

## Disaster Recovery Plan

*Requested by*

Colette Armao, Division of Aeronautics

December 16, 2009

*The Caltrans Division of Research and Innovation (DRI) receives and evaluates numerous research problem statements for funding every year. DRI conducts Preliminary Investigations on these problem statements to better scope and prioritize the proposed research in light of existing credible work on the topics nationally and internationally. Online and print sources for Preliminary Investigations include the National Cooperative Highway Research Program (NCHRP) and other Transportation Research Board (TRB) programs, the American Association of State Highway and Transportation Officials (AASHTO), the research and practices of other transportation agencies, and related academic and industry research. The views and conclusions in cited works, while generally peer reviewed or published by authoritative sources, may not be accepted without qualification by all experts in the field.*

### Executive Summary

#### Background

The San Francisco Bay Area and southern California are especially vulnerable to natural and man-made disasters, particularly earthquakes. In a major disaster, the existing transportation infrastructure is likely to incur extensive and severe damage, hampering response and recovery efforts.

Caltrans is investigating ways to integrate general aviation, hospital heliports and regional military airports into a disaster response and recovery effort. To support California emergency response agencies in developing comprehensive, coordinated plans, we investigated national best practices in emergency response and recovery using general aviation airports, and examined how other agencies define the roles, responsibilities and relationships of general aviation airports and heliports during a regional emergency event.

#### *Definition of key terms*

**General aviation:** General aviation (GA) refers to all the flying by individuals and businesses that is not facilitated by an airline, air taxi or the military. General aviation accounts for by far the bulk of airport and airspace operations in California. In the Bay Area there are 25 publicly owned and operated general aviation airports, as well as three commercial and two military airports. There is also general aviation activity at North Field of Oakland International Airport, San Jose International Airport and San Francisco International Airport.

**Response:** Disaster response includes time-sensitive actions intended to save lives and property, reduce the possibility of secondary damage, and speed recovery operations. It involves mobilizing emergency response personnel and equipment, conducting search and rescue operations, alerting the public, and facilitating evacuation.

**Recovery:** The aim of the recovery phase of emergency operations is to restore an affected area to its predisaster condition. It differs from the response phase in its focus: Recovery efforts are concerned with issues and decisions that must be made after immediate needs are addressed, such as rebuilding destroyed property, re-employment, and the repair of other essential infrastructure.

We gathered information in four topic areas related to disaster response and recovery plans involving airports:

- State Practice.
- State and Regional Research.
- National Guidance.
- California Practice and Documents.

Following is a summary of findings by topic area.

## State Practice

### Current Practice

- GA airports have generally not been integrated into regional disaster response and recovery planning, and aviation-related response and recovery is often ad hoc, with the most coordinated entities being volunteer pilot organizations, firefighting agencies, and medevac organizations.
- The primary emergency role of GA airports and heliports during a disaster is to a) create a safe environment for the various aircraft that will use them during a disaster and b) ensure that fuel and other resources are available for operating aircraft.
- GA airports also may be involved in the movement of emergency service workers, medical personnel, vital supplies and injured victims; may supplement the medevac and airlift capabilities of other groups; and may bring regular and supplemental emergency service workers such as police and fire personnel into a stricken community that is isolated because of disrupted ground transportation infrastructure.
- GA airports can be privately or publicly owned and/or operated by one or more of several local government agencies such as a county, city, or special district.

### Key States

- Florida is one of the first states that is actively trying to integrate aviation into its disaster planning. The Florida Department of Transportation has proposed creating an Air Operations Branch as part of its state emergency operations. This branch would serve as a single point of contact for all aviation and airport-related issues in Florida during a disaster response—at the federal, state and local levels. A draft Air Operations Branch Plan is in development and should be available for review within a few months.
- The Minnesota Council of Airports is perceived as being very well organized, covering commercial and general aviation. One expert noted that the council doesn't have an organized plan or system for using GA airports, but that it has a very good informal system.

### Planning and Challenges

- Awareness and outreach are two of the primary challenges facing the integration of GA airports into disaster response and recovery planning. The local community and its officials must be aware of the presence of these airports and define the role they will play in a disaster.
- Response planning should involve systems that facilitate communication, not top-down control structures that can impede it.
- According to airport managers in California and Louisiana, the following thresholds should be identified prior to an emergency event:
  - Aircraft weight limitations.
  - Runway and taxiway size.
  - Number of operations the airport is cable of in a given time frame.
  - Types of approach (precision or nonprecision).
  - Size of facilities.
  - Fuel availability.
  - Connectivity to other modes of transportation.

### **State and Regional Research**

- We located little state research related to the integration of general aviation and other airports into state and regional disaster response and recovery planning. Efforts under way focus on response over recovery and commercial airports versus general aviation or military airports.
- Researcher James Smith with the American Public University recently completed two studies addressing the integration of airports in emergency planning. The studies do not address general aviation airports specifically but may be helpful in developing an expanded plan for California.

### **National Guidance**

- The Federal Emergency Management Agency (FEMA) held an Air Operations Coordination Conference in 2009 to discuss FEMA development of a new State and Regional Disaster Airlift (SARDA) Plan and a new Air Operations Branch Manual, which was released in draft form earlier this year. Florida DOT is looking to this plan for guidance in developing its own Air Operations Plan.
- FEMA's National Incident Management System (NIMS) provides a national approach to emergency management and coordination between multiple jurisdictions, levels of government, functional agencies, and emergency responder disciplines. The 2008 NIMS document recommends a designated Air Operations Branch as part of the Operations Branch of the Incident Command System (ICS).

### **California Practice and Documents**

- The San Mateo County Airport has been incorporated into local disaster planning.
- The California Pilots Association developed the document *Earthquake Airlift! How to Do It*, which provides guidance on coordination between GA airports and volunteer pilot organizations in responding to emergency situations. See Appendix B.
- During an emergency event, county emergency management agencies generally establish an emergency operations command (EOC), which includes representatives from county-owned assets and some private assets. General aviation airports can fall within both of these categories, and during a disaster report to the EOC. The federal government, including FEMA, posts representatives in turn at the EOCs for coordination. EOCs may also report directly to the governor's office, which in some states manages emergencies. EOCs are also responsible for keeping the public informed.
- The communications systems in place through the Civil Air Patrol for making and accepting pilot assignments—often web- and e-mail-based—are a possible model for coordinating a large number of groups throughout the region and informing the public of the status of roads, electricity, airports and other infrastructure.
- The Santa Monica Airport has an operations handbook created with input from the volunteer pilot organization Emergency Volunteer Air Corps. See Appendix C.
- Travis Air Force Base is not currently part of a regional plan involving general aviation, but it is a FEMA staging area, and in a major event there would be heavy large-frame aircraft operations there.

### **Gaps in Findings**

General aviation has yet to be explicitly incorporated into most disaster response and recovery planning, and there is a dearth of detailed research on this topic. However, Florida is at the forefront of incorporating general aviation into their planning, and FEMA is developing guidance that may help states in developing more comprehensive plans.

## **Next Steps**

There is a real need for the development of standards in communication and coordination between airports (especially general aviation) and other organizations involved in disaster response and recovery. As Caltrans pursues development of a plan, the Department might consider:

- Obtaining Florida's draft Air Operations Plan, which is currently in progress.
- Reviewing FEMA's new Aviation Branch Operations Manual.
- Documenting successful coordination and effective roles and responsibilities in place at the local level in California, which could influence a state or regional plan.
- Carrying out research to identify gaps and opportunities for incorporating general aviation and other airports into California's emergency response and recovery plans.

## **Contacts**

The following individuals were contacted for this Preliminary Investigation:

### **California**

#### **Association of Bay Area Governments**

Jeanne Perkins, ABAG Hazards Consultant, (510) 464-7900, [Jeannep@abag.ca.gov](mailto:Jeannep@abag.ca.gov)

#### **California Pilots Association**

Carol Ford, Vice President, (650) 591-8308, [carol\\_ford@sbcglobal.net](mailto:carol_ford@sbcglobal.net)

#### **California Wing, Civil Air Patrol**

Ronald Butts, Board Member, (602) 617-8275

#### **Emergency Volunteer Air Corps (EVAC)**

Rol Murrow, Chairman and President, (575) 774-0029, [rol.murrow@wolf-aviation.org](mailto:rol.murrow@wolf-aviation.org)

#### **Livermore Municipal Airport**

Leander Hauri, Airport Manager, (925) 373-5281, [lhauri@ci.livermore.ca.us](mailto:lhauri@ci.livermore.ca.us)

### **Other States**

#### **Florida Department of Transportation**

Richard C. Null, Aviation Operations Administrator, (850) 414-4515, [richard.null@dot.state.fl.us](mailto:richard.null@dot.state.fl.us)

#### **Louisiana DOTD Aviation Section**

Brad Brandt, Deputy Aviation Director, (225) 274-4149, [Brad.Brandt@la.gov](mailto:Brad.Brandt@la.gov)

#### **Texas DOT Aviation Division**

Frank Cantu, State Coordinator for Response and Recovery, (512) 424-2455, [frank.cantu@txdps.state.tx.us](mailto:frank.cantu@txdps.state.tx.us)

### **National**

#### **American Public University**

Jim Smith, Professor, researcher on relationships between airports and emergency management agencies, (540) 239-1206, [jfsmith@swva.net](mailto:jfsmith@swva.net)

#### **Travis Air Force Base Office of Emergency Management**

Mark Wilson, Installation Emergency Manager, (707) 424-2104, [Mark.Wilson3@travis.af.mil](mailto:Mark.Wilson3@travis.af.mil)

## State Practice

We contacted three states that had experienced disasters in recent years to identify the progress made toward integrating GA airports into regional disaster response and recovery efforts. Below are the questions we posed, either by phone or e-mail, followed by the states' responses.

1. *What should be the roles and responsibilities of general aviation airports and heliports (including hospital heliports) during a regional emergency event?*
2. *What should an aviation component of a regional emergency coordination plan cover?*
3. *What are the best practices and lessons learned related to emergency response and recovery as they relate to the use of general aviation airports and heliports (including hospital heliports)?*

### **Florida Department of Transportation**

Richard C. Null, Aviation Operations Administrator, (850) 414-4515, [richard.null@dot.state.fl.us](mailto:richard.null@dot.state.fl.us)

E-mail response:

- Disaster response issues in Florida are managed by the Division of Emergency Management (DEM), which is part of the governor's office (formerly part of the Department of Community Affairs, which still provides some support). DEM operates the State Emergency Operations Center (SEOC) in Tallahassee and coordinates efforts with county Emergency Operations Center (EOC). The state's Comprehensive Emergency Management Plan (CEMP) spells out the details for Florida—see the following web site for various info: <http://www.floridadisaster.org/>.
- Airports in Florida are just now getting the attention that they need to enhance their role in emergency response. The FDOT Aviation Office has proposed creation of an Air Operations Branch (AOB) as part of the Operations Section of the SEOC. We have also proposed a draft Air Operations Branch Plan to provide guidance for implementation of the AOB concept, whereby the AOB would serve as a single point of contact for all aviation and airport-related issues in Florida during a disaster response—at the federal, state and local levels.
- This plan is currently a work in progress with DEM and other state and local agencies, which will hopefully be adopted by the SEOC shortly. Adoption of Florida's AOB Plan would be a first among states, although some states previously had a plan similar to the now-rescinded FAA State and Regional Disaster Airlift (SARDA) Plan. The Florida AOB plan is patterned after a similar plan at the federal level—FEMA Air Operation Branch Manual—also in its draft, formative stage.
- Your questions assume a level of coordination and planning that has not yet been achieved in Florida or other states—although we are working toward that goal. Some answers to some of your specific questions:
  - International airports are NOT under the FAA. ALL public-use airports in Florida are licensed by the State of Florida—but operated independently—either privately owned or by county, city or a Special District (i.e., Airport Authority)—therefore, airports and heliports may not be county assets.
  - There are public-use airports/heliports and private-use airports/heliports—each of which may be publicly owned or privately owned.
  - Airports plan their response activities and requests for disaster recovery needs through the County EOC. The proposed AOB would facilitate at the state level.

## Louisiana DOTD Aviation Section

Brad Brandt, Deputy Aviation Director, (225) 274-4149, [Brad.Brandt@la.gov](mailto:Brad.Brandt@la.gov)

E-mail response:

- It is the responsibility of the general aviation airport/heliport to maintain the airport to safe standards and if it cannot meet those safe standards to mitigate or close the affected area until the safe standards are met. The role of any airport/heliport is to create a safe environment for aircraft to operate.
- Depending on the regional event and the size of the general aviation airport serving the community, the airport/heliport could serve as a location for transport of emergency service workers, medical personnel, vital supplies and injured victims, supplementing the medevac and airlift capabilities of the armed forces, the National Guard, commercial and volunteer medical transportation groups, and other vital support groups such as the Civil Air Patrol and the sheriff's office. General aviation airports and heliports will be especially useful for bringing regular and supplemental emergency service workers such as police and fire personnel into a stricken community that may be isolated because of disrupted ground transportation infrastructure.
- Many regional widespread emergencies have existed where GA airports/heliports have been used (for wildfires, hurricanes, tornadoes, etc.). Most GA airports that participate with a regional emergency will later be studied for how the airport/heliport and staff handled the situation by aviation industry groups, the FAA, FEMA and state aeronautics groups. In return the groups studying the airport/heliport will later share their information by industry publications, conferences, and in some cases propose new or changed law.

Several major metropolitan communities that own more than one airport have defined roles of general aviation during emergencies. Usually, airports include details of emergency response and recovery within their airport emergency plan, which also details security issues, which then classifies that document as security-sensitive. Breakdowns during an emergency usually occur within communication; however, practices such as table-top and full-scale exercises help remedy breakdowns. Full-scale exercises are usually cost- and time-prohibitive to many GA airports/heliports. GA airports have restrictions such as weight limitations, runway and taxiway size, number of operations in a given time frame, type of approach (precision vs. nonprecision), size of facilities, fuel available, etc. Each GA airport/heliport is different with regard to restrictions, but most restrictions are published in airport facility directories and aviation sectional maps.

Coordination of a community during and after a regional event is set up through a county-wide emergency operations command (EOC), which includes a representative from each of the municipal-owned assets for the county/parish and each town within the county/parish (such as an airport, streets, water, sewer, libraries, schools and some private assets, such as electric and gas companies). These representatives are available and in communication with the support staff at those assets. Each municipal-owned asset reports to their representative at EOC whether their role and responsibility is met, which means they are able to operate either partially or fully. It is then decided by the director of the EOC how that asset will best be used. For example, the EOC representative for streets informs the director of the EOC that Interstate 10 is cleared and safe from exit 34 to exit 68. The director then decides if that stretch should only be open to emergency vehicles or to the public either only during day hours or around the clock.

A large international airport is obligated by the FAA to meet standards for airport safety and by the Transportation Security Administration for security standards, and once these standards are met then the airport can function as long as other provisions are met (such as fire and building codes and safe passage).

The coordination and protocol with the federal government and local government is established through training exercises before a regional event. The federal government (FEMA and the National Guard) will have representatives at the EOC and will coordinate within the EOC. The EOC when operational and at critical level will have direct communication to the governor's office. If the regional event is widespread (more than one county/parish), then a state EOC will be set up and have communication with Washington, D.C.

Many 'local-level players' are needed before a regional event for training exercises, both table-top and full-scale. Local-level players also serve on damage assessment teams that determine the extent of damage at their work facilities and communicate that information to the coordinator, and that coordinator informs the representative at the EOC. Damage assessment is critical for determining when an asset will be usable and determining the cost of repairing a structure. The damage assessment team also is trained by FEMA so that correct information can be documented and the proper paperwork is used, which is especially critical if FEMA will be used for any reimbursements applied to damaged structures and cleanup activities.

GA airports can be owned privately or publicly. Publicly owned airports can be both owned and operated by the state, county, city or an aviation authority (usually represents interests from multiple cities or counties). Public-use airports are open to the general public and must meet state or federal statutes and/or grant assurances if they receive state or federal grants.

Information on an airport status with regard to a regional event is communicated to the EOC and FAA. The EOC is responsible for informing the media of the status of the airport, which in turn informs the public. Many EOCs preselect certain TV and radio stations so that the public knows before the event which stations to turn to for accurate and reliable information. Some EOCs also have web pages for the public to look up current status on roads, electricity, airports, etc. Information from the airport to the EOC is usually conveyed by phone, with some airports keeping satellite phones for backup. The FAA is informed of an airport's status so that information can be disseminated by a notice to airman (NOTAM). A NOTAM is generally received by a pilot when they call into a flight service station (FSS) to receive weather and NOTAM updates. It is the best practice by the pilot to receive a briefing before any flight. The FSS is also capable of transmitting to a pilot while flying by using a radio, and therefore a pilot has the capability of obtaining a briefing in the air. Last, at some airports an automated weather observation system (AWOS) is used to disseminate weather conditions to a pilot by radio when a pilot is in the air. Some newer versions of the AWOS are also able to record voice, and information about current airport status can be conveyed to the pilot using the AWOS.

### **Texas DOT Aviation Division**

Frank Cantu, State Coordinator for Response and Recovery, (512) 424-2455, [frank.cantu@txdps.state.tx.us](mailto:frank.cantu@txdps.state.tx.us)

Phone interview:

- Texas has an Air Coordination Group (ACG) with a unified command in the state capitol. The group's mission is to facilitate headquarters-to-headquarters coordination in order to provide efficient planning and execution of air support to joint, multiagency task forces in the field. See a presentation of this group's organization and responsibilities at [http://www.defenselink.mil/policy/sections/policy\\_offices/hd/assets/downloads/eplo/presentations/Panel%20-%20Hurricane%20-%20Kavanagh.pdf](http://www.defenselink.mil/policy/sections/policy_offices/hd/assets/downloads/eplo/presentations/Panel%20-%20Hurricane%20-%20Kavanagh.pdf).
- The ACG designed the first fully synchronized Airspace Coordination Plan that was successfully used by federal, state, military and civilian air partners in a disaster area.
- When needed, air management teams can be placed close to the disaster to have someone close to the event.

## **State and Regional Research**

Although we did not identify any related research in progress sponsored by state DOTs, we did locate several research efforts funded by American Public University that focus on regional cooperation, coordination and communication among airports during disasters. Researcher James Smith recently completed the second of two studies on the topic, both of which are described below. The studies are not related specifically to general aviation airports, but their conclusions are relevant to airport emergency planning and coordination in general.

**Regional Cooperation, Coordination, and Communication Among Airports During Disasters**, James F. Smith, American Public University, July 2009

Study web site: <http://www.airportstudy2009.com/>

Final report: <http://www.airportstudy2009.com/sitebuildercontent/sitebuilderfiles/jfsmith2009finalreport072709.pdf>

*Abstract:* Intensive workshops in South Florida (December 15, 2008), New England (May 7, 2009), and Minnesota (June 12, 2009) explored how regional cooperation, coordination and communication among airports can promote preparedness and continuity of operations during disasters and catastrophes of all types. Previous site visits and on-site interviews at 20 U.S. airports ranging from the smallest commercial airports to major international airports provided background information to build the workshops, where representatives of airports, airlines, local responders, state agencies and federal agencies gathered to discuss needs, opportunities, gaps and barriers to increasing regional cooperation, coordination and communication.

*Excerpt of findings:*

No one has heretofore rigorously or critically examined the concept of communication, coordination and cooperation among airports; such examination promises to yield useful ideas for improved prevention, mitigation, response and recovery. Determining the present status and future potential for regional cooperation and coordination among airports can help deal effectively, economically and safely with continuity of operations, continuity of business, and continuity of government during a major disaster or catastrophe. Due to their histories with major hurricanes, South Florida and Louisiana were obvious areas to examine both the realities of and possibilities for regional airport cooperation in disasters.

Two existing models for regional airport cooperation during disasters, the Southeast Airport Disaster Operations Group (SEADOG) and the Western Airport Disaster Operations Group (WESTDOG), are used throughout this study to demonstrate possible solutions and generate discussion. These disaster operations groups (DOGs) are airport-to-airport mutual aid organizations that work through the state-to-state Emergency Management Assistance Compact (EMAC) to provide specific sorts of manpower and equipment to airports damaged by disasters.

This study examines the following dimensions of regional airport arrangements for disasters:

- Extent of present cooperation, coordination and communication.
- Potential for additional cooperation, coordination and communication.
- Effects of outside, nonairport agencies and entities that must be partners in disaster preparedness, response and recovery.
- Special issues related to disasters and catastrophes.
- Legal issues.
- Effects of competitive pressure among airports.
- Benefits of airport cooperation and coordination.

**Airport Disaster Preparedness in a Community Context**, James F. Smith, American Public University, February 2009.

Study web site, including final report and presentation: <http://www.airportstudy2008.com/>

*Abstract:* This study uses survey results from 37 U.S. airports to examine the current state of cooperation among airports and their partners and suggests ways to strengthen and develop existing bonds to ensure community preparedness along with the protection and promotion of both airport operations and business continuity. Cooperation and coordination can be strengthened through building personal relationships, and succession planning



can ensure relationship continuity over time. Surge capacity during disaster response can be enhanced through wise mutual aid agreements made effective through intensive joint training, drilling, and exercising. Regional cooperation and coordination among airports and EMAs is a powerful and cost-effective form of mitigation against all types of hazards.

*Excerpt of findings (from presentation):*

This study addresses the relationships between airports and emergency management agencies for nonaviation disasters, including:

- Patterns of cooperation and coordination between airports and their emergency management partners.
- Trends in airport emergency planning.
- Best management practices.
- Innovative preparedness measures.
- Potential for mutual aid among regional airports and emergency management agencies on a scale larger than a city or county and smaller than national.

See pages 35 to 38 of the final report PDF for best management practices, innovative preparedness measures, and characteristics of successful airports in terms of emergency preparedness.

**“Building Sound Emergency Management into Airports,”** James Fielding Smith, Sandra S. Waggoner, Gwendolyn Hall. From *Aviation: A World of Growth. The 29th International Air Transport Conference*, 2007.

Citation at <http://ntlsearch.bts.gov/tris/record/tris/01079453.html>

*Abstract:* Airports are essential and irresistible assets in major disaster responses. Traditional and newly emergent roles—e.g., command posts, shelters, temporary hospitals, alternative communication hubs—were filled by airports after Hurricane Katrina and for 9/11 flight diversions with essentially no warning. The basic thesis of this paper is that sound emergency management measures should be built into airport preparedness functions to not only maximize the use of airports during major disaster responses but also to preserve airport operations during the disaster and to facilitate resiliency afterwards. Qualitative analysis applied to historical case studies at New Orleans and Gander and preparedness measures at Memphis and Dusseldorf gives results bearing on necessity to enhance capabilities of airports and methods to fund sound emergency management into airports are critical to the development of resiliency through timely management of catastrophes.

### **Interview with Jim Smith**

Contact: Jim Smith, (540) 239-1206, [jfsmith@swva.net](mailto:jfsmith@swva.net)

### Observations:

- Medevac is the most organized element in general aviation nationwide.
- Minnesota has a very well organized Minnesota Council of Airports, covering commercial and general aviation. The council doesn't have an organized plan or system for using GA airports, but it has a very good informal system. See <http://www.mnairports.org/>.
- Future research should involve contact coordinators for fighting forest fires—their organizational procedures will be relevant.

### Suggested contacts:

- Don Griffith, a senior analyst and planner at IEM and primary author of FEMA's new national aviation plan for disasters, [Donald.Griffith@iem.com](mailto:Donald.Griffith@iem.com).
- Phil Jones, State Aviation Director, Louisiana DOTD, [pjones@dotd.la.gov](mailto:pjones@dotd.la.gov), (225) 274-4141. (Note that Phil Jones' input is included in Brad Brandt's responses on behalf of Louisiana DOTD above.)
- Jim Featherstone, Emergency Management Director, City of Los Angeles, [jgfeatherstone@gmail.com](mailto:jgfeatherstone@gmail.com), (213) 216-8725.
- Woody Witte, LAX Emergency Management, [RWITTE@lawa.org](mailto:RWITTE@lawa.org), (310) 646-5294.
- Mitchell Jacobs, Division Manager of Emergency Services, Louisiana Governor's Office of Homeland Security & Emergency Preparedness, [mitchell.jacobs@la.gov](mailto:mitchell.jacobs@la.gov), (225) 620-7401.
- Bill Wilkinson, Director of Safety and Security at San Francisco International Airport, [william.wilkinson@flysfo.com](mailto:william.wilkinson@flysfo.com), (650) 821-3326.

## **National Guidance and Research**

### **Interview**

#### **Interview with Travis Air Force Base Office of Emergency Management**

Mark Wilson, Installation Emergency Manager, (707) 424-2104, [Mark.Wilson3@travis.af.mil](mailto:Mark.Wilson3@travis.af.mil)

E-mail response:

- Since we are a federal installation, tasking to support a regional response comes from our higher headquarters, through the Department of Defense, and would be at the request of FEMA. Usually, a gubernatorial disaster declaration gets this tasking started.
- Our Installation Commander does have some latitude to support a response to preclude loss of life or great property damage. Under this scenario, if general aviation needed to operate at Travis, permission would most likely be given, mission permitting and on a temporary basis. The high number of large-frame aircraft that operate here presents safety hazards to general aviation aircraft.
- Travis does not have a specific, standing general aviation role in a regional event area outside of normal air traffic control of the airspace that we manage. Our medical center does have a heliport to support local medical agreements only up to a limited bed space commitment.
- Travis is not part of a regional plan involving general aviation. However, we are considered a FEMA staging area and are part of the National Disaster Medical System. In a major event (Bay Area earthquake, for example), Travis would likely see heavy large-frame aircraft operations here. It is conceivable that if regional airport runway damage precluded use of larger aircraft, general aviation could operate here to support disaster operations. All of this depends on the state of our airfield (post-earthquake) and other federal tasking.
- Best practices: Safety and communications during helicopter ground operations are paramount. Proper tower coordination, operations around large fixed-wing aircraft, and first responders being able to give proper hand signals for landing operations are also vital.

### **Guidance and Completed Research**

**FEMA Air Operations Coordination Conference**, February 2009.

<http://www.laimpact.net/Airops/index.aspx>

As part of its transportation and evacuation initiative, FEMA held a three-day conference in February 2009 to support national air operations and planning efforts. The conference objectives were to:

- Identify lessons learned and best practices from Hurricanes Gustav and Ike.
- Review the Aviation Branch Operations Manual.
- Review the Airspace Coordination Appendix.
- Discuss State and Regional Disaster Airlift (SARDA) Planning.
- Discuss Mission Assignment and contracting air assets.
- Discuss U.S. Customs and Border Protection (CBP) Air Marine Missions and Capabilities.

**State and Regional Disaster Airlift Guidance: Air Planning and Operations Guidance**, FEMA, February 2009.

<http://www.laimpact.net/Airops/Slides6.aspx>

This presentation given at the FEMA Air Operations Coordination Conference described above outlines the plans under way to develop a new State and Regional Disaster Airlift (SARDA) Guidance document. Originally developed in 1970 and canceled in 2005, SARDA provided guidance to develop and implement State and Regional Disaster Airlift plans governing the use of aviation resources during natural disasters and/or national security emergencies. The goal was to significantly enhance disaster response operations through prior planning, training and exercises designed to integrate aviation resources fully into the state's overall response. SARDA is now being

revised to:

- Provide state governors, aviation offices or emergency management organization with a means to access and utilize a broad range of aviation resources within the state when needed to support response operations.
- Ensure the availability and effective use of aviation resources in support of response operations during emergencies.
- Provide adequate organization at the state, local and tribal levels to accept missions, assign priorities, allocate aircraft and resources, and direct activities consistent with other available modes of transportation.

See the previous SARDA (1998 revision) at <http://www.evac.org/Files/ac00-7d.pdf>.

**FEMA Joint Field Office (JFO) Aviation Branch Operations Manual**, Interagency Coordination for Federal Aviation Support to Disaster Operations, January 31, 2009 (draft).

[http://www.evacuationplanningworkshops.com/workflowDocs/Aviation\\_Branch\\_Manual\\_v10%202\\_02-02-09.pdf](http://www.evacuationplanningworkshops.com/workflowDocs/Aviation_Branch_Manual_v10%202_02-02-09.pdf)

This manual outlines basic organizational structures and operating procedures for coordinating aviation operations with a state through a multiagency coordination group. The Aviation Branch provides a unified planning and operations coordination mechanism that integrates aviation resources for missions carried out by federal, state, local, tribal and territorial departments and agencies participating in the response efforts. This role is enabled by a number of key functions, including:

1. Support of air mission requests.
2. Prioritization of aviation missions.
3. Mission assignment of available aircraft assets.
4. Air mission planning and coordination, including deconfliction.
5. Situational awareness of aviation operations in the incident area.
6. Coordination of ground support at designated airports/airfields.

This document outlines the roles and responsibilities of those involved in disaster response, discussing state and federal agencies as a whole, as well as specific positions within the JFO Aviations Branch.

**FAA Advisory Circular 150/5200-31C**, 2009.

[http://www.faa.gov/airports/resources/advisory\\_circulars/media/150-5200-31C/150\\_5200\\_31c.pdf](http://www.faa.gov/airports/resources/advisory_circulars/media/150-5200-31C/150_5200_31c.pdf)

This Advisory Circular provides guidance to the airport operator in the development and implementation of an Airport Emergency Plan (AEP). According the circular, AEPs should involve local communities, state organizations and federal agencies, and:

1. Assign responsibility to organizations and individuals for carrying out specific actions at projected times and places in responding to an emergency.
2. Set forth lines of authority and organizational relationships, and show how all actions should be coordinated.
3. Describe how people and property will be protected in emergencies and disasters.
4. Identify personnel, equipment, facilities, supplies and other resources available—within the airport or by agreement with communities—for use during response and recovery operations.
5. Cite its legal basis, state its objectives, and acknowledge assumptions.
6. Facilitate response and short-term recovery to set the stage for successful long-term recovery.

**An Airport Guide for Regional Emergency Planning for CBRNE Events**, ACRP Report 12, 2009.

[http://onlinepubs.trb.org/onlinepubs/acrp/acrp\\_rpt\\_012.pdf](http://onlinepubs.trb.org/onlinepubs/acrp/acrp_rpt_012.pdf)

This report complements the FAA Advisory Circular above, recommending steps airports should take in developing or updating their emergency plans. The report emphasizes the need for local and regional communication and coordination and recommends further research to establish clear roles and responsibilities.

**National Incident Management System**, FEMA, December 2008.

[http://www.fema.gov/pdf/emergency/nims/NIMS\\_core.pdf](http://www.fema.gov/pdf/emergency/nims/NIMS_core.pdf)

The National Incident Management System (NIMS) provides a national approach to emergency management and coordination between multiple jurisdictions, levels of government, functional agencies, and emergency responder disciplines. Pages 101 to 102 recommend and outline a designated Air Operations Branch as part of the Operations Branch of the Incident Command System (ICS). The ICS is a management system designed to enable effective and efficient domestic incident management by integrating a combination of facilities, equipment, personnel, procedures and communications operating within a common organizational structure. (Branches include Command, Operations, Planning, Logistics and Finance/Administration.)

**National Response Framework**, FEMA, January 2008.

<http://www.fema.gov/pdf/emergency/nrf/nrf-core.pdf>

This document presents the guiding principles that enable all response partners to prepare for and provide a unified national response to disasters and emergencies. The National Response Framework defines the principles, roles and structures for coordinating all levels of government, nongovernmental organizations, and the private sector. It is intended to capture specific authorities and best practices for managing incidents that range from the serious but purely local, to large-scale terrorist attacks or catastrophic natural disasters.

**Producing Emergency Plans: A Guide for All-Hazard Emergency Operations Planning for State, Territorial, Local, and Tribal Governments**, FEMA, 2008.

[http://www.fema.gov/pdf/about/divisions/npd/cpg\\_101\\_interim.pdf](http://www.fema.gov/pdf/about/divisions/npd/cpg_101_interim.pdf)

This guide provides emergency managers and other emergency services personnel with FEMA's best judgment and recommendations on how to address the entire planning process—from forming a planning team through writing and maintaining the plan to executing the plan. It also encourages emergency managers to follow a process that addresses all of the hazards that threaten their jurisdiction through a suite of plans connected to a single, integrated emergency operations plan.

**Literature Search: Assessment of the State of the Practice and State of the Art in Evacuation Transportation Management**, Federal Highway Administration, 2006.

<http://www.ops.fhwa.dot.gov/publications/fhwahop08015/fhwahop08015.pdf>

This literature search documents the state of the practice and state of the art in evacuation transportation management.

**FAA Advisory Circular 00-59 - Integrating Helicopter and Tiltrotor Assets into Disaster Relief Planning**, 1998.

[http://www.faa.gov/regulations\\_policies/advisory\\_circulars/index.cfm/go/document.information/documentID/22495](http://www.faa.gov/regulations_policies/advisory_circulars/index.cfm/go/document.information/documentID/22495)

This Advisory Circular (AC) provides general guidance on integrating helicopters and tiltrotor aircraft into disaster relief planning efforts. This document is advisory in nature and is intended to provide a planning tool to assist state and local emergency planners.

# **California Practices and Documents**

## **Interviews with California Airports and Organizations**

### **Association of Bay Area Governments**

Jeanne Perkins, ABAG Hazards Consultant, (510) 464-7900, [Jeannep@abag.ca.gov](mailto:Jeannep@abag.ca.gov)

- During an earthquake, it's possible that numerous roads could be closed, making airports inaccessible to other modes of transportation; Bay Area Rapid Transit (BART) is not likely to be functional as a means of transportation between airports.
- There is a lack of comprehension of the magnitude of the problem, and existing airport planning is inadequate.
- General aviation is important as an emergency backup to create a more resilient system with more nodes.

### **California Pilots Association**

Carol Ford, Vice President, (650) 591-8308, [carol\\_ford@sbcglobal.net](mailto:carol_ford@sbcglobal.net)

- We have urged local communities to incorporate the airport into their disaster planning, but few do so. San Mateo is an exception.
- Many general aviation airports are used as staging areas for forest firefighting. The methods of forest firefighting organizations may be a source of best practices.
- GA airports are underutilized assets, and elected officials who control them don't seem to realize how they can be integrated into whole system.

Suggested contacts:

- Mark Larson, Director of San Mateo Airport, (650) 573-3700
- Kurt Haukohl, California Division of Forestry, (310) 725-6688

### **California Wing, Civil Air Patrol (CAP)**

Ronald Butts, Board Member, (602) 617-8275

- During an event, California Civil Air Patrol stands up a staff consisting of an operations section chief to handle any requests that come from the state, no matter who the customer—whether Caltrans, San Francisco, etc., requests go through the California Emergency Management Agency (Cal EMA).
- In the event of a national disaster, FEMA places an official with California CAP, which gets tasked directly out of the emergency coordination center.
- California CAP has a nationwide radio system, with 38 repeaters in California, and ability to put up airborne repeaters; these radios talk to Cal EMA.
- In the event of a disaster, the first task is to check with airports to see which are damaged, and which have fuel. California CAP often will co-opt all available fuel for its activities.

### **Livermore Municipal Airport**

Leander Hauri, Airport Manager, (925) 373-5281, [lhauri@ci.livermore.ca.us](mailto:lhauri@ci.livermore.ca.us)

- Airports should:
  - Ensure the availability of aviation fuel via adequate on-site storage and ensuring that there are available routes to the airport for fuel trucks.
  - Ensure adequate communications by having walkie-talkies and satellite phones in case other systems are down.
  - Create awareness in the local community as to the existence of the local airport and the role it plays if there's a calamity. Overall awareness is not very high in the Bay Area, and should be.

- Emphasize readiness: Get plans in place, keep them alive with exercises, including both joint exercises with police and firefighters and internal exercises with staff.
- Airport plans should cover movement to and from airports in the case of a disaster.
- All vital logistical information has to be readily available.
- Livermore has a designated emergency response coordinator who coordinates with the California Pilots Association, local and county offices of emergency services, the county sheriff, FEMA, and local police agencies.
- Airport plans are best tested with surprise exercises, which will show whether a plan really works and where its bottlenecks are.

### **Emergency Volunteer Air Corps (EVAC)**

Rol Murrow, Chairman and President, (575) 774-0029, [rol.murrow@wolf-aviation.org](mailto:rol.murrow@wolf-aviation.org)

- GA airports have generally not been integrated into regional disaster response and recovery planning, and aviation-related response and recovery is often ad hoc, with the most coordinated entities being volunteer pilot organizations.
- Santa Monica Airport has an operations manual created with input from EVAC.

## **California Aviation Emergency Planning Documents**

### **State of California Emergency Plan, 2009.**

<http://www.oes.ca.gov/WebPage/oeswebsite.nsf/Content/79FCE3912398FA168825740F0060CE32?OpenDocument>

This plan outlines a state-level strategy to support local government efforts during a large-scale emergency, describing:

- Methods for carrying out emergency operations.
- The process for rendering mutual aid.
- Emergency services of governmental agencies.
- How resources are mobilized.
- Emergency public information.
- Continuity of government.

The document does not address the specific role of airports or aviation organizations in disaster response and recovery but details coordinated actions to be taken by numerous other state and local entities.

### **California Catastrophic Incident Base Plan: Concept of Operations, FEMA, September 2008.**

See [Appendix A](#).

This document describes the integration of federal resources into state-level response and recovery efforts for catastrophic incidents in California. These protocols combine the principles of the National Incident Management System (NIMS), the National Response Framework (NRF), and the state systems under the State of California Emergency Plan and the Standardized Emergency Management System (SEMS).

### **Earthquake Airlift! How to Do It, California Pilots Association, undated (c. 2008)**

See [Appendix B](#).

This document provides guidance on coordination between GA airports and volunteer pilot organizations, which often are key first responders during emergencies. Within a given airport, the following roles are recommended:

#### Airport Coordinator

- Designates a staging area for emergency supply off-loading.
- Manages volunteers.
- Coordinates the movement of ground vehicles and aircraft.

#### Communications Director

- Notifies local volunteer aircraft owners that their services are needed.
- Coordinates with other airports.

#### Emergency Supplies Resource Coordinator

- Guides the delivery of emergency supplies from relief agencies and individuals.

#### Loadmaster

- Directs aircraft loading.

#### Flight Dispatcher

- Briefs pilots on weather, routing, air traffic, radio frequencies and conditions at other airports.
- Coordinates with air traffic controllers and tracks flights.

### **Standardized Emergency Management System (SEMS) Guidelines, 2006.**

<http://www.oes.ca.gov/Operational/OESHome.nsf/Content/B49435352108954488256C2A0071E038?OpenDocument>

The Standardized Emergency Management System is California's system for facilitating coordination between all agencies responding to an emergency, and so to improve the mobilization, deployment, utilization, tracking and demobilization of needed mutual aid resources.

SEMS defines five organizational levels, which are activated as necessary:

1. Field response.
2. Local government.
3. Operational area.
4. Regional.
5. State.

While airports and general aviation are not specifically mentioned in this plan, as county or private assets they would report to the EOC Director at the operational area.

Under SEMS, the operational area is the intermediate level of the state's emergency management organization, and encompasses the county and all political subdivisions located within the county, including special districts. The operational area manages and coordinates information, resources and priorities among local governments within the operational area and serves as the coordination and communication link between the local government level and regional level.

### **Regional Airport System Plan, Regional Airport Planning Committee, 2000**

[http://www.mtc.ca.gov/planning/air\\_plan/RASP-GAE.pdf](http://www.mtc.ca.gov/planning/air_plan/RASP-GAE.pdf)

This report addresses a number of issues that affect the Bay Area's general aviation airports now and in the future. Interviews were conducted with various general aviation stakeholder groups to determine their thoughts and perceptions about the direction of the general aviation industry and the challenges ahead. Stakeholders included Bay Area Airport Managers; representatives of the Airport Land Use Commissions, Airport Advisory Commissions, and Bay Area pilot groups; corporate aviation operators and commercial aviation/fixed base operators; representatives of federal, state and local agencies; and interested individuals.

### **The Airport System in an Emergency—What Are Our Current Procedures?, Association of Bay Area Governments, 2000.**

<http://www.abag.ca.gov/bayarea/eqmaps/eqtrans/FAAcurrent.PDF>

This document outlines the roles of the FAA; international, general aviation and out-of-region airports; and Travis Air Force Base (AFB) during an emergency in California.

