



L205

Recovery from Disaster: The Local Government Role

Student Manual

September 2015



FEMA

L205

Recovery from Disaster: The Local Government Role

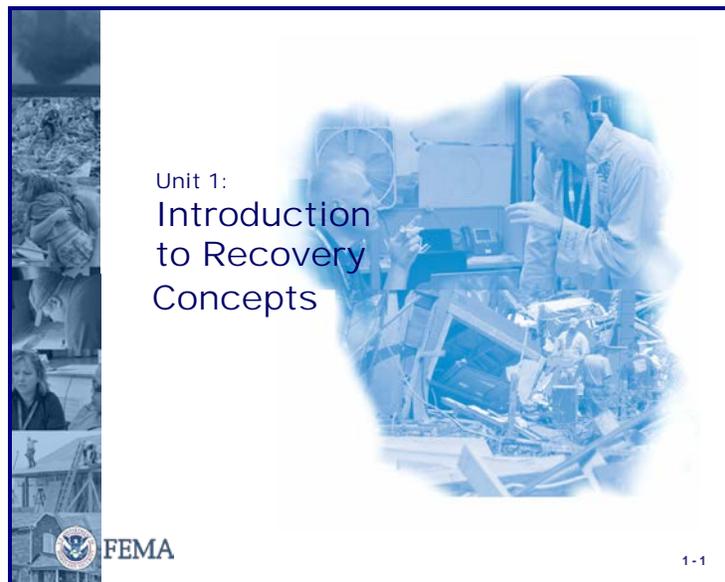
Student Manual

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Unit 1
Introduction to Recovery Concepts

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Visual 1.1



Visual description: Unit 1: Introduction to Recovery Concepts

Notes

Introduction to Recovery Concepts focuses on the practical concepts supporting local government recovery efforts. Changing actions, roles, and responsibilities of local government personnel as a disaster transitions from response to recovery will be discussed

Visual 1.2

A slide titled "Unit Objectives" with a blue border. The slide contains a list of four bullet points. On the left side of the slide, there is a vertical strip of images showing disaster recovery scenes: a person in a hard hat, a person in a white coat, and a person in a hard hat. At the bottom left of the slide is the FEMA logo. At the bottom right of the slide is the text "1-2".

Unit Objectives

After completing this unit, you will be able to:

- Explain key concepts of the National Disaster Recovery Framework and how they affect your community.
- Describe how your roles and responsibilities change as the disaster transitions from response to recovery.
- Define key recovery terms and concepts including Whole Community and Community Resilience.
- Differentiate between pre- and post-disaster recovery plans.

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1-2

Visual description: Unit Objectives

Notes

- Explain the concepts of the National Disaster Recovery Framework and how they affect your community.
- Describe how your roles and responsibilities change as the disaster transitions from response to recovery.
- Define key recovery concepts, including Whole Community and Community Resilience.
- Differentiate between pre- and post-disaster recovery plans.

Visual 1.3



Activity 1.1 - Your Role in Recovery

Purpose: To identify changing roles and responsibilities as the community moves from response to recovery.

Instructions: Working individually, view the “Your Role in Recovery” video and complete the following:

- Describe how your professional roles and responsibilities would change from your day-to-day operational duties to your likely roles and responsibilities during recovery from the disaster scene in the “Your Role in Recovery” video.
- Be prepared to provide a 1 minute summary to the class.

