer monitors, printers, digital cameras, GPS units, radios, and audio-visual equipment).
  2. The Purchasing Agent will receive the item into e-Procurement.
  3. The Purchasing Agent will provide a copy of the e-Procurement order along with a copy of the invoice or receipt to the Division Property Officer.
  4. The Division Property Officer, independent of the Purchasing Agent or end user, will:
    - a. Log the item into the Division's fixed asset system.
    - b. Assign and apply a Department fixed asset sticker and a Division fixed asset sticker to the item. Only a Division sticker is required when the value of the asset is under \$500.
    - c. Complete the CCPS Form 20 and forward it to the Department fiscal section.
    - d. When the Division Property Officer designates an individual to apply stickers, the individual will provide the Division Property Officer the following information:
      - (1) Fixed asset sticker number
      - (2) NCEM barcode sticker number
      - (3) Make of item
      - (4) Model of item
      - (5) Serial number of item
      - (6) Description of item
      - (7) Purchase order number of item

5. Once the item is properly inventoried and labeled, it can then be issued to the end user.
- B. Issuing Fixed Assets.
1. The Division Property Officer or the Purchasing Agent will complete an NCEM Temporary Property Custody Receipt form (Attachment 3) and issue the item to the end user. A copy of the hand receipt will be provided to the end user, the Purchasing Agent will maintain a copy, and the original will be sent to the Division Property Officer for filing.
  2. The Division Property Officer will update the fixed asset system with the proper location of the item.
- C. Permanent Change in Location – Internal.
1. Before a fixed asset can be permanently moved, the employee must seek permission from the respective program manager. Only program managers and above have the authority to authorize the change in location of fixed assets assigned to that position. The program manager will notify the Division Property Officer with the following information via e-mail:
    - a. Fixed asset number and/or NCEM barcode number
    - b. Description of the item
    - c. Existing location of the item
    - d. End destination of the item
    - e. Purpose for the permanent change in location
  2. The Division Property Officer will update the fixed asset system, complete the CCPS Form 20, and forward it to the CCPS fiscal section.
- D. Permanent Change of Location – External.
1. If a fixed asset will be permanently assigned to another CCPS Division, the program manager will consult with the Assistant Director for Logistics and obtain approval of the transfer.
  2. The program manager will provide the following information to the Division Property Officer:
    - a. Fixed asset number and/or NCEM barcode number
    - b. Description of the item
    - c. Existing location of the item
    - d. End destination of the item
    - e. Purpose for the permanent change in location
  3. The Division Property Officer will:
    - a. Schedule the transfer of the fixed asset to the CCPS Division
    - b. Update the fixed asset system
    - c. Notify CCPS to drop the item from NCEM's fixed asset list and add it to the new division's list.
    - d. Provide needed information to the program manager to facilitate the physical transfer of the fixed asset. If logistical support is required to move the fixed asset, the program manager will coordinate such services with the logistics support manager or the supply services manager.
  4. If a fixed asset needs to be transferred to another State agency outside of the Department, the program manager will coordinate the surplus of the item with the Division Property Manager.
- E. Temporary Custody (to include items under repair).

