

Emergency Alert System (EAS)

3060-0207

July 2015

SUPPORTING STATEMENT

A. Justification:

Part 11 contains rules and regulations addressing the nation's Emergency Alert System (EAS). The EAS provides the President with the capability to provide immediate communications and information to the general public at the national, state and local area level during periods of national emergency. The EAS also provides state and local governments and the National Weather Service with the capability to provide immediate communications and information to the general public concerning emergency situations posing a threat to life and property.

The FCC is now submitting this information collection as a revision to the Office of Management and Budget (OMB) to establish a mandatory Electronic Test Reporting System (ETRS) that EAS Participants must utilize to file identifying and test result data as part of their participation in the second nationwide EAS test. Although the ETRS adopted in this *Sixth Report and Order* in EB Docket No. 04-296, FCC 15-60, largely resembles the version used during the first nationwide EAS test, it also contains certain improvements, such as support for pre-population of form data, and integration of form data into an EAS "Mapbook." ETRS will continue to collect such identifying information as station call letters, license identification number, geographic coordinates, EAS designation (LP, NP, *etc.*), EAS monitoring assignment, and emergency contact information. EAS Participants will submit this identifying data prior to the test date. On the day of the test, EAS Participants will input test results into ETRS (*e.g.*, whether the test message was received and processed successfully). They will input the remaining data called for by our reporting rules (*e.g.*, more detailed test results) within 45 day of the test. The Commission believes that structuring ETRS in this fashion will allow EAS Participants to timely provide the Commission with test data in a minimally burdensome fashion. As the subsequent analysis indicates, this revised collection will cause no change in the burden estimates or reporting and record keeping requirements that the Commission submitted (and which OMB subsequently approved) for the 2011 system.

New Information Collection Requirements which require OMB approval:

Section 11.21(a) requires EAS Participants to provide the identifying information required by the EAS Test Reporting System (ETRS) no later than sixty days after the publication in the *Federal Register* of a notice announcing the approval by the Office of Management and Budget of the modified information collection requirements under the Paperwork Reduction Act of 1995 and an effective date of the rule amendment, or within sixty days of the launch of the ETRS, whichever is later, and shall renew this identifying information on a yearly basis or as required by any revision of the EAS Participant's State EAS Plan filed pursuant to Section 11.21 of this Part, and consistent with the requirements of paragraph 11.61(a)(3)(iv) of this Part,

Section 11.61(a)(3)(iv) requires Test results as required to be logged by all EAS Participants into the EAS Test Reporting System (ETRS) as determined by the Commission's Public Safety and Homeland Security Bureau, subject to the following requirements. EAS Participants shall provide the identifying information required by the ETRS initially no later than sixty days after the publication in the *Federal Register* of a notice announcing the approval by the Office of Management and Budget of the modified information collection requirements under the Paperwork Reduction Act of 1995 and an effective date of the rule amendment, or within sixty days of the launch of the ETRS, whichever is later, and shall renew this identifying information on a yearly basis or as required by any revision of the EAS Participant's State EAS Plan filed pursuant to Section 11.21 of this Part. EAS Participants must also file "Day of test" data in the ETRS within 24 hours of any nationwide test or as otherwise required by the Public Safety and Homeland Security Bureau.

Current Information Collection Requirements previously approved by OMB:

In the *Third Report and Order* in EB Docket No. 04-296, FCC 11-12, and in a subsequent Public Notice, EB Docket No. 04-296, DA 11-1788, the Commission adopted an electronic reporting system by which broadcasters, cable service providers, and other regulated entities (EAS Participants) would report their results of a national test of the EAS, held on November 9, 2011. Under this reporting system, within forty five (45) days of the date of the first national EAS test, to record and submit to the Commission the following test-related diagnostic information for each alert received from each message source monitored at the time of the national test:

- Whether they received the alert message during the designated test;
- Whether they retransmitted the alert;
- If they were not able to receive and/or transmit the alert, their 'best effort' diagnostic analysis regarding the cause(s) for such failure;
- A description of their station identification and level of designation (PEP, LP-1, etc.);
- The date/time of receipt of the EAN message by all stations; the date/time of PEP station acknowledgement of receipt of the EAN message to FOC;
- The date/time of initiation of actual broadcast of the Presidential message;
- The date/time of receipt of the EAT message by all stations;
- Who they were monitoring at the time of the test, and the make and
- Model number of the EAS equipment that they utilized.