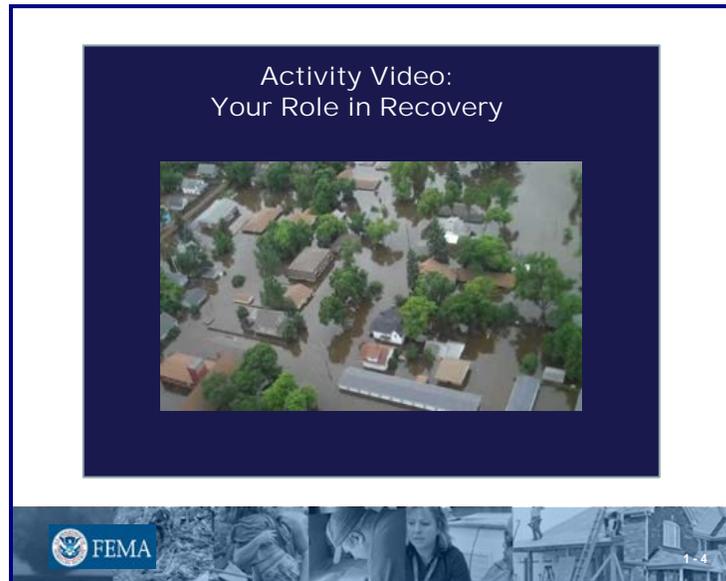
 FEMA

1 - 3

Visual description: Activity 1.1: Your Role in Recovery

Notes

Visual 1.4



Visual description: Video: “Your Role in Recovery” ¹

Notes

¹Hvinden, B.(Producer). (2011). Aerial footage of Minot flooding. [Video file.] Federal Emergency Management Agency. Available from FEMA's Multimedia Library at <https://www.fema.gov/media-library/assets/videos/77375>

Individual Activity
20 minutes

ACTIVITY 1.1

Your Role in Recovery

Purpose

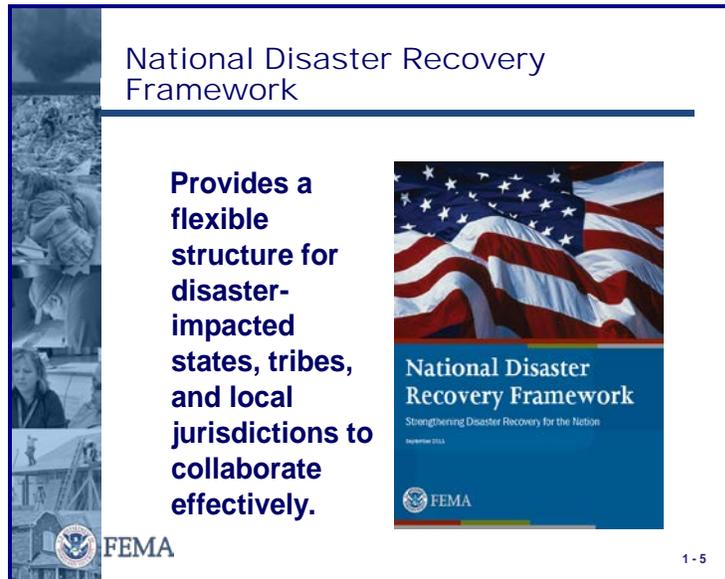
To identify changing roles and responsibilities as the community moves from response to recovery.

Instructions

Working individually, view the “Your Role in Recovery” video and complete the following:

1. Describe how your professional roles and responsibilities would change from your day-to-day operational duties to your likely roles and responsibilities during recovery from the disaster scene in the “Your Role in Recovery” video.
2. Be prepared to provide a 1 minute summary to the class.

Visual 1.5



Visual description: National Disaster Recovery Framework ²

Notes

The National Disaster Recovery Framework provides guidance that enables effective recovery support to disaster-impacted states, tribes and local jurisdictions. It provides a flexible structure that enables disaster recovery managers to operate in a unified and collaborative manner. It also focuses on how best to restore, redevelop and revitalize the health, social, economic, natural and environmental fabric of the community and build a more resilient Nation.

² Federal Emergency Management Agency. (2011, September). *National disaster recovery framework: Strengthening disaster recovery for the nation*. Available from FEMA's Resource & Document Library at <http://www.fema.gov/media-library/assets/documents/32368>

Visual 1.6



Visual description: NDRF Rollout in Kansas City ³

Notes

This video, produced in FEMA's Region VII, explores the National Disaster Recovery Framework (NDRF). The NDRF provides guidance that will help communities engage in pre- and post-disaster planning. It also encourages communities to ask questions, identify barriers and generate dialogue around the disaster questions, "What would we do if..." or "Where do we go from here?" Interviews with local and national stakeholders explain the effect this new framework will have on disaster recovery.