1. Employees may need to temporarily use fixed assets assigned to a program to complete assigned projects. When this occurs, the program manager or designee will issue the item using the NCEM Temporary Property Custody Receipt form.
  2. The program manager will provide a copy of the custody receipt to the employee and maintain the original on file until the item is returned.
  3. The program manager will forward a copy of the custody receipt to the Division Property Officer.
  4. The Division Property Officer will update the fixed asset system.
  5. When the borrowed item is returned to the program manager in good condition, the program manager will give the original custody receipt back to the employee and e-mail the Division Property Officer that the item was returned.
  6. If the item is returned damaged or broken, the program manager will immediately notify the respective section chief and the Division Property Officer.
  7. Employees who temporarily borrow fixed assets must return them when the respective program manager requests the item back, no exceptions.
- F. Replacement of Fixed Assets Under Warranty or Trade-In.
1. If an item is under warranty and the item needs to be replaced, the program manager will notify the Division Property Officer.
  2. The Division Property Officer will update the status of the item in the fixed asset system and authorize the program manager to have the item replaced.
  3. Once the item is replaced and is deemed in working order, the Division Property Officer will retire the old fixed asset numbers, apply new stickers, and update the fixed asset system. Only then will the item be allowed to return into service.
  4. If the fixed asset will be traded in for the same type or kind of item, then:
    - a. The program manager will notify the Division Property Manager of the intent to trade in a fixed asset for same like or kind.
    - b. The Division Property Manager will request the item be traded in from the CCPS fiscal section in writing.
    - c. CCPS may authorize in writing the trade in of a fixed asset. If the item is not approved for trade in, then the program manager will discuss with the Division Property Officer other disposition options. If approved, then the program manager will trade in the item and receive the new item.
    - d. Once the new item is received, the program manager will notify the Division Property Officer that the new item has arrived.
    - e. The Division Property Officer will attach stickers the new item, retire the old fixed asset numbers, and update the fixed asset system. Only then can the item be placed back in service.
- G. Reporting Missing, Lost or Stolen Fixed Assets.
1. If an item is determined by personnel to be missing or lost after performing a second check:
    - a. The employee will immediately notify his/her immediate supervisor, the respective program manager and the Division Property Officer that an item is identified as missing or lost. The employee will provide these individuals with any pertinent information.
    - b. The program manager assigned the fixed asset along with the Division Property Officer will investigate within three days and determine if the item is missing or lost. If the item is deemed missing or lost, then the steps for a stolen item will be followed. If the item is found, then no further action is necessary.
  2. If an item is stolen, then:

- a. The employee will immediately notify his/her immediate supervisor, the respective program manager, the Division Property Officer and the local police. If the item is stolen from any facility in Wake County, then contact the State Capital Police will be called.
  - b. The employee must provide a copy of the police report to the Division Property Officer within 48 hours or second duty day following the reporting of the incident.
  - c. The immediate supervisor and respective program manager will assist the Division Property Officer in investigating and completing all required paperwork to submit the SBI Form 78 within three days to the CCPS Special Assistant to the Secretary.
  - d. Once the Division Property Officer has the required documentation, the immediate supervisor will notify his/her respective section chief and the Division Director.
  - e. The Division Property Officer will submit the completed SBI Form 78 with respective paperwork to include a copy of the police report to the CCPS Special Assistant to the Secretary, and notify the Assistant Director for Logistics that the paperwork was submitted to CCPS.
  - f. The Division Property Officer will update the fixed asset system with the appropriate status.
- H. Reporting Change in Status of Fixed Assets.
1. Employees will notify the respective program manager of any change in status of fixed assets. Status categories include:

<b>CODE</b>	<b>DESCRIPTION</b>
U	In Use
S	Surplused
M	Missing
R	At Repair
I	Idle or in storage
N	On Loan
J	Junked (Used for Parts)
X	Inoperative

2. The program manager will track the status, and report it to the Division Property Officer via e-mail. Program managers that are assigned fixed asset items and other material include:

<b>Equipment Type</b>	<b>Program Manager</b>
Computer equipment	GTM-IT Information Services Branch Manager
Satcom, telephone, radios and EAS equipment	GTM-IT Communications Technician
Audio-visual equipment	Deputy Logistics Chief
Radiation protection equipment	Radiation Protection Program Manager
Urban search and rescue equipment	USAR Program Manager
HazMat items for the Regional Response Teams	RRT Program Manager
Office equipment, furniture, team equipment items	Supply Services Program Manager
Disaster support equipment (generators,	Logistics Support Program Manager