**FAA:** The FAA is responsible for managing the nation's air traffic system. In the event of a serious earthquake, the San Francisco Airports District Office will conduct a survey of the airport facilities to assess damage and the need for federal funding for repairs for runways/taxiways, airport access roads, and terminal/cargo facilities. The public

agencies that own and operate airports will be requested to submit FAA grant applications for reconstruction projects.

International airports: The FAA requires international airports to create plans for emergency procedures, in order to a) protect employee and public safety during and after an event, b) ensure the most rapid return of an airport to a status where it can be used for the dispatch and delivery of emergency personnel and materials, and c) ensure the most rapid return to full operational status by the airport.

These plans may include checklists confirming operational status of the FAA air traffic control tower, fire station, runway surfaces and lighting, taxiway surfaces and lighting, signage, utilities (power, gas, propane, communications, water, generators and fuel farm), access routes, and medical support resources; and recommendations for coordination with other agencies, administrative procedures, procedures for the care and sheltering of passengers and employees, and medical issues.

GA airports: These airports are not required to have emergency plans, and typically they do not have them. They may be involved in the emergency planning of the local government that owns them, and may have a history of cooperation with other airports and involvement in airlift operations.

Out-of-region airports: These airports could expect to be saturated within the first two hours of a major earthquake in the Bay Area. In an emergency, the first actions of these airports will be to ensure that they can be safely operated. Thus, they plan to move emergency equipment into open areas, dispatch units to survey damage, and prepare for aftershocks. If damage occurs, priority will be given to lifesaving efforts, call for medical help as needed, and fire suppression action. As victims are searched for, they anticipate that they may be involved in light rescue operations and may need to call for heavy equipment to rescue trapped victims. The airports will use mutual aid as needed, and use the airport paging systems for self-help instructions. Finally, the airports plan to establish access controls, organize multipurpose staging areas, and set up for cargo aircraft relief operations.

Travis AFB: A commercial aircraft declaring an in-flight emergency may land at Travis AFB. In addition, civil authorities may designate Travis AFB as a base support installation and FEMA Mobilization Center. The rail lines servicing the base enhance the usefulness of the facility. In these instances, the facility will respond to a top-down request for support from FEMA.



# California Catastrophic Incident Base Plan: Concept of Operations

**September 23, 2008**

U.S. Department of Homeland Security  
Federal Emergency Management Agency Region IX  
Governor's Office of Emergency Services



**FEMA**





# CONTENTS

<b>Catastrophic Incident Base Plan Concept of Operations .....</b>	<b>ii</b>
1 Introduction .....	1
1.1 Overview.....	1
1.2 Acknowledgments.....	2
1.3 Authorities, References, and Guidance.....	2
2 Situation.....	3
2.1 Description of California .....	3
2.2 Threats and Hazards.....	4
2.2.1 Earthquake .....	4
2.2.2 Flooding.....	4
2.2.3 Wildfire.....	5
2.2.4 Chemical, Biological, Radiological, Nuclear, and Explosive Incidents.....	5
2.2.5 Civil Unrest.....	5
2.2.6 Dam and Levee Failures .....	5
2.2.7 Drought.....	5
2.2.8 Extreme Heat .....	6
2.2.9 Hazardous Material Release .....	6
2.2.10 Landslide.....	6
2.2.11 Severe Weather.....	6
2.2.12 Tsunami.....	6
2.2.13 Pandemic and Epidemic.....	7
2.2.14 Volcanic Eruption.....	7
2.3 Definition of Catastrophic Incident .....	7
2.4 Assumptions.....	7
3 Mission.....	9
4 Execution.....	11
4.1 Senior Leaders' Intent.....	11
4.2 Concept of Operations .....	11
4.2.1 Objectives and Structure of the Unified Coordination Group .....	12
4.2.2 Composition of the Unified Coordination Group.....	14
4.2.3 Sequence for Establishing the Unified Coordination Group and Joint Field Office (JFO).....	14
4.3 Interagency Response, Actions, and Activities.....	16
4.3.1 State and Federal Response Infrastructure.....	16
4.3.2 Integration of State and Federal Operations .....	20
4.3.3 Integration of Resources .....	21
4.4 Coordinating Instructions.....	23
5 Administration and Resources.....	25
5.1 Administration .....	25
5.2 Resources .....	25
6 Incident Communication .....	27

6.1	Communication.....	27
6.1.1	Systems .....	27
6.1.2	Intelligence and Information Sharing Protocols .....	27
6.1.3	External Affairs and Public Information.....	27
6.2	Coordination .....	28
6.2.1	Local Governments.....	28
6.2.2	Tribal Governments .....	28
6.2.3	Other State and Federal Agencies.....	28
6.2.4	Military Resources .....	29
6.2.5	Other States.....	29
6.3	Oversight.....	29
6.3.1	State Leadership.....	30
6.3.2	Federal Leadership.....	30
7	Plan Maintenance .....	33
<b>Annex A Incident Task Organization.....</b>		<b>A-1</b>
A.1	Scope .....	A-1
A.2	General Organization.....	A-1
A.2.1	Unified Coordination Group.....	A-1
A.2.2	Joint Operations .....	A-2
A.3	Operations Section .....	A-3
A.3.1	Organization.....	A-3
A.3.2	Other Entities .....	A-4
A.3.3	Division Supervisors.....	A-4
A.4	Strategic Planning For Recovery.....	A-5
<b>Annex B Intelligence.....</b>		<b>B-1</b>
B.1	Introduction .....	B-1
B.2	Essential Elements of Information (EEI) .....	B-2
B.3	Alerts and Warnings.....	B-3
B.3.1	Federal Warning Systems .....	B-3
B.3.2	State Warning Systems .....	B-4

# FIGURES

Figure 1. Basic structure and responsibilities of the joint State/Federal organization.....	13
Figure 2. Timeline for establishing the Unified Coordination Group and Joint Field Office .....	15
Figure 3. Process for requesting resources under the Standardized Emergency Management System.....	19
Figure 4. Governor's Office of Emergency Services administrative and mutual aid regions.....	20
Figure 5. Incident Action Plan development process .....	22
Figure A-1. Major components of the joint State/Federal organization .....	2
Figure A-2. Example of the structure of an Operations Section.....	3

## **Incident-Specific CONPLANs (proposed)**

San Francisco Bay Area Earthquake

Southern California Earthquake

Cascadia Subduction Zone Earthquake

Sacramento-San Joaquin Delta Flood

Pandemic Influenza

Chemical, Biological, Radiological, Nuclear, Explosive Incident

## Acronyms and Abbreviations

AG	Adjutant General (California National Guard)
CALWAS	California Warning Alert System
CLERS	California Law Enforcement Radio System
CLETS	California Law Enforcement Telecommunications System
CANG	California National Guard
CONOP	Concept of Operations (for the Catastrophic Incident Base Plan)
CONPLAN	Concept Plan (for incident-specific annexes)
DCE	Defense Coordinating Element
DCO	Defense Coordinating Officer
DHS	U.S. Department of Homeland Security
DoD	U.S. Department of Defense
DWR	California Department of Water Resources
EEI	Essential Elements of Information
EMAC	Emergency Management Assistance Compact
EOC	Emergency Operations Center
ESF	Emergency Support Function
FEMA	Federal Emergency Management Agency
FCO	Federal Coordinating Officer
GIS	Geographic Information System
HAZUS	U.S.-Hazards (FEMA risk-assessment program)
HSIN	Homeland Security Information Network
IAP	Incident Action Plan
ICS	Incident Command System
IMAT	Incident Management Assistance Team
JIC	Joint Information Center
JFO	Joint Field Office
NAWAS	National Warning System
NIMS	National Incident Management System
NOC	National Operations Center
NRCC	National Response Coordination Center
NRF	National Response Framework
OASIS	Operational Area Satellite Information System
OES	Governor's Office of Emergency Services
PIO	Public Information Officer
REOC	Regional Emergency Operations Center (State)
RIMS	Response Information Management System
RRCC	Regional Response Coordination Center (Federal)
SCO	State Coordinating Officer
SEMS	Standardized Emergency Management System
SFO	Senior Federal Official
SOC	State Operations Center

# 1 Introduction

This document, the Catastrophic Incident Base Plan, establishes the Concept of Operations (CONOP) for the joint Federal and State response to, and recovery from, a catastrophic incident in the State of California. The CONOP defines the joint State/Federal organization and operations that support the affected local governments and other entities in the incident area.

The document was prepared in accordance with the National Planning and Execution System and through a collaborative effort by the Federal Emergency Management Agency (FEMA) and the Governor's Office of Emergency Services (OES).

## 1.1 Overview

The need for State/Federal integration and full synchronization of resources is driven by the following factors:

- The magnitude of a catastrophic incident
- The degradation of essential government services, including the potential temporary interruption of incident command, control, and coordination capabilities at the local level
- The size and complexity of the incident, the number of resources needed, and the diverse authorities and missions of the responding agencies and organizations
- The requirement to prioritize resources, given shortfalls associated with a catastrophic incident and the sheer magnitude of resources, including unrequested resources that will flow into the affected area
- The need for a coordinated local, State, and Federal public information strategy

Given these factors, unity of effort, unity of command, and the effective utilization and integration of resources are critical. Consequently, State and Federal response and recovery efforts must be integrated to provide a basis from which multiple agencies can work together to manage the incident effectively and ensure that all decisions are based on mutually agreed-upon objectives, regardless of the number of agencies or jurisdictions that are involved.

The purpose of this document is to describe the integration of Federal resources into the State-led response to a catastrophic incident to achieve unity of effort. The State/Federal integration described herein will be undertaken in accordance with the principles of the National Incident Management System (NIMS) and the National Response Framework (NRF) and in concert with State systems under the State of California Emergency Plan and the Standardized Emergency Management System (SEMS). Existing State systems will be maintained. In particular, the CONOP does not change the fact that all requests for Federal assistance are made through the State, consistent with protocols and procedures established under SEMS.

The CONOP applies to the response and recovery phases of an incident. It does not address preparedness, prevention, mitigation, or the establishment of joint State/Federal transitional or long-term recovery operations.

While broadly applicable to all types of incidents, the CONOP is not a plan for a response to a specific incident. As appropriate, FEMA and OES will develop incident-, hazard-, and function-specific annexes to provide additional operational details. Additionally, the CONOP addresses only joint State/Federal operations within California; it addresses national-level actions by

FEMA and the U.S. Department of Homeland Security (DHS) only as they impact operations in California.

The audience for the CONOP includes State, Federal, local, regional, and tribal officials, as well as representatives of nongovernmental and private-sector organizations with responsibility for response to, and recovery from, potentially catastrophic incidents in California. Such organizations may be expected to participate in the joint State/Federal organization.

## **1.2 Acknowledgments**

In addition to FEMA and OES, the following organizations participated in the Steering Committee overseeing the development of the CONOP:

- American Red Cross
- Bay Area Super Urban Area Security Initiative
- California Business, Transportation, and Housing Agency
- California Health and Human Services Agency
- California Highway Patrol
- California National Guard (CANG)
- California Utilities Emergency Association
- Governor's Office of Homeland Security
- U.S. Department of Defense (DoD)

## **1.3 Authorities, References, and Guidance**

The documents listed below provide the legal and regulatory framework for this CONOP.

- Robert T. Stafford Disaster Relief and Emergency Assistance Act (the Stafford Act), 42 U.S.C. §5121-5206
- Homeland Security Presidential Directive 5, Domestic Incident Management, February 28, 2005
- Homeland Security Presidential Directive 8, National Preparedness, December 17, 2003
- NIMS (FEMA 501), draft dated August 2007
- The NRF, dated March 22, 2008, including the Catastrophic Incident Annex and the Catastrophic Incident Supplement
- DHS National Planning and Execution System, draft dated March 27, 2007
- California Emergency Services Act
- California Disaster Assistance Act
- SEMS, Government Code §8607
- SEMS Guidelines, dated September 2006
- California Disaster and Civil Defense Master Mutual Aid Agreement
- State of California Emergency Plan, dated September 2005



## 2 Situation

This section provides a general description of the risk of a damaging incident in California and describes the effects that define whether an incident should be considered catastrophic. Additionally, the section describes the assumptions on which the CONOP is based.

### 2.1 Description of California

California has a population of about 38 million,<sup>1</sup> making it the most populous U.S. State. Eight cities in California are among the 50 largest cities in the United States (Los Angeles, San Diego, San Jose, San Francisco, Long Beach, Fresno, Sacramento, and Oakland). Los Angeles is the largest city in California, with more than 4 million residents; Los Angeles County is the most populous county in the United States with more than 10 million residents. The San Francisco Bay Area, which includes the cities of Oakland, San Francisco, and San Jose, has approximately 7 million residents.

California adjoins the Pacific Ocean, Oregon, Nevada, Arizona, and the Mexican state of Baja California. California's 160,000 square miles make it the country's third largest State in area, after Alaska and Texas. In the middle of the State lies the California Central Valley, formed by the watersheds of the Sacramento and San Joaquin Rivers. The Central Valley is bounded by the coastal mountain ranges in the west, the Sierra Nevada to the east, the Cascade Range in the north, and the Tehachapi Mountains in the south. Approximately 25 percent of California is covered by deserts, which lie east of the Sierra Nevada and in the southeastern part of the State.

California's gross State product in 2006 was approximately \$1.7 trillion, the largest of any State.<sup>2</sup> California is responsible for approximately 13 percent of the U.S. gross domestic product. Major economic centers include the Central Valley (agriculture), the Los Angeles area (manufacturing and media/entertainment), the Bay Area (technology), and the San Diego area (technology). Oil production and refining are prominent in Los Angeles, the Bay Area, and the southern San Joaquin Valley; California has approximately one-tenth of U.S. crude oil refining capacity.<sup>3</sup>

California's seaports and airports are critical components of U.S. international commerce. The Port of Los Angeles is the busiest container port in the United States, and with the neighboring port of Long Beach, is responsible for handling approximately one-fourth of all container cargo traffic. The Port of Oakland is the fourth busiest in the country. Los Angeles International Airport and San Francisco International Airport are major hubs for trans-Pacific and transcontinental traffic.

Due to a relative lack of rainfall, particularly in the south, California is highly dependent on a complex system of reservoirs, aqueducts, pipelines, and pumps to provide water supplies for population centers and agriculture. Major systems include the U.S. Bureau of Reclamation's Central Valley Project, the State Water Project operated by the California Department of Water Resources (DWR), the Hetch Hetchy system operated by the San Francisco Public Utilities Commission, the Owens Valley aqueduct operated by the Los Angeles Department of Water and

---

<sup>1</sup> California Department of Finance, Population Estimates for Cities, Counties, and the State, 2001–2008.

<sup>2</sup> California Department of Finance, Financial and Economic Data, March 2008.

<sup>3</sup> U.S. Energy Information Administration, State, and U.S. Historical Data, March 2008.

Power, and the Colorado River aqueduct operated by the Metropolitan Water District. The State Water Project transports drinking water from the Sacramento–San Joaquin Delta to southern California and provides drinking water for approximately 23 million people.<sup>1</sup>

## **2.2 Threats and Hazards**

California is vulnerable to the threats and hazards described below.<sup>2</sup> The threats and hazards that historically have had the greatest impact to life and property (earthquakes, floods, and wildfires) are described first.

### **2.2.1 Earthquake**

Due to the proximity of densely populated urban areas to the active fault systems in California, the State has the greatest risk of earthquake damage of any State in the country. The San Andreas Fault system, which passes through both the Los Angeles area and the Bay Area, has generated the deadliest earthquakes in U.S. history, including the 1906 San Francisco earthquake (which resulted in more than 3,000 deaths), the 1933 Long Beach earthquake, the 1971 Sylmar earthquake, the 1989 Loma Prieta earthquake, and the 1994 Northridge earthquake. Although earthquakes do not occur frequently, they account for the greatest combined losses (deaths, injuries, and damage costs) of any type of incident. In addition to causing damage from shaking, earthquakes may result in liquefaction, settlement, landslides, and fires. According to the 2007 Working Group on California Earthquake Probabilities, California has a 99.7 percent chance of having a magnitude 6.7 or larger earthquake during the next 30 years. The probability of an earthquake of this magnitude on the southern segment of the San Andreas Fault in the next 30 years is 59 percent; the probability of an earthquake of this magnitude in the Bay Area is 63 percent.<sup>3</sup>

### **2.2.2 Flooding**

Floods are the second most frequent cause of disaster declarations in California (after wildfires) and account for the second highest combined losses (after earthquakes). Major river systems include the Sacramento–San Joaquin system in the Central Valley, the Santa Ana River in southern California, the Salinas River along the Central Coast, and the Eel River along the North Coast. Many urban areas at risk of flooding lie within small, steep watersheds in or near hills and mountain ranges where heavy rains due to winter coastal storms cause flash flooding and debris flows. Areas most at risk include the Central Valley, where major cities such as Sacramento and Stockton have been constructed behind extensive levee systems; population centers in Los Angeles and neighboring counties; and coastal regions such as Sonoma County, which has the highest number of repetitively flooded properties in California. Approximately 2 million people live in areas currently identified by FEMA as having a 1 percent chance of flooding in any given year.

---

<sup>1</sup> DWR, State Water Project Overview, March 2008.

<sup>2</sup> Some of the information is adapted from the *State of California Multi-Hazard Mitigation Plan*, prepared by OES, September 2007.

<sup>3</sup> California Geological Survey, U.S. Geological Survey, and Southern California Earthquake Center, *Uniform California Earthquake Rupture Forecast*, 2008.

### **2.2.3 Wildfire**

Wildfires are the most frequent source of declared disasters in California and account for the third-highest combined losses (after earthquakes and floods). Since 1950, 56 percent of federally declared disasters in California have resulted from fires. Wildfires burn half a million acres every year. The interface between urban and wild land is particularly dangerous, as demonstrated by the Oakland Hills fire in 1991 and the fires of 2003 and 2007 in Southern California.

### **2.2.4 Chemical, Biological, Radiological, Nuclear, and Explosive Incidents**

Chemical, biological, radiological, nuclear, and explosive incidents may be accidental or the result of a terrorist attack. California's population, economic importance, international reputation, media industry, and numerous iconic features combine to make the State a potential target for international terrorism. Major manufacturing facilities, such as oil refineries and biotechnology facilities, along with the large volume of hazardous materials that are transported on the State's highways and railroads, provide targets for terrorist attacks and create the potential for accidental releases of hazardous materials.

California has two active nuclear power plants: Diablo Canyon in San Luis Obispo County and San Onofre Nuclear Generating Station in San Diego County. Spent nuclear rods are stored at two decommissioned nuclear plants: Humboldt Bay in Humboldt County and Rancho Seco in Sacramento County. The most recent nuclear accident was in 1999 when one alert was issued due to a suspected degradation of plant safety. Only the onsite population was threatened.

### **2.2.5 Civil Unrest**

All metropolitan areas have the potential for significant civil unrest, usually triggered by a dramatic political or social event. The most recent significant event in the country was the Rodney King Riot in Los Angeles in 1992, in which 53 people were killed and 2,300 were injured. Between 1964 and 1969, civil disturbances occurred in Los Angeles, Berkeley, San Francisco, and Santa Barbara. The 1965 Watts riots in Los Angeles resulted in 34 deaths and more than 1,000 injuries.

### **2.2.6 Dam and Levee Failures**

California has 1,483 dams. Since 1950, only nine have failed. Individual levees in the Sacramento–San Joaquin Delta region have failed 140 times in the past 10 years, usually during the winter flood season.

DWR estimates that a magnitude 6.5 earthquake in the Delta region could topple levees and damage other flood-control structures, inundating dozens of islands. By allowing salt water from the San Francisco and San Pablo Bays to stream into the Delta, an earthquake could threaten the statewide water supply. In addition to agriculture and a growing population, the Delta region hosts major fuel storage facilities and the oil and natural gas pipelines to move the fuel throughout the State. A seismic event could cause fuel spills that would affect both water exports and the environment.

### **2.2.7 Drought**

Drought is a gradual phenomenon that takes place over a number of years. Droughts lasting longer than 3 years are rare in northern California because of a regular supply of water from the nearby Sierra Nevada mountain range. The areas most vulnerable to drought are those dependent

on rainfall, such as agricultural areas in coastal counties. The last statewide drought lasted 6 years, from 1987 to 1992. In 1988, 45 counties (30 percent of the population) experienced water shortages.

### **2.2.8 Extreme Heat**

An average of 20 people die each year in California due to extreme heat. A heat spell in 2006 caused 136 deaths over 13 days. The same heat event had a severe impact on agriculture, killing approximately 25,000 cattle and 700,000 fowl.

### **2.2.9 Hazardous Material Release**

Approximately 140,000 businesses in California are regulated for handling hazardous materials, including retail gas stations and large chemical facilities. Each year the OES Warning Center receives 10,000 reports of hazardous material spills. Most are minor incidents, but some require local area evacuation or shelter-in-place orders.

### **2.2.10 Landslide**

California is prone to landslides due to its steep topography, weak rocks, vegetation stripped by wildfires, and heavy rains, particularly in coastal mountain ranges. Average annual losses due to landslides total \$100 million. In 2005, the La Conchita landslide in Ventura County killed 10 people and destroyed 30 homes. The 1971 San Fernando earthquake liquefied soil under an earth-fill dam, resulting in \$500 million in damages and the temporary evacuation of 80,000 people living below the dam.

### **2.2.11 Severe Weather**

Severe weather includes thunderstorms, hail, lightning, windstorms, ice storms, and blizzards. Freeze is the most costly severe weather event. Since 1950, freeze in 31 counties has caused \$13 billion in crop damage. The highest concentration of gubernatorial-declared disasters due to freeze have occurred in six agricultural counties: San Joaquin, Merced, Madera, Fresno, Tulare, and Kern.

The risk of tornadoes and cyclonic storms such as hurricanes is low in California, but periodic windstorms have disrupted power supplies and caused property damage to property throughout the State. Winter storms have required the closure of main transportation routes due to blizzard conditions in mountainous areas and due to flooding or debris flows in other areas.

### **2.2.12 Tsunami**

Tsunamis that threaten the California coast can be generated by earthquakes across the Pacific Ocean or in Alaska. The 1964 earthquake in Alaska generated a tsunami that devastated Crescent City in Del Norte County. These tsunamis may take 6 to 12 hours to reach the shore.

Tsunamis can also be generated by local undersea seismic events. The Cascadia Subduction Zone, an active network of deep earthquake faults off the coast of northern California, Oregon, and Washington, is capable of generating a catastrophic tsunami that could hit California coastal counties within 30 minutes. Failure of an undersea slope off the coast of Los Angeles or Ventura County could generate a tsunami that reaches the shore in 10 minutes.

### **2.2.13 Pandemic and Epidemic**

Influenza is the most likely cause of a pandemic that would affect California. Three major influenza pandemics occurred during the twentieth century; the 1918–1919 pandemic killed more than 50 million people worldwide.

West Nile virus, carried by mosquitoes, is a growing epidemic threat in California. In 2006, 278 cases scattered throughout 36 counties resulted in 7 deaths. In 2007, 380 cases resulted in 21 deaths. Epidemics also affect livestock and crops with potentially devastating effects to production and the economy. In 2002–2003, more than 3 million domestic birds were culled due to an outbreak of Exotic Newcastle Disease in Southern California.

### **2.2.14 Volcanic Eruption**

The threat of a volcanic eruption in California is considered low. Nonetheless, California has several areas of potential volcanic activity, including Medicine Lake in Modoc and Siskiyou Counties; Mount Shasta in Siskiyou, Shasta, and Trinity counties; Lassen Peak in Lassen County; and the Long Valley Caldera in Inyo County. These areas are far removed from urban centers. The most recent volcanic eruptions occurred at Lassen Peak in 1914–1917.

## **2.3 Definition of Catastrophic Incident**

The NRF defines a catastrophic incident as “any natural or manmade incident, including terrorism, which results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions.” A catastrophic incident may be a single incident, or a series of incidents that result in:

- Thousands of casualties and tens of thousands of displaced persons
- Isolation of the affected area from normal supply channels and chains, leading to difficulty in getting resources to the area
- Massive disruption of the area’s critical infrastructure (such as energy, transportation, telecommunications, medical response, and health care systems)
- Overwhelmed response capabilities and State and local resources
- Overwhelmed existing response strategies
- Requirements for immediate lifesaving support from outside the affected area
- Long-term economic impacts in the incident area, State, and Nation

## **2.4 Assumptions**

The CONOP is based on the following assumptions:

- A potentially catastrophic incident has occurred or is anticipated. The type of incident is one of those listed in **Section 2.2**.
- As a result of, or in anticipation of, the incident, significant direct Federal assistance is required.
- The incident is of such magnitude that the Governor proclaims a State of Emergency.

- The incident triggers a Presidential declaration of emergency or disaster, making Federal assistance available under the Stafford Act.
- A significant shortage of response and casualty/evacuee reception capabilities, equipment, and medical care will occur.
- Resources under the direct control of the State of California will be used to the maximum extent and augmented by Federal resources, as required to meet the needs of the affected area effectively.
- The OES Regional Emergency Operations Center (REOC) in the affected region may be overwhelmed or inoperable.
- Upon receipt of the Presidential declaration or Presidential order to commit Federal resources, the Federal and State governments establish joint operations to provide assistance to local jurisdictions.
- The incident escalates to the point at which the Federal Government implements the Catastrophic Incident Annex and Catastrophic Incident Supplement to the NRF.

### **3 Mission**

The joint State/Federal organization will provide lifesaving, life-sustaining, and other resources necessary to supplement local, regional, tribal, and private-sector efforts immediately following, or in anticipation of, a catastrophic incident in California to alleviate the consequences of the incident and encourage the recovery of the affected areas.

This page is intentionally left blank.



## 4 Execution

This section describes the manner in which the joint State/Federal organization will carry out the mission, as stated in **Section 3**.

### 4.1 Senior Leaders' Intent

For the purposes of this CONOP, the senior leaders are the OES Director and the Regional Administrator of FEMA Region IX. The intent of the senior leaders is to establish a Unified Coordination Group, using Incident Command System (ICS) concepts and principles to:

- Save and sustain life
- Ensure responder health and safety
- Protect public health and safety
- Minimize damage to and protect property
- Provide for basic human needs to include:
  - Food
  - Water
  - Emergency medical care and services
  - Shelter
- Stabilize critical infrastructure and key resources essential to the operation of the economy and the government
- Create conditions in the affected area that allow reentry, repopulation, long-term recovery, and future hazard mitigation

### 4.2 Concept of Operations

In a catastrophic incident, requests for interdisciplinary resources accumulate so quickly that no single agency or organization can meet all resource requirements.

In accordance with SEMS, the State of California provides for the orderly submittal of resource requests from the Emergency Operations Centers (EOCs) of county Operational Areas to one of three REOCs and potentially to the State Operation Center (SOC) in Rancho Cordova in the Sacramento area; or through discipline-specific mutual aid system channels, including the Fire and Rescue, Law Enforcement, Coroner, and Medical Mutual Aid Systems. (See **Section 4.3** for more information on SEMS and the mutual aid system.) Similarly, FEMA coordinates the provision of supplemental Federal assistance in accordance with the NRF at the request of the State, initially through an Incident Management Assistance Team (IMAT) deployed to the SOC and subsequently through a Joint Field Office (JFO) established near the incident.

To meet the response needs of a catastrophic incident as effectively as possible, the State and Federal governments form a Unified Coordination Group to consolidate incident-related operational elements of the REOC, SOC, and IMAT at the JFO. Forming the United Coordination Group is a decisive CONOP task that is aimed at achieving effective incident management. The Unified Coordination Group does not assume responsibility for field-level Incident Command activities but provides a structure for the command, control, and coordination of State and Federal resources not yet delivered to the Operational Areas, field-level Incident Command, or end users. The Unified Coordination Group directs coordinated, combined State and Federal operations in accordance with Unified Command principles.

The elements of the CONOP are described in greater detail below. The joint State/Federal incident task organization formed under the CONOP is described in **Annex A**.

#### **4.2.1 Objectives and Structure of the Unified Coordination Group**

For purposes of this CONOP, the principal objectives of the Unified Coordination Group are:

- To provide the leadership for multiple agencies to work together with common objectives to ensure that the management of the incident response is effective
- Ensure that all decisions are based on mutually agreed-upon objectives, regardless of the number of agencies or jurisdictions involved

The Unified Coordination Group is typically formed at the SOC upon arrival of the IMAT and then migrates to the JFO as soon as the JFO is able to provide adequate support for the response and recovery operations. In rare instances, the Unified Coordination Group may proceed directly to the incident site.

#### **The Unified Coordination Group:**

- Operates using Unified Command principles, integrating the efforts of senior State and Federal leaders engaged in response and recovery operations
- Is responsible for operational direction of coordinated State and Federal response and recovery activities
- Responds to priorities set by the Governor and the President
- Implements policy decisions made by appropriate State and Federal policymaking entities
- Ensures unity of effort throughout response and recovery operations
- Ensures development of common objectives through a joint Incident Action Plan (IAP) process and assignment of resources where appropriate in accordance with those objectives
- Approve taskings of State and Federal agencies and coordination among governmental and private sector organizations to support response and recovery operations
- Is positioned as close as possible to the incident

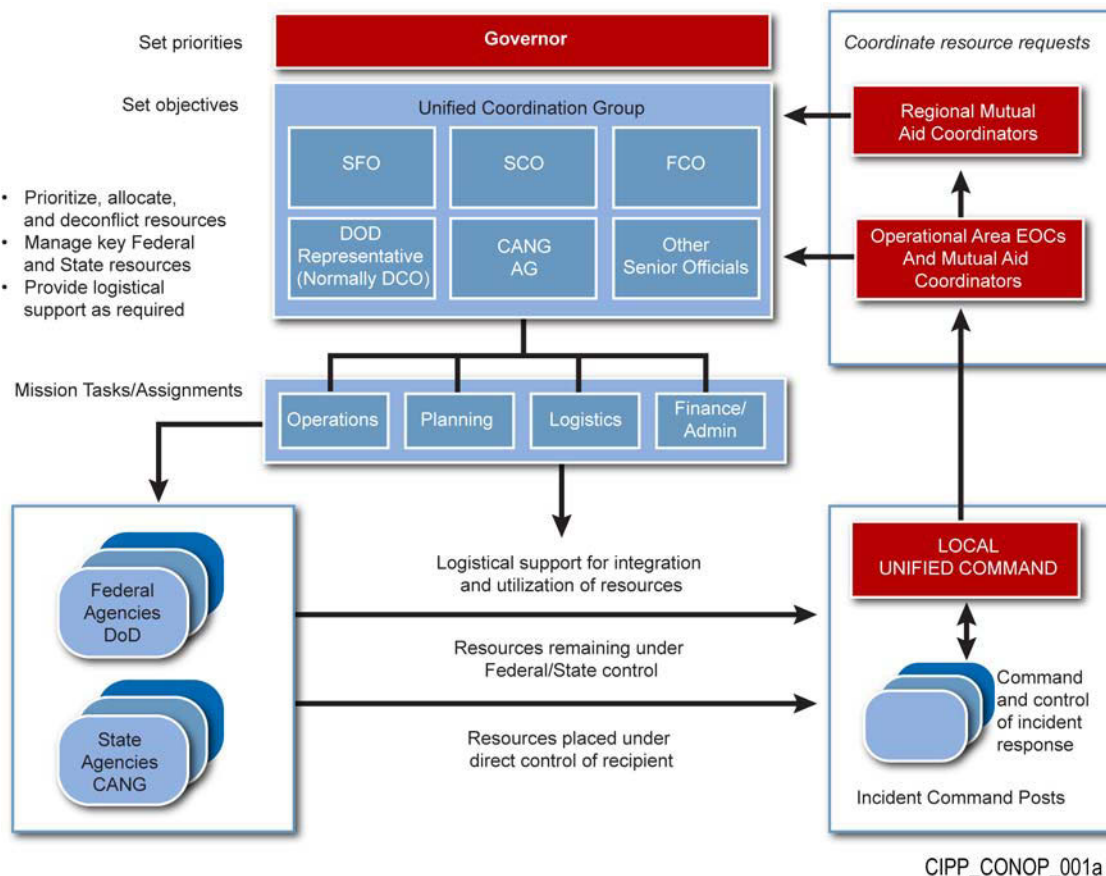
The basic structure of the Unified Coordination Group is shown in **Figure 1**. The figure also shows the Unified Coordination Group's relationship to other State and Federal elements.

State and Federal representatives participate jointly in all major elements of the response and recovery operation. For example, State and Federal Operations Section chiefs jointly lead the Operations Section, and key elements within the Operations Section may be jointly staffed by State and Federal representatives. The exception is the Finance/Administration Section, where State and Federal elements remain separate due to the separation requirements of State and Federal systems.

Agencies, stakeholders, and interested parties that are outside the Unified Coordination Group are assigned as agency representatives to the Unified Coordination Group liaison officer. These groups may be assigned anywhere within the IMAT field organization as individual resources, teams, or task forces.

The Unified Coordination Group adheres to the following principles:

- **Unity of Effort.** Using Unified Command principles, the Unified Coordination Group ensures that State and Federal objectives, priorities, and operations are aligned and that direction from the decisionmaking of senior officials results in effective allocation, integration, and utilization of resources at the field level.
- **Maintenance of Existing Authorities and Responsibilities.** The organizations that participate in or support the Unified Coordination Group do not give up the authorities and responsibilities they have under State and Federal laws and regulations.



**Figure 1. Basic structure and responsibilities of the joint State/Federal organization**

- **Consistency with the Principles of NIMS and ICS.** The Unified Coordination Group directs the efforts of the joint State/Federal organization initially at the SOC and subsequently at the JFO. These efforts are organized according to NIMS and ICS principles. The structure is scalable and flexible so that it can be adapted to the specific circumstances of the incident in question.
- **Command and Control Does Not Extend to the Field Level.** As stated above, the Unified Coordination Group does not exercise command and control down to the field level except when resources must remain under State or Federal control (e.g., use of DoD resources). In these situations, integration and utilization of resources is achieved through unity of effort with the field-level Incident Command.

- **Consistency with SEMS.** The basic premise of SEMS is that an emergency is handled at the field level by local authorities who request additional resources and support as their capabilities to respond are exceeded. As the requirements of the incident response increase beyond local capabilities, information-gathering and resource requests are transmitted from local authorities to the EOCs at the Operational Area, regional, and State levels until resources can be identified, with the State pursuing requests for Federal or out-of-State resources if necessary. (SEMS levels and the flow of information and resource requests under the system are described further in **Section 4.3.**) The joint State/Federal operation maintains the integrity of SEMS by ensuring that the regional- and State-level functions are integrated into the JFO in a manner that is transparent to local- and Operational Area-level authorities.

#### **4.2.2 Composition of the Unified Coordination Group**

The core of the Unified Coordination Group may consist of the following individuals, who may be joined by others, based on the situation:

- Senior Federal Official (SFO)
- State Coordinating Officer (SCO)
- Federal Coordinating Officer (FCO)
- Defense Coordinating Officer (DCO)
- CANG Adjutant General (AG)
- Representative of the Governor’s office
- Senior Federal law enforcement official and senior State law enforcement official, when the incident is the result of a terrorist attack or there is a significant public safety component to the response
- Representatives of other State, Federal, nongovernmental, and private-sector organizations that have a significant role in providing resources or support in the operation

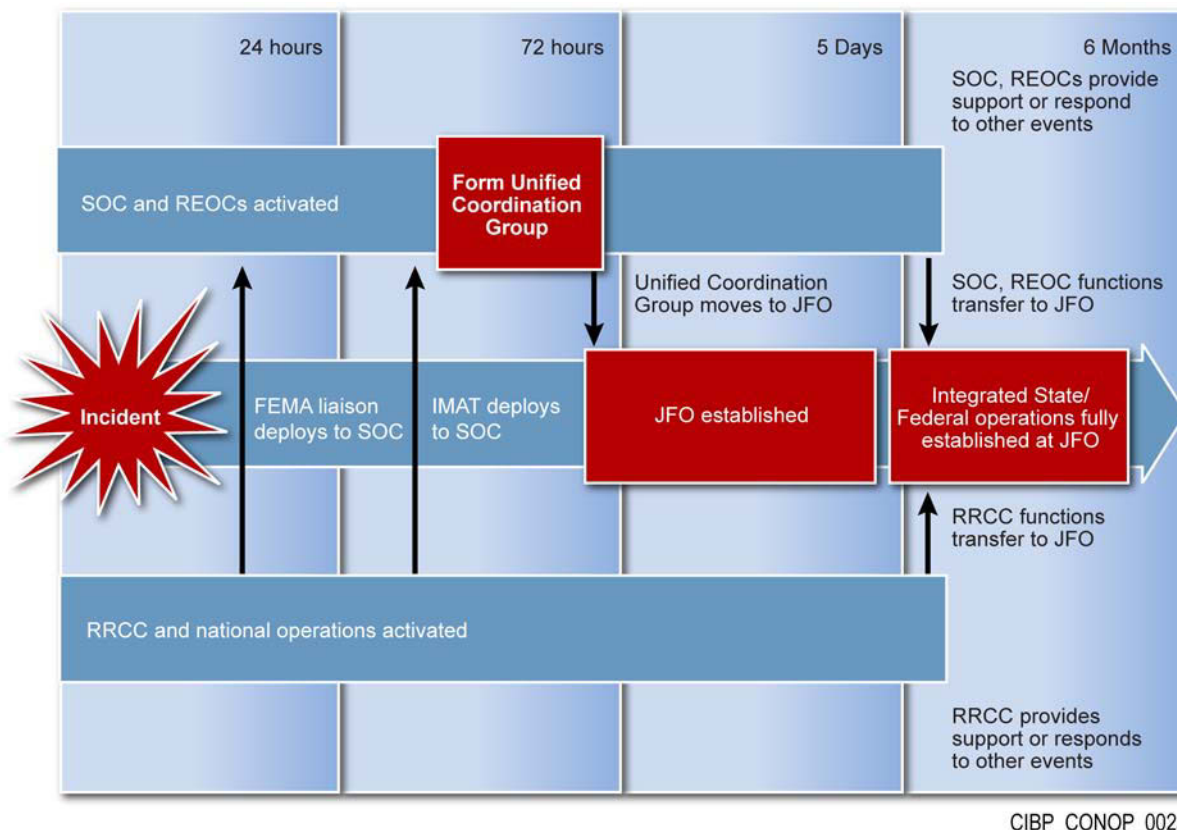
The membership of the Unified Coordination Group may change as the response and recovery operation proceeds, depending on the level of involvement of key agencies. For example, as response requirements for DoD resources diminish, the DCO may determine that his or her participation in the Unified Coordination Group is no longer required. At that point, the DCO would request to withdraw as an active member of the Unified Coordination Group. Similarly, if the Governor designates a commission to guide State recovery efforts, it may be appropriate for the leader of that commission to join the Unified Coordination Group.

#### **4.2.3 Sequence for Establishing the Unified Coordination Group and Joint Field Office (JFO)**

A catastrophic incident in California is likely to be a no-notice incident. When such an incident occurs, OES immediately activates the SOC in Rancho Cordova. If the magnitude of the incident warrants it, OES also activates its three REOCs, located in Rancho Cordova, Oakland, and Los Alamitos, assuming that the incident does not preclude operation or staffing of any of these facilities. Similarly, FEMA activates its Regional Response Coordination Center (RRCC) in Oakland if the incident does not preclude its operation and the National Response Coordination

Center (NRCC) in Washington, DC. Other State and Federal agencies initiate operations from their respective EOCs and begin preparations for deploying forward elements to the JFO.

Subsequent joint State/Federal efforts to establish the Unified Coordination Group and the JFO proceed according to the timeline described below. The timeline is summarized in **Figure 2**.