The *Third Report and Order* indicates that the national tests of EAS, and related information collections will likely be carried out on an annual basis. On March 10, 2010, OMB approved the collection as indicated by the related Notice of Office of Management and Budget Action notification.

The following information collections contained in Part 11 may be impacted by these rule amendments:

Section 11.15 requires a copy of the EAS operating handbook to be located at normal duty positions or EAS equipment locations when an operator is required to be on duty. The handbook must be immediately available to staff responsible for authenticating messages and initiating actions. Copies of the handbook are posted on the Commission's website and can be obtained at www.fcc.gov/pshs/eas/.

Section 11.21 requires that state and local EAS plans be reviewed and approved by the Chief, Public Safety and Homeland Security, prior to implementation to ensure that they are consistent with national plans, FCC regulations, and EAS operation.

Section 11.34 requires manufacturers to include instructions and information on how to install, operate and program an EAS Encoder, EAS Decoder, or combined unit and a list of all State and county FIPS numbers with each unit sold or marketed in the U.S. This requirement would be done in the normal course of doing business.

All EAS Participants are responsible for ensuring that EAS Encoders/Decoders and Attention Signal generating and receiving equipment used as part of the EAS are installed so that the monitoring and transmitting functions are available during the times the stations/systems are in operation. EAS Participants must determine the cause of any failure to receive the required tests or activations. When the EAS is not operating properly, section 11.35 requires appropriate entries be made in the station/system logs indicating why any tests were not received for all broadcast streams and cable systems. All other EAS Participants must also keep record indicating reasons why any tests were not received and these records must be retained for two years, maintained at the EAS Participant's headquarters, and made available for public inspection upon reasonable request.

Section 11.35 also requires that entries be made in the station/system logs, and records of other EAS Participants, when the EAS Encoder/Decoder becomes defective showing the date and time the equipment was removed and restored to service. If replacement of defective equipment is not completed within 60 days, an informal request shall be submitted to the District Director of the FCC field office. For DBS and SDARS providers, this informal request shall be submitted to the District Director of the FCC field office serving the area where their headquarters is located. This request must explain what steps have been taken to repair or replace the defective equipment, the alternative procedures being used while the defective equipment is out of service and when the defective equipment will be repaired or replaced.

Section 11.41 allows all EAS Participants to submit a written request to the FCC asking to be a Non-Participating National source. In addition, a Non-Participating National source that wants to become a Participating National source must submit a written request to the FCC.

Section 11.42 allows a communications common carrier to participate in the national level EAS, without charge. A communications common carrier rendering free service is required to file with the FCC, on or before July 31st and January 31st of each year, reports covering the six

months ending on June 30th and December 31st respectively. These reports shall state what free service was rendered under this rule and the charges in dollars which would have accrued to the carrier for this service if charges had been collected at the published tariff rates if such carriers are required to file tariffs.

Section 11.43 allows entities to voluntarily participate in the national level EAS after submission of a written request to the Chief, Public Safety and Homeland Security Bureau.

Section 11.51 requires that EAS equipment be operational, ready to monitor, transmit and receive EAS electronic signals. Cable and wireless cable systems, both analog and digital, can elect not to interrupt EAS messages from broadcast stations based upon a written agreement between all concerned. Furthermore, cable and wireless cable systems, both analog and digital, can elect not to interrupt the programming of a broadcast station carrying news or weather related emergency information with state and local EAS messages based upon a written agreement between all concerned. These written agreements are contained in state and local franchise agreements.