pumps, material handling equipment, tools, etc.)	
--	--

3. The Division Property Officer will complete a CCPS Form 20, submit it to CCPS fiscal section and update the fixed asset system.
  4. In order to junk an item to use as parts:
    - a. The project manager must notify the Division Property Officer with all pertinent information.
    - b. The Division Property Officer will seek permission to junk the item from the State Surplus Office.
    - c. If approval is given, the Division Property Officer will inform the project manager of the approval and provide specific instructions for marking and junking the item.
    - d. The Division Property Officer will update the fixed asset system with the change in status code to "J."
- I. Inventory of Fixed Assets.
1. The Division Property Officer will schedule inventories of all FAS items throughout the year so that all items are inventoried annually by June 30.
  2. The Division Property Officer will send a letter of instruction for inventory and a copy of the schedule to the senior staff, field branch managers and program managers before August 1 annually.
  3. The Division Property Officer will conduct scheduled inventories. All personnel will assist the Division Property Officer as needed to complete the inventories.
  4. The Division Property Officer will update the fixed asset system and document inventory results on the fixed asset printouts provided by CCPS.
- J. Disposal of Fixed Assets.
1. Employees that believes a fixed asset should be disposed of needs to contact the respective project manager for the item and provide the following information:
    - a. Name of fixed asset
    - b. Description of fixed asset
    - c. Fixed asset number
    - d. Location of fixed asset
    - e. Reason why the item needs to be disposed of.
  2. The program manager, after consultation with his/her respective section chief, will determine whether or not the item needs to be disposed of.
  3. The program manager will contact the Division Property Officer and provide the same information found in J.1, above.
  4. The Division Property Officer will contact the State Surplus Office to dispose of the item.
  5. The State Surplus Office will determine the final disposition of the item. If disposed, the State Surplus Office will supply the Division Property Officer specific disposal instructions.
  6. The Division Property Officer will notify the CCPS Fiscal Section to remove the asset from the Controller's database.
- K. Surplus of Fixed Assets.
1. An employee who identifies an item for surplus is to notify the appropriate program manager with the following:
    - a. Name/description of the item
    - b. Fixed asset number

- c. Location of the item
- d. Provide a digital picture of the item
- e. Reason for surplus
- 2. The program manager will review the surplus request.
- 3. If the program manager concurs with the surplus request, the program manager will consult with his/her respective section chief.
- 4. The section chief will make final determination if the item will be surplus.
- 5. The program manager will notify the Division Property Officer with all pertinent information of the item for surplus.
- 6. The Division Property Officer will work with the State Surplus Office and the program manager to surplus the item in accordance with State, Department and Division policies and procedures. Surplus may be done on-site or at a State Surplus site.
- 7. The logistics section and responsible program manager will assist the Division Property Officer as needed.
- 8. The Division Property Officer will update the fixed asset system.

V. References

- A. CCPS Form 20, Asset Short Form Maintenance
- B. SBI Form 78, State Property Incident Report
- C. NCEM Temporary Property Custody Receipt Form

V. Coordination

Operations\_\_\_\_\_ Logistics\_\_\_\_\_Recovery\_\_\_\_\_GTM\_\_\_\_\_Plans\_\_\_\_\_

Approved:

H. Douglas Hoell, Jr.  
Director

\_\_\_\_\_  
(Date)

North Carolina Emergency Management Division Directive 850-01  
**Training Management**

- I. Purpose: The purpose of this document is to provide direction for the North Carolina Emergency Management training program.
- II. Goals: To provide identified and mandated training to first responders and stakeholders throughout the state to achieve a high level of operational readiness to respond to any hazard.
- III. Objectives:
  - A. Conduct annual statewide Training and Exercise Planning Workshops (TEPW) and Homeland Security Exercise and Evaluation Program (HSEEP) training.
  - B. Schedule statewide training based on TEPW and HSEEP results.
  - C. Maintain compliancy with Federal, State and local mandates, plans, policies and programs, and to develop additional guidelines when needed.
- IV. Policy:
  - A. All training activities will be scheduled and coordinated through the Training Group in accordance with the results from the Training & Exercise Planning Workshops (TEPW), the Homeland Security Exercise and Evaluation Program (HSEEP) and any deficiencies found in After Action Report's (AAR's).
  - B. The Training Group will maintain training records for a period of five years on paper and indefinitely electronic form.
  - C. The Training Group will establish and continuously update a yearly training calendar on the NCEM website.
  - D. The Training Group establishes and maintains instructor criteria, instructor database and information for instructors on the NCEM website.
  - E. The Training Group develops and maintains instructional materials for courses.
  - F. The Training Group will ensure mandated (NIMS) training is available several times a year throughout the state.
- V. Responsibilities:
  - A. The Training Group is responsible to:
    1. Maintain training records (to include names of those receiving training, dates, and places of training) for a period of five years on paper and indefinitely in electronic form.
    2. Establish and continuously update a yearly training calendar on the NCEM website.