**Figure 2. Timeline for establishing the Unified Coordination Group and Joint Field Office**

- **Deployment of FEMA Liaison.** Immediately following the incident, or based on credible intelligence of a developing incident, FEMA dispatches liaison personnel to the SOC.
- **Initial Operating Facility (First 72 Hours).** Immediately following the incident, the focus of joint State/Federal operations is the SOC. FEMA deploys an IMAT to the SOC to initiate coordination with the State. Upon the appointment of the FCO and SCO, they meet at the SOC and establish the Unified Coordination Group. Other predefined members (such as the AG and DCO) and additional Unified Coordination Group members also deploy to the SOC after they have been identified. If the SOC is compromised by the incident, OES will inform FEMA of its alternate operating location.
- **JFO (From 72 Hours Forward).** The State and FEMA establish a JFO in a forward location—as close to the area of impact as practical, given logistical and safety constraints imposed by the incident—within 72 hours. The forward elements of the Unified Coordination Group, IMAT, and OES move to the JFO at this point
- **Establishment of All Components of the Unified Coordination Group at the JFO Within a Maximum of 5 Days.** At this point, the JFO is the focus of joint State/Federal

operations. Functions of the SOC and REOC for the area affected by the incident are transferred to the JFO. The REOCs in unaffected regions play supporting roles. The SOC and RRCC also prepare to respond to other incidents if necessary.

Additional facilities are established as needed to provide bases for operation for branches and divisions. These subordinate elements fall within the joint State/Federal Operations Section at the JFO.

- **Transition to Recovery.** The JFO remains the focus of joint State/Federal operations as response and recovery operations proceed. At the appropriate time, FEMA and OES establish a joint recovery operation to facilitate the transition from response and initial recovery activities to long-term recovery programs.

For an incident that can be predicted or that develops over time, FEMA and OES proceed according to the steps outlined above, but the timeframe may be adjusted. For example, during a statewide flooding incident that develops over a 5-day period, the SOC is established as the Initial Operating Facility for joint State/Federal operations as soon as widespread flooding is predicted. The JFO location is established and activated as soon as it is possible to identify the most severely affected area.

### 4.3 Interagency Response, Actions, and Activities

A key component of the joint State/Federal organization is the coordination and sequencing of operations at otherwise distinct State and Federal operations centers. This section summarizes the State and Federal systems and the integration of State and Federal operations in response to a catastrophic incident. State and Federal systems are described in more detail in the State Emergency Plan and NRF, respectively.

#### 4.3.1 State and Federal Response Infrastructure

Existing State and Federal systems for incident management are described below. Relevant operations centers within these systems are described in **Table 1**.

<b>Table 1. Operations Centers for incident management and their locations and functions</b>			
<b>Facility name</b>	<b>Operating organization</b>	<b>Location</b>	<b>Function</b>
Operational Area EOCs	County emergency management agencies	Each county	Coordinates support and resources among cities, county agencies, and special districts within a county’s geographic area
REOCs	OES	Southern: Los Alamitos Coastal: Oakland Inland: Rancho Cordova	Provides coordination with Operational Areas at the regional level; coordinates resource requests at this level, including taskings of State agencies; and refers requests for scarce resources to the SOC. Regional coordination of fire, law, coroner/medical examiner, and medical/health resources occurs through mutual aid coordinators at this level.

**Table 1. Operations Centers for incident management and their locations and functions**

Facility name	Operating organization	Location	Function
SOC	OES	Rancho Cordova	Coordinates the overall State response to the incident; provides State-level coordination of mutual aid systems; coordinates scarce State resources; and makes requests to the Federal Government and to other States for assistance
RRCC	FEMA	Oakland	Serves as FEMA’s immediate operations center; coordinates Federal field response efforts until an FCO assumes operational control; and supports the deployment of an IMAT
NRCC	FEMA	Washington, DC	Multiagency coordination center for national response and recovery operations; coordinates assignment of national-level resources and teams; and provides resources through mission assignments and other arrangements with Federal Agencies
National Operations Center	DHS	Washington, DC	Facilitates information sharing; coordinates with other Federal Agencies; and provides situational awareness to senior DHS and White House leadership

### State Systems

As described in the State Emergency Plan, California responds to emergencies and disasters through an existing statewide emergency management infrastructure that operates according to SEMS. The process for requesting resources under SEMS is summarized in **Figure 3**.

To support the implementation of SEMS, OES has established REOCs in each of three administrative regions (see **Table 1** and **Figure 4**). The REOC in the region affected by the incident coordinates with the Operational Area EOCs to obtain situation status, coordinate requests for resources, and communicate resource requests to the SOC when the requests cannot be met at the regional level.

SEMS also incorporates California’s system of mutual aid. OES has established six<sup>1</sup> mutual aid regions to support the coordination of mutual aid systems (see **Figure 4**). Each region has a mutual aid coordinator for the Fire and Rescue, Law Enforcement, and Coroner Mutual Aid systems; and a regional disaster medical health coordinator to facilitate mutual aid for medical and public health resources. Mutual aid coordinators within each region respond to resource requests within their specific disciplines by identifying available resources in unaffected Operational Areas or by passing requests that cannot be met at the regional level to the SOC.

The Governor may direct State agencies, including the CANG, to provide resources in support of field-level Incident Command. Lead and support State agencies for specific functions are identified in the State Emergency Plan. OES issues mission tasks to direct State agencies to undertake response operations.

---

<sup>1</sup> For law enforcement, there are seven mutual aid regions, as noted in Figure 4.

California may obtain out-of-State resources through State-to-State arrangements or through the Emergency Management Assistance Compact (EMAC), to which California is a signatory.

### **Federal Systems**

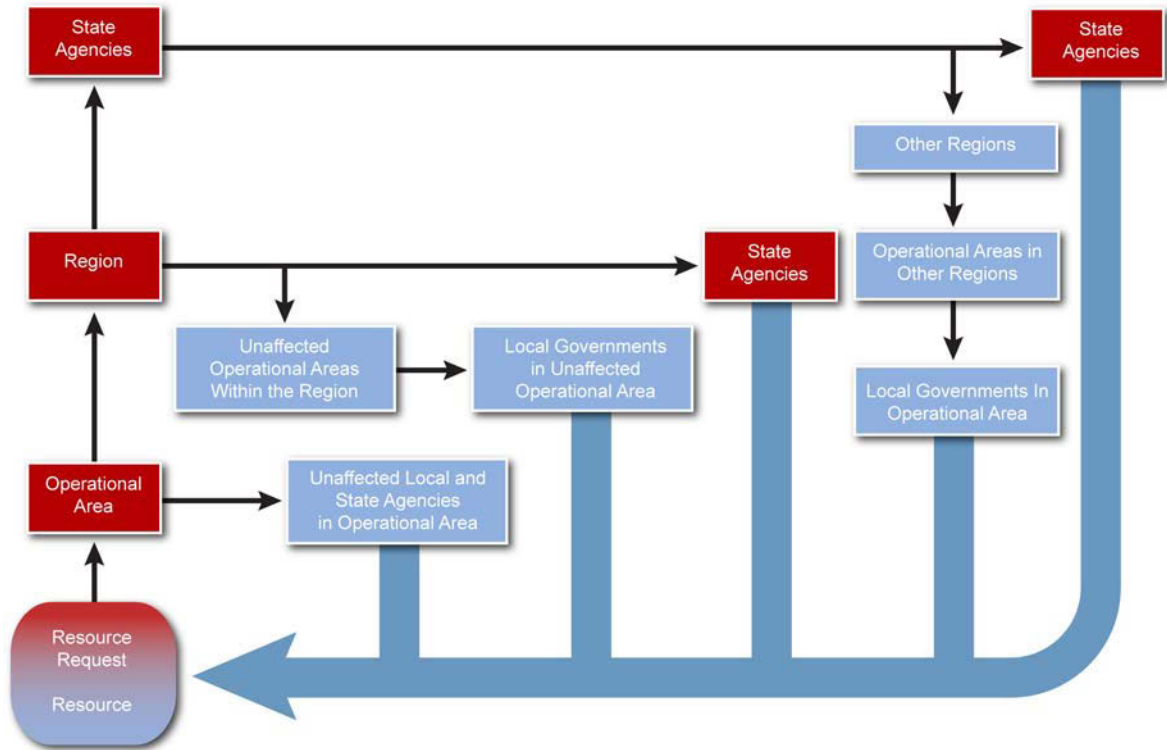
The Federal Government's response to an incident is outlined in the NRF. Federal operations centers are described in **Table 1** and include the FEMA Region IX RRCC in Oakland. If this facility is not operational due to the incident, FEMA activates a back-up RRCC in another region according to its Continuity of Operations Plan.

FEMA deploys an IMAT immediately after the incident occurs, or in anticipation of the incident, to initiate coordination with the State, assess the capabilities of the State and local governments to respond, and initiate coordination of Federal assistance. In coordination with the RRCC and the IMAT, the NRCC coordinates the activation and deployment of Federal teams and commodities, as outlined in the NRF and the Catastrophic Incident Supplement to the NRF, and the activation of the Emergency Support Functions (ESFs) to provide coordination and resources for Federal response activities.

Other Federal Agencies may provide resources to support State, local, regional, and tribal government entities. These agencies may respond in one of the following two ways:

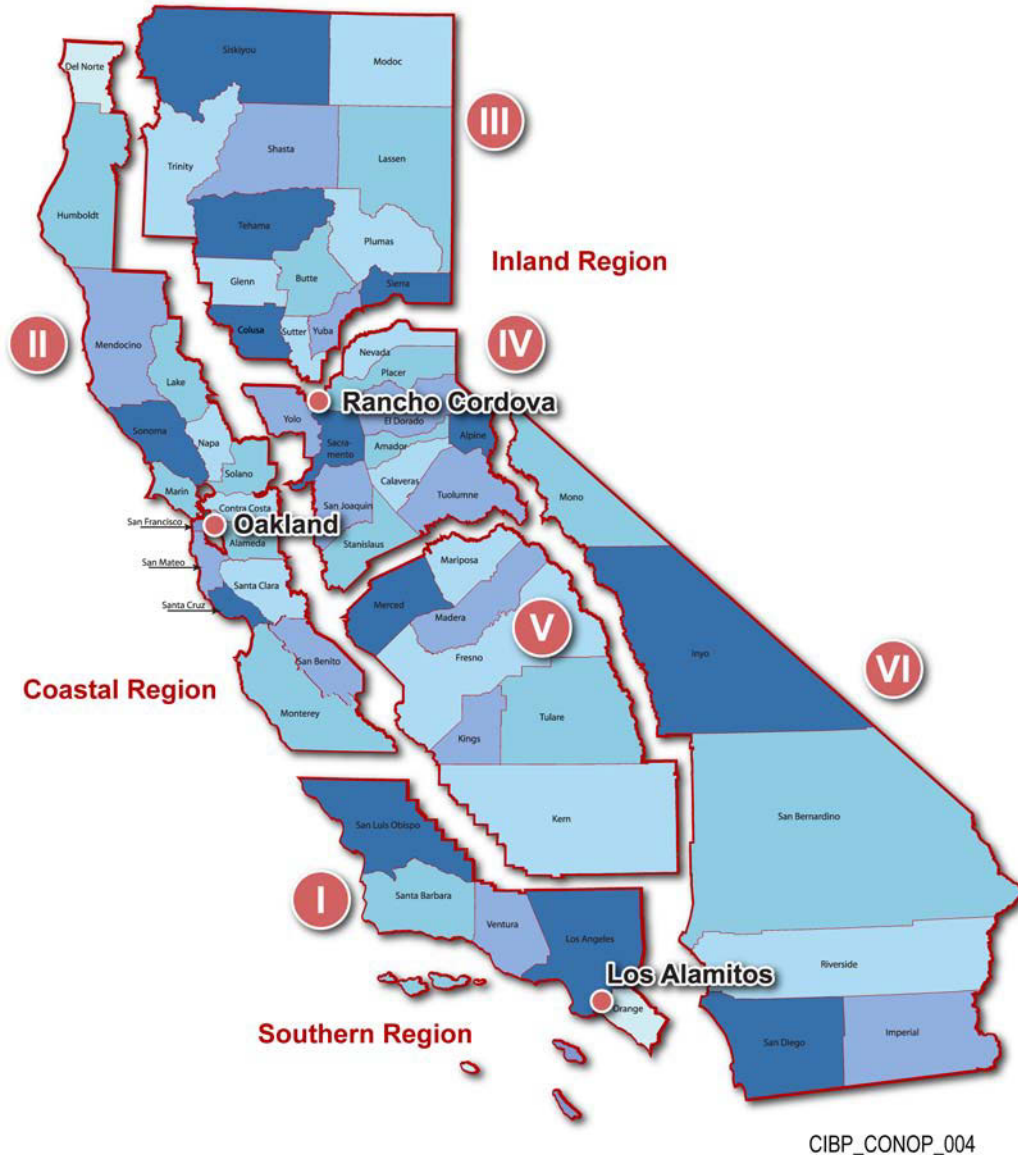
- **Through Mission Assignments from FEMA Under the Authority of the Stafford Act.** Similarly, FEMA may mission assign the DoD to provide support for response and recovery operations.
- **Under Their Own Authorities.** This may include agencies with resources in the affected region. For example, the U.S. Coast Guard may respond immediately to an oil spill under its own authorities.





CIBP\_CONOP\_003a

**Figure 3. Process for requesting resources under the Standardized Emergency Management System  
(adapted from the State Emergency Plan, September 2005)**



**Figure 4. Governor's Office of Emergency Services administrative and mutual aid regions (adapted from the State Emergency Plan, September 2005)**

*The six mutual aid regions are denoted by Roman numerals. For law enforcement mutual aid, Region I is subdivided into two subregions.*

#### 4.3.2 Integration of State and Federal Operations

Once OES and FEMA agree to the formation of the Unified Coordination Group, the separate functions of the SOC, REOC(s), and RRCC are incorporated into the Unified Coordination Group structure. To ensure unity of effort while maintaining consistency with SEMS, the JFO ultimately becomes the focal point of operations for the State, including functions that would otherwise be performed at the SOC and/or REOC for the affected region. These functions are

- Maintaining coordination with the Operational Areas and receiving information and requests for resources from the Operational Areas
- Coordinating mutual aid requests and the flow of resources through the mutual aid system
- Brokering resource requests among Operational Areas within the region or among regions
- Tasking State agencies to provide resources in response to local government requests
- Obtaining resources from other States through State-to-State mutual aid and EMAC

As stated in **Section 4.2**, the integration of these functions must be transparent to the Operational Areas and regional mutual aid coordinators. Functional points of contact and connections with these elements are maintained as the focus of operations shifts from the SOC/REOC to the JFO.

### **4.3.3 Integration of Resources**

A key element of the response to a catastrophic incident is the effective integration and utilization of resources down to the field level. In general, State, out-of-State/EMAC, and Federal resources are integrated into the Incident Command at the field level. Federal and State division supervisors (see Annex A) may ensure that the local EOC directors and/or incident commanders are aware that resources are being deployed and provide support to coordinate logistics necessary for deployment. Additionally, the State division supervisors may monitor the deployment of resources to account for their arrival or to follow up when they do not arrive as scheduled.

Certain Federal resources are deployed under the control of the Unified Coordination Group, which is responsible for the integration and utilization of these resources down to the field level. Examples are housing inspectors assessing damages under the Individual and Household Program.

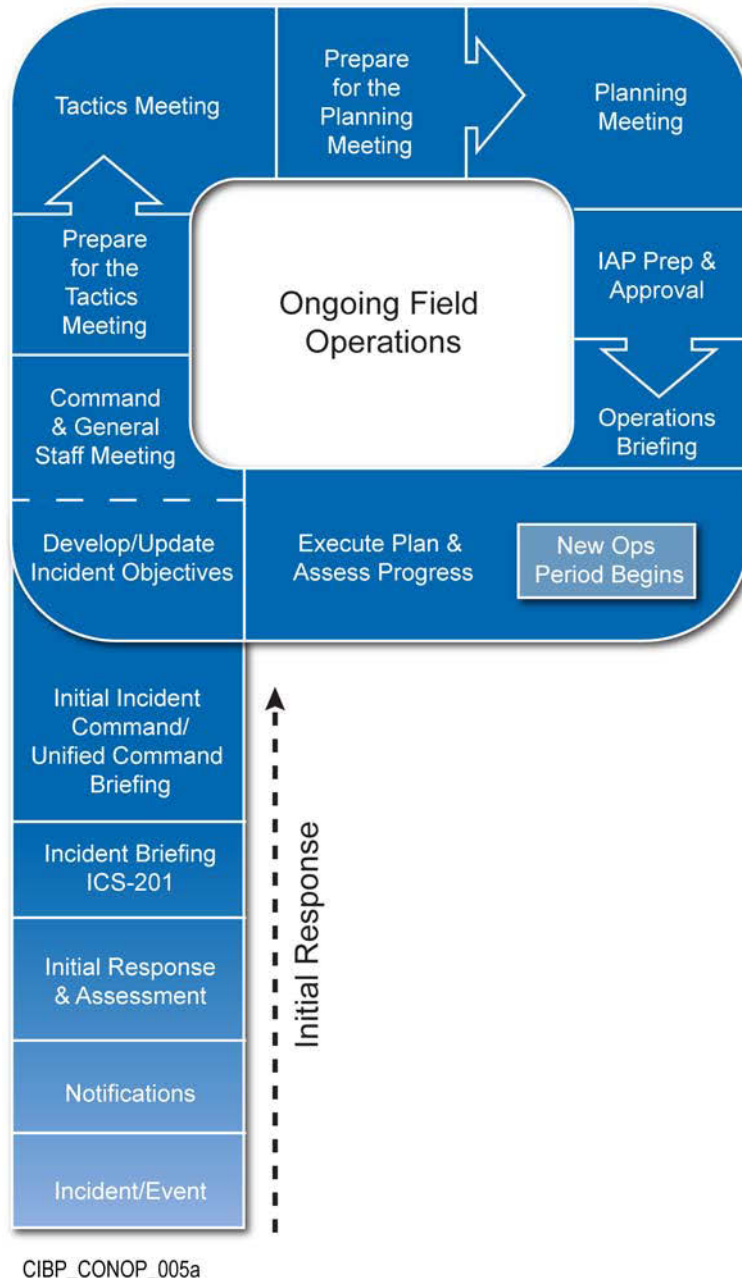
Similarly, DoD and CANG elements carrying out missions remain under the control of the Secretary of Defense and the Governor, respectively; and DoD and CANG field operations are directed by one or more task forces or joint task forces operating under proper State and Federal authority. (See **Section 5.2** for additional information regarding coordination of military resources.)

### **4.3.4 Incident Action Plan (IAP)**

ICS emphasizes orderly and systemic planning. The IAP is the central tool for planning during the response to and initial recovery from an incident. The process used to prepare the IAP is a key component for ensuring effective integration of State and Federal resources and unity of effort. Through this process, a set of incident objectives is developed and resources ordered to effectively meet those objectives. The process is summarized in **Figure 5**.<sup>1</sup>

---

<sup>1</sup> For more detailed procedures on the planning process and the development of the IAP, refer to the *National Incident Management System* (FEMA 501), with draft date August 2007, and the *FEMA Incident Management Handbook* (2007).



**Figure 5. Incident Action Plan development process  
(FEMA Incident Management Handbook, 2007)**

Cross-functional collaboration is critical to the process. The planning meeting and the resulting joint IAP ensure that:

- Objectives across functional areas do not conflict
- Resources are not double-committed or duplicated
- Transportation and logistics elements are not double-committed or duplicated

The joint IAP identifies the incident objectives established for the integrated State/Federal operation and addresses specific tactical actions and supporting information for each operational period, generally 12 to 24 hours. The Unified Coordination Group must ensure that all

appropriate objectives and requirements are reflected in the joint IAP. To the degree possible, the joint IAP is developed based on resources needed to meet the requirements identified by the field-level Incident Command. In developing overall objectives, the Unified Coordination Group must consider the priorities set by the Governor and the objectives of the Operational Areas and other jurisdictions. Ideally, these objectives would feed into the joint IAP. In a catastrophic incident, however, there may be circumstances in which local jurisdictions do not have the capacity to articulate objectives and requirements. Consequently, objectives may by necessity be established by State and Federal senior leaders.

The primary focus of the IAP is the Operations Section, which manages, coordinates, and delivers State and Federal assistance and support. However, it is essential that the entire command and general staff and selected specialty disciplines participate and provide input.

#### **4.4 Coordinating Instructions**

The Regional Administrator for FEMA Region IX and the OES Director direct the activation of the CONOP, depending on the circumstances of the incident.

The CONOP does not impede Federal, State, local, and tribal entities from carrying out their specific authorities in accordance with applicable laws, regulations, executive orders, and directives.

The CONOP is not a plan for a response to a specific incident. FEMA and OES will continue to develop incident-, hazard-, and function-specific annexes (referred to as CONPLANS) that define objectives and courses of action for the integrated State/Federal response for each circumstance. A list of proposed CONPLANS is included in the Table of Contents.

This page is intentionally left blank.

## **5 Administration and Resources**

### **5.1 Administration**

Once established, the JFO is responsible for management and oversight of all administrative and logistical requirements supporting the joint State/Federal response to the incident.

### **5.2 Resources**

The State and Federal governments implement established systems for providing resources in support of State, local, tribal, and private sector response to the incident. These systems and potential resources are outlined in **Section 4.3**.

In response to an incident, FEMA activates logistics and mobilization centers around the country, identifies Federal staging areas in the vicinity of the affected area, and begins deploying appropriate commodities and teams identified in the Catastrophic Incident Supplement to the NRF. These resources remain under Federal control until requested by the State. Once activated, the Unified Coordination Group takes responsibility for identifying required resources, managing staging areas in or near the affected area, and coordinating logistical support for resources deployed to the affected area.

This page is intentionally left blank.



## **6 Incident Communication**

### **6.1 Communication**

In responding to a catastrophic incident, the joint State/Federal organization uses the established communications functions that support State and Federal responses to other incidents. The incorporation of these functions into the joint State/Federal organization is described below.

#### **6.1.1 Systems**

Communications between State and Federal agencies and with other organizations engaged in the response follow protocols and procedures established for existing State and Federal systems, with modifications necessary to account for disruptions caused by the incident. California has established essential communications support procedures between the Operational Area EOCs, the REOCs, the SOC, and other State agencies to provide the information links for elements of the California emergency organization. The communications infrastructure includes the use of the Response Information Management System (RIMS), the Operational Area Satellite Information System, and the California portion of the National Warning System.

The existing systems are supplemented through the establishment of systems necessary to support incident-specific facilities, such as the JFO and Federal staging areas. Through agreement with OES, FEMA defines requirements for the systems required at these sites and provides resources to establish them. Once the Unified Coordination Group transfers operations to the JFO, communications links are established to allow implementation of State functions, such as communications with the Operational Areas, at that facility. State and Federal warning systems are described in more detail in **Annex B**.

#### **6.1.2 Intelligence and Information Sharing Protocols**

The Unified Coordination Group develops appropriate joint objectives based in part on a common operating picture. The common operating picture is developed through standard reporting processes established by the State under SEMS, including information reported through RIMS, reports obtained from incident commanders, information gathered by State and Federal assessment teams, fusion centers such as the State Terrorism Threat Assessment Center, and the four Regional Terrorism Threat Assessment Centers. Within the Unified Coordination Group, the joint Planning Section is responsible for collection and analysis of this information. Essential Elements of Information (EEI) and the Information Collection Plan that are used to provide the basis for gathering and analyzing information are described in **Annex B**.

#### **6.1.3 External Affairs and Public Information**

At the State level, OES is responsible for developing and releasing public information regarding response operations. The OES public information officer (PIO) at the SOC initially activates and directs public information procedures. Additional support may be drawn from other State agencies, volunteers, or participants in the PIO Mutual Aid Program.

Immediately following the incident, the IMAT deploys to the SOC with an external affairs officer. The IMAT external affairs officer provides support to the IMAT leader and to the Unified Coordination Group for public information and community, media, and congressional relations. The IMAT external affairs officer collocates with the State PIO at the SOC to provide

for rapid development and review of emergency public information messages and announcements.

The external affairs functions include the establishment of a Joint Information Center (JIC) and a Planning and Products Unit staffed by State, Federal, and local communications specialists. Other functions separate from the JIC include intergovernmental affairs (including relationships with State, local, and tribal entities), and private sector, community, and congressional relations.

## **6.2 Coordination**

Interagency coordination among Federal, State, local, tribal, and other organizations is described below.

### **6.2.1 Local Governments**

As described in **Section 4.3**, California’s system for incident management and for providing support and resources to local governments is governed by SEMS. The Unified Coordination Group’s coordination with local governments must remain consistent with SEMS. Accordingly, within the Unified Coordination Group, OES maintains responsibility for:

- Direct coordination with the Operational Areas and mutual aid coordinators
- Receiving situation status and other information from the Operational Areas
- Receiving resource requests from the Operational Areas

### **6.2.2 Tribal Governments**

Within SEMS, tribal governments may coordinate their efforts and requests for resources through Operational Area EOCs in their respective counties. Consequently, coordination with these tribes follows that of coordination with other local governments, as described in the preceding section.

### **6.2.3 Other State and Federal Agencies**

The California Emergency Services Act requires State agencies to carry out activities assigned by the Governor. During a declared State of Emergency or local emergency, the OES Director coordinates the emergency activities of all State agencies. As noted in **Section 4.3**, the State Emergency Plan identifies lead and support agencies for specific functions. State agencies with responsibility for emergency response maintain their own emergency plans and procedures, in accordance with SEMS, to accomplish assigned emergency management tasks.

The Federal Government coordinates much of its resources and capabilities—as well as those of certain private-sector and nongovernmental organizations—through ESFs. The ESFs align categories of resources and provide strategic objectives for their use. ESF coordinating and primary agencies are identified on the basis of their authorities and resources. Support agencies are assigned based on the availability of resources in a given functional area. The organization of Federal Agencies according to ESFs is described further in the NRF.

State and Federal agencies, nongovernmental organizations, private-sector organizations, and volunteers may be directly integrated into the joint State/Federal organization. State and Federal agencies may be tasked with missions as appropriate to coordinate their activities in support of the incident. The mission tasking (for State agencies) or mission assignments (for Federal Agencies) establish specific scope and coordination instructions.

State and Federal agencies may also respond to the incident under their own authorities. As the Unified Coordination Group is established, these activities must be coordinated with the joint State/Federal organization so that they can be accounted for in the IAP process. To the extent possible, sustained operations of State/Federal agencies responding under their own authority should be folded into the joint State/Federal response through the use of the mission tasking/mission assignment processes.

#### **6.2.4 Military Resources**

The Governor, either directly or through mission taskings assigned by OES, may deploy CANG assets to support incident response and recovery. Similarly, DoD resources may be activated through mission assignments from FEMA to the DCO and Defense Coordinating Element (DCE), which are activated to support the DCO. As described above, the DCO and the AG may represent the DoD and CANG, respectively, in the Unified Coordination Group to ensure effective coordination of, and use of, Federal and State military resources. DoD and CANG operations in the field are directed by one or more task forces or joint task forces operating under proper State and Federal authority. Although military resources operate under the authority of a task force or joint task force commander, the commander works with and supports the Unified Coordination Group to achieve unity of effort.

In general, the resources of the CANG should be used before DoD resources are deployed. If CANG resources are fully deployed or unavailable, the State requests direct Federal assistance through the Unified Coordination Group. If a Federal Agency can meet the need, FEMA may execute a mission assignment to do so. Otherwise, FEMA may mission assign DoD through the DCO/DCE to respond.

Commanders of DoD installations may act for a limited time under their own authorities to assist local governments in saving lives, protecting public health and safety, and protecting property in the immediate response to the incident for a limited period of time. An individual commander is required by DoD policy to exercise his/her authorities under “imminent serious” conditions and deploy available resources to save and sustain lives in the immediate vicinity of the installation. However, as with other State and Federal agencies, once the Unified Coordination Group is established, response activity directed under a local commander’s authority should be replaced by the mission assignment process and folded into the overall Federal response.

#### **6.2.5 Other States**

OES is responsible for procuring out-of-State resources, either through State-to-State mutual aid or through EMAC. Initially, this process occurs at the SOC where decisions to request resources from other States or through EMAC are made based on whether local, mutual aid, or State agency resources are otherwise available. As the joint State/Federal organization shifts to the JFO, the decision to request resources from other States or through EMAC is made by OES in concert with the joint Operations Section as part of the process for evaluating the availability of resources to carry out operational objectives.

### **6.3 Oversight**

As stated above, the Unified Coordination Group, using Unified Command principles, is responsible for overall direction and control of the selected joint State/Federal operations in support of field-level operations, subject to the oversight of the leaders identified below.

### 6.3.1 State Leadership

State leadership is described in the State Emergency Plan. Roles for State leaders, in addition to State senior officials who participate in the Unified Coordination Group, are summarized below.

- **Governor.** The Governor leads the State response to the incident. The Governor sets priorities for response and recovery in the State and provides direction to the Unified Coordination Group with regard to those priorities.
- **Cabinet Officials.** The Governor’s cabinet includes secretaries representing California State agencies. The undersecretaries for these agencies provide a link from the Governor’s cabinet to the Unified Coordination Group and oversee operations of their respective agencies and departments. These agencies and departments, although operating under their respective authorities, take action in accordance with the objectives identified in the IAP approved by the Unified Coordination Group. They may participate as members of the Unified Coordination Group, depending on their respective roles in responding to the incident.
- **State Advisory Bodies.** The California Emergency Council is the official advisory body to the Governor on all matters pertaining to statewide emergency preparedness. The Governor’s Emergency Operations Executive Council, which is composed of agency secretaries and department directors, is charged with facilitating improved coordination among State agencies and departments. These entities provide advice and support to the Governor and assist with policy development where appropriate. They do not have an operational role.

### 6.3.2 Federal Leadership

Federal leadership is described in the NRF. Roles for Federal leaders, in addition to Federal senior officials who participate in the Unified Coordination Group, are summarized below.

- **The President.** The President leads the Federal response effort and ensures that the necessary coordinating structures, leadership, and resources are applied quickly and efficiently. The President’s Homeland Security Council, which brings together Cabinet officers and other department or agency heads as necessary, provide national strategic and policy advice to the President.
- **Secretary of Homeland Security.** The Secretary of Homeland Security is the principal Federal official for domestic incident management. The Secretary is responsible for providing the President with an overall architecture for domestic incident management and for coordinating the Federal response, when required, while relying upon the support of other Federal partners.
- **FEMA Administrator.** The FEMA Administrator is the principal advisor to the President, the Secretary of Homeland Security, and the Homeland Security Council regarding emergency management. The FEMA Administrator’s duties include operation of the NRCC, effective support of all ESFs, and leadership of FEMA for the response to, and recovery from, all-hazards incidents.
- **Regional Administrator.** The Regional Administrator provides oversight for response and recovery within Region IX, which includes California. The Regional Administrator oversees the initial response within the region, including direction of the RRCC when it

is activated and coordination of the initial deployment of the liaisons and the IMAT to the SOC. If appointed as the FCO or designated as the SFO, the Regional Administrator may be a part of the Unified Coordination Group.

This page is intentionally left blank.

## 7 Plan Maintenance

FEMA Region IX, Response Operations Branch, is responsible for the maintenance, update, and dissemination of the CONOP. Working with OES, FEMA will evaluate the CONOP on a biannual basis and modify the plan on the basis of changes in laws, regulations, and policies; changes in Federal or State systems or procedures; and after action reports and lessons learned from major activations or exercises. Upon preparation of the revised CONOP, FEMA and OES will distribute the document to appropriate Federal and State partners. In addition, as stated in **Section 4.4**, FEMA and OES will develop incident-specific CONPLANs as annexes to the CONOP as requirements are identified and funding permits.

This page is intentionally left blank.



# ANNEX A INCIDENT TASK ORGANIZATION

This annex provides additional information regarding the joint State/Federal organization, led by the Unified Coordination Group, which manages State and Federal operations in response to a catastrophic incident.

## A.1 Scope

This annex describes the joint State/Federal organization, led by the Unified Coordination Group, which is formed initially at the State Operations Center (SOC) and transitions to the Joint Field Office (JFO) when the JFO is operational. It does not describe Federal or State response organizations or systems beyond the Unified Coordination Group-led organization. For additional information on these organizations and systems, refer to **Section 4.3** of the Concept of Operations (CONOP) and to the following source documents, which are referenced in **Section 1.3** of the CONOP:

- State of California Emergency Plan
- Standardized Emergency Management System (SEMS) Guidelines
- National Incident Management System (NIMS)
- National Response Framework (NRF)

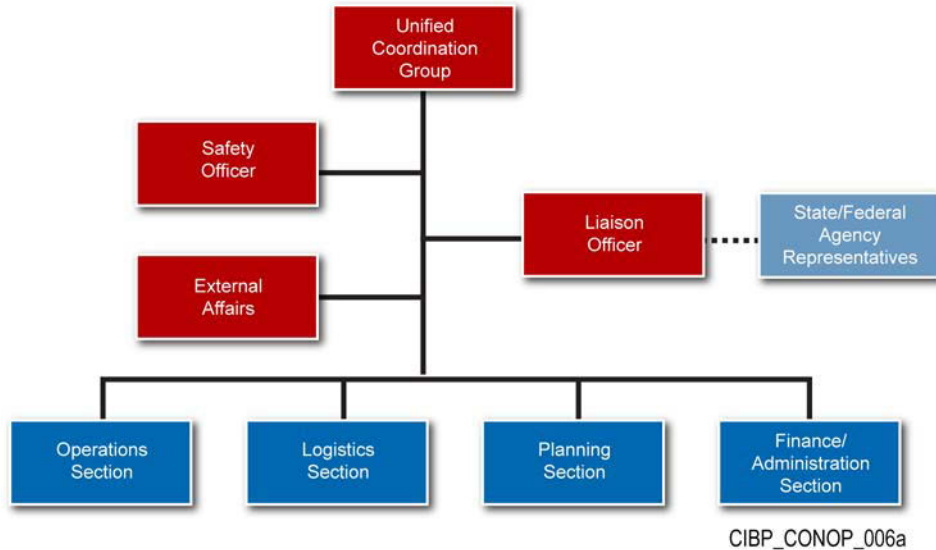
## A.2 General Organization

The development of the joint State/Federal organization is coordinated by the OES and FEMA. The joint State/Federal organization is organized according to the principles of the Incident Command System (ICS). Major components of the organization are shown in Figure A-1.

### A.2.1 Unified Coordination Group

The joint State/Federal organization is led by the Unified Coordination Group, composed of senior State and Federal officials, as well as representatives of other organizations as appropriate, with significant responsibility for resources engaged the operation. As described in **Section 4.2** of the CONOP, the Unified Coordination Group:

- Directs coordinated, combined State and Federal operations in accordance with Unified Command principles
- Develops a joint Incident Action Plan (IAP) articulating a common set of incident objectives and ensures that resources are ordered to effectively meet those objectives
- Does not assume responsibility for field-level Incident Command activities; instead, the Unified Coordination Group provides a structure for the command, control, and coordination of State and Federal resources not yet delivered to the local organizations or end users.



**Figure A-1. Major components of the joint State/Federal organization**

Refer to **Section 4.2** for descriptions of the formation, composition, and functions of the Unified Coordination Group.

### **A.2.2 Joint Operations**

The joint State/Federal organization incorporates joint Planning, Operations, and Logistics Sections with the Finance/Administration Section maintaining separate elements due to differing systems. Each section is led by joint State and Federal section chiefs. Joint staffing may also occur or OES and FEMA may agree on maintaining separate elements. For example, if a fire branch is created to coordinate mutual aid requests, that branch may be staffed only by State representatives with a liaison for agencies providing Federal resources in support. Although State and Federal elements operate jointly, they do not give up their respective authorities.

The JFO becomes the focal point for State operations, including functions that would otherwise be performed at the SOC and/or the Regional Emergency Operations Center for the affected region. To maintain SEMS and ensure transparency to the Operational Areas and regional mutual aid coordinators, the State continues to perform the following functions:

- Maintaining coordination with the Operational Areas and receiving information and requests for resources from the Operational Areas
- Coordinating mutual aid requests and the flow of resources through the mutual aid system
- Brokering resource requests among Operational Areas within the region or among regions
- Tasking State agencies to provide resources in response to local government requests
- Obtaining resources from other States through State-to-State mutual aid and the Emergency Management Assistance Compact (EMAC)

### A.3 Operations Section

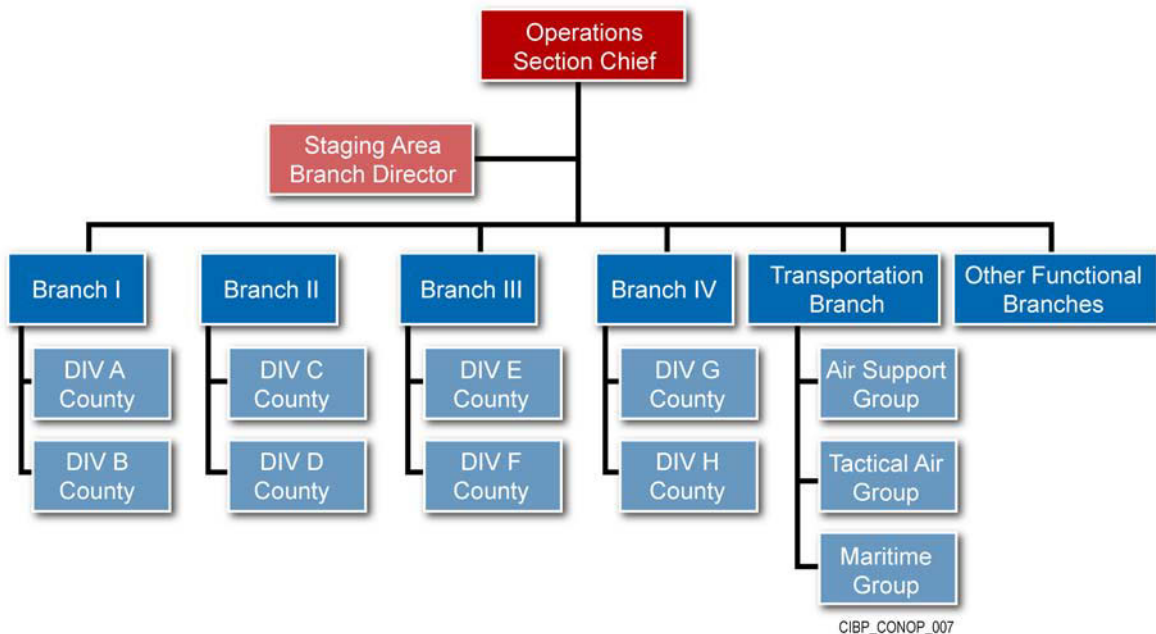
This section provides an overview of the general organization and function of the joint Operations Section. FEMA and OES develop the actual organization and function depending on the specific conditions of the incident.

#### A.3.1 Organization

The organization of the Operations Section is dependent on the type and geographic impact of the incident and the incident-specific requirements for response and recovery. In accordance with NIMS, branches within the Operations Section may be functional, geographic, or both, depending on the circumstances of the incident. In general:

- Branches are established when the number of divisions or groups exceed the manageable span of control.
- Divisions and/or groups are established when the number of resources exceed manageable span of control.
- Divisions are established to divide the incident into physical and/or geographical areas of operation.
- Groups are established to divide the incident into functional areas of operation.

A sample organization for a catastrophic incident is shown in **Figure A-2**. In this example, the incident has affected a wide geographic area affecting 10 counties. To manage resource requirements across the region, four branches are established, with a division for each county. Branch directors and division supervisors are responsible for ensuring effective utilization and integration of State and Federal resources down to the field level.



**Figure A-2. Example of the structure of an Operations Section**

In addition, the severe impact of the incident on transportation systems, combined with significant requirements for movement of resources into the affected area, necessitates the

implementation of a transportation branch to ensure that transportation resources are organized to meet priorities identified in the IAP and deployed with the appropriate support.

Other functional branches, such as a care and shelter branch, may be established depending on the requirements of the incident.

### **A.3.2 Other Entities**

Other State, Federal, nongovernmental, and private sector entities may participate in the response, as outlined in the State Emergency Plan and the NRF. These agencies may be tasked to provide management and staff within the joint State/Federal organization. Federal Agencies operating under Emergency Support Functions (ESFs) will provide support within the JFO. State agencies implementing their respective emergency response plans may manage their operations from their respective Department Operations Centers in coordination with OES at the JFO. Specific roles and responsibilities of other entities within the joint State/Federal organization will be determined based on the requirements of the incident.

### **A.3.3 Division Supervisors**

State and/or Federal division supervisors are deployed to the Operational Areas to support integration and utilization of resources at the field level. In general, the division supervisor deploys to the Emergency Operations Center (EOC) of an affected Operational Area and coordinates with the EOC director. A Federal division Supervisor and/or State division supervisor or liaison may jointly deploy to the Operational Area EOC.