Section 11.51 also requires all actions to be logged when manual interruption of programming and transmission of EAS messages is used. Estimates for testing are included in the estimate for section 11.61.

Section 11.52 requires all EAS Participants to monitor two EAS sources. If the required EAS sources cannot be received, alternate arrangements or a waiver may be obtained by written request to the FCC's EAS office. In an emergency, a waiver may be issued over the telephone with a follow-up letter to confirm temporary or permanent reassignment. In addition, EAS Participants are required to interrupt normal programming either automatically or manually when they receive an EAS message in which the header code contains the event codes for emergency action notification, emergency action termination and required monthly test for their state or state/county location.

Section 11.54 requires EAS Participants to enter into their logs/records the time of receipt of an emergency alert notice and an emergency action termination messages during a national level emergency.

Section 11.55 requires EAS participants to monitor their emergency alert system upon receipt of a state or local area EAS message. Stations/systems must also enter into their logs/records the time of receipt of an emergency alert message. If an SDARS licensee or DBS provider is unable to receive and transmit state and local EAS messages, it must inform its subscribers, on its website, and in writing on an annual basis of which channels are and are not capable of supplying state and local EAS messages.

Section 11.61 requires EAS Participants to conduct periodic EAS tests. Tests of the EAS header codes, attention signal, test script and EOM code are required to be performed monthly. Tests of the EAS header codes and end of message codes are made at least once a week. National primary sources shall participate in tests as appropriate. DBS providers, Class D non-commercial educational FM stations and low power TV stations are not required to transmit this

test but must log receipt of the test. The FCC may request a report of the tests of the national primary sources. In addition, entries must be made in stations/systems logs/records as previously stated.

Statutory authority for this collection of information is contained in 47 U.S.C. sections 154(i) and 606 of the Communications Act of 1934, as amended.

1. This information collection does not affect individuals or households; thus, there are no impacts under the Privacy Act.
2. This information is used by FCC staff as part of routine inspections of EAS Participants. Accurate recordkeeping of this data is vital in determining the location and nature of possible equipment failure on the part of the transmitting or receiving entity. Furthermore, since the national level EAS is solely for the President's use, its proper operation must be assured.
3. Automated logging devices are used by entities to record entries in the station log. In addition, EAS alerts are received electronically via advanced digital signaling equipment.
4. This agency does not impose a similar information collection on the respondents. There is no similar data available.
5. Part 11 was designed to minimize the burden for all respondents regardless of size.
6. The EAS requirements are designed to benefit the EAS Participants and the people of their community, not the federal government. Any reduction in the frequency of this activity would result in a proportional loss of benefit and would cause a delay in the detection of equipment failures that would cause the loss of national, state and local emergency messages to the public and could cause loss of life and property.
7. This collection of information is consistent with the guidelines in 5 CFR 1320.5(d)(2).
8. Pursuant to 5 CFR 1320.8(d), the Commission published a 60 day notice in the Federal Register *on July 24, 2015* (80 FR 44105). No PRA comments were received.
9. No payment or gift was provided to the respondents.
10. Filings will be given the presumption of confidentiality. The Commission will allow test data and reports containing individual test data to be shared on a confidential basis with other Federal agencies and state governmental emergency management agencies that have confidentiality protection at least equal to that provided by the Freedom of Information Act (FOIA). *See* 5 U.S.C. § 552 (2006), amended by OPEN Government Act of 2007, Pub. L. No. 110175, 121 Stat. 2524 (stating the FOIA confidentiality standard, along with relevant exemptions).
11. This section does not address any private matters of a sensitive nature.

12. The following is provided for burden estimates. The new rule affects EAS Participants. These estimates are based on FCC staff's knowledge and familiarity with the availability of the data required.