3. Establish and maintain instructor criteria, instructor database and information for instructors on the NCEM website.
  4. Maintain instructors' initial applications, proof of compliance and education documentation, and evaluations
  5. Develop and maintain instructional materials for courses.
  6. Ensure mandated (NIMS) training is available several times a year throughout the state.
- B. The Training and Exercise Branch Manager is responsible to:
1. Ensure training opportunities are provided to employees.
  2. Ensure an annual training calendar is developed and posted.
  3. Oversee training compliance and implementation measures.
  4. Represent the Training Branch at meetings and Conferences.
  5. Establish and maintain a training budget for the Division.
  6. Conduct annual local and state TEPW
  7. Provide oversight to insure Division personnel are trained in Incident Command System to comply with Department of Homeland Security guidance
- C. Field Training Supervisor also known as State Training Officer is responsible to:
1. Supervise Training and Education Specialist(s).
  2. Serve as the Program Manager for Community Emergency Response Team (CERT)
  3. Serve as the Program Manager for Staff Professional Development.
  4. Develop and maintain a training quality assurance program.
  5. Manage special projects.
  6. Manage the maintenance of individual training records by course.
- D. Education and Training Specialist(s) are responsible to:
1. Manage and Support Incident Command System programs.
  2. Manage Terrorism Consequence Management Programs.
  3. Manage instructor processes to include certification, credentialing and evaluation.
  4. Assist in CERT program management.
  5. Manage the North Carolina Emergency Management Certification Program.
  6. Manage the Multi-Hazard School Planning program.
  7. Serve as alternative point of contact for federal training.
  8. Manage radiological training requirements with the REP Planner.
  9. Manage hazardous materials training.
  10. Develop and maintain NIMS compliant curricula.
  11. Conduct training.
  12. Conduct quality assurance surveys.
- E. Area Coordinators serve as course managers for regional and locally offered courses within their assigned areas of responsibility. Education and Training Specialist will share course manager responsibilities for the state offered courses.

F. Course Managers are responsible to:

1. Identify and acquire adequate facilities where training will be conducted.
2. Identify and acquire curricula materials.
3. Identify and acquire certified instructors.
4. Provide support to the instructor to issue training certificates as required.
5. Insure class folder is complete IAW directives.

G. The Administrative Assistant is responsible to:

1. Maintain student records.
2. Assist in the maintaining the training calendar.
3. Issue student transcripts as requested.
4. Assist training staff in the development of reports.

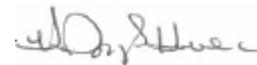
VI. Procedures. Personnel shall follow LOG-SOG 001 Training Standard Operating Guidelines.

VII. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VII. Coordination

Operations Silence Logistics Silence Recovery Silence GTM Silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

28 May 2008  
(Date)

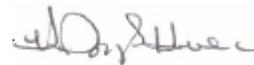
This page is intentionally left blank.

North Carolina Emergency Management Division Directive 850-02  
**Training Documentation**

- I. **Purpose:** The purpose of this directive is to establish procedures for a documentation program of all training records.
- II. **Policy:**
  - A. The Training Group will maintain records of the names of those receiving training as well as the dates, course name, course number and places of delivery.
  - B. The Training Group will keep each instructor's initial application, proof of compliance and education documentation, and evaluations as completed by the Training Group.
  - C. Records shall be maintained for a period of five years on paper, and indefinitely electronically.
- III. **Procedures:** The Training Group shall maintain folders for each class by course number, which will contain completed class roster, course evaluations, certificates, as well as any travel claims or Business Division Authorizations (BDAs).
- IV. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.
- V. Coordination

Operations Silence Logistics \_\_\_\_\_ Silence Recovery Silence GTM Silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
Director

28 May 2008  
(Date)

This page is intentionally left blank.

North Carolina Emergency Management Division Directive 900-03  
**Strategic Planning**

I. Purpose

This directive describes the strategic planning process for the division. Strategic planning identifies where our organization is now, where we want to be, how we get there, and how we measure our progress.