The division supervisors are State and/or Federal emergency managers with the appropriate training for the assignment. Because they have existing relationships with the Operational Area lead agencies in their respective region, staff from the applicable REOC may be initially deployed as State division supervisors. OES may then deploy Incident Management Teams or emergency managers from elsewhere in the State by mission tasking State agencies for personnel or by using the Emergency Managers Mutual Aid system to obtain qualified representatives from unaffected local governments. Similarly, FEMA may deploy Federal personnel in the first hours after the incident occurs, integrating them with staff from Incident Management Assistance Teams (IMATs) as soon as those teams can be deployed. FEMA may also mission assign other Federal Agencies to obtain qualified personnel.

The division supervisors provide a mechanism to support local officials by:

- Assisting in assessing the severity of the incident
- Providing clarification with regard to resource requests, where necessary
- Providing a point of coordination for logistics associated with deployed State and Federal resources, including monitoring of the deployment of State and Federal resources to the jurisdictions in question
- Assisting with the integration and utilization of State and Federal resources into the field-level Incident Command
- Providing a consistent point of contact for other State and Federal liaisons and representatives

- Ensuring that deployed resources operate in accordance with operational objectives, as articulated through the IAP, including providing supervision of the resources allotted to that Division

#### **A.4 Strategic Planning For Recovery**

A catastrophic incident has significant, long-term effects on the population, infrastructure, and economy of the affected region and potentially the Nation. Consequently, it is necessary for the joint State/Federal organization to begin assessing requirements for recovery immediately and developing a long-term plan for effective implementation of State and Federal resources for recovery in concert with the priorities and initiatives of the affected region.

The joint State/Federal organization includes a Strategic Planning Unit that is devoted to long-term planning. This unit:

- Engages recovery program areas, including the Individual and Household Program and Public Assistance Program
- Engages other Federal Agencies that have the authority to implement recovery programs
- Coordinates recovery activities with ESF #14, Long-Term Community Recovery, to ensure that joint recovery operations are consistent with community input
- Provides dedicated input to the IAP related to recovery planning
- Develops and maintains a strategic plan for recovery to guide operations over the long term
- Conducts planning to guide the transition from a response-oriented operation to one that is focused on long-term recovery

The Strategic Planning Unit assesses the impacts of the incident on jurisdictions and the resiliency of those jurisdictions and establishes priorities for recovery operations. The strategic plan includes goals for recovery, milestones, obstacles and inhibitors, lines of operation, and measures of effectiveness.

The Federal and State coordinating officers use the options in the strategic plan to make decisions regarding priorities and resources for recovery operations and to coordinate with other State and Federal agencies to leverage available resources and funding.

This page is intentionally left blank.

# ANNEX B INTELLIGENCE

## B.1 Introduction

“Intelligence” can be defined as information with value. To be useful to decisionmakers, information must be tailored to meet articulated requirements. To become intelligence, information must be collected, analyzed, vetted, and disseminated in a timely fashion. It should be provided to decisionmakers in a simple, understandable, and focused manner. Intelligence collection and analysis are among the most critical components of formulating an effective response to a catastrophic incident.

All appropriate collectors of information must be included in the planning that is designed to provide intelligence to decisionmakers. This may mean that public health officials, public works managers, educational leaders, agricultural specialists, and other nontraditional sources are included in information-gathering efforts. However, there is also a need to assess the source and credibility of information and to identify the proponent agency for the management of information and collection—and who will compile and produce the assessment of the information that is collected. For the type of incident and its consequences, there may be multiple proponent agencies for portions of the overall assessment, dependent on specific agency competencies (e.g., the California Department of Public Health for public health issues, the California Environmental Protection Agency for issues related to hazardous materials, the Governor’s Office of Homeland Security for issues related to terrorist threats).

It is also critical for key decisionmakers to maintain a situational awareness (i.e., to be knowledgeable of potential and current conditions, possible impacts on populations and infrastructure, and other key indicators of the situation). This requirement establishes the need for collecting, monitoring, and analyzing information. The scope and type of monitoring varies based on the type of incidents being evaluated and needed reporting thresholds.

In any major incident, the degree to which key decisionmakers at all levels of government and within interagency structures are able to gain and maintain a situational awareness on the scene determines, to a great degree, their ability to anticipate requirements and provide appropriate resources. Real-time situational awareness also facilitates timely and knowledgeable information-sharing with elected and appointed officials, the public, and the media. Confusing initial reports, a breakdown in communications systems, and, conversely, an overwhelming amount of data must be processed and refined into useable, actionable information and intelligence. It is also imperative that leaders at all levels of government and within the interagency structures not only have the same information, but also focus on obtaining and maintaining situational awareness based on established priorities. All appropriate sources of information must be included in a comprehensive collection plan by the joint Planning Section of the Joint Field Office (JFO). Sources of information may include:

- Information from local governments, through Response Information Management System (RIMS) and other means of communication
- Federal, State and local Fusion Centers, such as the National Counterterrorism Center, the State Terrorism Threat Assessment Center, and the four Regional Terrorism Threat Assessment Centers located in San Diego, Los Angeles, San Francisco, and Sacramento
- Joint terrorism task forces

- National technical sources
- Media monitoring
- Federal, State, local, nongovernmental, and private-sector representatives on the scene of the incident

## **B.2 Essential Elements of Information (EEI)**

The Department of Defense (DoD) defines Essential Elements of Information (EEI) as the critical items of information needed by the commander by a particular time to relate with other available information and intelligence to assist in reaching a logical decision. This disciplined methodology for focusing information efforts during preparations for potential disaster operations or during actual incidents is no less critical within the context of emergency management operations.

Generally, EEI revolve around critical data, focused on the operational objectives established by the Unified Coordination Group. For example, EEI necessary during immediate response efforts may relate to the status of medical facilities, number of patients by categories, status of transportation systems, and status of utility infrastructure. To assist the Unified Coordination Group formulate appropriate joint objectives based on a common operating picture, a formal reporting methodology must be provided to all levels, including Operational Areas, branches, divisions, and any State or Federal organizations, to focus collection efforts on EEI. It is also necessary to prioritize the kinds of information that are required.

**Appendix 1** of this annex contains a list of general EEI for use by the Unified Coordination Group and the joint Planning Section chiefs in developing EEI for a specific incident. These suggested EEI will be expanded and modified as required to meet the needs of decisionmakers for information of value. **Appendix 1** contains an example based on the occurrence of an earthquake.

Sources of information may include the following:

- **On-scene Information.** Generally, the most accurate information is obtained from those on the ground, closest to the potential or actual incident site. Incident commanders and the Planning Sections within their incident management teams are often the most reliable source of information. Planning Sections at various levels analyze information and turn the information into useful intelligence for managers and senior leaders. This step is vital in terms of providing data that decisionmakers need to be able to prioritize activities and to deploy and use critical, but often limited, resources.
- **Predictive Modeling.** Technological advances in predicting the number and type of casualties and the damage to infrastructure (e.g., bridges, roads, hospitals, public buildings) and housing stocks must be fully embraced by members of the emergency management community, specifically the Planning Section chiefs. The speed of advances in this area make it imperative that responsible individuals and teams make every effort to fully understand all available systems and develop plans and programs to integrate these capabilities into analytical efforts.
- **Imagery.** Both the number of overhead imagery products and their quality have increased almost exponentially. Responsible individuals must be fully cognizant of all available systems, as well as how to access them. Collection of imagery should include



both pre- and postincident products. The analysis of the impact of incidents against preincident products can be very useful in both response and recovery efforts. For example, the acuity and detail of present-day imagery may facilitate analysis that will enable managers of Stafford Act programs to more effectively determine both individual and public facility losses.

### **B.3 Alerts and Warnings**

Alert and warning systems that pertain to the Catastrophic Incident Base Plan Concept of Operations are described below. For additional information on warning systems in California, see Attachments H–J of the State Emergency Plan, dated September 2005.

#### **B.3.1 Federal Warning Systems**

The Region IX Regional Watch Center operates as the region’s surveillance monitoring center, coordination office, and intelligence monitoring center. The Watch Center is staffed by a watch officer who monitors current situations within the States and Territories in Region IX. The Watch Center conducts the monitoring, reporting, and communications functions of the RRCC prior to the RRCC’s activation.

The Watch Center is responsible for the following:

- Monitoring intelligence and situation reports of State, territorial, and Federal partners
- Issuing situation reports as warranted
- Establishing reporting and communication protocols with the activated agencies
- Establishing communications with State, Territorial, and Federal partners
- Alerting and deploying initial response personnel and resources

As defined in the National Response Framework (NRF), the U.S. Department of Homeland Security (DHS) National Operations Center (NOC) is responsible for facilitating homeland security coordination across the Federal mission areas of prevention, protection, response, and recovery. The NOC serves as the national Fusion Center, collecting and synthesizing all-source information to determine whether there is a terrorist nexus. The NOC also shares all-threats and all-hazards information across the spectrum of homeland security partners. Federal Departments and Agencies should report information regarding actual or potential incidents requiring a coordinated Federal response to the NOC. Such information may include:

- Implementation of a Federal Department or Agency emergency response plan
- Actions to prevent or respond to an incident requiring a coordinated Federal response for which a Federal Department or Agency has responsibility under law or directive
- Submission of requests for coordinated Federal assistance to, or receipt of a request from, another Federal Department or Agency
- Requests for coordinated Federal assistance from State, tribal, or local governments or private-sector businesses and nongovernmental organizations
- Suspicious activities or threats that are closely coordinated among the NOC, the Department of Justice/Federal Bureau of Investigation Strategic Information and Operations Center, and the National Counterterrorism Center

- The primary reporting method for information flow is the Homeland Security Information Network (HSIN). Each Federal Department and Agency must ensure that its incident-response personnel are trained to use the HSIN common operating picture for incident reporting.

When notified of a threat or an incident that potentially requires a coordinated Federal response, the NOC assesses the situation and notifies the Secretary of Homeland Security and the primary Federal operations coordination centers: the National Response Coordination Center (NRCC), the Strategic Information and Operations Center, the National Counterterrorism Center, and the National Military Command Center. The NOC serves as the primary coordinating center for these and other operations centers.

The NOC alerts department and agency leadership, using decision-quality information. Based on the information, the Secretary of Homeland Security determines the need for activation of Federal elements. Officials should be prepared to participate, either in person or by secure video teleconference, with departments or agencies involved in responding to the incident.

The NOC maintains the common operating picture that provides overall situational awareness for incident information. Each Federal Department and Agency must ensure that its incident-response personnel are trained to use these tools.

### **B.3.2 State Warning Systems**

The State Warning Center for California is located at the Headquarters of the Governor's Office of Emergency Services (OES) in the Sacramento area. The State Warning Center may receive warnings from the following:

- The Federal Government, via the National Warning System (NAWAS). NAWAS is a landline network for transmitting and receiving emergency information to Federal, State, and local agencies.
- Local, regional, or State agencies, via the Operational Area Satellite Information System (OASIS), California Law Enforcement Telecommunications System (CLETS), or the California Law Enforcement Radio System (CLERS)
- National Weather Service
- Federal/State Joint Flood Forecast Center, located in Sacramento
- National Earthquake Information Center and the seismological laboratories at the University of California in Berkeley and California Institute of Technology in Pasadena
- The Pacific Tsunami Warning Center in Honolulu, Hawaii, and the Alaska Tsunami Warning Center
- A nuclear power plant, via NAWAS, CLETS, or OASIS
- Reports from emergency responders at the scene of the incident
- Reports from fire/public safety agencies receiving 911 calls

The State Warning Center may transmit warnings to the Operational Area Emergency Operations Centers (EOCs), the OES Regional EOCs, and the State Operations Center at OES Headquarters via the following:

- OASIS
- CLETS and CLERS
- The California Warning Alert System (CALWAS). CALWAS is a party-line telephone system that disseminates warning information from Federal and State warning points to county warning points. CALWAS a component of NAWAS.
- Telephone

Terrorism threat information is conveyed to Federal, State, and local law enforcement officials and emergency managers through the following:

- HSIN, which is managed by DHS
- State Terrorism Threat Assessment Center
- Four Regional Terrorism Threat Assessment Centers located in San Diego, Los Angeles, San Francisco, and Sacramento
- Regional terrorism early warning groups

Law enforcement sensitive information regarding terrorist threats is shared only within the intelligence network. Nonsensitive information that would affect a public safety response is transmitted from law enforcement agencies to the appropriate response agency or to an EOC.

OES and local emergency management agencies convey emergency warning to the public using the following:

- The Emergency Digital Information System, which allows agencies to deliver emergency public information and advisories directly to the news media via the OASIS communications system
- The Emergency Alert System, a network of public broadcast stations and interconnecting facilities that can be operated in a controlled manner during a national emergency when immediate action is required

**Table B-1. Essential Elements of Information, methodology/source, responsible entity, products, and timeline**

Essential Element of Information	Specific information	Methodology/source	Responsible entity	Product	Timeline
<b>1. Boundaries of disaster area (shaking/ liquefaction, landslides, plume, fires, flooding, tsunami)</b>	<ul style="list-style-type: none"> <li>• Geographic limits of damage</li> <li>• Description of the severity of damage</li> <li>• Estimated percentage of population evacuated or in need of evacuation</li> </ul>	<ul style="list-style-type: none"> <li>• Predictive modeling</li> <li>• Remote/overhead sensing</li> <li>• Aerial reconnaissance</li> <li>• Media</li> <li>• Assessment teams</li> <li>• On-scene reports</li> <li>• SOC/REOC/Coordination Center reports</li> </ul>	<ul style="list-style-type: none"> <li>• Operations</li> </ul>	<ul style="list-style-type: none"> <li>• Geographic Information System (GIS) impact maps</li> <li>• Situation report</li> <li>• Status briefing</li> </ul>	<ul style="list-style-type: none"> <li>• Initial estimate within 6 hours and updated every operational period</li> </ul>
<b>2. Access points to disaster area</b>	<ul style="list-style-type: none"> <li>• Location of access points located</li> <li>• Credentials needed to enter</li> <li>• Best routes to approach the disaster area</li> </ul>		<ul style="list-style-type: none"> <li>• ESF #1</li> </ul>	<ul style="list-style-type: none"> <li>• GIS maps</li> <li>• Displays</li> <li>• Briefings</li> </ul>	<ul style="list-style-type: none"> <li>• Initial estimate within 6 hours and updated every 12 hours</li> </ul>
<b>3. Jurisdictional boundaries</b>	<ul style="list-style-type: none"> <li>• Cities</li> <li>• Counties</li> <li>• Tribal nations</li> <li>• Congressional districts</li> <li>• Special districts</li> </ul>	<ul style="list-style-type: none"> <li>• Existing maps</li> <li>• GIS database</li> </ul>	<ul style="list-style-type: none"> <li>• ESF #5</li> </ul>	<ul style="list-style-type: none"> <li>• GIS maps</li> <li>• Jurisdictional profiles</li> </ul>	<ul style="list-style-type: none"> <li>• Initial estimate within 6 hours and updated every operational period</li> </ul>
<b>4. Population/ community support impacts</b>	<ul style="list-style-type: none"> <li>• Estimated population affected</li> <li>• Number of shelters open/population</li> <li>• Potential unmet shelter requirements</li> <li>• Number of homes affected (destroyed, damaged)</li> <li>• Percentage of banks functioning</li> <li>• Percentage of grocery stores open and able to meet the needs of the public</li> <li>• Percentage of pharmacies open and able to meet the needs of the public</li> </ul>	<ul style="list-style-type: none"> <li>• Predictive modeling</li> <li>• GIS</li> <li>• Assessment teams</li> <li>• Reports from SOC, REOC, other EOCs</li> <li>• News media and other open sources</li> <li>• Voluntary agency reports</li> <li>• ESF #6 reports</li> </ul>	<ul style="list-style-type: none"> <li>• Operations</li> </ul>	<ul style="list-style-type: none"> <li>• FEMA disaster information database individual assistance module</li> <li>• Reporting</li> <li>• Situation briefing</li> <li>• Situation reports</li> <li>• Displays</li> <li>• GIS products</li> </ul>	<ul style="list-style-type: none"> <li>• Initial estimate within 12 hours and updated every operational period</li> </ul>

**Table B 1. Essential Elements of Information, methodology/source, responsible entity, products, and timeline**

Essential Element of Information	Specific information	Methodology/source	Responsible entity	Product	Timeline
<b>5. Hazard-specific information</b> <b>Hazardous, toxic, and radiological issues</b> <b>Safety hazards</b>	<ul style="list-style-type: none"> <li>• Extent of fires</li> <li>• Potential for (or extent of) flooding</li> <li>• Number/estimate of collapsed structures potentially requiring urban search and rescue</li> <li>• Actual or potential for release of hazardous materials</li> <li>• Actual or potential radiological incidents</li> <li>• Affected locations and what they contain</li> <li>• Actions being taken under the National Contingency Plan, if any</li> <li>• Personal safety issues</li> <li>• Public health concerns</li> </ul>	<ul style="list-style-type: none"> <li>• Assessment Team reports</li> <li>• SOC/REOC/Coordination Center Reports</li> <li>• Predictive modeling</li> <li>• Centers for Disease Control</li> <li>• Occupational Safety and Health Administration</li> <li>• Nuclear Regulatory Commission</li> <li>• U.S. Environmental Protection Agency</li> <li>• Coast Guard</li> </ul>	<ul style="list-style-type: none"> <li>• ESF #5</li> <li>• Operations</li> <li>• Safety officer</li> </ul>	<ul style="list-style-type: none"> <li>• GIS product depicting actual or potential threats</li> <li>• Situation report</li> <li>• Status briefing</li> <li>• Daily intelligence summary</li> <li>• Safety briefings/messages</li> </ul>	<ul style="list-style-type: none"> <li>• Initial estimate within 6 hours and updated every 12 hours</li> </ul>
<b>6. Seismic and/or other geophysical information</b>	<ul style="list-style-type: none"> <li>• Location of epicenter</li> <li>• Location of mud flows and land slides</li> <li>• Potential magnitude of aftershocks</li> <li>• Location of ground liquefaction sites</li> <li>• Potential for tsunamis</li> </ul>	<ul style="list-style-type: none"> <li>• Remote sensing</li> <li>• Management agency</li> <li>• U.S. Geological Survey reports</li> <li>• State liaisons</li> <li>• Tsunami Warning Center</li> <li>• SOC/REOC/Coordination Center reports</li> </ul>	<ul style="list-style-type: none"> <li>• Operations</li> </ul>	<ul style="list-style-type: none"> <li>• GIS maps of affected areas</li> <li>• Situation briefings</li> <li>• Situation reports</li> </ul>	<ul style="list-style-type: none"> <li>• Initial estimate within 6 hours and updated every 6 hours</li> </ul>
<b>7. Weather</b>	<ul style="list-style-type: none"> <li>• Forecast postincident and implications</li> <li>• for impeding operations</li> </ul>	<ul style="list-style-type: none"> <li>• National Weather Service</li> </ul>	<ul style="list-style-type: none"> <li>• Operations</li> </ul>	<ul style="list-style-type: none"> <li>• Status briefings</li> <li>• Situation reports</li> <li>• Daily intelligence summaries</li> </ul>	<ul style="list-style-type: none"> <li>• As soon as possible postincident and ongoing as required</li> </ul>

**Table B 1. Essential Elements of Information, methodology/source, responsible entity, products, and timeline**

Essential Element of Information	Specific information	Methodology/source	Responsible entity	Product	Timeline
<b>8. Demographics</b>	<ul style="list-style-type: none"> <li>Population of impacted areas</li> <li>Demographic breakdown of population, including income levels, information on elderly and children</li> <li>Number/type of housing units in impacted areas</li> <li>Level of insurance coverage</li> <li>Tribal nations impacted</li> <li>Unemployment levels</li> <li>Foreign languages spoken in greater than 1 percent of the population</li> </ul>	<ul style="list-style-type: none"> <li>GIS</li> <li>Predictive modeling</li> <li>Commercial products</li> <li>Census data</li> </ul>	<ul style="list-style-type: none"> <li>Planning</li> </ul>	<ul style="list-style-type: none"> <li>Jurisdiction profiles</li> <li>GIS analysis</li> <li>Regional analysis and summary</li> </ul>	<ul style="list-style-type: none"> <li>Initial information no later than 12 hours following incident</li> </ul>
<b>9. Predictive modeling</b>	<ul style="list-style-type: none"> <li>What U.S.-Hazards (HAZUS) models show for damage impacts and casualties</li> </ul>	<ul style="list-style-type: none"> <li>HAZUS outputs</li> </ul>	<ul style="list-style-type: none"> <li>ESF #5</li> <li>FEMA Mapping and Analysis Center</li> </ul>	<ul style="list-style-type: none"> <li>GIS products</li> </ul>	<ul style="list-style-type: none"> <li>No later than 2 hours following incident</li> </ul>
<b>10. Initial needs and damage assessments</b>	<ul style="list-style-type: none"> <li>Reports of rapid needs assessment and preliminary damage assessment teams</li> <li>Damages reported by local, State, and other Federal agency EOCs</li> <li>Requests for Federal support from the State</li> </ul>	<ul style="list-style-type: none"> <li>Rapid needs assessment and preliminary damage assessment team reports</li> <li>HAZUS outputs</li> <li>Open sources</li> <li>Other Federal Agency situation reports</li> <li>SOC/REOC/Coordination Center Reports</li> </ul>	<ul style="list-style-type: none"> <li>Operations</li> </ul>	<ul style="list-style-type: none"> <li>Situation briefings</li> <li>Situation reports</li> <li>GIS products</li> </ul>	<ul style="list-style-type: none"> <li>Initial estimate w/in 6 hours and updated every 12 hours</li> </ul>

**Table B 1. Essential Elements of Information, methodology/source, responsible entity, products, and timeline**

Essential Element of Information	Specific information	Methodology/source	Responsible entity	Product	Timeline
<b>11. Status of communications</b>	<ul style="list-style-type: none"> <li>• Status of telecommunications service (including Internet and infrastructure, including towers)</li> <li>• Reliability of cellular service in affected areas</li> <li>• Potential requirement for radio/satellite communications capability</li> <li>• Status of emergency broadcast (TV, radio, cable) system and ability to disseminate information</li> </ul>	<ul style="list-style-type: none"> <li>• SOC/REOC/Coordination Center reports</li> <li>• ESF #2</li> <li>• News media/open sources</li> <li>• Internet service provider/telephone companies</li> <li>• National Communication System member agencies</li> </ul>	<ul style="list-style-type: none"> <li>• ESF #2</li> </ul>	<ul style="list-style-type: none"> <li>• Situation briefings</li> <li>• Situation reports</li> </ul>	<ul style="list-style-type: none"> <li>• Initial estimate within 6 hours and updated every 12 hours</li> </ul>
<b>12. Status of transportation</b>	<ul style="list-style-type: none"> <li>• Status of area airports</li> <li>• Status of major/primary roads</li> <li>• Status of critical bridges</li> <li>• Status of railways</li> <li>• Status of ports</li> <li>• Status of evacuation routes</li> <li>• Status of public transit systems</li> <li>• Status of pipelines</li> <li>• Accessibility to most severely impacted areas</li> <li>• Debris on major roadways and bridges</li> </ul>	<ul style="list-style-type: none"> <li>• SOC/REOC/Coordination Center reports</li> <li>• California Department of Transportation</li> <li>• ESF #1/U.S. Department of Transportation</li> <li>• Assessment team reports</li> <li>• Community relations</li> <li>• U.S. Army Corps of Engineers</li> <li>• Remote sensing/aerial reconnaissance</li> <li>• Predictive modeling</li> </ul>	<ul style="list-style-type: none"> <li>• ESF #1</li> </ul>	<ul style="list-style-type: none"> <li>• Situation briefings</li> <li>• Situation reports</li> </ul>	<ul style="list-style-type: none"> <li>• Initial estimate within 6 hours and updated every 12 hours</li> </ul>
<b>13. Status of Emergency Operations Centers</b>	<ul style="list-style-type: none"> <li>• Status of local EOCs</li> <li>• Status of State SOC/REOC</li> <li>• Status of agency EOCs</li> <li>• Status of RRCC</li> <li>• Status of IMAT</li> <li>• Status of back-up region RRCC</li> </ul>	<ul style="list-style-type: none"> <li>• SOC/REOC/Coordination Center Reports</li> <li>• ESFs/other Federal Agencies</li> <li>• Regional offices</li> <li>• RRCCs</li> </ul>	<ul style="list-style-type: none"> <li>• Operations</li> <li>• ESF #5</li> </ul>	<ul style="list-style-type: none"> <li>• Situation briefings</li> <li>• Situation reports</li> <li>• GIS products</li> </ul>	<ul style="list-style-type: none"> <li>• No later than 1 hour following incident</li> </ul>

**Table B 1. Essential Elements of Information, methodology/source, responsible entity, products, and timeline**

Essential Element of Information	Specific information	Methodology/source	Responsible entity	Product	Timeline
<b>14. Status of critical infrastructure and facilities</b>	<ul style="list-style-type: none"> <li>• Status of potable and nonpotable water and sewage treatment plants/distribution systems</li> <li>• Status of medical facilities (hospitals and nursing homes)</li> <li>• Status of schools and other public buildings</li> <li>• Status of fire and police facilities</li> <li>• Status of levees and dams—U.S. Army Corps of Engineers, U.S. Bureau of Reclamation, DWR</li> </ul>	<ul style="list-style-type: none"> <li>• Predictive models</li> <li>• Remote sensing/aerial reconnaissance</li> <li>• SOC/REOC/Coordination Center reports</li> <li>• RRCC</li> <li>• ESF #3/U.S. Army Corps of Engineers</li> <li>• ESF #8/Public Health Service</li> <li>• ESF #12/Department of Energy</li> <li>• GIS</li> </ul>	<ul style="list-style-type: none"> <li>• Operations</li> </ul>	<ul style="list-style-type: none"> <li>• Situation briefings</li> <li>• Situation reports</li> <li>• GIS products</li> </ul>	<ul style="list-style-type: none"> <li>• Initial estimate within 6 hours and updated every 12 hours</li> </ul>
<b>15. Status of energy system</b>	<ul style="list-style-type: none"> <li>• Status of electrical generating facilities and distribution grid</li> <li>• Households/people without electric power</li> <li>• Status of natural gas transmission facilities and distribution pipelines</li> <li>• Households/people without natural gas</li> <li>• Status of refineries and gasoline and oil distribution systems</li> </ul>	<ul style="list-style-type: none"> <li>• ESF #12/Department of Energy reports</li> <li>• California Emergency Utilities Association</li> <li>• Nuclear Regulatory Commission reports</li> <li>• Investor-owned utilities (e.g., PG&amp;E) and municipal utility districts</li> <li>• Remote sensing</li> </ul>	<ul style="list-style-type: none"> <li>• ESF #12</li> </ul>	<ul style="list-style-type: none"> <li>• Situation briefings</li> <li>• Situation reports</li> <li>• GIS products</li> </ul>	<ul style="list-style-type: none"> <li>• Initial estimate within 6 hours and updated every 12 hours</li> </ul>
<b>16. Status of State and local operations</b>	<ul style="list-style-type: none"> <li>• State and local priorities</li> <li>• Major State operations in support of the local jurisdictions</li> <li>• Status of support received under EMAC</li> </ul>	<ul style="list-style-type: none"> <li>• SOC/REOC/Coordination Center reports</li> </ul>	<ul style="list-style-type: none"> <li>• Operations</li> </ul>	<ul style="list-style-type: none"> <li>• Situation briefings</li> <li>• Situation reports</li> </ul>	<ul style="list-style-type: none"> <li>• Initial determination within 6 hours following incident and updated every operational period</li> </ul>



**Table B 1. Essential Elements of Information, methodology/source, responsible entity, products, and timeline**

Essential Element of Information	Specific information	Methodology/source	Responsible entity	Product	Timeline
<b>17. Status of ESF activations</b>	<ul style="list-style-type: none"> <li>EFS that have been activated</li> <li>Major mission assignments that have been authorized</li> </ul>	<ul style="list-style-type: none"> <li>Operations section</li> <li>RRCC</li> <li>Mission assignment lists</li> </ul>	<ul style="list-style-type: none"> <li>Operations</li> </ul>	<ul style="list-style-type: none"> <li>Situation briefing</li> <li>Situation report</li> </ul>	<ul style="list-style-type: none"> <li>Initial determination within 3 hours following incident and updated every operational period</li> </ul>
<b>18. Status of remote sensing operations</b>	<ul style="list-style-type: none"> <li>Remote sensing missions that have been requested</li> <li>Target areas</li> <li>Data availability</li> <li>Whether a rapid assessment is being conducted</li> <li>Areas that are being assessed</li> <li>Report availability and format</li> <li>Whether the Civilian Air Patrol has been activated</li> <li>Where over-flights are being conducted</li> <li>Other aerial reconnaissance missions in progress</li> <li>Commercial remote sensing sources availability</li> </ul>	<ul style="list-style-type: none"> <li>U.S. Coast Guard</li> <li>U.S. Geological Survey</li> <li>DoD</li> <li>National Aeronautics and Space Administration</li> <li>Private-sector entities</li> </ul>	<ul style="list-style-type: none"> <li>ESF #5</li> </ul>	<ul style="list-style-type: none"> <li>Remote sensing imagery derived products</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> </ul>
<b>19. Status of donations/voluntary agency activities</b>	<ul style="list-style-type: none"> <li>Whether a donations hotline has been established or whether there is a need for the hotline</li> <li>Voluntary agencies that are actively involved in operations</li> </ul>	<ul style="list-style-type: none"> <li>Voluntary agencies</li> <li>Agency/ESF reports</li> </ul>	<ul style="list-style-type: none"> <li>Operations</li> </ul>	<ul style="list-style-type: none"> <li>Situation briefing</li> <li>Situation report</li> </ul>	<ul style="list-style-type: none"> <li>Within 12 hours following disaster declaration; updated every operational period</li> </ul>

**Table B 1. Essential Elements of Information, methodology/source, responsible entity, products, and timeline**

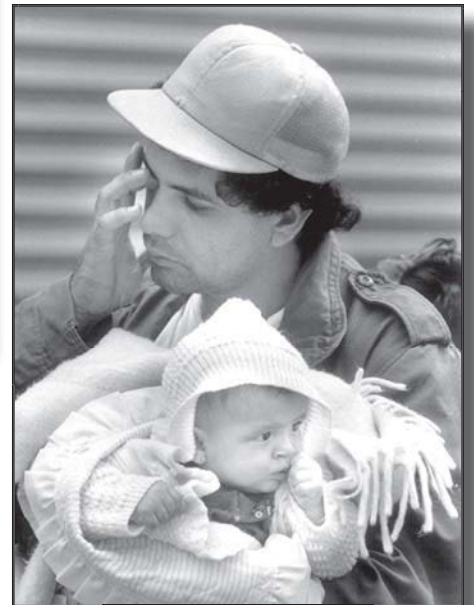
Essential Element of Information	Specific information	Methodology/source	Responsible entity	Product	Timeline
<b>20. Status of key personnel/ personnel issues</b>	<ul style="list-style-type: none"> <li>• Location of IMAT team leader</li> <li>• Designation and location of FCO</li> <li>• Designation of Governor’s authorized representative and State coordinating officer and location</li> <li>• Locations of Joint Task Force and National Guard Commanders</li> <li>• FEMA personnel killed or injured</li> <li>• FEMA personnel impacted by the incident</li> <li>• Staffing needs for response operations</li> </ul>	<ul style="list-style-type: none"> <li>• EOC/Coordination Center reports</li> <li>• FEMA declarations</li> <li>• Media reports</li> </ul>	<ul style="list-style-type: none"> <li>• Operations</li> </ul>	<ul style="list-style-type: none"> <li>• Special reports to FCO and senior management</li> </ul>	<ul style="list-style-type: none"> <li>• Within 2 hours following disaster declaration; updated every operational period</li> </ul>
<b>21. Status of declarations</b>	<ul style="list-style-type: none"> <li>• Status of local emergency declarations</li> <li>• Status of State emergency declaration</li> <li>• Status of Presidential declaration</li> <li>• Jurisdictions are included</li> <li>• Types of assistance authorized</li> <li>• Special cost-share provisions regarding direct Federal assistance</li> </ul>	<ul style="list-style-type: none"> <li>• EOC/Coordination Center Reports</li> <li>• FEMA declarations</li> <li>• The White House</li> </ul>	<ul style="list-style-type: none"> <li>• Operations</li> </ul>	<ul style="list-style-type: none"> <li>• Situation briefing</li> <li>• Situation report</li> <li>• FEMA disaster information database reporting</li> </ul>	<ul style="list-style-type: none"> <li>• As soon as information becomes available; updated every operational period</li> </ul>

**Table B 1. Essential Elements of Information, methodology/source, responsible entity, products, and timeline**

Essential Element of Information	Specific information	Methodology/source	Responsible entity	Product	Timeline
<b>22. Priorities for mitigation</b>	<ul style="list-style-type: none"> <li>• Approved mitigation projects in the declared disaster area</li> <li>• Change to cost/benefit of the preapproved project</li> <li>• Likely repair costs that will be substantial, exceeding 50 percent of structure value)</li> </ul>	<ul style="list-style-type: none"> <li>• FEMA disaster information database</li> <li>• Community information</li> <li>• System and model projections</li> <li>• Remote sensing</li> <li>• Preliminary damage assessments and/or inspection teams</li> </ul>	<ul style="list-style-type: none"> <li>• Mitigation</li> </ul>	<ul style="list-style-type: none"> <li>• Situation briefing</li> <li>• Situation report</li> </ul>	<ul style="list-style-type: none"> <li>• Within 48 hours of incident</li> </ul>
<b>23. Priorities for response/upcoming activities</b>	<ul style="list-style-type: none"> <li>• Federal operational priorities</li> <li>• Priorities: water, food, power, medical, search and rescue, communications</li> </ul>	<ul style="list-style-type: none"> <li>• EOC/Coordination Center reports</li> <li>• Rapid needs assessment team reports</li> <li>• Community relations field reports</li> <li>• ESF reports</li> <li>• Elected officials</li> </ul>	<ul style="list-style-type: none"> <li>• Operations</li> </ul>	<ul style="list-style-type: none"> <li>• Situation briefings</li> <li>• Situation reports</li> <li>• GIS products</li> </ul>	<ul style="list-style-type: none"> <li>• Initial determination w/in 6 hours following incident and updated every operational period</li> </ul>
<b>24. Major issues/ shortfalls</b>	<ul style="list-style-type: none"> <li>• Actual or potential resource shortfalls of the affected counties</li> <li>• Anticipated requirements for Federal resources</li> <li>• Potential or actual Federal shortfalls</li> <li>• Potential sources for resource shortfalls</li> <li>• Resources available and where located</li> </ul>	<ul style="list-style-type: none"> <li>• SOC/REOC/Coordination Center reports</li> <li>• Rapid needs assessment team reports</li> <li>• Community relations field reports</li> <li>• ESF reports</li> </ul>	<ul style="list-style-type: none"> <li>• Logistics</li> </ul>	<ul style="list-style-type: none"> <li>• Situation briefings</li> <li>• Situation reports</li> <li>• GIS products</li> </ul>	<ul style="list-style-type: none"> <li>• Initial assessment w/in 6 hours following incident and updated every operational period</li> </ul>

This page is intentionally left blank.

# Earthquake Airlift! HOW TO DO IT



**A Special Project of the California Pilots Association**

P.O. Box 6868, San Carlos, CA 94070

[www.calpilots.org](http://www.calpilots.org)

1-800-319-5286 • [cpa@calpilots.org](mailto:cpa@calpilots.org)



# EARTHQUAKE AIRLIFT !

## Are We Ready for the “Big One?”

**California is earthquake country.** The official geologic earthquake fault map resembles a giant jigsaw puzzle with its pieces defined by many fault lines forming the State of California. Earthquakes are going to happen. There will be many “Big Ones”. The times, places and severity are unknown.

**What can volunteer pilots do?** Volunteer pilots can respond quickly. Quick response after an earthquake is of the essence to alleviate the pain of earthquake victims. No lengthy official approval process is required as is required by official agencies. This was clearly demonstrated after the Northern California Loma Prieta earthquake of 1989 and the Southern California Northridge earthquake of 1994. In both instances general aviation pilots were the first responders. They delivered thousands of pounds of emergency supplies and provided transportation for key personnel to hard hit communities before official agencies could respond.

When taking the lead, volunteer pilots can invite and encourage personnel of local official agencies to participate. But, an airlift should not be delayed by an agency’s need for more preparation time.

**Can privately owned aircraft be used? Yes.** There is a large fleet of general aviation aircraft situated throughout the state. Pilots can use these aircraft to respond quickly. No special permission is needed for individual owners to donate and control the use of their aircraft for this humanitarian purpose. A volunteer airlift flight can be operated in the same manner and under the same rules as a personal transportation flight.



## **NEEDED RELIEF**

Prompt transportation of key personnel such as police, firemen and government officials may be needed.

Needed emergency supplies could include any of the following:

Clothing, canned food, fresh food, water, flashlights, extra flashlight batteries, bedding, sleeping bags, folding cots, cooking utensils, medical equipment, medicine or first aid, sanitary supplies, baby supplies, dishes, paper plates, plastic bags, gloves, hand tools, building materials, portable cook stoves, germicides or cleaners, tents, portable radios, floodlights, generators, portable lamps, water pumps, rope or cable.

## **HOW TO DO IT**

With slight adaptation these guidelines can be used at both provider and receiver airports. The first step after an earthquake is to select key persons to implement an emergency airlift.

**SELECT AN AIRPORT COORDINATOR.** This person can designate others to assist in the overall airlift operation such as:

- \* Select and assign volunteers for key functions;
- \* Take safety precautions for volunteers and others who are on the airport;
- \* Provide guidance for ground vehicles;
- \* Designate a staging area for collection of emergency supplies from off-airport sources;
- \* Provide guidance for aircraft movement by establishing a flow pattern for aircraft approaching and departing the ramp loading area;
- \* Use hand-held radios to maintain communications with other on-airport volunteers;
- \* Maintain security by excluding from the operations area persons not having a role in the operation, e.g., TV camera persons and politicians who want to capitalize by being identified with the humanitarian event.



**COMMUNICATIONS DIRECTOR.** Key functions:

- \* If available and needed use a list of telephone numbers to contact local volunteer aircraft owners and notify them that their services are needed;
- \* Use hand-held radios to maintain contact with other on-airport volunteers.
- \* Establish communications with a coordinator at a receiver airport. This may be done with cell phones, land lines, Ham radio operators or E-mail;
- \* Determine from receiver airport coordinator what supplies and assistance are needed.

**EMERGENCY SUPPLIES RESOURCES COORDINATOR.**

Services of a relief agency such as Second Harvest or Red Cross may be used to deliver emergency supplies to the provider airport staging area;

Individuals may deliver emergency supplies to the airport if under guidance of the Airport Coordinator to maintain safety and avoid vehicle congestion.

**LOADMASTER.** This person should direct all aircraft loading.

- \* Observe safety precautions relating to both aircraft and ground vehicles;
- \* Complete a load sheet in duplicate for each flight describing all items loaded;
- \* To avoid overloading list the approximate weight of each item;
- \* Secure cargo to prevent shifting in flight;
- \* Keep one copy of the load sheet, give one copy to the pilot.

**FLIGHT DISPATCHER.**

- \* Brief pilots on weather, routing, air traffic, radio frequencies, condition and reception area of receiver airport;
- \* Notify Air Traffic Controllers before beginning the airlift operation;
- \* Coordinate individual flights with Air Traffic Controllers;
- \* Maintain contact with receiver airport Coordinator;
- \* Log departure and arrival times at both departure and destination airports;
- \* Track flights to destination and return to assure that all are accounted for.





## **RECEIVING AIRPORT**

**RECEIVING AIRPORT COORDINATOR.** This person should:

- \* Maintain communications with the provider airport(s);
- \* Advise coordinator at provider airport(s) of types of emergency supplies needed;
- \* Direct ramp traffic flow of arriving and departing aircraft to maintain safety for volunteers;
- \* Direct unloading of emergency supplies in a safe manner;
- \* Place emergency supplies in a suitable staging area;
- \* Arrange for local agencies such as Second Harvest or Red Cross to receive and distribute emergency supplies;
- \* Assure dispatch of aircraft back to home airport.