	<u># of Respondents</u>	<u># of Responses per Respondent</u>	<u>Total Responses</u>	<u>Burden per Response</u>	<u>Total Burden</u>	<u>Est. Hourly Wage of Respondent</u>	<u>Total Est. In-House Cost to Respondent</u>
Section 11.15	63,000	1	63,000	0.1 hour	6,300 hours	\$38	\$239,400
Section 11.21	50 (states)	1	50	20 hours	1,000 hours	\$25	\$25,000
Section 11.34	10 (manufacturers)	1	10	20 hours	200 hours	\$25	\$5,000
Section 11.35	400	1	400	0.017 hour	7 hours	\$38	\$266
Section 11.35	300	1	300	0.5 hour	150 hours	\$38	\$5,700
Section 11.41	10	1	10	0.5 hour	5 hours	\$38	\$190
Section 11.42	10 (common carriers)	1	10	1.0 hour	10 hours	\$38	\$380
Section 11.43	10 (voluntary entities)	1	10	0.5 hour	5 hours	\$38	\$190
Section 11.51	4,373	1	4,373	0.17 hour	743 hours	\$38	\$28,234
Section 11.51	63,000	1	63,000	0.017	1,071 hours	\$38	\$40,698
Section 11.52	20	1	20	0.5 hour	10 hours	\$38	\$380
Section 11.52	5	1	5	1.0 hour	5 hours	\$38	\$190
Section 11.54	63,000	1	63,000	0.017 hour	1,071 hours	\$38	\$40,698
Section 11.55	63,000	1	63,000	0.017 hour	1,071 hours	\$38	\$40,698
Section 11.55	8	1	8	3 hours	24 hours	\$25	\$600
Section 11.61	63,000	40	2,520,000	0.017 hour	42,840 hours	\$38	\$1,627,920
Section 11.61	63,000	12	756,000	0.034 hour	25,704 hours	\$38	\$976,752

Section 11.61	35,832	1	35,832	0.05 hour	1,792 hours	\$38	\$68,096
Totals	63,080		3,569,028		82,008 hours		\$3,100,392

We assume that an engineer at the station/system would be responsible for these requirements. We estimate that this engineer would have an average salary of \$38/hour.

We assume that an information officer would develop and post the notice on the web site and provide it in writing for SDARS and DBS licensees who are not capable of receiving and transmitting state and local EAS messages. We assume that the information officer would write the new state manuals and the equipment instruction manuals. We estimate that this information officer would have an average salary of \$25/hour.

13. Annual Cost Burden to the Respondent. The Commission does not anticipate that respondents will need to incur capital or start-up costs, or operation and maintenance and purchase of services costs to respond to these information collections.

14. Cost to the Federal Government: The Commission will use GS-13, Step 5, locality adjusted for the pay area of Washington-Baltimore-Northern Virginia in 2015 (\$49.32/ hour) to process the information submitted to the Commission in connection with sections 11.21, 11.35, 11.41, 11.43, and 11.52.

50 x 6 hours x \$49.32 = \$14,796.00
300 x 0.5 hours x \$49.32 = \$7,398.00
10 x 0.5 hours x \$49.32 = \$246.60
10 x 1.0 hours x \$49.32 = \$493.20
20 x 0.5 hours x \$49.32 = \$493.20
5 x 1.0 hours x \$49.32 = \$246.60

Total Cost to the Federal Government: \$23,673.60

15. Although the Commission is revising this information collection, there are no changes in the burden estimates or reporting and record keeping requirements which OMB subsequently approved for the 2011 system. Therefore, these improvements to the ERTS System are minimally burdensome on EAS Participants.

16. The data will not be published.

17. The Commission is requesting a waiver of displaying the OMB control number on the on-line application screens because that would require updating each time this collection was submitted to OMB for review and approval. The Commission displays the OMB expiration date, title and OMB control number in 47 CFR 0.408 of the Commission's rules.

18. There are no exceptions to the Certification Statement.

B. Collections of Information Employing Statistical Methods:

No statistical methods are employed.