II. Policy

The NCEM Strategic Plan (the Plan) is the principle roadmap to improve emergency preparedness, response, recovery and mitigation capability for North Carolina citizens. The plan is prepared by the North Carolina Division of Emergency Management with stakeholder coordination for the North Carolina Emergency Management Program as a whole. It is the central document that not only charts a path to improved capability, but also it is the hub around which revenue is programmed and budgeted. It is central to each NCEM employee's work plan, and it provides a basis to approve grant applications from counties and municipalities. To develop the Plan, we analyze national, state, and local needs and capabilities. A source of information is national programs as follows:

- Federal Emergency Management Agency (FEMA) Gap Analysis Program
- Nationwide Plan Review
- Emergency Management Accreditation Program (EMAP) Standard
- National Preparedness Guidelines, Target Capabilities List, and National Planning Scenarios
- State Homeland Security Strategy and Hazard Mitigation Plans

The Office of State Budget and Management requires key performance indicators be developed and tracked. The division submits its results-based budget (RBB) each February. The RBB is required biennium, and it outlines specific elements that must be addressed by each state agency. Therefore specific strategic plan components identified in our Plan should match seamlessly with the division RBB. An [NCEM Strategic Plan](#) document has been developed and will be updated annually to reflect changes as needed.

III. Responsibilities

Each EM section is responsible, in coordination with State Emergency Response Team (SERT) partners, to develop strategic plan activities. Sections must meet with SERT partners prior to the Strategic Planning workshop held each November to determine their own priorities for inclusion in the strategic plan as described below.

#### IV. Procedures

##### A. The Strategic Planning Unit will:

1. Annually, on about 1 September, send an e-mail to all Section Chiefs and Branch Managers summarizing responsibilities in this directive. The email should include the following attachments:
  - a. Copy of the current [NCEM Strategic Plan](#) in EXCEL
  - b. [Strategic Flowchart](#) to determine the Strategic Plan criteria
  - c. Blank [Strategic Plan Activity Worksheet](#)
  - d. [Timeline](#) of activities to be accomplished
  - e. [Division Activity Flowchart](#)
  - f. [Division Activity Worksheet](#)

The Strategic Flowchart is a series of yes or no questions designed to guide each section with determining if their activities meet specific Strategic Plan criteria. An activity that passes the Strategic Plan criteria test is then written on a blank Strategic Plan Activity worksheet, where specific column headings must be filled in for that activity. An activity that does not meet the Strategic Plan criteria may become a Division Activity. Using the Division Activity Flowchart's yes or no questions will determine if that activity should be a Division Activity or an internal Section Activity. If that activity passes the Division Activity test, then a Division Activity Worksheet is completed filling in the specific column headings for that activity. Activities that are Strategic or Division are tracked throughout the year. Internal Section Activities are not tracked, but kept internally by the section's lead person responsible for that activity.

2. In October, meet with each section's members to describe responsibilities, to answer questions, to give examples, and to help members identify potential strategic plan activities.
3. In November, hold a Plan workshop (attended by Branch Managers and above) to discuss section activities, to identify conflicts or redundancy among sections, and to identify additional activities and tasks needed to meet emergency response requirements. This workshop will also review and if necessary, modify the division's Mission Statement and Goals.
4. In December,
  - a. Distribute the updated Plan to the lead person for each Plan activity for coordination
  - b. Obtain Director's approval.

5. In January, publish the Plan and in an e-mail, provide the following instructions:
  - a. Where the Master Strategic Plan file is located,
  - b. How to access each EM section file,
  - c. How the EM section file is to be updated,
  - d. How often it needs to be updated,
  - e. Where questions or problems should be addressed,
  - f. Where Strategic Plan progress reports will be posted.
6. Present monthly progress reports to the Senior Staff.
7. Conduct a mid-year workshop meeting to coordinate activities.

### Time Line for NCEM Strategic Plan

Monthly	Action
September	E-mail to all Section Chiefs and Branch Managers memorandum
Mid - September	Meet with each Section to provide guidance in developing activities/tasks
October	Review each Sections activities/tasks and provide feedback
November	Conduct session review of all activities/tasks as an organization
December	Make modifications on strategic plan and forward for review and approval
January	E-mail out to everyone the NCEM Strategic Plan for calendar year
Monthly	Provide progress report and meet mid year to revise as needed

B. Employees will develop Strategic Planning activities following this directive. Members will propose a Plan activity by completing a Plan Activity Worksheet at attachment 2.