## **LEGAL NOTE**

Participating aircraft owners are to provide this humanitarian service with no expectation of pay. They should not agree before a flight to receive money, free fuel or anything of value in exchange. That precaution is to assure the aircraft owner's insurance will remain in effect and there will be no violation of Federal Aviation Regulation Part 91.



## **SUMMARY OF WHAT TO DO AFTER AN EARTHQUAKE**

(Adaptable to Provider or Receiver Airport )

1. SELECT A COORDINATOR FOR YOUR AIRPORT
2. SELECT VOLUNTEERS FOR KEY FUNCTIONS
3. ESTABLISH COMMUNICATIONS WITH LOCAL AGENCIES
4. ESTABLISH COMMUNICATIONS WITH COORDINATORS AT OTHER AIRPORTS
5. SELECT AIRCRAFT AND PILOTS FOR AIRLIFT OPERATIONS
6. DETERMINE WHICH AIRPORTS ARE TO RECEIVE EMERGENCY SUPPLIES
7. DETERMINE WHAT TYPES OF SUPPLIES ARE NEEDED
8. ARRANGE FOR OFF-AIRPORT COLLECTION OF EMERGENCY SUPPLIES
9. ORGANIZE AN ORDERLY ON-AIRPORT TRAFFIC FLOW FOR AIRCRAFT AND GROUND VEHICLES
10. SELECT QUALIFIED PERSONS TO OPERATE GROUND EQUIPMENT
11. SELECT A LOADING SUPERVISOR TO SUPERVISE AIRCRAFT LOADING
12. SELECT A FLIGHT DISPATCHER TO KEEP FLIGHT RECORDS
13. SELECT A PILOT BRIEFER
14. SECURITY: CONTROL AIRPORT ACCESS BY NON-PARTICIPATING PERSONS
15. HUMAN FACTORS: ARRANGE FOR FOOD, DRINK AND TOILET FACILITIES FOR VOLUNTEERS
16. VOLUNTEERS SHOULD PAY THEIR OWN FLIGHT EXPENSES (For legal reasons)
17. RECEIVER AIRPORT: ARRANGE WITH LOCAL AGENCY FOR OFF-AIRPORT RECEPTION AND DISTRIBUTION OF EMERGENCY SUPPLIES

# AIRCRAFT LOAD SHEET

(Complete for each flight)

Name of dispatching airport \_\_\_\_\_

Aircraft Make/model \_\_\_\_\_ Reg. "N" No. \_\_\_\_\_

Pilot's name \_\_\_\_\_ Tel. No. \_\_\_\_\_

Destination airport \_\_\_\_\_

Name of loading supervisor \_\_\_\_\_

Date \_\_\_\_\_ Time of flight dispatch \_\_\_\_\_

## LOAD

Weight, Lbs

Remarks

\_\_\_\_ Clothing  
\_\_\_\_ Canned food  
\_\_\_\_ Fresh food  
\_\_\_\_ Water  
\_\_\_\_ Flashlights/batteries  
\_\_\_\_ Bedding  
\_\_\_\_ Cooking utensils  
\_\_\_\_ Medical equipment  
\_\_\_\_ Medicine/First aid  
\_\_\_\_ Sanitary supplies  
\_\_\_\_ Baby supplies  
\_\_\_\_ Dishes  
\_\_\_\_ Paper plates, etc  
\_\_\_\_ Plastic bags  
\_\_\_\_ Gloves  
\_\_\_\_ Hand tools  
\_\_\_\_ Building materials  
\_\_\_\_ Germicides, cleaners  
\_\_\_\_ Sleeping bags  
\_\_\_\_ Tents  
\_\_\_\_ Portable radios/telephones  
\_\_\_\_ Floodlights  
\_\_\_\_ Generators  
\_\_\_\_ Pumps  
\_\_\_\_ Rope, cable

Passenger's Name

Passenger's Name

\_\_\_\_ Total weight.

### AIRLIFT DISPATCH RECORD

NAME OF HAM OPERATOR: \_\_\_\_\_

CALL SIGN \_\_\_\_\_

TEL # \_\_\_\_\_

LOCATION: \_\_\_\_\_

DEPARTURE AIRPORT	DESTINATION AIRPORT	AIRCRAFT ID#	AIRCRAFT TYPE	TOTAL LOAD LBS.	PILOT'S NAME	PASSENGER'S NAME	AIRPORT DEP. TIME	DEST. ARR TIME

NOTES/ADDITIONAL INFORMATION:

**IMPORTANT INDIVIDUAL AIRPORT INFORMATION**

NAME OF AIRPORT \_\_\_\_\_

AIRPORT MANAGER \_\_\_\_\_ Tel \_\_\_\_\_

AIRPORT COORDINATORS:

\_\_\_\_\_ Tel \_\_\_\_\_

\_\_\_\_\_ Tel \_\_\_\_\_

\_\_\_\_\_ Tel \_\_\_\_\_

FAA CONTROL TOWER FREQUENCY \_\_\_\_\_ Tel \_\_\_\_\_

FIRE DEPARTMENT LOCATION \_\_\_\_\_ Tel \_\_\_\_\_

LOCAL POLICE, LOCATION \_\_\_\_\_ Tel \_\_\_\_\_

SHERIFF, LOCATION \_\_\_\_\_ Tel \_\_\_\_\_

OFFICE OF EMERGENCY SERVICES \_\_\_\_\_ Tel \_\_\_\_\_

RED CROSS LOCATION \_\_\_\_\_ Tel \_\_\_\_\_

SALVATION ARMY LOCATION \_\_\_\_\_ Tel \_\_\_\_\_

SOURCES OF EMERGENCY SUPPLIES \_\_\_\_\_ Tel \_\_\_\_\_

TELEPHONE COMPANY EMERGENCY SERVICES \_\_\_\_\_ Tel \_\_\_\_\_

AMATEUR RADIO OPERATORS \_\_\_\_\_ Tel \_\_\_\_\_

EMERGENCY FUEL SUPPLIES FOR AIRCRAFT \_\_\_\_\_ Tel \_\_\_\_\_

FAA WEATHER BRIEFING / AIRPORT NOTAMS \_\_\_\_\_ Tel \_\_\_\_\_

OTHER:



Buchanan Field  
Concord, CA  
Photos by James McCloud

Provider Airport



Reid Hillview Airport  
San Jose, CA  
Photos by Joe Villarin  
& John Kuzynski

Provider Airport



Reid Hillview Airport  
San Jose, CA  
Photos by Joe Villarin  
& John Kuzynski  
Provider Airport





Watsonville Airport  
Watsonville, CA  
Photos by Joe Villarin  
Receiver Airport

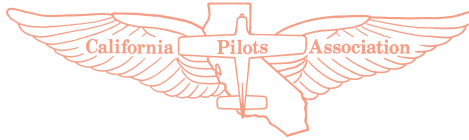


Watsonville Airport  
Watsonville, CA  
Photos by Joe Villarin  
Receiver Airport



# California Pilots Association

P. O. Box 6868  
San Carlos, CA 94070-6868 (800) 319-5286  
www.calpilots.org



PRSR STD  
U.S. POSTAGE  
PAID  
SAN CARLOS, CA  
PERMIT #4

ADDRESS SERVICE REQUESTED

# Help Save California's Airports

AIRPORT ADVOCATE

## CALPILOTS MEMBERSHIP APPLICATION

Name..... Home Airport.....  
Address..... City..... State..... \*Zip.....  
Home Phone..... Work..... Fax..... Cell.....  
Email Address..... Aircraft..... N#.....  
\*(4 Digit ZIP Extension required for newsletter delivery, please provide if known)

**Membership:**  New  Renewal  Individual \$35  Lifetime \$500  Chapter \$50  
 Pilot Organization \$50  Aviation Business \$50  Business Partnership \$250  
Additional Donation: \$\_\_\_\_\_ (Tax Deductible-CALPILOTS is a 501 (c) (3) Organization)

Pilot PAC: \$\_\_\_\_\_ (Not Tax Deductible, For a PAC Contribution of \$100 or more, please complete the lines below-required by law)

Occupation \_\_\_\_\_ Employer \_\_\_\_\_

**Payment Method:** \_\_\_ Check \_\_\_ VISA \_\_\_ MasterCard

Card # \_\_\_\_\_ Expiration Date \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

Referred by \_\_\_\_\_ Member # \_\_\_\_\_

Mail to: **California Pilots Association, P.O. Box 324, The Sea Ranch, CA. 95497-0324**

*Note: Please use the above address for membership applications only*

# **SANTA MONICA AIRPORT**

## ***OPERATIONS HANDBOOK***

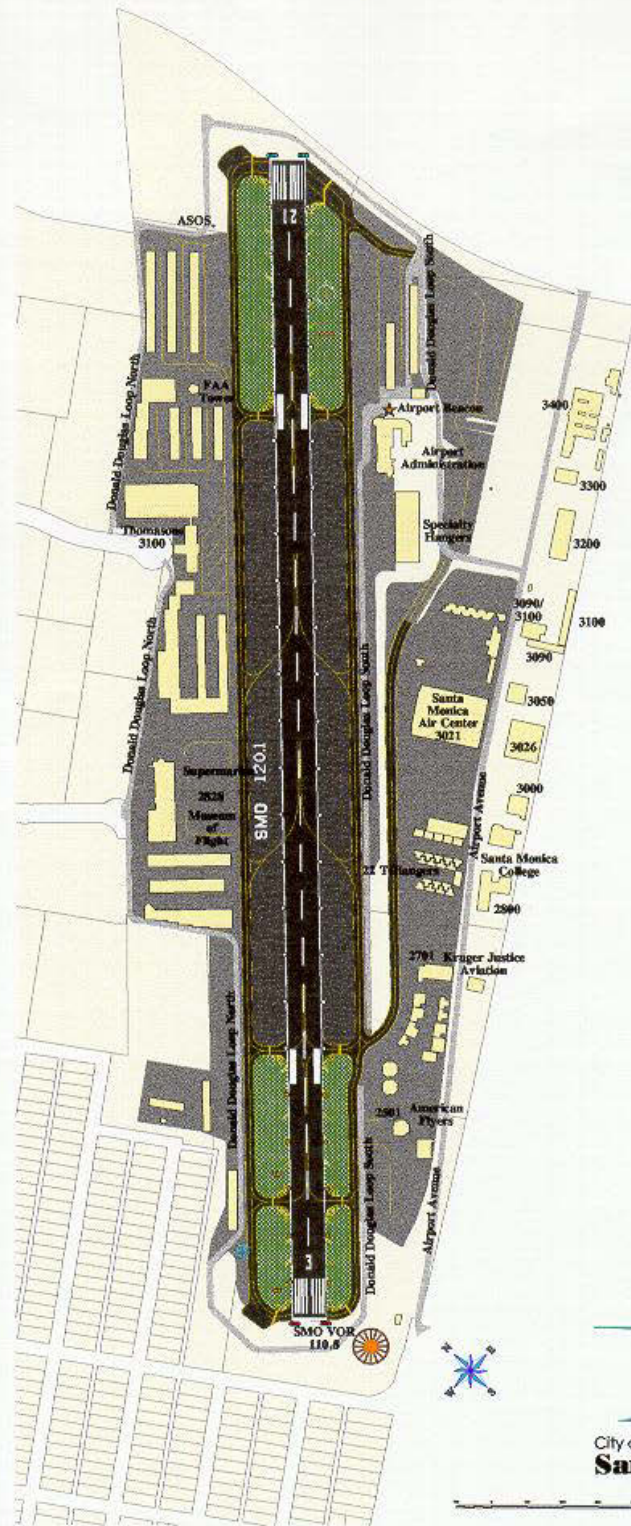


City of  
**Santa Monica**<sup>SM</sup>

**Santa Monica Airport**  
**3223 Donald Douglas Loop South**  
**Santa Monica, California 90405**  
**310.458.8591**  
[airport@smgov.net](mailto:airport@smgov.net)

**December 2008**

# Santa Monica Airport



Information Systems Department Geographic Information Systems, David Mink, April 30, 1998

© City of Santa Monica. All rights reserved.



## TABLE OF CONTENTS

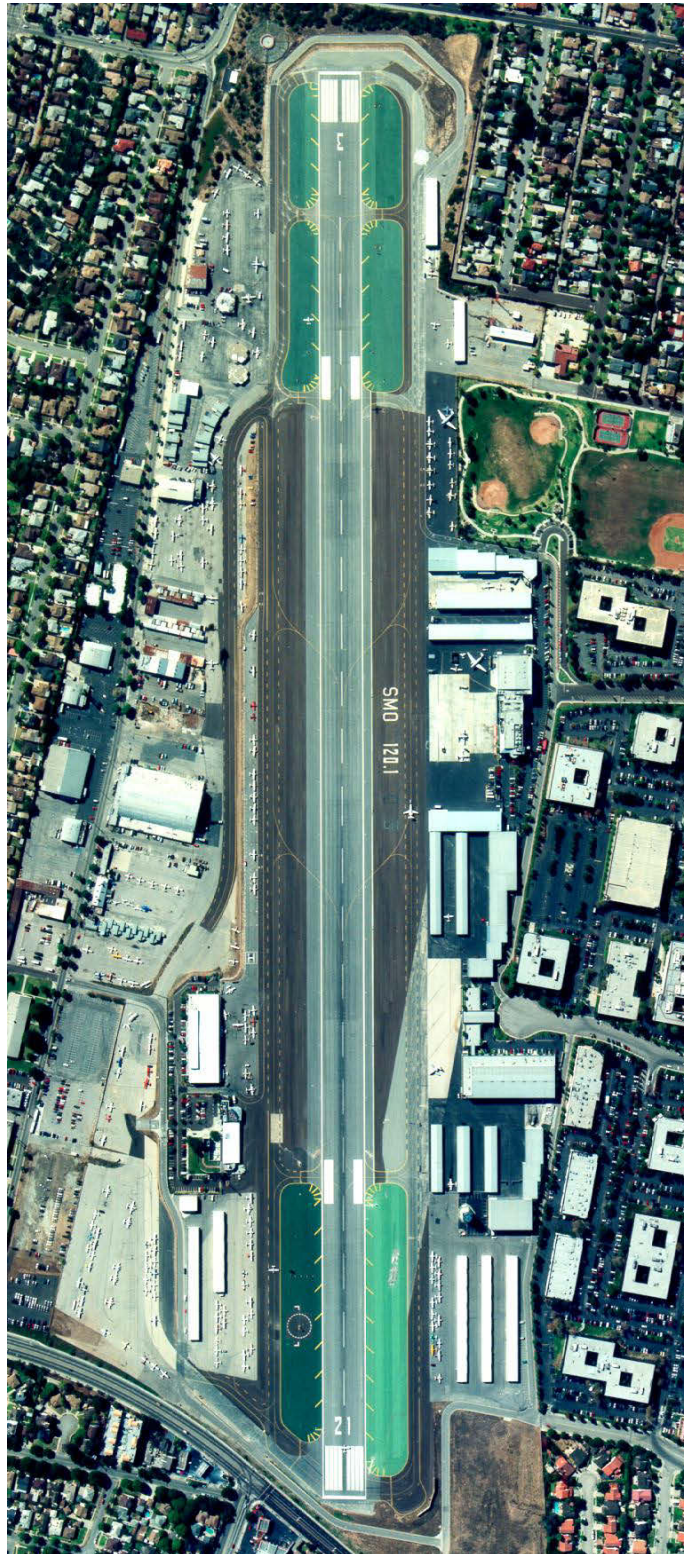
<b>Preface - Preface and Airport Familiarization</b>	<b>p. 6</b>
<b>Article 1 - General Provisions</b>	<b>p. 9</b>
<b>Article 2 - Definitions</b>	<b>p. 10</b>
<b>Article 3 - Airport Director or designee</b>	<b>p. 13</b>
<b>Article 4 - Limitation of Liability</b>	<b>p. 13</b>
<b>Article 5 - Insurance</b>	<b>p. 14</b>
<b>Article 6 - Emergency Procedures</b>	<b>p. 15</b>
<b>Article 7 - Aircraft Operations</b>	<b>p. 16</b>
<b>Article 8 - Aircraft Noise Abatement</b>	<b>p. 21</b>
<b>Article 9 - Hangar and Tie-down Regulations</b>	<b>p. 26</b>
<b>Article 10 - Fire Hazards and Fueling Operations</b>	<b>p. 28</b>
<b>Article 11 - Motor Vehicle Regulations</b>	<b>p. 31</b>
<b>Article 12 - Personal Conduct</b>	<b>p. 37</b>
<b>Article 13 - Commercial or Business Activity, Events and Film Permits</b>	<b>p. 40</b>
<b>Article 14 - Enforcement</b>	<b>p. 51</b>
<b>Article 15 - Appeal Process</b>	<b>p. 51</b>
<b>APPENDIX A – Telephone Numbers</b>	<b>p. 53</b>
<b>APPENDIX B – Common Communication Phrases</b>	<b>p. 54</b>
<b>APPENDIX C – US Airport Signs</b>	<b>p. 56</b>
<b>APPENDIX D – Santa Monica Municipal Code Sections</b>	<b>p. 58</b>
<b>APPENDIX E – Photos</b>	<b>p. 71</b>

<b>APPENDIX F – Airport Landing and Approach Plan</b>	<b>p. 73</b>
<b>APPENDIX G – Sample Film and Event Permits</b>	<b>p. 74</b>
<b>APPENDIX H – Landing Fee Program</b>	<b>p. 83</b>
<b>APPENDIX I - Notification and Agreement</b>	<b>p. 85</b>



**Clover Field/Santa Monica Airport  
1937**





**Santa Monica Municipal Airport**  
1997 Aerial Photo

## PREFACE

Santa Monica Municipal Airport (SMO) is a General Aviation (GA) reliever airport. No air carrier aircraft operate at SMO. Santa Monica Airport consists of 227 acres and is one of the oldest airports in California, operational since 1917. The airport handles approximately 140,000 aircraft operations annually.

It is important to be aware and know the rules of your airport and to recognize the nature of its surrounding community. Airports are complex environments involving a wide range of movements and activities of aircraft, vehicles and persons within a very defined space. The airport also operates within a local and regional “neighborhood,” much of which is residential, and serves and interacts with a variety of persons and groups, all of whose well-being, concerns and rights should be respected at all times. Many of the activities associated with the airport are regulated or controlled by other agencies such as the Federal Aviation Administration whose procedures must also be observed. This Manual is intended as a guide to the City of Santa Monica’s rules and procedures governing the safe and efficient use of Santa Monica Municipal Airport. For further information on the City’s Airport Code, refer to Chapter 10.04 of the Santa Monica Municipal Code appended to this document. For FAA rules and regulations and procedures please contact the FAA at its web site [www.faa.gov](http://www.faa.gov) or 800.322.7873.

### LOCATION

SMO is located near the intersection of the San Diego (405) and Santa Monica (10) freeways at the intersection of Bundy Drive and Airport Avenue. Access to the airport administration is from Airport Avenue at 3223 Donald Douglas Loop South. North side properties are located off of Ocean Park Boulevard at 28<sup>th</sup> Street.

### TELEPHONE NUMBERS AND AIRPORT ADMINISTRATION OFFICE HOURS

<i>Name</i>	<i>Number</i>
Airport Office	310-458-8591
Airport Office fax	310-572-4495
Airport Security	310-458-2253
Noise Abatement Program	310-458-8759 or 8692
Fire Department	911
Police Department	911

The Airport office hours are 7:30 a.m. to 5:30 p.m. Monday through Thursday, and every other Friday 8:00 a.m. to 5:00 p.m. as part of the City’s commute trip reduction plan to improve air quality in conformance with an agreement with the Air Quality Management District.

## **AIRPORT ADVISORIES**

Unicom 122.95 (after hours)  
ATIS 119.15 (310) 450-4620 1500-0500Z  
CTAF 120.1  
Radio Aids to Navigation NOTAM FILE SMO  
Weather Data Source: LAWRS

## **AIRPORT DATA**

Coordinates	N 34 00.95' W 118 27.08'
Magnetic Variation	17.43E
Mean Maximum Temperature	78 F
Airport Role	General Aviation Reliever
Field Elevation:	175 feet MSL
Runway 21:	175 feet MSL
Runway 03:	115 feet MSL
Runway Length:	4,987 feet x 150 feet
Runway Slope:	1.2% SW
Left Traffic:	Runway 21
Right Traffic:	Runway 03
ATIS 119.15 MHz	(310) 450-4620
Tower Operational from 0700 local time to 2100 local time	
Control Tower Frequency 120.1 MHz	
Ground Control Frequency 121.9 MHz	
VOT 113.9 MHz	
Noise Management Office 122.9 MHz	
Flight Service Station 122.5 MHz	
SMO VORTAC 110.8 MHz	
Instrument Approach Procedure: VOR-A or GPS-A Runway 21	

## **AIRPORT VIEW DECKS**

The Airport has two free and easily accessible viewing decks where the public is invited to watch aircraft activity. The Runway View Deck and the Public Skydeck are on the east and west ends of the Airport Administration Building located at 3223 Donald Douglas Loop South. Both areas are excellent spots to watch airplanes, take photographs, listen to the air and ground activity from the control tower, which is broadcast in the background.

## **FAA REGIONAL OFFICE (Western-Pacific Region)**

1500 Aviation Blvd.  
Lawndale, CA 90261  
310.725.6000 Air Traffic Division  
310.725.3620 Airports Division  
[www.awp.faa.gov](http://www.awp.faa.gov)

## **FUEL**

American Flyers – Air BP 100LL  
(310) 390-4571 123.3 MHz  
Atlantic Aviation - Exxon/Aviat 100LL, Jet A  
(310) 396-6770 AIRINC 129.375 122.95 MHz

## **GENERAL RUNWAY DATA**

Heading	3/21
Length	4,987ft.
Surface	Asphaltic
Strength	Single Wheel: 40,000 lbs. Dual Wheel: 60,000 lbs. DT 105,000 lbs
Effective Gradient	.119 (East to West)
Width	150 ft.
Approach Surface	50:1
Landing Aid	None
Runway Lighting	MIRL
Safety Areas	150+ ft. either side of centerline 200+ ft. beyond end of all runways
Runway 03	VASI (V4L) GA 4.0 TCH 27' Rgt t/c
Runway 21	REIL PAPI (P4L) GA 4.0 TCH 65'

## **GENERAL TAXIWAY DATA**

All taxiways 42 feet wide  
Taxiways are un-lighted  
Asphalt surface  
Marking: Yellow Centerline  
Safety areas extend 75ft. either side of centerline

## **SANTA MONICA MUNICIPAL AIRPORT WEBSITE**

<http://www.smgov.net/airport/>

## **TRAFFIC PATTERN ALTITUDE**

1,400 feet MSL Single-Engine  
1,900 feet MSL Multi-Engine

## **TRANSIENT AIRCRAFT PARKING/FEEES**

Temporary transient aircraft parking is available in the southeast area of the Airport adjacent to, and front of, the Airport Administration Building. There is an overnight fee for single and multi-engine aircraft including helicopters, please check with airport administration for current rates. Pilots are required to register with airport administration upon arrival. Payment envelopes are available inside the Airport Administration Building.

**ARTICLE 1  
GENERAL PROVISIONS**

**1.01 APPLICABILITY**

The Rules and Regulations of the Santa Monica Airport shall be applicable to the Santa Monica Airport, owned and operated by the city of Santa Monica. All persons on, and users of, the Airport shall be governed by these Rules and Regulations and by any orders or directives promulgated by the Airport Director or designee in furtherance hereof.

**1.02 GENERAL OPERATIONS**

The Airport shall be operated as a public use facility for the promotion and accommodation of general aviation and associated activities subject to restrictions contained in these Rules and Regulations or as may be determined by the Airport Director or designee.

**1.03 INTERPRETATION**

These Rules and Regulations are not intended to amend, modify or supersede any provisions of Federal, State or Local Law, or any specific contractual agreement of the City of Santa Monica with which they may conflict. These Rules and Regulations are not intended to conflict with, modify or amend any existing master lease agreements.

**1.04 SEVERABILITY**

If any portion of these Rules and Regulations, or the application thereof, to any person or circumstances shall be held invalid or unenforceable, all other provisions, shall remain in effect and be construed to achieve the purpose hereof.

**1.05 NONDISCRIMINATION**

All services in operating a facility or providing a service at the Airport shall be performed without discrimination or segregation with respect to race, religion, creed, color, sex, sexual orientation, disability, age or national origin.

**1.06 ADHERENCE TO RULES AND REGULATIONS**

It shall be the responsibility of all aircraft owners, operators, tenants, service providers and users of the airport to become familiar with and adhere to these Rules and Regulations.

## **ARTICLE 2 DEFINITIONS**

### **2.01 AERONAUTICAL ACTIVITY**

Any activity which involves, makes possible, or is required for the operation of aircraft, or which contributes to or is required for the safety of such operations.

### **2.02 AIRCRAFT**

A device that is used or intended to be used for flight in the air, *including, but not limited to:* airplanes, jet aircraft, airships, dirigibles, helicopters, gliders, amphibians, seaplanes, hot air balloons, etc.

### **2.03 AIR OPERATIONS AREA**

Any area of the airport used or intended to be used for landing, take off or surface maneuvering of aircraft.

### **2.04 AIRPORT**

The land and facilities including all property and improvements within the property or boundary line of the area commonly known as the Santa Monica Airport.

### **2.05 AIRPORT DIRECTOR OR DESIGNEE**

The Director of the Santa Monica Airport or his/her duly authorized representative.

### **2.06 AIRPORT SURFACE**

The public runways for landing and taking off of aircraft, designated helipads, public taxiways for ground movement of aircraft, and public aircraft parking space for loading, unloading, fueling and emergency servicing of aircraft.

### **2.07 CITY OF SANTA MONICA**

The City of Santa Monica is the owner/operator of Santa Monica Airport.

### **2.08 BASED AIRCRAFT**

Any aircraft which utilizes the airport as a base of operation (other than occasional transient purposes) and is registered at the airport with an assigned tie-down or hangar space on airport or adjoining property which has direct taxiway access to the airport.

### **2.09 COMMERCIAL ACTIVITY**

Any person or business that is engaged in any activity within the boundaries of Santa Monica Airport for compensation or hire and derives a business or personal benefit whether it be tangible or intangible from this activity.

**2.10 COMMERCIAL VEHICLE**

A vehicle of any type whatsoever used or maintained for the transportation of persons, goods, or property for hire, compensation or profit.

**2.11 COMPENSATION**

Any form of reimbursement for goods or services such as, but not limited to, monetary, barter, favors, gratuity.

**2.12 FEDERAL AVIATION ADMINISTRATION (FAA)**

The Federal Aviation Administration of the United States of America, as defined in the Federal Aviation Act of 1958 or any subsequent and successor to that agency created for the control and operation of aviation and its related functions.

**2.13 FIXED BASE OPERATOR (FBO)**

A person or business based at Santa Monica Airport who, under contract with the City of Santa Monica/Santa Monica Airport, engages in the business of aeronautics, aircraft repairs of any kind, the sale and renting of new and used aircraft, the sale of parts, flight instruction, fuel sales, commercial flying services and organizations, and/or airplane charter trips or local flights.

**2.14 FLYING CLUB**

Flying Club means a private association or group of more than three individuals jointly owning or leasing an aircraft where payment is made to the club for the operating of such aircraft.

**2.15 LANDING FEE**

Landing fees are charged on each and every landing by transient/itinerant aircraft. On August 1, 2005, the Santa Monica City Council implemented a revised landing fee program for all transient aircraft based on a uniform rate per 1000 pounds of Maximum Certificated Gross Landing Weight; please check with airport administration for the current rate. Based aircraft at the Santa Monica Airport are exempt from the landing fee program.

**2.16 LIMITED COMMERCIAL OPERATOR**

Any person or business engaged in a specific commercial activity which does not require a business location on airport property as determined by the City of Santa Monica such as, but not limited to: free lance flight instructors, mobile aircraft mechanics and airframe and power plant inspectors, parachute operations, hot air balloon operations, non-scheduled small package carriers, etc.

**2.17 OPERATOR**

The pilot or owner of an aircraft or vehicle, or any person who has rented or otherwise has the authorized use of such aircraft or vehicle, for the purpose of operation by him/her or his/her agent.

**2.18 OWNER**

The registered or legal owner of: an aircraft according to the records of the Federal Aviation Administration or a vehicle according to DMV records.

**2.19 PERMITTEE**

A person or business who has written permission (permit) from the City of Santa Monica/Santa Monica Airport to conduct occasional commercial activity, within the confines of the permit, at Santa Monica Airport.

**2.20 PERSON**

Any individual; firm; co-partnership; company; corporation; association; organization; joint stock association or body politic; including any trustee, receiver, assignee or similar representative thereof.

**2.21 RESTRICTED AREAS**

Runways and taxiways (excluding taxi lanes), fire lanes, airport maintenance facilities, mechanical rooms, electrical vaults, fire breaks, and any other restricted areas marked as such with appropriate signage.

**2.22 SELF FUELING**

Any person who: dispenses fuel into an aircraft using a commercial self-service aircraft fueling station or their own fueling apparatus.

**2.23 SHALL AND MAY**

"Shall" is mandatory and "May" is permissive.

**2.24 SUPERVISED AREAS**

All aprons, ramps, hangars, tie-downs, and aircraft operations areas.

**2.25 TAXILANE**

An aircraft transit area (defined by a yellow center line stripe) leading from a designated taxiway to aircraft tie down or hangar areas.

**2.26 TRANSIENT / ITINERANT AIRCRAFT**

Any aircraft utilizing the airport for occasional transient purposes and is not based at Santa Monica Airport.

**2.27 ULTRA LIGHT AIRCRAFT**

An air vehicle as defined by the Federal Aviation Administration.



**ARTICLE 3  
AIRPORT DIRECTOR OR DESIGNEE**

**3.01 AUTHORITY and ENFORCEMENT**

The Airport Director or designee shall as an official of the City of Santa Monica fairly and impartially administer and enforce these Rules and Regulations and may issue such orders, instructions or directives as may be necessary to safeguard persons and property. The Airport Director or designee is authorized to make additional rules and regulations that, in his/her discretion, may be required in any emergency or abnormal situation to achieve the purposes hereof. The Airport Director or designee, as representative and agent of the City of Santa Monica/Santa Monica Airport, shall require and enforce compliance with City rules and regulations and any orders or directives issued pursuant hereto. (See Appendix D SMMC 10.04.02.020)

**3.02 SIGNS**

The Airport Director or designee may post or cause to have posted signs, or employ other markings, for the purpose of giving notice of these Rules and Regulations, or other orders or directives deemed necessary.

**ARTICLE 4  
LIMITATION OF LIABILITY**

**4.01 ASSUMPTION OF LIABILITY BY USER**

The permission granted by the City of Santa Monica to use the Santa Monica Airport and its facilities at all times shall be conditioned upon the assumption of full responsibility by every person exercising or taking advantage of such permission and the assumption of full responsibility and risk of the user.

All persons utilizing the airport shall release, hold harmless and indemnify the Airport, the City of Santa Monica, its boards and commissions, its officers and employees from any and all responsibility, liability, loss or damage, caused by persons or users of the airport and its facilities.

**4.02 ACCEPTANCE OF PRIVILEGE**

The use of the Airport by any person shall be an acknowledgment that such person accepts the conditions set forth herein.

**4.03 COMPLIANCE WITH LAWS**

The owners and operators of all aircraft based at Santa Monica Airport shall comply with all Federal, State, and Local Laws, Rules and Regulations governing the use, maintenance and operation of aircraft and motor vehicles.

**ARTICLE 5**

## **INSURANCE**

### **5.01 COMMERCIAL BUSINESS**

All commercial businesses, including aviation operators, fixed base operators and non-aviation commercial, shall be covered by adequate insurance at their own expense in order to ensure payment of damage occasioned by their operation or conduct of business activities in and upon the airport, including aircraft and ramp vehicles. Said policy shall be comprehensive general liability commercial insurance providing bodily injury property damage liability coverage in extents and amounts set forth by the City of Santa Monica/Santa Monica Airport. A current copy of a certificate of insurance bearing an original signature of the insurance agent and evidencing required coverage must be on file with the Santa Monica Airport Administration at all times. *It is the responsibility of the business/tenant to insure a current certificate is on file.*

### **5.02 BASED AIRCRAFT**

Owners / operators of aircraft based at the Airport are required to maintain appropriate comprehensive general liability insurance (including passenger seat liability) adequately covering the operation and storage of the aircraft.

### **5.03 HANGAR/TIE-DOWN AGREEMENT**

In no case shall the amount of insurance coverage be less than the amount specified in the respective rental or lease agreement.

### **5.04 ADDITIONAL INSURED**

The City of Santa Monica, its officers, boards and commissions, employees and agents shall be named an additional named insured in all such insurance policies.

### **5.05 CERTIFICATE OF INSURANCE AND REGISTRATION**

Each operator, business or aircraft owner based at Santa Monica Airport must provide a copy of the aircraft registration and keep current a Certificate of Insurance with the Santa Monica Airport Administration, indicating that the required coverage is being maintained including endorsements naming the City of Santa Monica, its officers, boards and commissions, employees and agents as additional insured, and providing for thirty (30) days unequivocal written notice to the Airport Director or designee before cancellation.

## **ARTICLE 6**

## **EMERGENCY PROCEDURES**

### **6.01 IMMEDIATE ACTION**

Witnesses of, or participants involved in any aircraft, vehicular, or pedestrian accident, fire or any incident requiring immediate emergency assistance occurring on or within the airport boundaries or neighboring property shall:

- A. IMMEDIATELY DIAL 911**, then:
  
- B. Whenever possible, provide the following information:**
  - 1. Nature of emergency.**
  - 2. Location and time of occurrence.**
  - 3. Type of aircraft or vehicle involved.**
  - 4. Number of persons involved or on board.**
  
- C. Between the hours of 7:30 AM and 5:30 PM, Monday thru Thursday and on alternate Fridays between 8:00 AM and 5:00 PM:**
  - Notify the Airport Director or designee by telephone at: (310)458-8591.**
  - All other hours and on weekends/holidays:
    - Notify Airport Security by telephone at: (310)458-2253 or (310) 925-9847.**

### **6.02 ACCIDENT REPORT**

When requested by the Airport Director or designee, witnesses of, and participants involved in aircraft, vehicular or pedestrian accidents occurring on or within airport boundaries shall furnish a full written report as soon after the accident as practicable. The report shall include the names and addresses of all injured persons (or fatalities) and witnesses, and include a full description of the event and of the aircraft or vehicle(s) involved and any resulting property damage. No person shall fail to file a requested report within five days after becoming physically able to do so. Accidents shall also be reported to Federal, State and Local agencies in accordance with their requirements.

### **6.03 MOVING DAMAGED OR DISABLED AIRCRAFT**

Aircraft involved in emergencies which also involve fatalities, serious injuries, which could conceivably later become fatal, or resulted in major damage to the aircraft (as defined by the FAA), shall not be moved until specific permission is received from the FAA or the National Transportation Safety Board.

Other aircraft may be moved as necessary in the judgment of the Fire Department and/or Airport Director or designee.

## **ARTICLE 7**

## **AIRCRAFT OPERATIONS**

### **7.01 AERONAUTICAL ACTIVITIES**

#### **No person shall:**

- A. Conduct any aircraft operation to, on, from or over the airport, or
- B. Service, maintain, repair, or inspect any aircraft on the Airport, except in conformance with these Rules and Regulations, and orders, or directives issued by the Airport Director or designee, in addition to the regulations established by the Federal Aviation Administration (FAA) under authority of the Federal Aviation Act of 1958 (Public Law 83-726) and amendments thereto, and all applicable regulations of the State of California, not in conflict with regulations established by the United States of America.

### **7.02 HOURS OF OPERATION**

#### **Night Departure Curfew**

No takeoffs or engine startups are permitted between 2300 hours local time and 0700 hours Monday through Friday, or until 0800 hours on weekends. Exceptions are allowed for bona fide medical or public safety emergencies if prior approval has been obtained from the Santa Monica Police Watch Commander (310) 458-8426 or the Airport Director or designee (310) 458-8591. Curfew violators are subject to misdemeanor criminal prosecution.

The Santa Monica Airport is open for public use 24 hours per day, subject to such restrictions caused by inclement weather, unsafe conditions of runways or taxiways, special events, or other mitigating circumstances as determined by the Airport Director or designee and noticed using FAA NOTAM procedures.

The Airport Office is open Monday through Thursday between the hours of 7:30 AM and 5:30 PM and alternate Fridays 8:00 AM to 5:00 PM (except legal holidays)

### **7.03 REGISTRATION AND PAYMENT**

- A. Any person electing to base an aircraft at the airport shall register the aircraft with the Airport Director or designee. Any subsequent change of ownership or permanent removal of the aircraft from the airport shall be reported to the Airport Director or designee and shall not release the registered owner from payment of applicable fees.
- B. Payment for use of airport facilities, commercial permit fees, storage, supplies, or other services rendered by the Santa Monica Airport, shall be made prior to permanently leaving the airport (unless satisfactory credit arrangements have been made in writing with the Santa Monica Airport). If

payment or satisfactory credit arrangements have not been made in advance, the City of Santa Monica shall enjoin such person in a court of law to recover any and all fees or payments owed the Santa Monica Airport.

C. Monthly charges must be paid in advance.

#### **7.04 SUBLEASING**

Tie-down or hangar space shall not be used for any other aircraft or use other than that specified in the Lease/License Agreement unless prior written approval is obtained from the Santa Monica Airport. If prior written approval was not obtained, the Santa Monica Airport may terminate the respective lease/license agreement.

#### **7.05 TIE-DOWN, HANGAR AND USE FEES**

The Airport Director or designee shall establish fees, rates and charges, approved by the City of Santa Monica, for the use of the airport and aviation facilities as part of these Rules and Regulations.

#### **7.06 HANGAR INSPECTION**

The Airport Director or designee or his duly authorized representative shall be allowed access to hangars and/or storage facilities at reasonable times for the purpose of compliance/safety inspections.

#### **7.07 CLOSING OF AIRPORT**

The Airport Director or designee may delay or restrict flight or other operations to safeguard persons or property. In the event the Airport Director or designee believes the conditions of the Airport or any portion thereof is unsafe or unfavorable for aircraft operations, he/she may close the airport or any portion thereof by using applicable FAA Notice to Airmen (NOTAM) procedures as appropriate.

#### **7.08 AIRCRAFT GROUND AND FLIGHT REGULATIONS**

- A. Except in emergency situations, **or exempted in writing by the Airport Director**, all aircraft owners and operators shall conform to the following rules and regulations, and all applicable Federal Aviation Regulations.
- B. All aircraft traffic shall conform to the established traffic pattern and whenever possible or practicable conform to the Precision Approach Path Indicator (PAPI) or Visual Approach Slope Indicator (VASI) while on approach.
- C. No person shall loiter or park an aircraft on any runway or taxiway.
- D. Whenever possible, no person shall taxi an aircraft or drive a vehicle on an unpaved surface.
- E. No person shall load or unload passengers or cargo on any runway or primary taxiway, except for instructors and then only for the purpose of solo student instruction.

- F. All Aircraft shall be taxied at a slow and reasonable speed.
- G. Aircraft shall not be operated in a negligent or reckless manner, or in willful or wanton disregard for the safety of persons or property.
- H. Aircraft shall not be taxied in, into, or out of a hangar.
- I. No person shall start or taxi an aircraft or helicopter where the propeller, rotor or exhaust blast is likely to cause nuisance or injuries to persons or property, whether on or off the airport. If the aircraft cannot be started, operated, or taxied without violating this paragraph, it must be towed to a safe location before engine start.
- J. All aircraft shall be properly tied down in a designated parking space or placed in a hangar. It shall be the aircraft owner's responsibility to ensure that his/her aircraft remain properly secured at all times and the aircraft owner shall be held responsible for any damages resulting from failure to comply with this rule. The Airport Director or designee, at his discretion, may tie-down or have tied-down, any aircraft without liability to the City of Santa Monica, its employees or agents.
- K. No pilot, crew member, or person attending or assisting in the operation of an aircraft shall be under the influence of intoxicating liquor and/or narcotic drug.
- L. No person shall, without the owner's permission, interfere or tamper with any parked or stored aircraft.
- M. All engine run-ups shall be made in designated run-up areas.
- N. Whenever possible, the takeoff roll of fixed wing aircraft shall begin from the end of the active runway.
- O. All aircraft, vehicle(s), or portions thereof shall be stored in areas designated by the Airport Director or designee.
- P. At the direction of the Airport Director or designee, the owner, operator, or pilot of an aircraft shall move the aircraft from the place where it is tied down or parked to another appropriate place designated on the airport. If the person refuses to comply with the aforementioned direction, airport personnel may tow, or have the aircraft towed, to such a place at the operators expense and without liability for damage that may result from such move.
- Q. Experimental flight and/or ground demonstrations shall be approved by the Airport Director or designee and conducted in accordance with applicable Federal Aviation Regulations.
- R. No person shall load or unload passengers or cargo while the engine is running or propeller is turning except where Federal Aviation Regulations permit and a responsible person is standing guard.

## **7.09 DISABLED AIRCRAFT**

- A. Disabled aircraft and parts thereof shall be promptly removed from the Airport, or moved to an area designated by the Airport Director or designee at the owner's expense.
- B. If any person refuses or fails to move a wrecked or damaged aircraft or its parts as directed by the Airport Director or designee, the aircraft/parts may be moved and stored at the owner's expense, without liability for damages which may result in the course of such towing and storage.
- C. If an aircraft is disabled on a runway, the Airport Director or designee may take whatever action he/she deems necessary (per *Section 6.03*) to make the runway safe for other aircraft, and the owner shall fully bear the expense of the removal, storage, and damages caused to airport property.

## **7.10 CATEGORIES OF AIRCRAFT USE**

- A. PRIVATE AIRCRAFT
  - 1. Aircraft operated non-commercially by the owner(s). This does not prohibit the owner(s) or operator(s) of private aircraft from sharing the expense of the operation of an aircraft. Private aircraft may be used by persons other than the owner, provided no remuneration accrues to the owner which can be considered profit.
  - 2. Company and corporately owned aircraft that are operated for the free transportation of personnel and/or products are classified as private aircraft and subject to the same restrictions.
  - 3. New and used privately owned aircraft held for sale only may be demonstrated to prospective purchasers or, when sold, may be used to instruct the new owner in their operation.
- B. COMMERCIAL AIRCRAFT
  - 1. Aircraft operated for commercial revenue producing purposes including but not limited to: rental, lease, hired or chartered aircraft.
  - 2. Aircraft owned privately, but leased or rented back to a commercial operator, shall automatically be classified a commercial aircraft.
- C. CERTIFIED AIR CARRIERS
  - 1. Certified air carriers include all Federal or State Certified air carriers holding a contract with the Santa Monica Airport for airport usage.
  - 2. "Non-Contract" certified air carriers include all Federal or State of California Certified air carriers not holding a contract with the Airport City of Santa Monica for airport usage.

## **7.11 TOUCH AND GO LANDING**

Touch-and-go's, stop-and-go's and low approach operations are prohibited on Saturdays, Sundays, and holidays. Additionally, these operations are prohibited on weekdays from one-half hour after sunset until 7:00 a.m. the following day. No touch-and-go operations shall be made unless the aircraft has initiated the take off phase (begun to accelerate) before reaching approximately 1,500 feet from the approach end of each runway.

## **7.12 PARACHUTE JUMPING**

Parachute jumping is prohibited onto or over Santa Monica Airport. Exceptions per FAR Section 105.17 may be granted by the Airport Director or designee with a finding of exceptional circumstances and appropriate safety precautions. Such approval must be secured in writing prior to any parachute jumping.

## **7.13 FLYING CLUBS**

### **A. Organization**

1. Flying clubs must be organized as nonprofit corporations under the laws of the state, or as duly organized nonprofit, functioning unincorporated association for the purpose of:
  - a. Fostering flying for pleasure;
  - b. Development of skills in aeronautics, including piloting and/or navigation;
  - c. The development of an awareness and appreciation of aviation requirements and techniques by the general public in the field of aviation and aeronautics.

### **B. Documents Required**

Flying clubs shall furnish the Airport Director or designee with copies of their bylaws, articles of incorporation, operating rules, membership agreements, and the location and address of the club's registered office. The Airport Director or designee shall also be furnished with a current roster of all officers and directors, including places of residence, business addresses and telephone numbers, who shall be responsible for compliance by the club members with all aviation laws and airport rules and regulations. The registration certificate issued by the FAA must show the names of all owners if the club is not incorporated or must be registered in the name of the incorporated flying club.

### **C. Commercial Operation Prohibited**

Neither flying clubs nor any individual member thereof shall provide instruction to any person other than its members or engage in any commercial operation at the airport.



**D. Membership Records**

Flying clubs shall keep a membership record of all members, containing full names and addresses, past and present members included, together with the date their membership commenced and terminated, and the investment share held by each member. Such records shall be available for review upon request by the Santa Monica Airport.

**E. Operation of aircraft**

1. All aircraft owned, leased or used by flying clubs shall be registered with the Airport Director or designee, and may not be leased or loaned to others for any commercial use. The club=s aircraft shall only be used by bona fide members for non-commercial purposes.
2. The flying club shall not derive greater revenue from the use of its aircraft than the amount necessary for its actual operation, maintenance and replacement.

**F. Insurance Required**

Each aircraft owned by the flying club must have liability insurance coverage in amounts specified by the Santa Monica Airport including passenger seat liability. Certificates of such insurance coverage shall be filed with the Santa Monica Airport Administration and the policy shall contain a provision whereby such insurance may be canceled only after giving thirty days written notice to the Santa Monica Airport.

**G. Hold Harmless**

The flying club shall release, hold harmless and indemnify the City of Santa Monica, its officers, boards and commissions, employees and agents from any and all responsibility, liability, loss or damage, caused by persons or users of the airport and its facilities.

**ARTICLE 8  
AIRCRAFT NOISE ABATEMENT PROCEDURES**

**8.01 NOISE ABATEMENT AND TRAFFIC PATTERN PROCEDURES**

Whenever safely possible, all VFR aircraft operations shall conform to the adopted Santa Monica Airport Noise Abatement Arrival, Departure, and Traffic Pattern Procedures available from the Airport Noise Abatement Office. Runway 03/21 departure end is approximately 220' from residential homes and extended high power settings on run-up or departure negatively impact the community.

As a result of an agreement between the City of Santa Monica and the FAA, an Airport Ordinance was established setting a maximum noise level of 95.0 dBA SENEL. Aircraft noise is measured at noise monitor sites 1,500 feet from the end of

each runway along the extended centerline. Additionally, noise monitors are located on the south and west side of the Penmar Golf Course to ensure compliance with the VFR departure procedure on Runway 21. **Operational procedures are enforced by ordinance.**

The Santa Monica Airport Noise Management Program focuses on pilot education and cooperation. However, repeat violators of the noise limit may be fined or suspended from using the Airport. Compliance with the noise abatement procedures is requested unless deviations are made necessary by weather, ATC instructions or clearances, an in-flight emergency or other safety considerations.

## **A. Fixed Wing Aircraft Noise Abatement Procedures**

### **1. Prescribed Noise Limits**

Santa Monica Airport has a maximum noise limit of 95.0 dBA SENEL (Single Event Noise Exposure Level) as measured 1,500 feet from each end of the runway. Aircraft or pilots that repeatedly violate this limit may be fined or suspended from the airport.

### **2. WARNING: Turbojet Limitations**

The following aircraft have been shown to be unable to meet the SENEL noise limit of 95.0 dBA: Aero Delfin L-29, BAC Jet Provost, North American B-17, B-25, Casa Saeta, De Havilland Vampire, Venom, Sea Vixon, Douglas DC-9 and A-4 Skyhawk, English Electric Lightning, Folland Gnat, Fouga CM 170 Magister, Gates Learjet 23, 24B, 24BA, 24D, 24E, 25, 25B,25D, 25F, 28, Gloster Meteor, Grumman F9F Panther/Couger, Gulfstream II, IIB, III, Hansa HFB320, Hawker Hunter, Jet Commander 1121, IAI Westwind 1123, HS1235-1A, 3A, Lockheed T-33/Canadian Silver Star, Lockheed F-14 Starfighter, Lockheed 1329 Jetstar, VC-121A Constellation, Morane Saulnier Paris II, Mikoyan Gurevich MIG 15, MIG 17, MIG 19, MIG 21, North American F86/Canadair CL-13 Sabre, North American Rockwell Saberliner 39, 40A, 60, 60A, 70, 75,80. (Please contact airport administration or Noise office for updates.)

These aircraft shall be permanently excluded from operating at Santa Monica after one violation and be subject to misdemeanor prosecution. Please call the Airport Director or designee (310)458-8591 or the Noise Management Office (310)458-8759 for prior approval or for any questions.

### **3. Intersection and formation takeoffs and landings are prohibited.**

Formation flying within the Class D airspace is highly discouraged unless necessary for an emergency.

#### 4. VFR Departures

Initially climb as steeply as practical and safe until reaching the departure end of the runway. If leaving the pattern, turn crosswind at the shoreline for Runway 21 departures and at the freeway for Runway 3 departures. Traffic pattern altitude is 1,400 feet MSL for single-engine aircraft and 1,900 feet MSL for multi-engine aircraft.

- **RUNWAY 21**

Standard traffic pattern is left. Please overfly the golf course west of SMO. This procedure requires an initial left 10 degree turn at the end of the runway and then a right turn to heading 225 degrees to maintain flight track over the golf course. Please do not initiate the left 10 degree turn prior to the end of the runway.

Pattern traffic and north or south downwind departures:

Left turn at Lincoln Boulevard (one mile west) at or above 800 feet MSL. North and/or south downwind departures proceed to the shoreline before turning crosswind. Short approaches are not recommended.

Note: When the marine layer is off the west end of the airport, please use Runway 3 for VFR departures if traffic and weather permit.

- **RUNWAY 03**

Standard traffic pattern is right. After takeoff, turn crosswind over the freeway (numerous noise sensitive areas are under the pattern).

#### 5. VFR Arrivals

- **EAST - FLY NEIGHBORLY PROGRAM.** The communities surrounding the Airport are extremely NOISE SENSITIVE.

Low-flying or noisy aircraft will be reported. Powered-up turbojet aircraft on low approach are a severe noise problem. TURBOJET AIRCRAFT ARE STRONGLY ADVISED TO FLY VOR-A INSTRUMENT APPROACH UNTIL 0.5 MILES WEST OF CULVE. All aircraft strongly advised to fly as high as possible (consistent with safe aircraft performance) for neighborhood noise abatement. The Santa Monica Airport needs your help to maintain good relations with it's neighbors.

- **NORTHWEST** - Report Offshore Palisades and follow the freeway to intercept the north downwind (avoid overflights of the Pacific Palisades). Maintain pattern altitude or above as long as practical. Do

not allow pattern altitude to erode on extended downwind and base legs. Approach as steeply as is safe and practical. Aim for a point farther down the runway if your aircraft is capable.

## **B. Helicopter Noise Abatement Procedures**

The helicopter procedures described here are derived from a Letter of Agreement executed on September 1, 1993 between the City of Santa Monica and the Federal Aviation Administration. The helicopter arrival and departure procedures were developed over a two year period involving helicopter pilots, airport neighbors, the FAA and City staff.

### **1. RUNWAY 21 Operational Procedures**

- **Arrivals**

Arrivals can expect to enter midfield at or above 900' MSL and execute a 270 degree approach to the North or South Taxiway. Descent from 900' should be made over the airport or Business Park to the taxiway.

All helicopters will remain North or South of Runway 21 and avoid the flow of other arriving aircraft unless cleared to use the runway. If arriving via the runway, please execute a high approach until over the runway.

- **Departures**

Helicopters will depart via Runway and execute a left turn to overfly the PENMAR GOLF COURSE. Helicopters will be sequenced with the flow of fixed-wing aircraft and no crosswind turns will be permitted prior to Lincoln Boulevard. Helicopters departing the area are requested to turn at the shoreline.

### **2. RUNWAY 03 Operational Procedures**

- **Arrivals**

Arrivals can expect to enter midfield at or above 900' MSL and execute a 270 degree approach to the North or South Taxiway. Descent from 900' MSL should be made over the airport or business park to the taxiway.

All helicopters will remain North or South of Runway 3 and avoid the flow of other arriving aircraft unless cleared to use the Runway. If arriving via the runway, please execute a high approach until over the runway.

- **Departures**

Helicopters will depart via Runway 3 and proceed straight to the San Diego Freeway before executing a left or right crosswind departure. Helicopters will be sequenced with the flow of fixed-wing aircraft.

**C. Noise Abatement Communications 122.9 MHz**

This frequency is for Noise Abatement Communication between pilots departing SMO and the Noise Management Office. Noise readings for departing aircraft can be obtained with prior arrangement. Pilots are encouraged to conduct noise tests to lower their aircraft noise level.

**8.02 AUXILIARY POWER UNIT (APU) RESTRICTIONS**

For noise abatement purposes APU use should be the minimum time necessary. The **maximum** allowable APU run-time is (30) thirty minutes. In addition, the APU is considered an engine start and shall comply with the Airport's curfew restrictions.

**8.03 NIGHT DEPARTURE CURFEW**

No takeoffs or engine starts are permitted between 2300 hours and 0700 hours local time Monday through Friday, or until 0800 hours on weekends. Exceptions are allowed only for bona fide medical or public safety emergencies with prior approval from the Santa Monica Police Watch Commander (310) 458-8426 or the Airport Manager (310) 458-8591. Curfew violators are subject to misdemeanor criminal prosecution.

**8.03 VOLUNTARY NIGHT ARRIVAL CURFEW**

A voluntary curfew for arrivals is in effect between 2300 hours and 0700 hours local time Monday through Friday, or until 0800 hours on weekends.

**8.04 REVERSE THRUST USAGE**

The use of reverse thrust can negatively impact the residential areas surrounding the Airport, particularly during the night hours. The use of minimum reverse thrust necessary for safety is recommended, consistent with runway conditions and available length.

**ARTICLE 9  
HANGAR AND TIE-DOWN REGULATIONS**

**9.01 USE OF HANGAR SPACE**

Hangars are designed specifically for the storage of the owner(s) aircraft. The use of hangar space shall conform to the individual's rental/lease agreement and these Rules and Regulations. Each tenant shall:

1. Have at least one (1) fire extinguisher with a **2A10BC** rating readily available in the hangar at all times or as required/approved by the Santa Monica Fire Department
2. Post a "No Smoking" sign within the hangar.
3. Discontinue the use of extension cords in lieu of permanent wiring. Approved wiring shall be maintained in good condition in conformance with the Electrical Code and protected from damage.
4. Remove and/or store all rubbish, debris, waste material and oily rags in closed metal containers.
5. Use noncombustible or other approved waste receptacle(s) as necessary.
6. Use an approved cabinet for the storage of small quantities of hazardous materials that are used in the maintenance of the aircraft.
7. Arrange all approved stored items in an orderly manner so as to not block exits and provide access to the Fire Department.

**A. PROHIBITED USES:**

1. Hangars shall not be used as a personal residence.
2. Maintenance and/or repair of wet fuel systems, including fuel tanks is not allowed. Such work shall be performed in an approved aircraft maintenance area.
3. The storage of compressed gas cylinders.
4. Unauthorized commercial activity is forbidden.
5. Aircraft fueling/defueling prohibited.
6. **Painting, doping or stripping in aircraft storage hangars is strictly prohibited.**

**B. PERMISSION REQUIRED:**

The storage of items that increase fire hazard must be approved by the SANTA MONICA Fire Department.

**C. PERMITTED STORAGE:**

Extra space may be used for the storage of tenant's aviation related equipment, supplies, and other non hazardous items (as permitted by lease) stored in such a way as to not block, interfere, or obstruct access by fire department personnel in case of an emergency.

- D. PERMITTED AIRCRAFT MAINTENANCE and REPAIR:  
Aircraft maintenance and repair shall conform to the requirements set fourth by the FAA and the City of Santa Monica, for the building type and occupancy rating.

## 9.02 USE OF TIEDOWN SPACE

Tie-downs are designed specifically for the storage of the permittee(s) aircraft.

### A. PROHIBITED USES

1. Unauthorized commercial activity is forbidden.
2. Maintenance and/or repair of wet fuel systems, including fuel tanks is not allowed. Such work shall be performed in an approved aircraft maintenance area.
3. The storage of other vehicles, supplies, or equipment is prohibited.
4. **Painting, doping or stripping of aircraft on tie-down spaces is strictly prohibited.**

### B. PERMITTED STORAGE:

Permittees may park their personal motor vehicle(s) on their assigned space while the aircraft is being used.

### C. PERMITTED AIRCRAFT MAINTENANCE and REPAIR:

Unless prior written approval has been granted by the Airport Director or designee, only minor preventive maintenance, as defined in Federal Aviation Regulations Part 91, is allowed in a tie-down space. Other maintenance activity including the removal or replacement of engine(s) or major engine/airframe components must be conducted in the approved aircraft maintenance area.

## 9.03 OTHER RULES & REGULATIONS

### DEGREASING and WASHING

No person shall clean, wash or degrease aircraft, aircraft engine(s), or any vehicle in any tie-down or hangar. Such work shall be performed at the approved aircraft maintenance area or at a shop properly equipped to handle such work.

### WASHING REGULATIONS

Santa Monica Airport has a dedicated wash rack for airplane washing only. Drainage is directed to a clarifier prior to entry into the sanitary sewer. The clarifier allows dirt and solids (including metals) to settle out of the discharge. Dirt and solids are pumped out twice annually and disposed of properly.

Airplanes that must be washed away from the public wash rack must employ a temporary method to capture waste wash water. You may use a portable plastic tarp that is bermed to allow the retention of water or a Vacu-Boom™ (U.S. Patent

#5,349,722). A wet vacuum can be used for either application. Block or seal area storm drains to prevent entry of overflow water.

Dispose of captured waste wash water and remaining soapy water into the sanitary sewer. Conserve and use water wisely.

#### DRIP PANS REQUIRED

Each permittee shall provide and maintain a drip pan under each engine of permittee's aircraft while such aircraft is occupying the permittee's assigned area.

#### AIRCRAFT MAINTENANCE - WHO CAN PERFORM

Individual aircraft owners, partnerships, formally organized aviation clubs, or hired company pilots may work on privately owned aircraft. No tenant shall engage or hire outside help or mechanical services other than those persons engaged in commercial activity subject to the conditions specified in *Section 13*.

## **ARTICLE 10 FIRE HAZARDS AND FUELING OPERATIONS**

### **10.01 CLEANING FLUIDS**

No person shall use a flammable volatile liquid having a flash point of less than 110 degrees Fahrenheit in the cleaning of aircraft, engines, propellers, appliances or for any other purpose, unless such operation is conducted in a maintenance room which must be properly fireproofed and equipped with adequate and readily accessible fire extinguishing apparatus or conducted in the designated aircraft maintenance area.

### **10.02 SMOKING**

No person shall smoke within 50 feet of an aircraft during preflight inspection or fueling operation or in any hangar, shop or other building where it is dangerous to do so. NO SMOKING signs are to be strictly observed.

### **10.03 STORAGE / DISPOSAL**

- A. No person shall keep, store, use or discard any flammable liquids, gases, signal flares, or other similar hazardous materials, in any hangar, tie-down or building, provided that such material may be kept in an aircraft in the proper receptacle installed for such purpose, or in rooms or areas specifically approved in writing by the Airport Director or designee.  
Fuel may be stored in aircraft hangars in one (1) approved, one to five gallon container for use in aircraft tow motors or power generators.
- B. No person shall keep or store waste oils in or about hangars or tie-downs. Lubricating oil(s) may be kept in original unopened, sealed containers (such as quarts of oil) or in receptacles approved by the National Board of Fire



- Underwriters.
- C. Lessees and concessionaires shall provide suitable metal receptacles with metal covers for the storage of waste, rags and other rubbish. All used waste and rags or other rubbish shall be removed in regular scheduled pickups. Lessees may contract with other agencies or persons for removal of the material. The method of removal and pickup point are subject to prior written approval of the Airport Director or designee.
  - D. No cylinder or flask of compressed flammable gas shall be kept or stored on the airport except in such a place and manner as may be designated by the Santa Monica Fire Department.
  - E. Gasoline, mogas, or aviation fuel intended for aircraft use shall not be stored or brought upon the airport except by persons duly authorized in writing by the Santa Monica Airport, provided that such fuel may be kept in an aircraft fuel tank properly installed for such purposes.

#### **10.04 CLEANLINESS**

- A. All hangars, tie-downs, leaseholds, and buildings must be kept clean inside and out. All floors, ramps, and tie down areas shall be kept clean and free of oil, gasoline, grease and other flammable materials.
- B. Hangar and building entrances must be kept clear at all times to permit unrestricted access in the event of a fire.
- C. No person shall store or stock any material in such a manner as to constitute a fire hazard.
- D. Tenants shall keep leasehold areas free and clean of weeds, dirt, sand, waste and other debris.
- E. Each tenant shall provide and maintain a drip pan under each engine of tenant's aircraft while such aircraft is occupying the tenant's assigned area.

#### **10.05 OPEN FLAME**

No person shall conduct an open flame or welding operation in any hangar, tie-down or un-approved building or facility.

#### **10.06 AIRCRAFT PAINTING AND DOPING**

- A. Aircraft painting or doping processes shall be conducted in an approved, fireproofed, and ventilated room or facility which conforms to all applicable Federal, State, and Local governmental regulations and requirements.
- B. Smoking in the vicinity of "painting" or "doping" is strictly prohibited.
- C. Painting or doping of aircraft in open areas must comply with Los Angeles County Health Department and City of Santa Monica Fire Department regulations and requirements.

#### **10.07 FUELING OPERATIONS**

The following rules govern the fueling and defueling of aircraft:

- A. No person shall self fuel an aircraft with their own fueling equipment without

first procuring a Non-Commercial Self Fueling Permit from the Airport Director or designee. The permit requires strict adherence with all Federal, State, and Local regulations and comprehensive general liability insurance covering the transportation and dispensing of fuel.

- B. Aircraft shall not be fueled or defueled while the aircraft is in a hangar or enclosed space, or with the engine running.
- C. No person shall smoke or use any material likely to cause a spark or ignition source within fifty (50) feet of an aircraft being fueled or defueled.
- D. The operation of the aircraft's radio equipment or electrical switches during fueling or defueling is prohibited.
- E. During refueling, the aircraft and the fueling dispensing apparatus shall both be grounded and/or bonded in accordance with NFPA requirements.
- F. Adequate fire extinguisher(s) shall be readily available to all persons engaged in the fueling or defueling of aircraft.
- G. No person shall start an aircraft engine if fuel has been spilled under or around the aircraft.
- H. Fueling and defueling of aircraft shall be conducted at least twenty (20) feet from any hangar or other building.
- I. Aircraft shall not be fueled and defueled while passengers are on board unless a passenger loading ramp (if applicable) is in place at the cabin door of the aircraft, and the door is in open position and cabin attendant (or pilot in command) is present at or near the cabin door.
- J. Persons fueling or defueling an aircraft shall exercise care to prevent fuel spills. In the event of a fuel spill, the person fueling the aircraft shall take immediate measures to contain the spill and apply approved absorbent materials.
- K. Fuel spills or leaks that extend over six (6) feet in any direction from the source shall be immediately reported to the Airport Director or designee. In the event such spills or leaks are less than six (6) feet in any direction from the source, the Airport Director or designee shall be notified within 24 hours.**

#### **10.08 FIRE EQUIPMENT**

- A. Hangars, shop facilities, or other areas specified by the Airport Director or designee, shall be equipped with adequate and readily accessible fire extinguisher(s) approved by Underwriters Laboratories for the hazard involved, as required by the State of California and the Santa Monica Fire Department. Each fire extinguisher shall carry a suitable tag showing date of most recent inspection.
- B. Use of any fire equipment, no matter how trivial, shall be reported to the Airport Director or designee immediately after use.
- C. Unauthorized use of fire equipment shall be immediately reported to the Airport Director or designee.

#### **10.09 OTHER REGULATIONS**

Applicable regulations and requirements of the State of California, National Fire Protection Association (NFPA), Environmental Protection Agency (EPA), Santa Monica Fire Department and the FAR's, shall be adhered to with regards to all aspects of aircraft fueling, and the storage, handling, and disposal of flammable and/or hazardous materials and substances.

#### **10.10 LIQUID DISPOSAL**

The disposal or dumping of fuel, oils, dopes, paints, solvents, acids or other liquids (other than water) in drains, basins, ditches or elsewhere on the airport is strictly prohibited.

**WASTE OIL SHALL BE DISPOSED OF AT ONE OF THE FOUR (4) USED OIL COLLECTION SITES AT THE AIRPORT.**

#### **10.11 MATERIAL DATA and SAFETY SHEETS (MSDS)**

All commercial lessees shall maintain up-to-date and accurate MSDS files of all hazardous materials used in conjunction with lessees business activities.

#### **10.12 SPACE HEATERS**

The use and installation of space heaters shall conform to NFPA and UFC regulations.

#### **10.13 AIRCRAFT CARRYING OR SUSPECTED OF CARRYING EXPLOSIVES**

- A. Anyone having knowledge of an aircraft carrying or suspected of carrying explosive materials shall advise the Airport Director or designee immediately.
- B. Aircraft with passengers aboard, carrying or suspected of carrying explosive material will unload passengers at a reasonable distance from the terminal area as may be designated by the Airport Director or designee. Only engines affecting the unloading of passengers shall be shut down in order to enable subsequent moving of aircraft with a minimum of delay.
- C. Parked aircraft carrying or suspected of carrying explosive material shall be evacuated and moved by the owner or operator to an area designated by the Airport Director or designee.
- D. Inspection of the aircraft and subsequent declaration of safety or hazardous condition shall be the responsibility of the aircraft owner or operator. Inspection shall be accomplished immediately after parking and, if necessary, evacuation.

### **ARTICLE 11 MOTOR VEHICLE REGULATIONS**

#### **11.01 LICENSING**

No person shall operate motorized equipment on the airport unless that person is in

possession of a current and valid driver's or operator's license as required by the DMV.

## **11.02 RULES OF OPERATION**

Unless otherwise authorized by the Airport Director or designee, all vehicles shall be operated in conformance with the laws of the State of California.

- A. No person shall operate a vehicle in excess of twenty (20) MPH or the posted speed limit. The speed limit in the vicinity of hangars, aircraft parking, and vehicle parking areas is fifteen (15) MPH.
- B. Pedestrians and aircraft shall at all times have the right of way over vehicular traffic. All vehicles shall pass to the rear of taxiing aircraft.
- C. No person shall operate a vehicle or aircraft on the airport under the influence of intoxicating liquor and/or a narcotic drug.
- D. No person shall operate a vehicle in a reckless or negligent manner or one which is overloaded or carrying more passengers than which the vehicle was designed. No person shall ride on the exterior of a vehicle or stand up in the body of a moving vehicle. All drivers are responsible for the equipment they are driving and may be personally cited for failure to comply with the safe driving code.
- E. No person shall operate a vehicle without ensuring that the exhaust is protected by screens or baffles in order to prevent the escape of sparks or the propagation of flame.
- F. No person shall drive a vehicle across a runway, taxiway or on any service road, fire break, or abandoned taxiway. Aircraft have the right of way to all vehicles. Do not cross in front of a taxiing aircraft. The only exception shall be an escort by Airport Security or during a pre-arranged runway closure. Violation of SMCC Code 10.04.06.160 is a misdemeanor punishable by fine.
- G. No person shall operate a vehicle in violation of a posted sign. Vehicles will adhere to all stop, yield, or warning signs on airport property.
- H. All vehicles shall yield the right-of-way to emergency equipment responding to an emergency, including rescue equipment, fire trucks, security vehicles, *or vehicles displaying a revolving red beacon.*
- I. No person shall willfully refuse to comply with any lawful order, direction, or signal of an airport officer, or the Airport Director or designee.
- J. No person shall operate a motor vehicle on, upon, or across any portion of the Airport except along or upon roadways designated for travel by motor vehicles or those portions of the Airport set aside by the Airport Director for automobile parking purposes. All vehicles shall remain on the perimeter road or designated temporary road and 150 feet from the runway edge. The taxiway edge markings consist of two solid yellow lines. Entry onto the ramp areas from service roads will be at designated access points only.
- K. Except for vehicles in the act of servicing aircraft, no vehicle may drive under any portion of an aircraft.
- L. Vehicles driven on the Airport for the purpose of making repairs and

improvements to the Airport or for wreckage removal, and governmental vehicles driven on the Airport on official business shall be exempted from the 20 miles per hour speed limit and parking regulations, providing that the operators obtain a permit to enter the landing area from the Airport Director or designee and conspicuously display an approved *orange and white safety* flag on the vehicle(s) and enter and leave the Airport at established gateways.

- M. The Airport Director or designee may place on the Airport such stop signs and parking regulation signs, as he or she may deem necessary. Under emergency conditions and by specific orders of the Airport Director or designee or Airport Officers, traffic may be detoured, halted, or diverted in any manner to maintain safe and efficient operations.
- N. For night operations, all headlights, tail lights and running or clearance lights on all vehicles shall be in proper working order. The driver of each vehicle shall be responsible for the proper operations of such lights. Rear shining spotlights or other than taillights shall be in the off position when driving on the Airport.
- O. Drivers must possess and carry a current driver license and have current auto liability insurance.
- P. Any accident involving an aircraft and a vehicle must be reported to Airport Administration and Airport Security, immediately. The driver of any vehicle involved in an accident on the ramps or service roads, when injury or death occurs, must file an accident report with the Santa Monica Police Department and Airport Security. Any aircraft crash, fire, or emergency situation must be immediately reported to Airport Security and Airport Administration. At an aircraft crash accident, the ranking Santa Monica Fire Department Officer is in complete command.
- Q. All Airport gates or entrances shall be closed or barricaded immediately after passage by the user. Any gate observed open shall immediately be reported to Airport Security.
- R. Vehicles stopped on active aircraft positions must be attended at all times.
- S. It is unlawful to load a vehicle, cart, or truck so as to create a hazard by allowing articles to fall off the vehicle as it travels on service roads or ramp areas.
- T. No employee other than the members of Airfield Operations shall direct or authorize the parking of aircraft or vehicles on an active taxiway area.
- U. Airport Security and Airport Administration are authorized to inspect and declare unfit for use on airport property, any vehicle or piece of equipment that does not comply with the rules governing the safety and efficiency of airport operations.
- V. Failure to abide by these provisions can result in the loss of driving privileges on the airport and such other remedies as the Airport Director may deem appropriate.

### **11.03 USE OF GATE ACCESS CONTROL CARDS**

The cardkey may be revoked at anytime if applicant fails to abide by the provisions contained herein. Such revocation may include the forfeiture of the cardkey security deposit as well as such other enforcement actions as deemed appropriate by the City of Santa Monica.

#### **A. General Information**

1. All cardkey applicants must fully complete and sign the Gate Access Control Card Application and submit the application and other required documentation in person to the Airport Office for review and processing.
2. Applications for applicants under the age of 18 shall be cosigned by a parent or legal guardian.
3. Cardkey applicants shall provide photo identification such as a valid driver license.
4. Applicants shall provide proof of the need to have access to the airside of the Airport. Such proof may be in the form of, but not limited to, the following:
  - a. Verification of use through a rental agreement for hangar or tie down space.
  - b. Registration documentation for an aircraft and if need be, proof of multiple ownership.
  - c. FBO tenants and employees must be named on an FBO supplied cardkey authorization letter from the FBO. Verification of employment from an FBO based at Santa Monica Airport (i.e. payroll stub, employee ID, etc.) is required.
  - d. A current pilot's license may be required. Other evidence that may be appropriate and acceptable to the City of Santa Monica to verify legitimate use of facilities requiring airside access at Santa Monica Airport.
  - e. Cardkeys remain at all times the property of the City of Santa Monica which retains the rights to restrict access privileges at any time.
  - f. One cardkey will be issued per applicant. A deposit is required – which is fully refundable upon return of the card. Loss of cardkey shall result in a forfeiture of the deposit.
  - g. Cardkeys are active until the applicant's birthday and must be renewed.
  - h. Temporary cardkeys may be issued for periods not to exceed two weeks.
  - i. Airport staff may limit access to specified gates as appropriate. Additionally not all cards may necessarily have 24 hours – 7 day a week access permitted.

- j. In the instance of flight school and aircraft rental customer, an FBO/flight school may issue a cardkey to allow access to the rental aircraft. The FBO/flight school shall be responsible for its use and shall brief the customer on applicable airside access protocols and driving regulations.

B. Cardholder's responsibilities

1. All user's of the Santa Monica Airport shall abide by the Airport's rules and regulations and other provisions contained within the Santa Monica Airport Operations Handbook, including motor vehicle regulations covering airport driving and safety rules and procedures, and the Santa Monica Municipal Code Chapter 10.04 Municipal Airport.
2. Cardholders must immediately report a lost or stolen cardkey to an Airport Services Officer and/or Airport staff either in person or at (310) 458-8591.
3. Upon entering or exiting the Airport, the applicant shall stop and wait for the access gate to fully close prior to proceeding.
4. The Cardholder shall not allow other vehicle(s) to enter, follow or "piggy back" through the gate. SMPD dispatch shall be immediately contacted at (310) 458-8491 if an individual insist on following the applicant through the gate.
4. Aircraft always have the right of way. Applicant shall always remain clear of taxiways and runway.
5. Airside speed limit is 20 mph. All stop and parking restriction signs must be observed.
6. A cardkey may only be used by the person to whom it is issued and must remain on that person while on the airside of the Airport. Guests of cardholders must be escorted.
7. Applicant shall present his/her cardkey upon request of an Airport Services Officer, Airport staff and/or Santa Monica Police/Fire personnel.
8. It is the applicant's responsibility to renew the cardkey prior to its expiration date.
9. Failure to abide by these provisions may result in the temporary or permanent revocation of the access card as deemed appropriate by the Airport Director.

#### **11.04 REQUIRED COMMERCIAL PERMITS**

Except for delivery vehicles, unauthorized commercial vehicle(s) may not enter upon, travel through, park at, stop or be operated upon airport property.

Except for the purpose of discharging passengers, or unless authorized in writing by the Airport Director or designee, no person may operate a vehicle carrying

passengers for hire on airport property unless that person has been issued the appropriate commercial permit as specified in *Section 13* of these Rules and Regulations.

#### **11.05 EMERGENCY VEHICLES - RIGHT OF WAY**

Upon approach of a vehicle giving an audible or visual signal on an emergency call, each person shall immediately drive parallel with, and as near as possible to, the right-hand edge of the road, clear of all intersections, and REMAIN THERE until the emergency vehicle has stopped or passed, unless otherwise directed by an airport employee or peace officer.

#### **11.06 REPAIR OF MOTOR VEHICLES**

Unless otherwise approved by the Airport Director or designee, no person shall repair, restore, or overhaul any vehicle on the airport except in a designated and approved vehicle maintenance/repair shop.

Minor repairs necessary to remove the vehicle from the airport are permitted.

#### **11.07 PARKING**

- A. Vehicles must be parked in approved areas designated for such purpose.
- B. No person shall leave a vehicle unattended with the motor running.
- C. No person shall park or stand a vehicle within fifteen (15) feet of a fire hydrant, or parked in such manner as to block any gate or entrance.
- D. The unauthorized storage or abandonment of recreational vehicles, boats, trailers, automobiles, trucks, or other vehicles anywhere on the airport is strictly prohibited. For the purposes of this section, an abandoned vehicle is any unauthorized motor vehicle or mobile equipment, parked on the Airport (outside of enclosed master lease area subject to lease terms)) for more than five (5) consecutive days without the prior approval of the Airport Director.
- E. No person shall park a vehicle in the transient parking area, fire lane, or other restricted or reserved area, or in violation of any posted sign.
- F. The Airport Director may, at the owner's expense, have any vehicle removed from airport property parked in violation of this section.
- G. Tie-down tenants and their guests may park their personal motor vehicle(s) for indefinite period of time on their assigned aircraft tiedown space, but only while the aircraft is being utilized. The parked motor vehicle(s) shall not block or interfere with access to adjoining aircraft tie down spaces.
- H. Hangar tenants and their guests may park their personal motor vehicle(s) in their assigned hangar space for indefinite periods of time, but only when incidental to the hangar's primary use for the storage of aircraft or as provided within the terms of a master lease.
- I. The Airport Director, or his designee, may issue temporary parking permit(s) to persons requiring extended parking as long as that person parks in an



authorized parking space and pays the appropriate fees.

- J. Overnight parking is prohibited (without a parking permit) in all common use tenant and public use parking lots located on the south side of the Airport.
- K. Parking permits are issued, for a fee, at the Airport Administration office (or through Airport Security) to those Airport tenants and visitors who have a legitimate need for overnight parking.
- L. Vehicles parked in violation of the above rules and regulations and/or in violation of posted parking restriction signs will be subject to citation and towing, in accordance with the applicable laws and regulations of the City of Santa Monica and the State of California.

#### **11.08 ABANDONED, WRECKED, DISMANTLED, OR INOPERATIVE VEHICLES**

- A. Santa Monica Airport may abate and remove any abandoned, wrecked, dismantled, or inoperative motor vehicle(s), mobile equipment, or parts thereof from the Airport at the expense of the owner.
- B. For the purposes of this section an abandoned vehicle is any motor vehicle or vehicles, or mobile equipment, parked on the Airport for a period of seventy-two (72) hours or more without the prior approval of the Airport Director or designee.

#### **11.09 PEDESTRIANS**

- A. No pedestrian shall be upon any taxiway or landing area of the airport. Only exception shall be an escort by Airport Security or during a pre-arranged runway closure. Violation of SMCC Code 10.04.06.170 is a misdemeanor punishable by fine.
- B. Pedestrian traffic is not allowed on service roads of the Airport, unless it is a work area assigned by Airport Administration.

### **ARTICLE 12 PERSONAL CONDUCT**

#### **12.01 GENERAL PROVISIONS**

No person shall be disorderly, obnoxious, indecent, or commit any act of nuisance on the airport.

#### **12.02 SANITATION**

- A. No person may dispose of any bodily discharge, sewage, garbage, refuse, paper or other materials anywhere on the airport except in a receptacle designated for that purpose.
- B. All trash shall be kept in covered containers. Vehicles used for hauling trash, dirt or any other material shall be constructed so as to prevent the contents from escaping. Common areas to be used for trash containers shall be designated by the Airport Director or designee and shall be kept clean and

sanitary at all times.

### **12.03 PRESERVATION OF PROPERTY**

No person shall:

- A. Destroy, injure, deface or disturb any building, structure, sign, marking, equipment, landscaping or other public property.
- B. Drive upon any lawn, landscaped, or seeded area.
- C. Alter, add to, or erect any building, sign or structure.
- D. Make an excavation.
- E. Willfully, abandon any personal property on the airport.

### **12.04 AIRPORT AND EQUIPMENT DAMAGE**

- A. No person shall interfere, tamper, or damage airport property or equipment.
- B. Any person damaging a runway/taxiway lighting fixture(s) or other airport property shall report such damage to the Airport Director or designee immediately and shall be fully responsible for any cost or expense incurred to replace or repair the damaged property.

### **12.05 DANGEROUS OBJECTS**

- A. No person except peace officers, authorized airport employees, or members of an armed force on official duty, may carry any weapon, or explosive on or about his/her person, openly or concealed on airport property.  
Note: Does not apply to persons carrying firearms in cases, broken down, or unloaded being transported by air or as provided by state law within a place of business by business operator.
- B. No person may furnish, give, sell, or trade any weapon or explosive.
- C. THE DISCHARGE OR USE OF ANY WEAPON ON OR ACROSS AIRPORT PROPERTY IS STRICTLY PROHIBITED.
- D. For the purpose of this section, a weapon includes, but is not limited to, the following: a firearm, dirk, bowie knife, blackjack, switch blade knife, slingshot, metal knuckles, etc.

### **12.06 COIN-OPERATED MACHINES**

No person may place a coin-operated machine on airport property (except master leaseholds that are subject to provisions of those agreements) without the expressed written permission of Airport Director or designee.

### **12.07 FALSE REPORT**

No person may make a false report regarding conduct on the operation or use of the airport to the Airport Director or his/her authorized representative.