C. Section Chiefs and Branch Managers will:

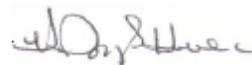
1. Encourage employees and work with their SERT agencies to develop Strategic Plan Activities
2. Approve activities and submit them to the Strategic Plan Unit
3. Participate in Strategic Plan review session

V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination

Operations MS Logistics Silence Recovery Silence GTM Silence Plans GF

Approved:



H. Douglas Hoell, Jr.  
 Director

30 April 2008

(Date)

This page is intentionally left blank.

North Carolina Emergency Management Division Directive 900-04  
**Hazardous Materials Emergency Preparedness (HMEP) Grant**

- I. Purpose. This directive describes the management of the U.S. Department of Transportation's (USDOT) grant. This grant is used primarily by communities to lessen the adverse risk posed by the transportation of hazardous waste.
- II. Policy. The directive implements requirements as specified in 49 Code of Federal Regulations (CFR) 110.1 – 110.130. This CFR and other Federal government guidance can be reviewed at web link [HMEP Grants](#).
- III. Responsibilities. The HMEP Grant Manager, acting for the Director and assigned to Information and Planning Section, will manage the grant program. NCEM field branch offices to include Area Coordinators will coordinate grant activities in their local areas of responsibility. NCEM's Training and Exercise Branch will coordinate grant agreements with state agencies (Office of the State Fire Marshal).
- IV. Procedures
  - A. The Program Manager will:
    1. Submit electronic and paper copy application packet to Grants.Gov and USDOT for HMEP Grant cycle before July 15 each year. The package will contain project goals and objectives for planning and training in accordance with USDOT Guidance.
    2. Distribute HMEP Grant Guidance and required deliverables to Branch Managers by September 1.
    3. Receive and review Approved HMEP Grant proposals from Branch Managers by November 15.
    4. Direct the HMEP Assistant to prepare Grant Memorandum of Agreements (MOA's) for each approved LEPC submitted on a first come, first served basis. Coordinate the review and signature process among state, local officials and the NCEM's legal advisor on the Attorney General's staff. Distribute to Branch Managers by December 15.
    5. Submit signed copies of MOAs to Crime Control & Public Safety Fiscal Office and LEPCs for records. Manage the HMEP budget. Account for all expenditures. Reallocate funds when and where necessary. Monitor LEPC grant use and progress. Coordinate documentation between LEPC and CCPS Fiscal.
    6. Receive and review all deliverables by September 15. Close out grant fiscal year account by September 30.
    7. Contact applicable NCEM personnel by June 1 to determine if sub-grantees will be able to execute their grants prior to September 30.
    8. Initiate requests (as needed) to obtain approval for any changes in HMEP application from USDOT at the HMEP Web Portal website: <https://hazmatgrants.phmsa.dot.gov>
  - B. Branch Managers will:
    1. Distribute the grant guidance to the Local Emergency Planning Committees (LEPC's) within their Branch by September 15.
    2. Select which LEPC's will receive HMEP Grant funding. Submit Approved HMEP Grant proposals to the Program Manager by November 1.
    3. Distribute approved LEPC MOA's to authorized county agents for signature. Return signed MOA's to the Program Manager no later than January 15.

C. The Training and Exercise branch will:

1. Prepare Memorandum of Agreement (MOA) with the Office of the State Fire Marshal (OSFM) to coordinate and certify specific training related to Hazardous Materials by July 30.
2. Receive and verify deliverables from OSFM in accordance with the HMEP Grant reporting procedures by September 1.
3. Submit accomplishment report to Program Manager by September 15.

V. This document is directive in nature and will remain in effect until revised or rescinded by the Director of Emergency Management.

VI. Coordination

Operations \_\_\_\_\_ Logistics \_\_\_\_\_ Recovery \_\_\_\_\_ GTM \_\_\_\_\_ Plans \_\_\_\_\_

Approved: \_\_\_\_\_  
(Date)

H. Douglas Hoell, Jr.  
Director

Draft

Draft