### **12.08 INTERFERING OR TAMPERING WITH AIRCRAFT OR VEHICLES**

No person may start, move, use, interfere or tamper with any aircraft or vehicle including parts, instruments or tools thereof, without the permission of the owner.

## **12.09 RESTRICTED AREAS**

- A. Except as otherwise provided herein, no person may, without prior permission of the Airport Director or designee, enter any restricted area that is posted closed to the public.
  
- B. No person may enter marked restricted areas except:
  - 1. When verbal or written permission is granted by a person responsible for the area.
  - 2. A passenger who, under appropriate supervision, is entering the apron to embark or debark.
  - 3. Any other person authorized in writing by the Airport Director or designee or by a tenant for an area he occupies.
  
- C. No person shall enter upon, or cross a runway, taxiway, service road, fire break, or abandoned taxiway, unless specifically authorized to do so in writing by the Airport Director or designee or his designee.

## **12.11 COMMERCIAL PHOTOGRAPHY**

No person shall, ***for commercial purposes*** (which shall include any sales or other direct economic benefit derived from photography – still or moving), take still or motion pictures on airport property without the prior written permission/permit from Santa Monica Airport, including, but not limited to the following:

- A. Professional photographers and motion picture cameramen photographing events as representative of news concerns or bona fide news publications.
- B. Professional photographers and motion picture cameramen photographing events, for nonprofit exhibit, to stimulate interest in air commerce or travel, or for nonprofit educational purposes.
- C. Professional photographers photographing scenes for general artistic purposes.
- D. Motion picture/video companies using the airport or its facilities as part of a movie/video production.

## **12.12 SOLICITING AND CANVASSING**

No signs, posters or other advertising material shall be distributed or posted upon the airport's property or shall there be any type of soliciting or canvassing on airport property without the prior written permission of the Airport Director or designee. Posters and advertising inside individual private businesses shall require the business operator/owner's authorization and approval.

## **12.13 USE OF ROADS AND WALKS**

- A. No person may obstruct a road or walkway.
- B. No person may walk in a picket line as a picket or take part in a labor or other public demonstration on airport property except at a location

specifically assigned by the Airport Director or designee for such use and only when in possession of a valid permit issued by Santa Monica Airport.

#### **12.14 ANIMALS**

No person may enter any part of the airport with a domestic animal unless it is kept restrained by a leash or confined so as to be completely under control at all times.

#### **12.15 USE OF AIRPORT**

- A. No person who has been denied the use of the airport by the Airport Director or designee or her/his designee may enter on or use the airport except while traveling through as a passenger in a bus or taxi or while embarking or debarking as a passenger on an aircraft.
- B. No person, without the prior written permission of the Airport Director or designee, may operate or release a kite, parachute, balloon, model aircraft or rocket on airport property.

### **ARTICLE 13 COMMERCIAL or BUSINESS ACTIVITY**

#### **13.01 DEFINITIONS**

**A. COMMERCIAL ACTIVITY**

Any person or business that is engaged in any activity within the boundaries of the Santa Monica Airport for compensation or hire and derives a business or personal benefit whether it be for tangible or intangible from this activity.

**B. COMMERCIAL VEHICLE**

A Vehicle of any type whatsoever used or maintained for the transportation of persons, goods, or property for hire, compensation or profit.

**C. COMPENSATION**

Any form of reimbursement such as, but not limited to, monetary, barter, favors, gratuity.

**D. LIMITED COMMERCIAL OPERATOR**

Any person or business engaged in a specific commercial activity which does not require a business location on airport property such as, but not limited to: free lance flight instructors, mobile aircraft mechanics, airframe and power plant inspectors (IA's), parachute operations, hot air balloon operations, non-scheduled small package carriers, taxies, etc.

#### **13.02 CONDUCT OF COMMERCIAL BUSINESS ACTIVITY**

No person shall engage in any business or commercial revenue producing activity for any consideration of any nature whatsoever such as, but not limited to: flight instruction, air charters, parachute operations, glider operations, balloon rides, maintenance or repair of aircraft, rental of hangars, aircraft washing, sales of aircraft, equipment or supplies, airframe or power plant inspection, or providing

other services and goods to aircraft owners or visitors on airport property, unless such person has entered into a written agreement with the City of Santa Monica for such activity, subject to the following exceptions:

- A. An owner of an aircraft may perform repairs upon owned aircraft, provided such individual is properly permitted to do such work under current Federal Aviation Regulations and that such work is conducted in a manner consistent with these Rules and Regulations.
- B. An owner will not be precluded from obtaining goods or services from persons other than the aviation operators in business on the airport.
- C. A person holding a current FAA Flight Instruction License who gives occasional flight instruction, without pay or other remuneration, to an owner of an aircraft in that owner's aircraft, shall not be deemed a commercial.
- D. Nothing herein shall be deemed to prohibit the registered owner of a private aircraft from offering the aircraft for sale or from selling the aircraft.
- E. A builder/contractor hired by a Santa Monica Airport lessee to construct or repair/remodel a hangar and/or associated facilities shall not be deemed a commercial operator in business on the airport requiring a contract or permit with the City of Santa Monica. However, such builders/ contractors must fully comply with all other applicable Santa Monica Airport requirements.

### **13.03 COMMERCIAL PERMIT POLICY AND PROCEDURES**

Permit application(s) for commercial activity must be obtained from, and returned to, the Santa Monica Airport Administration. A detailed proposal adequately describing the commercial activity contemplated must accompany the completed permit application. All commercial, business, or non-exempt activity, must be approved in writing by the City of Santa Monica prior to engaging in commercial activity. Commercial Operation Permit applications are subject to review by the Airport Commission. Issued Commercial Operation Permits are subject to subsequent administrative review to insure compliance with all requirements.

The City of Santa Monica may decline to issue a commercial permit under the following circumstances:

- A. The person applying for the permit is in violation of any provision of the Santa Monica Airport Rules and Regulations, or of any order or directives issued by the Airport Director or designee pursuant to the Rules and Regulations or has been excluded from the airport for cause under any applicable provision of the Rules and Regulations.
- B. No space is available for the intended operation, when space is necessary or required by the Santa Monica Airport for the conduct of the proposed operation.
- C. The activity will cause a hazard to the users of the airport by the nature of the proposed operation.

The Airport Director or designee may issue a temporary permit to an individual or company permitting them to perform maintenance on aircraft under unusual circumstances, i.e., repair to fly-away status by the owner of an aircraft not based at the airport, or the maintenance / repair of an aircraft of unusual design, size or age or having components for which there is no qualified licensed operator available on the airport to perform the repairs.

#### **13.04 SPECIAL EVENTS**

Persons or organizations wishing to hold a special event at the Santa Monica Airport must first obtain a *Special Event Permit* from the Santa Monica Airport and fully comply with the rules and requirements set forth therein.

**A. Authority**

This regulation is promulgated pursuant to the power vested in the Airport Director pursuant to Santa Monica Municipal Code Section 10.04.02.030(d)

**B. Purpose**

This regulation is promulgated to provide standards for the conducting of special events at Santa Monica Airport. Currently, special events are most frequently held at the, the Santa Monica Air Center, Atlantic Aviation, Gunnell Properties, other leasehold facilities and public areas including the Airport Administration Building

**C. Definition of a Special Event**

For the purposes of this regulation, special event is any activity that is intended to bring individuals to Santa Monica Airport for reasons other than the day to day business activities of a facility at Santa Monica Airport. Special events include air shows, dances, parties, concerts, banquets, festivals, art shows, and similar events.

**D. Special Event Permit**

A Special Event Permit must be secured from the Santa Monica Airport Administration. A permit application, proof of insurance and indemnification agreement, permit fee and any city/airport costs must be submitted to Airport Administration in order to process a request. Events involving over 500 persons also require a City of Santa Monica special event permit and review by the Santa Monica Events Committee/Team.

**E. Criteria for Approval:**

1. Impact on airport operations, airport users, and safety
2. Impact on surrounding neighborhoods and businesses
3. Compatibility with airport and City of Santa Monica policies, procedures and practices
4. Impact on traffic, parking and access
5. Potential environmental, infrastructure and security impacts
6. Financial impacts

**F. Parking**

No special event, including aviation events, shall be held unless adequate parking is provided for all persons coming to the special event. If the special event is held on any leased premises and if the leased premises does not have on-site parking, the Airport Director or designee his/her designee shall be required to approve a parking plan for the special event.

**G. Noise and Other Impacts**

No special event shall generate any noise that unreasonably disturbs any residential dwelling in the neighborhoods surrounding Santa Monica Airport. Those aspects of a special event involving the use of aircraft shall be regulated by the Airport Noise Abatement code. No special event shall adversely impact airport operations or the surrounding community.

**13.04.01 SPECIAL EVENTS NOT HELD IN AN ENCLOSED BUILDING**

A special event that is not in an enclosed facility shall require a permit from the Airport Director. All special events held in an aircraft storage hangar will also require a permit. An application for a special event shall be submitted to the Airport Director for his/her review no later than thirty (30) calendar days before the proposed event. The permit shall be issued by the Airport Director after consultation with the City's Event Team, if the Airport Director determines that the special event will not adversely impact airport operations or the surrounding community. In addition, a special event held in an enclosure that the Airport Director determines may generate additional parking demand, traffic circulation, noise or other external impacts shall also require a permit from the Airport Director.

The approval of the Airport Commission is required for the following special events:

- (A) Events not held in an enclosure providing noise attenuation between the hours of 11 pm and 7 am:
- (B) Air Shows, Air Races or "in Air" events.

**13.04.01 APPLICATION AND APPROVAL OF EVENTS INVOLVING THE USE OF AIRCRAFT**

Any person wishing to hold an event at the Santa Monica Airport incorporating the active use of aircraft must procure an In-Air Special Event Permit from the Airport Director prior to holding such an event and fully comply with all restrictions and requirements contained therein. The granting of an In-Air Special Event Permit is conditioned on the approval of the Special Event Permit by the Event Team and/or Airport staff for the event contemplated.

Application for an In-Air Special Event Permit shall be made with the Director

sixty (60) days prior to the event to allow the Director to review the event, and if necessary, consultation with the Event Team and the Airport Commission. Permit applicant must obtain written approval from the Event Team (through City Hall) prior to commencement of the proposed event. The proposed special event must not adversely impact normal airport operations and/or the surrounding community. If permit applicant requests a variance to the elements of this regulation, additional approval must be obtained from the Airport Director prior to commencement of the event.

#### **13.04.03 OPERATION AND SAFETY PLAN**

No in-air special event shall be granted unless an adequate Operations and Safety Plan is approved by the Airport Director to ensure the safety and well-being of persons in attendance, including event staff and participants as well as the full compliance with FAA and Airport rules and regulations.

#### **13.04.04 OPERATIONAL COMPLIANCE**

In-Air Special Events shall abide by applicable City of Santa Monica and City of Los Angeles noise ordinances and shall not adversely impact airport operations or community.

Aircraft operations shall be regulated by the Airport Noise Abatement Code, Federal Air Regulations, Letters of Agreement and Airport Ordinances in force at the time of the event.

Formation take-offs and landings are prohibited. Formation flying is strongly discouraged.

All pilots participating in the event are required to contact the Airport Noise Abatement staff prior to the event and shall abide by arrival, departure and special operational procedures established for the event.

Significant in-air events that involve 1,000 or more attendees and/or 15 or more aircraft **shall be presented to the Airport Commission for review.**

Permitee is required to abide by all conditions and restrictions placed on the event by Airport staff.

Unless otherwise approved in writing by the Airport Director, all in-air special events shall not commence before 8:00 am and shall cease all aircraft operations by 7:00 pm. If aircraft operations lapse beyond the specified and approved time schedule without prior approval of the Airport Director, a fine of up to \$500.00 may be assessed for any portion of any excess hour.

#### **13.04.05 ENFORCEMENT**



Violators of this regulation shall be subject to a fine of up to \$500.00 for each violation of non-compliance to the above conditions. In addition, at the Airport Director's discretion, the permittee and/or the lessee may be prohibited from conducting further in-air special events for a period of up to one year from the date of the violation.

Any in-air special event participant who violates the Noise Abatement Code (SMMC 10.04.04) shall be subject to a maximum fine of \$500 and/or thirty (30) days in jail per incident, and at the Airport Director's discretion, the offending aircraft may be banned from the Santa Monica Airport.

A permit applicant who misrepresents the scope and extent of an in-air special event and/or falsifies an event application (number of participants and aircraft, flight activity, etc.) shall be subject to additional fines as determined by the Airport Director. It shall be the sole responsibility of the permittee to be familiar with this regulation and the distribution of same to any vendor, subcontractor and /or participants of any in-air special event.

#### **13.04.06 PARKING**

No special event, including aviation events, shall be held unless adequate parking is provided for all persons coming to the special event. If a special event is held on any leased premises and if the leased premises does not have on-site parking, the Airport Director shall be required to approve a parking plan for the special event. Events may not be able to be permitted if parking is not available on the dates requested in the parking plan.

#### **13.04.07 DISRUPTION OF SURROUNDING NEIGHBORHOOD PROHIBITED**

No special event shall generate any noise that unreasonably disturbs any residential dwelling in the neighborhoods surrounding the Santa Monica Airport. Santa Monica Municipal Code section 4.12.010 defines the acceptable noise levels permitted during various timed intervals. Events should also comply with City of Los Angeles noise level limits.

#### **13.05 FEES**

Applications for an "in-air" event permit shall be subject to a non-refundable processing fee.

#### **13.06 SPECIAL EVENTS – FILM PERMITS (SMMC10.04.06.200)**

No person shall take still, motion, video or sound pictures for commercial or exhibition purposes without a film (event/use) permit. The permit shall be in writing and shall set forth any conditions pertaining to the use as the Airport Director shall determine and the fee or charge to be paid for such use. The fees and charges for the use of the Airport (not including leaseholds) shall be established by resolution of

the City Council and shall be paid prior to the issuance of the use permit. Any violation of the terms of such permit or the failure to obtain a required permit shall be a misdemeanor. Persons seeking to film, tape, record or hold any event on leasehold property must obtain permission of and make arrangements through, the leaseholder.

Permit application shall be made no less than two (2) business days prior to the proposed shoot. No permits shall be issued without a fully and accurately completed and signed film permit application form, a valid certificate of insurance naming the City of Santa Monica, the Santa Monica Airport, the city/airport officers, employees and representatives additionally insured, and payment of all required fees. All shoots, including student shoots, shall require a permit to insure proper coordination and required insurance.

Filming/Recording on non-leasehold public airport property in addition to an airport permit may, if of sufficient size and scale, also require a City of Santa Monica permit and it is the sole responsibility of applicants to secure any such additional permits or permissions prior to the shoot.

Permittees shall be solely responsible for ensuring that all vendors, crew, staff and all other participants in the shoot are informed of, and comply with, all conditions of the permit and airport rules and regulations.

### **13.07 BUSINESS LOCATION REQUIREMENTS**

Persons engaged in business or commercial activity shall:

1. Be required to conduct said business or activity within the boundaries of the airport from an existing building, structure, vehicle, booths or from a facility to be constructed by mutual contractual agreement in accordance with the Airport Master Plan.
2. When a business location is not required by the Santa Monica Airport/City of Santa Monica, obtain a Limited Commercial Operator Permit from the Santa Monica Airport and pay the rates and charges established for commercial activity contemplated.
3. Acknowledge that the City of Santa Monica/Santa Monica Airport reserves the right to require a business location on airport property based upon the extent and/or magnitude of any proposed commercial operation.

### **13.08 COMMERCIAL BUSINESS INSURANCE REQUIREMENTS**

All Commercial businesses, including aviation operators, fixed base operators and non-aviation commercial, shall be covered by adequate insurance at their own expense in order to ensure payment of damage occasioned by their operation or conduct of business activities in and upon the airport, including aircraft and ramp vehicles. Said policy shall be comprehensive general liability commercial insurance

providing bodily injury and property damage liability coverage in extents and amounts set forth by the Santa Monica Airport. A current copy of a certificate of insurance bearing an original signature of the insurance agent and evidencing required coverage must be on file with the Santa Monica Airport administration.

### **13.09 CERTIFICATES OF INSURANCE**

A current copy of the Insurance Certificate must be on file at the Airport Office at all times. Each certificate shall contain an original signature of the Insurance Agent. Certificates of insurance must show that all policies contain a thirty-day prior written notice of cancellation or material change to the City of Santa Monica.

### **13.10 ADDITIONAL INSURED**

The City of Santa Monica, the City Council, boards and commissions, its officers, employees, agents and volunteers shall be an additional named insured in all such insurance policies.

### **13.11 INDEMNIFICATION OF CITY OF SANTA MONICA**

All commercial operators shall agree to indemnify, defend, and hold harmless the City of Santa Monica, its City Council, boards and commissions, officers, its employees, agents and volunteers, from and against any and all claims, demands, actions or causes of actions, losses, costs, damages, expenses or liabilities (including reasonable attorney's fees) arising out of the commercial activity.

### **13.12 ITINERANT AIRCRAFT MECHANICS AND/OR INSPECTORS**

#### **DEFINITIONS**

##### **Commercial activity**

Any person or business that is engaged in any activity within the boundaries of the Santa Monica Airport for compensation or hire and derives a business or personal benefit, whether be it for tangible or intangible from this activity.

##### **Compensation/Consideration**

Any form of reimbursement such as, but not limited to, monetary, barter, favors, gratuity, etc.

##### **Itinerant Mechanic/Inspector Provider**

Any person or business engaged in commercial aircraft maintenance, inspection, and repair activity that *does not* require a business location on Airport property such as, but not limited to: mobile aircraft mechanics, independent airframe and power plant inspectors (IA's), etc.

##### **Commercial Vehicle**

A vehicle of any type whatsoever used or maintained for the transportation of persons, goods, or property for hire, compensation or profit.

### **Commercial Operations Permit Required**

No person shall engage in any business or commercial revenue producing activity for any consideration of any nature whatsoever unless such person has entered into a Commercial Operations Permit with the City of Santa Monica. Such activity includes, but is not limited to: maintenance and/or repair of aircraft, airframe or power plant inspection, or providing other services and goods to aircraft owners or visitors at the Santa Monica Airport. Authorized itinerant mechanics and/or inspectors must display or have in possession a valid Commercial Operations Permit at all times while conducting business at the Airport.

#### **Permitted Owner Maintenance**

The owner of an aircraft may perform maintenance and/or repairs upon his/her personal aircraft, provided such individual is properly permitted to do such work under current Federal Aviation Regulations (FARs) and further that such maintenance is performed in conformance with the aircraft storage agreement. Any person wishing to perform such activity on another's aircraft must first register with the Airport Director or designee and procure a Commercial Operations Permit prior to commencing works.

#### **Temporary Permit**

The Airport Director or designee may issue a temporary Commercial Operations Permit to an individual or company permitting them to perform maintenance on aircraft under unusual circumstances, i.e., repair to fly-away status by the owner of an aircraft not based at the airport, or the maintenance/repair of an aircraft of unusual design, size or age or having components for which there is no qualified licensed operator available on the airport to perform the repairs.

#### **Business License Required**

Any itinerant mechanic and/or inspector wishing to conduct business at the Airport shall procure a City of Santa Monica Business License as required by the SMMC.

#### **Limited Commercial Operator License Agreement Required**

Itinerant mechanics/inspectors are required to enter into a limited commercial operator license agreement with the City of Santa Monica prior to providing services to tenants or users of the Santa Monica Airport.

#### **Insurance Requirements**

Itinerant mechanics/inspectors are required, at their own expense, to procure insurance coverage as specified for Specialty, Limited FBO and other Commercial Operators with Aviation Exposure per City of Santa Monica Resolution 7342 CCS.

#### **Certificates of Insurance**

A current copy of the Insurance Certificate must be on file at the Airport Office at all times. Each certificate shall contain an original signature of the Insurance Agent. Certificates of insurance must show that all policies contain a thirty-day prior written

notice of cancellation or material change to the City of Santa Monica.

### **Additional Insured**

The City of Santa Monica, its officers, employees and agents shall be an additional named insured in all such insurance policies.

### **Indemnification of City**

All commercial operators shall agree to indemnify, defend, and hold harmless the City of Santa Monica, its employees, agents and officers, from and against any and all claims, demands, actions or causes of actions, losses, costs, damages, expenses or liabilities (including reasonable attorney's fees) arising out of the commercial activity.

### **Registration**

Itinerant mechanics and/or inspectors are required to register with the Airport Director, comply with the provisions of the Santa Monica Municipal Code Section 10.04.06.060, and to conform with the requirements contained within these rules and regulations prior to offering services to any tenant or user of the Santa Monica Airport.

No person shall hold himself or herself out as an aircraft mechanic or maintain or repair the aircraft of another person for consideration except in compliance with the following requirements:

- a) The mechanic shall register with the Airport Director or designee, demonstrate that he or she has a valid and current certification from the Federal Aviation Administration, and, except for employees of holders of commercial operations permit's, obtain an operations permit.
- b) Repairs of aircraft in designated tiedown or storage areas shall be limited to maintenance and repairs that do not impede the flow of ground traffic in the area or interfere with access to aircraft or aircraft movement.
- c) Aircraft parts, tools, or supplies shall not be permitted to accumulate in designated aircraft parking or storage areas. Persons conducting maintenance or repair activities shall be responsible for the prompt clean up of such areas and removal of any accumulated material.

### **Flying Clubs**

Flying clubs based at the Santa Monica Airport may perform maintenance and/or repair and inspection solely on club owned and operated aircraft. Such maintenance and/or repair and inspection of club owned and operated aircraft may be performed by club members who perform such activity without compensation and in compliance with the following requirements:

- a) Club mechanic(s) shall register with the Airport Director or designee, and demonstrate that he or she has a valid and current certification from the Federal Aviation Administration.
- b) Repairs of aircraft in designated tiedown or storage areas shall be

limited to maintenance and repairs that do not impede the flow of ground traffic in the area or interfere with access to aircraft or aircraft movement.

c) Aircraft parts, tools, or supplies shall not be permitted to accumulate in designated aircraft parking or storage areas. Persons conducting maintenance or repair activities shall be responsible for the prompt clean up of such areas and removal of any accumulated material.

d) Flying clubs are required, at their own expense, to procure insurance coverage as specified for Specialty, Limited FBO and other Commercial Operators with Aviation Exposure per City of Santa Monica Resolution 7342 CCS.

e) A current copy of the Insurance Certificate must be on file at the Airport Office at all times. Each certificate shall contain an original signature of the Insurance Agent. Certificates of insurance must show that all policies contain a thirty-day prior written notice of cancellation or material change to the City of Santa Monica. The City of Santa Monica, its officers, employees and agents shall be an additional named insured in all such insurance policies.

f) Flying clubs shall indemnify, defend, and hold harmless the City of Santa Monica, its employees, agents and officers, from and against any and all claims, demands, actions or causes of actions, losses, costs, damages, expenses or liabilities.

### **Maintenance Restrictions**

Itinerant mechanics and/or inspectors shall not provide services or perform maintenance and/or inspection activity prohibited under the tenant's aircraft storage agreement or in conflict with the Santa Monica Municipal Code.

Aircraft maintenance and repair in aircraft storage hangars shall conform with the requirements set fourth by the FAA and the Uniform Fire Code, adopted by the City of Santa Monica, for the building type and occupancy rating.

### **13.13 FLIGHT INSTRUCTION (SMMC 10.04.06.050)**

No person shall hold himself or herself out as a flight instructor or give flight instruction except in compliance with the following requirements:

(a) The instructor shall register with the Airport Director, demonstrate that he or she has a valid and current flight instructor's certification from the Federal Aviation Administration, and except for employees of holders of commercial operations permits, obtain an operations permit.

(b) All persons instructing or checking out pilots in flying at the Airport shall fully inform the pilots of the Noise Code and other regulations in effect at the Airport and shall be responsible for the conduct of such student pilots under their instruction.

## **ARTICLE 14 ENFORCEMENT**

### **14.01 DENIAL OR ACCESS AND USE**

Any person found in violation of these Rules and Regulations or any order or directive promulgated by the Airport Director or designee pursuant hereto, may be removed or ejected from the airport, or may be temporarily grounded by, or under authority of, the Airport Director or designee and may be deprived of further use of the airport and its facilities for such length of time as may be deemed necessary to insure and safeguard lives and property. Serious infractions shall be deemed sufficient cause for the Airport Director or designee to deny or prohibit access to or use of the airport by the responsible person or firm.

### **14.02 INJUNCTIVE RELIEF**

Any person found in violation of these Rules and Regulations, or any order or directive of the Airport Director or designee pursuant hereto, may be enjoined by the City of Santa Monica in a court of competent jurisdiction, and this remedy shall be in addition to any other penalty provision.

## **ARTICLE 15 APPEAL PROCESS**

### **15.01 NOTICE OF APPEAL**

Persons found in violation of these Rules and Regulations, or any order or directive of the Airport Director or designee pursuant hereto and have been denied access to, or use of the airport, may appeal such ruling by submitting a request for appeal in writing to the City Manager of the City of Santa Monica detailing the circumstance surrounding the alleged infraction.

### **15.02 JUDGMENT**

The City Manager shall examine all pertinent facts and details to determine whether or not to uphold the denial of use and then shall notify the person of his/her findings.

The City Manager's determination shall be considered final.

### **15.03 NOISE ABATEMENT APPEALS**

Any person aggrieved by an order of the Airport Director may appeal to the City's Hearing Examiner pursuant to the time limits and procedures of Santa Monica Municipal Code Section 6.16. The decision of the Hearing Examiner shall be final except for judicial review and shall not be appealable to the City Council.

A willful violation of an order of the Airport Director shall be a misdemeanor that is punishable under Section 10.04.06.210 of the Municipal Code. A person who

fails to pay a civil penalty within thirty (30) days after the issuance of an order to do so shall pay a separate charge of ten percent of the unpaid amount of the civil penalty. The Airport Director may also exclude such person(s) from the Airport until such time as the penalty and any late payment charge are paid. Such an order shall be final and shall not be appealable to the Hearing Examiner.



# Appendix A

## SMO AIRPORT EMERGENCY PREPAREDNESS PLAN TELEPHONE DIRECTORY

<u>NAME</u>	<u>NUMBER</u>
AIRPORT OFFICE	310-458-8591
AIRPORT SECURITY	310-458-2253
POLICE SERGEANT	310-458-8952
AMERICAN RED CROSS (Santa Monica)	310-394-3773
AMERICAN FLYERS	310-390-4571
ANGEL FLIGHT	310-398-6123
ATLANTIC AVIATION	310-396-6770
BARKER HANGAR	310-390-9071
CIVIL AIR PATROL (CAP)	310-390-9363
EDISON INTERNATIONAL (Emergency Repairs/Outages)	800-611-1911
EMERGENCY SERVICES FOR DISASTER VICTIMS	800-540-2000
EMERGENCY VOLUNTEER AIR CORPS (EVAC)	310-458-8680
FAA CONTROL TOWER	310-398-4525
FEMA (24-Hour)	415-923-7100
FIRE DEPARTMENT CAPTAIN	310-458-8680
GUNNELL PROPERTIES	310-392-9000
GUNNELL/NORTHFIELD PROPERTIES (Hangar 8)	310-392-8844
SANTA MONICA/UCLA HOSPITAL EMERGENCY	310-319-4000 310-919-4765
ST. JOHNS HOSPITAL EMERGENCY	310-829-5511 310-829-8212

# Appendix B

## Phrases Pilots, Controllers, and Ground Vehicle Operators Use

<u>What is said</u>	<u>What it means</u>
Acknowledge	Let me know you have received and understand this message.
Advise intentions	Tell me what you plan to do.
Affirmative	Yes
Confirm	My version is...is that correct?
Correction	I made a mistake. This is what I should have said.
Go ahead	Continue speaking your message.
Hold	Stay where you are.
Hold short	Stop at the hold line at the intersection of the taxiway and the runway. Do not proceed onto the runway.
How do you hear me?	How well is this radio working?
Negative	No, or permission not granted, or that is not correct.
Out	The radio conversation is ended and no response is expected.
Over	My radio transmission is ended and I expect a response.
Proceed	You are authorized to begin or continue moving.
Read Back	Repeat my message to me.
Roger	I have received all of your last transmission.
Say again	Repeat what you just said.
Stand by	Wait a moment, I will call you back.
That is correct	The understanding you have is correct.
Unable	I can't do it.
Verify	Request confirmation of information. Also, check and transmit correction information.
Wilco	I have received your message, understand it, and will comply.

### Number Pronunciation

The following number pronunciation should be used when referring to runways and aircraft signs:

0. Zero - **(Zeero)**
1. One - **(Wun)**
2. Two - **(Too)**
3. Three - **(Tree)**
4. Four - **(Fower)**
5. Five - **(Fife)**
6. Six - **(Six)**

7. Seven -**(Sev-en)**
8. Eight -**(Ait)**
9. Nine - **(Niner)**

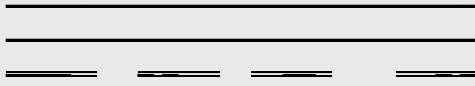
### **The Aviation Phonetic Alphabet**

Because some letters have similar sounds, like B and P, the aviation industry uses the following words to reduce confusion. The phonetic alphabet is to be used for letter of taxiways and aircraft call signs. For example, Taxiway B would be referred to as Taxiway Bravo on the radio. The following is the phonetic alphabet:

<i><b>Instead of</b></i>	<i><b>Say</b></i>	<i><b>Instead of</b></i>	<i><b>Say</b></i>
A	Alpha	N	November
B	Bravo	O	Oscar
C	Charlie	P	Papa
D	Delta	Q	Quebec
E	Echo	R	Romeo
F	Foxtrot	S	Sierra
G	Golf	T	Tango
H	Hotel	U	Uniform
I	India	V	Victor
J	Juliet	W	Whiskey
K	Kilo	X	X-ray
L	Lima	Y	Yankee
M	Mike	Z	Zulu

# Appendix C

## U.S. Airport Signs

Sign and Location	Pilot Action/Sign Purpose
<b>4-22</b>  On Taxiways at Intersections with Runway and at Runway/Runway Intersection	Do Not cross unless clearance has been received by Tower. At runway/runway intersections, hold short if land and hold-short clearance has been accepted.
<b>4-APCH</b>  Hold Position on Taxiway Located in Runway Approach or Departure Area Hold	<b>Controlled Airport-</b> Hold when instructed by ATC.  <b>Noncontrolled Airport-</b> Between 2100 - 0700 Hours. Proceed when non traffic conflict exists.
<b>B</b>  Taxiway	Identified taxiway on which aircraft is located.
<b>22</b>  Runway	Identifies runway on which aircraft is located.
  Edge of Protected Area for Runway	These signs are used on controlled airports to identify the boundary of the runway-protected area. It is intended that pilots exiting this area would use this sign as a guide to judge when the aircraft is clear of the protected area.
<b>4</b>  Runway	Provides remaining runway length in 1,000 feet increments.

### Light Gun Signals

<b>Color and Type of Signal</b>	<b>Movement of Vehicles, Equipment and Personnel</b>	<b>Aircraft on the Ground</b>	<b>Aircraft in Flight</b>
Steady Green	Cleared to cross, proceed or go	Cleared for takeoff	Cleared to land
Flashing Green	Not applicable	Cleared for taxi	Return for landing (to be followed by steady green at the proper time)
Steady Red	STOP	STOP	Give way to other aircraft and continue circling
Flashing Red	Clear the taxiway/ Runway	Taxi clear of the runway in use	Airport unsafe, do no land
Flashing White	Return to starting point on airport	Return to starting point on airport	Not applicable
Alternating Red and Green	Exercise extreme caution	Exercise extreme caution	Exercise extreme caution

# APPENDIX D

## SANTA MONICA MUNICIPAL CODE Chapter 10.04 MUNICIPAL AIRPORT

### Subchapter 10.04.02 General Provisions

#### 10.04.02.010 Name, purpose, and scope.

This Chapter shall be called the Santa Monica Airport Code. It governs the use and operation of the Santa Monica Municipal Airport (“the Airport”). The Airport Code is intended to provide for reasonable, safe, and efficient use of the Airport as a public transportation facility and as a base for aviation and aviation-related operations and to protect the municipal environment from the effects of aircraft noise. (Prior code § 10000; added by Ord. No. 1326CCS, adopted 1/22/85)

#### 10.04.02.020 Authority for regulations.

The Airport Code is adopted pursuant to the City’s power as owner, operator, and proprietor of the Airport to regulate the use of the Airport, consistent with the power of the United States Government to control air traffic and aircraft safety. This Code also constitutes an exercise of the City’s police power over ground operations, motor vehicles, and other matters not preempted by State or Federal law. (Prior code § 10001; added by Ord. No. 1326CCS, adopted 1/22/85)

#### 10.04.02.030 Powers of Airport Director.

The Airport Director shall have the right, power, and authority to enforce this Code and other laws, regulations, and orders relating to the use of the Airport. These powers include the following specific powers and duties:

(a) General Authority. The Airport Director is invested with all rights, power and authority of the City to issue orders and enforce orders, laws and regulations pertaining to the use of the Airport.

(b) Delay of Aircraft Operations. The Airport Director may delay or restrict any aircraft operation subject to any limitations imposed by State or Federal law and in accordance with the following standards:

(1) Discretion may only be exercised where there is reason to believe that a person or aircraft will violate or has violated the proprietary rights of the City, that a violation of this Code is imminent, or that its exercise is necessary for the protection of the public health, safety, or welfare.

(2) The Airport Director may issue an order impounding any aircraft until charges for storage, supplies, or service rendered to it by the City shall have been paid.

(3) Nothing in this Section shall authorize the Airport Director to deny access to the Airport to employees of the Federal Government or to other persons in case of an emergency.

(c) Suspension of Flights. The Airport Director, by appropriate notice, may restrict or suspend all flights or flying when required by military need, emergency, or other special

circumstances.

(d) Regulations. The Airport Director, with the approval of the City Attorney, may adopt rules and regulations to carry out the purposes of this Chapter. The Airport Director shall publish such rules and regulations once in a newspaper of general circulation within the City of Santa Monica Within ten (10) days of the date of publication of such rules and regulations, any interested person may file a request with the Airport Director that the Airport Commission review the rules and regulations so published. The rules and regulations shall be final at the expiration of the period for requesting review in the event no request for review is filed, or in the event of the filing of a request for review, when the rules and regulations have been approved by the Airport Commission. (Prior code § 10002; added by Ord. No. 1326CCS, adopted 1/22/85)

**Subchapter 10.04.04 Aircraft Noise Abatement Code**  
**10.04.04.010 Name, purpose and scope.**

This Subchapter of the Airport Code may be called the “Aircraft Noise Abatement Code” or “Noise Code.” It is generally intended to encourage all pilots using the Airport to fly their aircraft as quietly as possible consistent with aviation safety. It is also intended to set maximum limits on permissible aircraft noise and to regulate night and repetitive operations as well as helicopter operations. The Noise Code governs all take-offs from, landings at, and other operations from the Airport. (Prior code § 10050; added by Ord. No. 1326CCS, adopted 1/22/85)

**10.04.04.020 Authority for regulations.**

The Noise Code is enacted under the power of the City, as proprietor of the Airport, to make reasonable regulations intended to protect persons exposed to aircraft noise from noise pollution, in accordance with the judgment in Santa Monica Airport Association v. City of Santa Monica, 479 F. Supp. 927 (C.D. Cal. 1979), aff’d 659 F. 2d 100 (9th Cir. 1981).

The Noise Code is also enacted in furtherance of the Agreement executed January 31, 1984, between the City and the Federal Aviation Administration (“the Airport Agreement”) and the Noise Mitigation Program of the City’s Airport Plan, both adopted by Resolution Number 6814(CCS). (Prior code § 10051; added by Ord. No. 1326CCS, adopted 1/22/85)

**10.04.04.030 Basic principles.**

The Noise Code shall be interpreted and enforced to achieve abatement of aircraft noise to the extent technologically practicable and consonant with air safety and to promote cooperation, communication, and compliance with law. The following basic rules shall apply to the Noise Code:

(a) The Airport Director shall cooperate with pilots and other airport users and with the Federal Government in order to promote voluntary compliance with the provisions and purposes of the Noise Code and shall assist, counsel, and educate regarding ways to improve the noise performance of all aircraft using the Airport.

(b) No person shall operate an aircraft at the Airport in violation of any provision of the Noise Code or in violation of any applicable Federal or State law or regulation or order of the Airport Director. The term “at the Airport” includes operations while an aircraft is on the ground, as well as landing at, taking off from, or other operations at or from the Airport.

(c) All privileges, licenses, permits, and contractual rights permitting a person or

aircraft to use or be based at the Airport are conditioned on adherence to the Noise Code and other applicable laws, and may be revoked for multiple violations after a hearing pursuant to the procedures of this Chapter. This remedy shall be supplementary to the rights of the City under contract.

(d) The Airport Director shall inform all persons using the Airport of applicable noise abatement regulations and recognized safe noise abatement operating procedures for each type of aircraft, shall counsel pilots on compliance with regulations, and shall record violations and take appropriate action in accordance with Section 10.04.04.040. (Prior code § 10052; added by Ord. No. 1326CCS, adopted 1/22/85)

#### **10.04.04.040 Enforcement and appeal.**

The Airport Director shall issue orders imposing civil and administrative remedies for violations of the Noise Code. Such remedies shall include, but are not limited to, civil penalties and suspension or revocation of Airport privileges or permits. The following standards and procedures shall apply:

(a) All violations of the Noise Code shall be remediable by order of the Airport Director. Sanctions for willful or repeat violations may be imposed upon all parties responsible for aircraft including each pilot, aircraft owner and operator. For purposes of this subchapter, the term “owner” includes the registered owner of an aircraft and any person or entity possessing any ownership interest in an aircraft. The term “operator” includes any person or entity operating, managing or controlling an aircraft.

(b) Sanctions shall be progressive. The initial civil penalty for a repeat or willful violation shall be two thousand dollars. The penalty for a violation following the initial civil penalty shall be five thousand dollars, and the penalty for a violation following the second civil penalty shall be ten thousand dollars. After imposition of the maximum fine of, subsequent violations shall, after a hearing, result in a suspension of Airport privileges for six months and, following that, revocation of privileges or permits. The Airport Director shall notify the Federal Aviation Administration prior to ordering the suspension or revocation of Airport privileges or permits under this subsection. If particular circumstances show that progressive monetary sanctions will be ineffective to achieve compliance, suspension or revocation may be ordered after a hearing prior to imposing the maximum monetary penalty.

(c) The Airport Director may also require the abatement of violations and compliance with conditions related to abatement of further violations.

(d) The Airport Director shall consider all relevant factors in each case, including the willfulness, severity and frequency of violations, and the existence and use of safe noise abatement operating procedures appropriate to the aircraft. With respect to repeated operations of an aircraft in violation of the noise limit of Section 10.04.04.060, the Airport Director, may, after investigation to assure that a violation was not caused by extraneous factors such as loss of power, the need to avoid other aircraft, or unusual weather conditions, impose sanctions under this Section.

(e) Any person aggrieved by an order of the Airport Director may appeal to the City’s Hearing Examiner pursuant to the time limits and procedures of Chapter 6.16 of this Code. The decision of the Hearing Examiner shall be final except for judicial review and shall not be



appealable to the City Council.

(f) A willful violation of an order of the Airport Director shall be a misdemeanor punishable under Section 1.08.010 of this Code.

(g) A person who fails to pay a civil penalty within thirty days after the issuance of an order to do so shall pay a separate charge of ten percent of the unpaid amount of the civil penalty. The Airport Director may also exclude such person from the Airport until such time as the penalty and any late payment charge are paid. Such an order shall be final and shall not be appealable to the Hearing Examiner.

(h) The remedies as set forth in this Section are supplementary to any legal or equitable remedies available to the City in its governmental and proprietary capacities, including but not limited to the right to abate nuisances and hazards. (Prior code § 10053; added by Ord. No. 1326CCS, adopted 1/22/85; amended by Ord. No. 2025CCS § 1, adopted 11/13/01)

#### **10.04.04.050 Aircraft exclusion.**

If a particular aircraft is operated in excess of noise limits, that aircraft may be excluded from the Airport by order of the Airport Director in accordance with the following standards:

(a) The Airport Director shall maintain a list of aircraft types that are estimated to be unable to meet the maximum noise limit of Section 10.04.04.060 under any conditions and operating procedures. This list shall be based on actual measurement of aircraft operations. If there are insufficient measured flights of a particular type, the Airport Director shall act upon the best available information, including Federal Aviation Administration estimates. These “Listed Aircraft” may, after one violation of the maximum noise limit, be excluded from the Airport.

(b) An aircraft other than a Listed Aircraft may be excluded from the Airport after repeated violations of noise limits if the Airport Director determines that the “Permitted Aircraft” is likely to violate noise limits even if flown according to recommended safe operating procedures under normal weather conditions. (Prior code § 10054; added by Ord. No. 1326CCS, adopted 1/22/85; amended by Ord. No. 2025CCS § 2, adopted 11/13/02)

#### **10.04.04.055 Registration requirements.**

After landing, each pilot or his or her representative must comply with all registration requirements prescribed by the Airport Director by regulation including completing a registration form and acknowledging receipt of a summary of Airport regulations. (Added by Ord. No. 2025CCS § 3, adopted 11/13/02)

#### **10.04.04.060 Maximum noise limit.**

No aircraft shall exceed a Single Event Noise Exposure Level (SENEL) or ninety-five (95) decibels as measured at the Airport Noise Measuring Stations existing on January 1, 1985. If additional stations are established, the maximum SENEL shall be set for each measuring point at an equivalent level. (Prior code § 10055; added by Ord. No. 1326CCS, adopted 1/22/85)

#### **10.04.04.070 Performance based noise limit.**

(a) By regulation adopted in accordance with Section 10.04.02.030(d), the Airport Director shall provide for a Performance Based Noise Limit by aircraft type. No aircraft shall exceed the SENEL limit established by the Airport Director as the lowest SENEL limit that can

be met by the type of aircraft concerned consistent with safe operating procedures.

(b) The Performance Based Noise Limit shall be for a two (2) year experimental period commencing on the date of its adoption and shall be developed in consultation with the Federal Aviation Administration in accordance with the Airport Agreement.

(c) Performance Based Noise Limits shall be based on actual measurement of aircraft operations. If there are insufficient measured flights of a particular type, the Airport Director shall set a limit based on the best available information.

(d) Pending completion of this experimental program, no pilot who violates the Performance Based Noise Limit but does not violate the maximum noise limit of ninety-five (95) dB may be fined or excluded from the Airport. (Prior code § 10056; added by Ord. No. 1326CCS, adopted 1/22/85)

#### **10.04.04.080 Hours of operation.**

The Airport shall be open for public use at all reasonable hours of the day and night, subject to the following restrictions:

(a) The Airport Director may close the Airport because of conditions of the landing area, necessary maintenance, the presentation of special events, and similar causes.

(b) No aircraft shall be started, run-up, or depart the Airport between the hours of 11:00 p.m. and 7:00 a.m. Mondays through Fridays nor between 11:00 p.m. and 8:00 a.m. Saturdays and Sundays, except in case of bona fide medical or public safety emergency, with the consent of the Airport Director or, in his or her absence, the Watch Commander of the Police Department. (Prior code § 10057; added by Ord. No. 1326CCS, adopted 1/22/85)

#### **10.04.04.090 Restrictions on aircraft operations.**

The following regulations apply to operations at the Airport:

(a) Touch and Go and Stop and Go operations are prohibited on Saturdays, Sundays, and holidays, and during weekdays between one-half (1/2) hour after sunset and 7:00 a.m. of the following morning. This restriction shall not apply in emergencies, where necessitated by safety considerations, or when required by the Federal Aviation Administration.

(b) Touch and Go operations shall be permitted only after the pilot of the aircraft has received permission from the air traffic controller in the control tower and in no event shall be made unless the aircraft has initiated takeoff prior to reaching the touch and go limit lines painted on the runway.

(c) Simulated forced landings shall not be permitted until the aircraft reaches pattern altitude and in no event shall be made opposite to the direction of take-off.

(d) For purposes of this Section, holiday shall mean New Year's Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day and Christmas Day, provided, however, that if any such holiday falls on Saturday or Sunday, and as a result such holiday is observed on the preceding Friday or succeeding Monday, then such Friday or Monday, as the case may be, shall be considered to be a holiday under this Section. (Prior code § 10058; added by Ord. No. 1326CCS, adopted 1/22/85)

#### **10.04.04.100 Helicopter operations.**

The following provisions apply to the use of helicopters at the airport:

(a) Until the completion of the study of helicopter noise authorized by the Airport Agreement, no person shall be granted a permit or lease to use the Airport as a base for any operation involving the substantial use of helicopters.

(b) Helicopter flight training operations at the Airport are prohibited at all times. (Prior code § 10059; added by Ord. No. 1326CCS, adopted 1/22/85)

#### **Subchapter 10.04.06 Airport Field Regulations**

##### **10.04.06.010 Name, purpose and scope.**

The Subchapter of the Airport Code may be called the “Airport Field Regulations” or “Field Regulations.” These regulations are generally intended to maintain the safety and economic viability of the Airport through enforcement of uniform standards and permit procedures. The Field Regulations govern all activity of persons, motor vehicles, and aircraft on the ground of the Airport. They shall not derogate any obligations imposed by present or future contracts between the City and Fixed-Base Operators or other users of the Airport. (Prior code § 10100; added by Ord. No. 1326CCS, adopted 1/22/85)

##### **10.04.06.020 Commercial operations.**

No person shall use the Airport as a base for any commercial activity without an operations permit issued by the City Manager. The term “commercial activity” includes the carrying for hire of passengers, freight, express or mail, the sale of fuel and related products or services, the sale or lease of new or used aircraft, the sale of aircraft parts and supplies, flight or ground schools requiring a fixed base, aircraft repair and maintenance, the sale of food and refreshments, or any other activity for which a business license from the City is required. (Prior code § 10101; added by Ord. No. 1326CCS, adopted 1/22/85)

##### **10.04.06.030 Operations permit.**

The following standards and procedures apply to operations permits:

(a) Applications shall be presented to the Airport Director on an approved form and considered by the Airport Commission before issuance of a permit by the City Manager. Applications shall, at a minimum, identify the applicants and its principals, document the applicant’s financial responsibility, and specify types of service to be provided and types and number of aircraft proposed to be used.

(b) The Airport Director shall, by regulation, provide for an expedited permit procedure for commercial operations not requiring a fixed base at the Airport. The Airport Director may grant expedited permits upon registration of the applicant and proof of compliance with the following:

(1) The applicant shall demonstrate that he or she has valid and current certification from the Federal Aviation Administration as required for the performance of the applicant’s services.

(2) The applicant shall agree to be bound by the provisions of Section 10.04.06.070 providing for indemnity of the City.

(3) The applicant shall register any motor vehicles used in the course of his or her business with the Airport Director, furnish proof of public liability insurance for such vehicles, and comply with any conditions the Airport Director deems necessary to promote safety and

maintain adequate access to the Airport.

(4) The applicant shall pay such processing fees and furnish proof of such insurance as may be required by Resolution of the City Council.

(5) The Airport Director may, based on the scope and nature of the services proposed to be provided, require that the applicant obtain an operations permit from the City Manager pursuant to the regular procedures and standards of Section 10.04.06.030.

(c) An operations permit shall identify the location of the base and the specific uses permitted. The permit may be amended to permit additional locations or uses. Applications for amendments need only contain information relative to the additional locations or uses sought and identification of any changed conditions since the issuance of the original operations permit.

(d) Applications for air carrier service shall identify and assess the effects of the service on community aircraft noise exposure, automobile traffic, and other significant environmental impacts and propose appropriate mitigation measures. Environmental assessment shall be in accordance with State and City laws and procedures. As used in this Section, "air carrier" service includes commuter service, air charter and air taxi operations, freight, cargo, express, and mail service, and other commercial flight operations certificated by the Federal Aviation Administration.

(e) The requirement of an operations permit is supplementary to necessary development reviews, business licenses and other fees and approvals as may be required by applicable law. The leasing by the City of a parcel of land for fixed-base aviation operations does not relieve the lessee, or any other person occupying the parcel, from the requirement of obtaining or amending operations permits unless the lease so specifies.

(f) The City Manager may deny, grant unconditionally, or grant an operations permit subject to conditions reasonably related to the promotion of the safety or economic viability of the Airport, compliance with the Airport Agreement or Airport Plan, or the abatement of community exposure to aircraft noise or other environmental concerns. A decision of the City Manager shall be final, subject to judicial review. The Airport Director may establish by regulation standard conditions to be part of all operations permits unless specifically deleted.

(g) Except as provided in Subsection (h), an operations permit shall be deemed granted subject only to standard conditions if it is not disapproved or conditionally approved by the City Manager within sixty (60) days of the filing of a completed application unless extended by the City Manager in writing for an additional period not to exceed sixty (60) days.

(h) No operations permit shall be granted unless and until the applicant or authorized representative has obtained all other governmental approvals applicable to the project, except that a building permit may not be granted without an operations permit.

(i) The Airport Director may issue an order directing a holder of an operations permit to comply with applicable laws or conditions of permits. The City Manager may suspend or revoke an operations permit for willful violation of such an order. Any suspension or revocation may be appealed to the City's Hearing Examiner pursuant to the time limits and procedures of prior code Section 6126 of the Municipal Code. The effect of such suspension or revocation shall be stayed pending timely appeal to the Hearing Examiner.

(j) The City Council by Resolution may establish and from time to time amend fees for the processing of applications for operations permits and fixed-base operator leases, which

shall not exceed the reasonable cost of such processing. (Prior code § 10102; added by Ord. No. 1326CCS, adopted 1/22/85)

#### **10.04.06.040 Exemptions.**

Operations permits shall not be required if the provisions of any of the following Subsections are met:

(a) Flying clubs shall be exempted from obtaining an operations permit upon the issuance of a permit from the Airport Director. Flying clubs are defined as non-profit membership organizations formed to allow for the multiple ownership of aircraft. Issuance of the permit shall be based solely on examination of the club by-laws and verifications of non-profit status. The permit may be revoked by the Airport Director if the club engages in commercial activities as described in Section 10.04.06.020.

(b) A person may sell his or her personal aircraft without obtaining an operations permit, provided that no person may engage in two (2) such sales within any twelve (12) month period without an operations permit. A person may lease his or her personal aircraft to holders of commercial operations permits without obtaining an operations permit. (Prior code § 10103; added by Ord. No. 1326CCS, adopted 1/22/85)

#### **10.04.06.050 Flight instructions.**

No person shall hold himself or herself out as a flight instructor or give flight instruction except in compliance with the following requirements:

(a) The instructor shall register with the Airport Director, demonstrate that he or she has a valid and current flight instructor's certification from the Federal Aviation Administration, and, except for employees of holders of commercial operations permits, obtain an operations permit under Section 10.04.06.030(b).

(b) All persons instructing or checking out pilots in flying at the Airport shall fully inform the pilots of the Noise Code and other regulations in effect at the Airport and shall be responsible for the conduct of such student pilots under their instruction. (Prior code § 10104; added by Ord. No. 1326CCS, adopted 1/22/85)

#### **10.04.06.060 Aircraft maintenance and repair.**

No person shall hold himself or herself out as an aircraft mechanic or maintain or repair the aircraft of another person for consideration except in compliance with the following requirements:

(a) The mechanic shall register with the Airport Director, demonstrate that he or she has a valid and current certification from the Federal Aviation Administration, and except for employees or holders of commercial operations permits, obtain an operations permit under Section 10.04.06.030(b).

(b) Repairs of aircraft in designated tiedown or storage areas shall be limited to maintenance and repairs that do not impede the flow of ground traffic in the area or interfere with access to aircraft or aircraft movement.

(c) Aircraft parts, tools, or supplies shall not be permitted to accumulate in designated aircraft, parking or storage areas. Persons conducting maintenance or repair activities shall be responsible for the prompt clean-up of such areas and removal of any accumulated material.

(Prior code § 10105; added by Ord. No. 1326CCS, adopted 1/22/85)

**10.04.06.070 Indemnity.**

The privileges of using the Airport and its facilities are conditioned on the assumption of full responsibility and risk by the user thereof, and the user shall release, hold harmless, and indemnify the City, members of the City Council and Boards and Commissions, and officers and employees of the City from any liability or loss resulting from such use.

Nothing in this Chapter shall be deemed to impose any liability upon the City of Santa Monica or its officers or employees, or to create any private rights of action in any person, or to relieve any person using the airport from any duty or standard of care imposed by law. (Prior code § 10106; added by Ord. No. 1326CCS, adopted 1/22/85)

**10.04.06.080 Insurance.**

All aircraft owners and operators shall be covered at their expense by public liability insurance in such amounts and terms as established by Resolution of the City Council. Such insurance shall name the City, members of the City Council and Boards and Commissions, and officers and employees of the City as additional named insured. (Prior code § 10107; added by Ord. No. 1326CCS, adopted 1/22/85)

**10.04.06.090 Aircraft tie-down and hangar rental.**

The owner or operator of aircraft using the Airport shall pay the prescribed rental rate. The tie-down or parking rate shall be based on the length of the wing-span in feet, the weight of the aircraft, the number of engines, or similar measure, and shall be charged by the month, day, or half-hour. The rental rate for hangar parking shall be a single monthly sum. All such rates shall be established by Resolution of the City Council. (Prior code § 10108; added by Ord. No. 1326CCS, adopted 1/22/85)

**10.04.06.100 Landing fees.**

Owners or operators of aircraft operating at the Airport shall pay a landing fee. Landing fee amounts may be set and from time to time amended by Resolution of the City Council. (Prior code § 10109; added by Ord. No. 1326CCS, adopted 1/22/85; amended by Ord. No. 2079CCS § 1, adopted 6-10-03)

**10.04.06.110 Technical codes.**

All structures at the Airport shall comply with applicable provisions of Chapter 8.04 of Article 8 of the Municipal Code relating to Technical and Construction Codes. (Prior code § 10110; added by Ord. No. 1326CCS, adopted 1/22/85)

**10.04.06.120 Fire regulations.**

In addition to any other requirement imposed by law, all persons at the Airport shall comply with the following specific fire regulations applicable to all persons using the Airport:

- (a) Every person using the Airport or its facilities in any way shall use the utmost caution to prevent fire and shall not cause to exist any condition constituting a fire hazard.
- (b) No aircraft shall be fueled or drained while its engine is running or while in a

hangar or other enclosed place. Fueling shall be done in such manner and with such equipment that adequate connections for the grounding of static electricity shall be maintained continuously during fueling operations. No smoking shall be permitted within fifty (50) feet of the point where fuel is removed from or discharged into any aircraft.

(c) No cylinder or flask of compressed flammable gas shall be kept or stored except at such a place as may be designated by the Fire Department.

(d) The cleaning of engines or other parts of aircraft shall not be carried on in any hangar except with nonflammable substances. If flammable liquids shall be employed for this purpose, the operation shall be carried on in the open air and a safe distance from other aircraft.

(e) During business hours, hangar entrances shall be kept clear at all times to permit ready access to the building to combat fires.

(f) Floors of buildings shall be kept clean and free of oil, and no volatile or flammable solvent shall be used for cleaning floors.

(g) No boxes, crates, rubbish, paper, empty cans or bottles, or other litter shall be permitted to accumulate in or about any hangar. (Prior code § 10111; added by Ord. No. 1326CCS, adopted 1/22/85)

#### **10.04.06.130 Aircraft ground operations.**

The following regulations shall govern the operation of aircraft while on the ground at the Airport:

(a) No aircraft engine shall be started on any aircraft not equipped with adequate brakes fully set, unless the wheels have been chocked with blocks. No aircraft shall be started or run up unless a competent operator is at the controls of the aircraft at all times. No aircraft shall be left unattended on the Airport unless it is in a hangar completely enclosed with the door locked securely or such aircraft is locked in such a manner that it cannot be entered or started without the use of a proper key. All unhangared aircraft shall be parked in the spaces designated for that purpose and locked as above.

(b) The pre-flight run-up of engines shall be conducted only at points designated by the Airport Director. No aircraft shall be operated above idle power or run-up unless it is in such position that the propeller or turbine blast will clear all buildings, all aircraft maneuvering areas, and all people in the observation areas.

(c) No person shall take any aircraft on, to or from the Airport, or operate any such aircraft, while under the influence of, or while using, any intoxicating liquor or drug.

(d) Wrecked or damaged aircraft shall promptly be removed from runways or taxiways by the aircraft owner or operator subject to the direction of the Airport Director and appropriate officials of the United States of America. (Prior code § 10112; added by Ord. No. 1326CCS, adopted 1/22/85)

#### **10.04.06.140 Fueling operations.**

Aircraft fueling operations shall be conducted consistent with safety standards contained in State, Federal, and local fire law. The following additional provisions shall apply to the fueling of aircraft at the Airport:

(a) The right of a pilot to fuel his or her own aircraft pursuant to Federal law shall be respected.

(b) The City Council may by Resolution, establish a fuel flowage fee to be paid to the City by all persons or companies supplying gasoline or oils to be used, dispensed, or sold at the Airport by persons other than the City. (Prior code § 10113; added by Ord. No. 1326CCS, adopted 1/22/85)

**10.04.06.150 Ultralight aircraft.**

Pending verification by the Federal Aviation Administration and the City that ultralight aircraft can operate at the Airport without compromising aviation safety, no person shall operate an ultralight aircraft, as defined by Federal Aviation Regulations Part 103, at or from the Airport. (Prior code § 10114; added by Ord. No. 1326CCS, adopted 1/22/85)

**10.04.06.160 Motor vehicles.**

(a) No person shall operate a motor vehicle at the Airport except in accordance with this Section. As used in this Section, the term “motor vehicle” includes any vehicle other than an aircraft, including bicycles.

(b) Motor vehicles shall be parked in designated parking areas.

(c) No person shall operate a motor vehicle on, upon, or across any portion of the Airport except along or upon roadways designated for travel by motor vehicles or those portions of the Airport set aside by the Airport Director for automobile parking purposes.

(d) No person shall operate, drive, or propel any motor vehicle at a speed of greater than twenty-five (25) miles per hour at the Airport.

(e) The Airport Director may place on the Airport such stop signs and parking regulation signs as he or she may deem necessary. No person shall park any vehicle contrary to the directions on any parking sign or enter any intersection posted with a stop sign without first bringing his or her vehicle to a full stop within six (6) feet of such intersection.

(f) No person shall operate, drive, or propel any motor vehicle on any landing area of the Airport.

(g) Police or fire vehicles driven on the Airport in response to emergencies shall not be subject to Subsections (e) and (f). Vehicles driven on the Airport for the purpose of making repairs and improvements to the Airport or for wreckage removal and governmental vehicles driven on the Airport on official business shall not be subject to Subsections (d) and (e), providing that the operators obtain a permit to enter the landing area from the Airport Director, conspicuously display an approved orange and white safety flag on the vehicles, and enter and leave the Airport at established gateways.

(h) All vehicles hauling trash shall be covered. No vehicle used for hauling trash, dirt, or any other materials shall be operated on the Airport unless such vehicle is constructed so as to prevent its contents from dropping, sifting, leaking, or otherwise escaping. Any person who spills any dirt or any other materials from vehicles operated at the Airport shall immediately clean up the spilled material.

(i) Violation of the provisions of this Section shall be punishable by fine pursuant to Section 3.16.290 of the Municipal Code. The procedures of Sections 3.12.1070 and 3.17.1080 of the Municipal Code shall be applicable to violations of the motor vehicle operating and parking regulations of this Chapter.

(j) The Airport Director shall have authority to tow or otherwise move motor



vehicles which are parked in violation of this Chapter in accordance with applicable law. (Prior code § 10115; added by Ord. No. 1326CCS, adopted 1/22/85)

**10.04.06.170 Pedestrians.**

No pedestrians shall be upon any taxiway or landing area of the Airport without first obtaining a signed permit from the Airport Director, excepting mechanics who are by necessity required to be on a taxiway or landing area to remove damaged aircraft. (Prior code § 10116; added by Ord. No. 1326CCS, adopted 1/22/85)

**10.04.06.180 Experimental flights.**

No experimental certification test flights or ground demonstrations shall be conducted on or at the by Airport without the written permission of the Airport Director. (Prior code § 10117; added by Ord. No. 1326CCS, adopted 1/22/85)

**10.04.06.190 Damage reports and responsibility.**

Any person damaging any light or fixture by means of contact with any aircraft or surface vehicle shall report such damage to the Airport Director immediately and shall be fully responsible for any costs required to repair or replace the damaged facility. (Prior code § 10118; added by Ord. No. 1326CCS, adopted 1/22/85)

**10.04.06.200 Motion pictures and commercial photography.**

No person shall take still, motion, video or sound pictures for commercial purposes on the Airport without a use permit approved by the Airport Director. The use permit shall be in writing and shall set forth any conditions pertaining to use as the Airport Director shall determine and the fee or charge to be paid for such use. The fees and charges for the use of the Airport for commercial photography shall be established by Resolution of the City Council and shall be paid prior to the issuance of the use permit. Any violation of the terms or conditions of such permit shall be a misdemeanor. (Prior code § 10119; added by Ord. No. 1326CCS, adopted 1/22/85)

**10.04.06.210 Penalty.**

The violation of any provision of this Subchapter shall be a misdemeanor punishable by a fine of up to five hundred dollars (\$500.00), a jail term of up to six (6) months, or both. (Prior code § 10120; added by Ord. No. 1326CCS, adopted 1/22/85)

**Subchapter 10.04.08 Glossary of Technical Terms**

**10.04.08.010 Definition of terms.**

The following words or phrases as used in this Chapter shall have the following meanings:

(a) Traffic Pattern. An approximately rectangular flight track designed to provide for an organized flow of local traffic around the Airport in which the runway centerline forms one part of one of the longer legs of the rectangle. The traffic pattern shall be established by the Federal Aviation Administration in cooperation with the City.

(b) Sound Pressure Level. The sound pressure level of a sound is twenty (20) times the logarithm to the base ten (10) of the ratio of the measured root mean square (RMS) value of

the sound pressure to a reference sound pressure. Measurement units are decibels (dB). The reference pressure is twenty (20) micro pascals.

[SPL 20 =  $\text{Log}_{10}$  (P measured divided by P reference)]

(c) A-Weighted Sound Pressure Level. The sound pressure level which has been filtered or weighted to quantitatively reduce the effect of low frequency noise. It was designed to approximate the response of the human ear to sound. A-weighted sound pressure level is measured in decibels with a standard sound level meter which contains the “A” weighting network. A-weighted decibels are abbreviated dBA. Relevant standards are defined by the American National Standards Institute Specification for Sound Level Meters (S1.4-1971).

(d) Single Event Noise Exposure Level. SENEL is the time-integrated A-weighted sound pressure level of a single aircraft flyover (which exceeds a threshold noise level) which is expressed by the level of an equivalent one-second duration reference signal. The threshold level at the Airport shall be at least sixty-five (65) dBA. SENEL provides a measure which quantifies the effect of duration and magnitude for a single event measured above a specified threshold. SENEL is defined by California Division of Aeronautics, “Noise Standards for California Airports,” California Administrative Code Chapter 9, Title 4 (Register 70, No. 48, November 28, 1970).

(e) Community Noise Equivalent Level. The CNEL is the annual average (on an energy basis) noise level measured in A-weighted sound pressure level for a twenty-four (24) hour period with different weighting factors for the noise levels occurring during the day, evening, and nighttime periods. CNEL is defined by California Division of Aeronautics, “Noise Standards for California Airports,” California Administrative Code Chapter 9, Title 4 (Register 70, No. 48, November 28, 1970). (Prior code § 10150; added by Ord. No. 1326CCS, adopted 1/22/85)

# APPENDIX E PHOTOS



**Public Observation Deck**



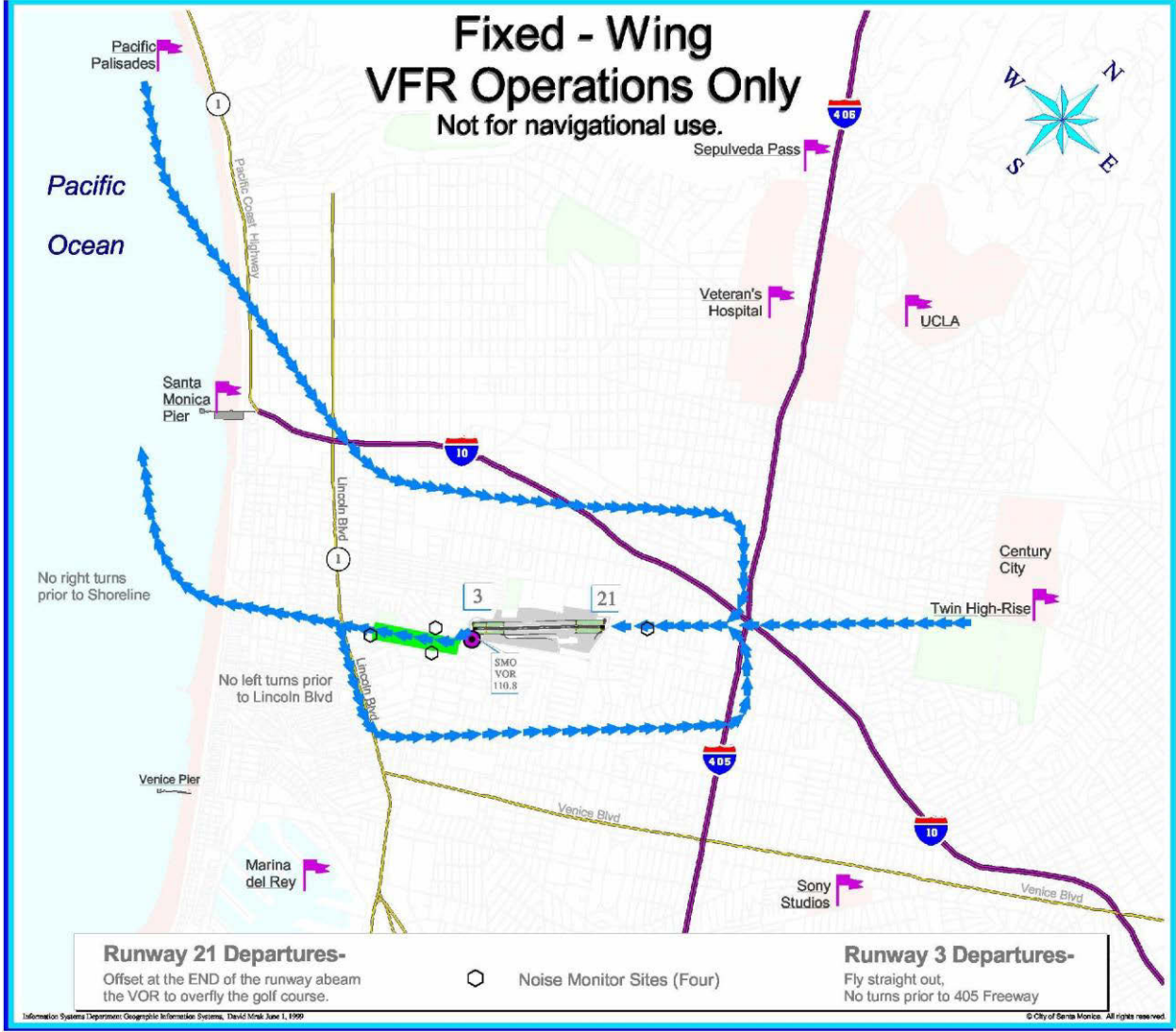
ASOS Weather Station



Oil Disposal Station

# APPENDIX F

## AIRPORT APPROACH AND DEPARTURE PLANS



# APPENDIX G

## SAMPLE FILM AND EVENT PERMITS

### Santa Monica Airport Film Permit Application

**Project Name** \_\_\_\_\_

Shoot Date/Time \_\_\_\_\_ Still \_\_\_\_\_ Movie/Video \_\_\_\_\_

Set up and Strike Dates and Times \_\_\_\_\_

\_\_\_\_\_

Location/Space/Area of shoot \_\_\_\_\_

\_\_\_\_\_

Applicant:

Company/Organization \_\_\_\_\_

Representative/Agent \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

**Phone Number** \_\_\_\_\_ **Fax Number** \_\_\_\_\_

Pager Number \_\_\_\_\_ E-Mail \_\_\_\_\_

Location Contact and contact number during  
filming \_\_\_\_\_

Detailed description of the shot(s) –attached additional pages if necessary-

\_\_\_\_\_

---

---

---

---

---

Describe any exterior/interior sets \_\_\_\_\_

Full Day\_\_\_\_(How many\_\_\_\_) Half Day\_\_\_ Interior\_\_\_ Exterior\_\_ Both\_\_\_

Day\_\_\_\_ Night\_\_\_\_ Generator \_\_\_\_\_ Cabling\_\_\_\_\_

Lights – number, kind, size/height, how used \_\_\_\_\_

---

Number of crew and actors \_\_\_\_\_ Number of

Trucks/Vans \_\_\_\_\_ Number of cars \_\_\_\_\_ Number of Trailers \_\_\_\_\_

Parking Arrangements \_\_\_\_\_

---

Fully describe any use of airplanes and/or helicopters \_\_\_\_\_

---

---

No weapons, including replicas, pyrotechnics, live music, or any activity that generates fumes, smoke or loud noise

---

Security \_\_\_\_\_ Fireman \_\_\_\_\_



Applicant(s) must contact the Santa Monica Fire Department (310.458.8915 – Lise Hill or Chef Jim Glew ) to determine safety requirements including provisions for a Fire Safety Officer if one is deemed needed by SMFD.

Applicant(s) must contact Airport Security, Sgt. Jeff Wiles (310.458.8492) Santa Monica Police Department and Eddie Soto SMPD (310) 458-2287 regarding security requirements and/or hiring officers. A Police Officer is normally required for any filming on the airport.

All aircraft pilots/operators must secure a noise control briefing from the SMO Noise Abatement Office (310.458.8759)

*Santa Monica Building and Safety may require an inspection, building permit and/or engineer drawings, particularly for stages/platforms over 30 inches high, tents/canopies over 25' high or 50' in any direction or over 2,500 sq ft, bleachers, or electrical work. Call 310.458.8355.*

**A certificate of insurance naming the City of Santa Monica and Santa Monica Airport as additionally insured must be provided. Certificate must be for a minimum of \$1,000,000 general liability per occurrence. Shoots involving vehicles, aircraft, animals, stunts, and/or liquor will also require insurance coverage for those items/activities and may require higher limits**

Airport Film Permit Fees are \$250 for motion picture and video productions and \$100 for still shoots.

I hereby attest that the above information provided by me and my organization is complete and correct and further certify I am authorized to represent the organization identified above. It is understood and agreed that any misrepresentations or inaccuracies, as determined by the City of Santa Monica, can result in the immediate revocation of any permits issued based on this application. The City of Santa Monica further reserves the right to take any other corrective action it deems appropriate.

I further hold the City of Santa Monica, its officers and employees harmless from any claims that may arise as a consequence of this film production.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Representing – Organization Name

\_\_\_\_\_  
Title

.....  
CC: Airport Manager, Airport Security



Santa Monica Airport  
Event Permit Application

**Applicant(s) must contact the Santa Monica Fire Department (310.458.8915 – Lise Hill or Chief Jim Glew) to determine safety requirements including provisions for a Fire Safety Officer if one is deemed needed by SMFD.**

Applicant(s) must contact the Santa Monica Police Department Eddie Soto (310.458.2257) and Jeff Wiles (310.458.8492) regarding security requirements.

**Applicant(s) should contact Santa Monica Solid Waste Management (310.458.8546 – Wes Thompson) regarding a solid waste management and recycling plans for the event.**

Santa Monica Building and Safety may require an inspection, building permit and/or engineer drawings, particularly for stages/platforms over 30 inches high, tents/canopies over 25' high or 50' in any direction or over 2,500 sq ft, bleachers, or electrical work. Call 310.458.8355.

All events and event sites in Santa Monica must be accessible to people with disabilities or reasonable accommodations made. If a portion of the event area cannot be made accessible, an alternative area must be provided with the same activities. The alternate site cannot be offered only to patrons/guests with disabilities.

**ALL supply and service providers (e.g., caterer, valet, rental, etc.) are required to obtain a Santa Monica business license (310.458.8745).**

*A certificate of insurance naming the City of Santa Monica and Santa Monica Airport as additionally insured must be provided. Certificate must be for a minimum of \$1,000,000 general liability per occurrence.*

**Permit Fee:**

<b>Application</b>	<b>12 weeks in advance</b>	<b>\$ 50.00</b>
	<b>8-12 weeks in advance</b>	<b>\$100.00</b>
	<b>Less than 8 weeks in advance</b>	<b>\$200.00</b>



Event Name \_\_\_\_\_

Event Date/Time(s) \_\_\_\_\_

---

Event Set-Up Times

\_\_\_\_\_

Event Strike Times \_\_\_\_\_

Event Location/Space/Area of Event

\_\_\_\_\_

Description of the event(s)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Number of expected attendees/participants \_\_\_\_\_

Is the event open to the public/is it ticketed? Is there an admission charge? How will admission be managed?

\_\_\_\_\_

\_\_\_\_\_

Applicant:

Company/Organization \_\_\_\_\_

Representative/Agent \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

Phone Number \_\_\_\_\_ Fax Number \_\_\_\_\_

Pager Number \_\_\_\_\_ E-Mail \_\_\_\_\_

Location Contact and contact number \_\_\_\_\_

Promoter and/or Event Planner (name, address and Phone/fax  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Event Sponsor \_\_\_\_\_  
\_\_\_\_\_

Publicity – How will the event be publicized? \_\_\_\_\_

---

Will there be live or other media coverage during the event, if so describe \_\_\_\_\_

---

Describe in detail any sets, structures, tents, etc. that will be installed for the event

\_\_\_\_\_  
\_\_\_\_\_

---

**Santa Monica Building and Safety may require an inspection, building permit and/or engineer drawings, particularly for bleachers, stages/platforms over 30 inches, tents/canopies over 25' high or 50' in any direction or over 2,500 sq ft, or electrical work (310.458.8355 – Laurie Doe)**

Signage- what, where and how mounted \_\_\_\_\_

---

Parking Arrangements \_\_\_\_\_

How will parking lot traffic, access and security be managed?

---

---

Security Arrangements \_\_\_\_\_

---

---

First Aid Facilities or arrangements \_\_\_\_\_

---

Food/Beverage – Will food and/or non-alcoholic beverages be served on-site? \_\_\_\_\_

\_\_\_\_\_

Will food be cooked on-site, is describe set-up \_\_\_\_\_

**Food preparation generally requires a permit from the County Health Department- contact 310.665-8450.**

**Name of caterer:** \_\_\_\_\_

Alcohol – will alcoholic beverages be served or sold? \_\_\_\_\_  
If so describe service area and security arrangements to ensure consumption/access by persons 21 years or older only \_\_\_\_\_

---

Event permit will be contingent upon applicant securing required permit from State of California Alcoholic Beverage Control (ABC) office (310.412.6311)

Accessibility plan for disabled \_\_\_\_\_

---

Describe in detail any use of airplanes and/or helicopters

---

---

---

---

Describe in detail (include hours and numbers) any use of live or otherwise amplified music, performances, presentations or other entertainment as well as any activity that generates fumes, smoke or loud noise:

---

---

---

---

Restrooms/toilets – how provided

---

Los Angeles County Health Department recommends one chemical toilet for every 250 men and two chemical toilets for every 175 women. At least 10% of toilets must be accessible to disabled persons. All restrooms must be properly illuminated.  
\*\*\*\*\*

I hereby attest under penalty of perjury that the above information provided by me is true and complete to the best of my knowledge and that I am authorized to represent the applicant(s) organization/group(s).

\_\_\_\_\_  
Signature Date

\_\_\_\_\_  
Printed Name Title

\_\_\_\_\_  
Representing

**INDEMNITY AND HOLD HARMLESS AGREEMENT**

\_\_\_\_\_ (Hereinafter known as Indemnitor), in consideration of the City's permission to \_\_\_\_\_ on \_\_\_\_\_, 2001 agrees to the terms and conditions as follows:

Indemnitor shall indemnify, defend and hold harmless the City, its Council, Boards, Commission, Officers, agents, servants and employees from and against any and all loss, damages, liability, claims, suits, costs and expenses, whatsoever, including reasonable attorney's

fees, regardless of the merit or outcome of any such claim or suit arising from or in any manner connected to the event, services or work conducted or performed by Indemnitor.

Indemnitor shall indemnify, defend and save harmless the City, its Council, Boards, Commissions, Officers, Agents, servants and employees from and against any and all claims and losses, whatsoever, including reasonable attorney=s fee accruing or resulting to any and all persons, firms or corporations furnishing or supplying work, services, material, equipment or supplies in connection with the event, services or work conducted or performed by Indemnitor and arising out of such activities, and from any and all claims and losses, whatsoever, including reasonable attorney=s fees accruing or resulting to any person, firm or corporation for damages, injury or death arising out of Indemnitor' s operations

IN WITNESS WHEREOF, this Agreement is executed on this \_\_\_\_\_ day of \_\_\_\_\_, 2001.

INDEMNITOR:

By: \_\_\_\_\_ (Signature)

Print Name \_\_\_\_\_ Title \_\_\_\_\_

Organization \_\_\_\_\_

# APPENDIX H

## LANDING FEE PROGRAM

### Effective August 1, 2005:

A Landing Fee Program is in effect for all non-based aircraft landing at Santa Monica Airport.

The Landing Fee Program applies to transient aircraft and includes both fixed wing and rotorcraft. The Landing Fee Program is based on the aircraft's published maximum certificated gross landing weight rounded off to the nearest 1000 pounds.

*The Landing Fee Program is Pursuant to Santa Monica Municipal 10.04.02.030(d).*

### SUMMARY:

- Currently a uniform landing fee of \$2.07 per 1000 pounds
- Invoiced by the airport and mailed to you
- Can not be paid at the FBO's
- Payable at the airport administration office, only cash or check accepted

### How the Landing Fee is determined:

The Landing fee of \$2.07 per 1000 pounds of maximum certificated gross landing weight is determined on a residual basis subject to periodic review by the City of Santa Monica and airport staff. The Landing Fee may be adjusted accordingly, up or down, in direct relation to the costs of the Airport's Capital Improvement Project, maintenance, airport user supported activities and other expenses designed to safe aircraft operations safe.

The landing fees fill the gap between other Airport revenue and the cost of operating the entire Airport. After consideration of the se factors, the landing fee is re-assessed and adjusted, if necessary.

**Based aircraft at the Santa Monica Airport are exempt from the landing fee program due to the revenue generated related to other revenue based monthly airport fees.**

*Aircraft subject to the landing fee are billed each month to the address listed in the FAA registry for each particular aircraft's "N" number. Additional information can be obtained from airport administration by calling (310) 458-8591.*

**Implementation of the Landing Fee Program and how revenue is used:**

On August 1, 2005, the Santa Monica City Council implemented a revised landing fee program (Resolution No. 9855) for all transient aircraft based on a uniform rate per 1000 pounds of Maximum Certificated Landing Weight. Landing fees are used for projects to maximize safety and efficiency at the Santa Monica Airport by financing needed Capital Improvement Projects. Capital Improvement Projects include maintenance and upgrades of the runways and taxiways, pavement maintenance, lighting, signs and other user support activities. Projects also include maintenance and needed upgrades of a secure airport perimeter including security cameras, card key access system, and appropriate lighting. Airport user support includes Airport Security, Fire and rescue, airside management and maintenance. Airside management has the responsibility of keeping the airport running efficiently as well as supporting the surrounding community, when possible, with noise management, air quality and other safety demands.



# NOTIFICATION & AGREEMENT

I (we) have received, read and understand the Santa Monica Airport Operations Manual and fully agree to abide by all of its provisions, rules and regulations and so affirm with my (our) signature(s) below.

---

Printed Name(s) and titles(s)

Representing:

---

Company/Organization/Owner/Leaseholder

I (we) hereby affirm with my (our) signature(s) below that I (we) am (are) a fully authorized representative/agent of the above company /organization /owner /leaseholder and that the company/ organization /owner/ leaseholder and all its personnel shall be fully advised of the requirements and provisions of the Rules and Regulations for the Operation and Maintenance of Santa Monica Airport and shall fully be bound by it

---

Signature(s)

Date\_\_\_\_\_