³ Anderson, J. (Producer). (2012, March 4). *NDRF Rollout in Kansas City* [Video file]. Kansas City, MO: Federal Emergency Management Agency. Available from FEMA's Multimedia Library at: <http://www.fema.gov/media-library/assets/videos/79189>

Transcript for “NDRF Rollout in Kansas City”

NDRF, Video by Leo 'Jace' Anderson - Mar 04, 2012

The National Disaster Recovery Framework is a way that we as a nation, and at all levels, community, tribal, state, federal can start to think differently about recovery.

NDRF is...planning for the future: making plans before disaster happens, connecting people and resources, involving the whole community; realizing that everyone is an emergency manager.

Disasters impact communities in a number of ways. and oftentimes forever change the local footprint, infrastructure and economy of the areas affected. Recent disasters have underscored the challenges communities face as they work to restore quality of life, rebuild infrastructure and revitalize social, economic and environmental vitality.

More than ever, members of the Emergency Management community agree, in order to address these challenges a greater focus is needed on disaster recovery issues especially over the longer term after response efforts have ended. In an effort to address these challenges and revolutionize how we all perceive disaster recovery. Teams of federal, state, and local community partners developed the National Disaster Recovery Framework or NDRF.

NDRF is more than an acronym or a concept. For all citizen in NDRF represents a frame of mind, an innovative way of thinking about, preparing for and recovering from disasters. No matter if your federal, state, or local official, business owner, community leader, member of a faith-based organization or tribal community you are at risk of being impacted by disasters. The NDRF requires that all of us no matter what our background gather at the table of Emergency Management. Each of us has a role in helping our communities recover from disasters. NDRF is not descriptive how we plan organize and identify recovery resources but it is the guide it's your communities roadmap of things to consider, partners to integrate, and policy decisions that may assist the disaster impacted community in recovering more quickly. I think the NDRF pieces will be really important because they'll give us the framework when we first get started. It should speed it up. Disasters do occur, we all have vulnerabilities, be it tornado, hurricanes, flooding even ice storms that can disrupt your electrical. It is to go through a good mitigation planning process that can identify those threats. And then to think of what are your capabilities and what are your limitations. Know when you going to need to call and reach out for help. And know how to do that ahead of time. and make those relationships ahead of time so that when the unthinkable does occur you are as prepared as you can possibly be. With the input from hundreds of citizens, emergency management officials community, tribal, non-profit and private sector partners. The NDRF was created with one goal in mind to build a more resilient nation. The great thing about the framework that 's coming out the Recovery Support Functions we are bringing in local government at this point in time bringing them to the table. In the past we always emphasized state government, federal government and disasters are local recovery is local and this framework that is coming out bringing all these people together in these workgroups is a great idea and we will probably be implementing it in Iowa here shortly. Bottom line it takes a whole community of individuals, organizations and professionals to help our communities and economy withstand and rapidly recover from disasters. I had a comment from one of the people on the Citizens Advisory Recovery Team one of the co-chairs who said I wish that someone had come to us early on to explain all of the resources and possibilities we have because I think all of us are a little shell shocked at the time we are trying to figure it out because it is all uncharted territory for the survivors of a disaster. Essentially the NDRF does two things it creates and it connects. The NDRF provides guidance or creates a road map for communities helping them to engage in pre- and post-disaster planning. It encourages

communities to ask questions identify barriers and generate dialogue around the disaster questions what would we do if or where would go from here.

Secondly, the NDRF establishes Recovery Support Functions or RSF's which are six groups of Federal Agencies that aid in problem solving and facilitate access to resources. The NDRF connects this family of agencies with a variety of state tribal communities and non-governmental partners to enhance the coordination of resources and assistance required for disaster recovery. The importance of the Recovery Support Functions is really three-fold First, the coordinating structure and organization of the RSF's is designed to readily align with the recovery elements of an impacted state, tribal, and local governments and the private and volunteer sectors. Secondly, those assigned to the RSF's intentionally and deliberately coordinate with local, tribal, and state officials to identify and clarify their vision for recovery which in turn helps prioritize the application of federal resources. Thirdly, the use of RSF's as outline in the National Disaster Recovery Framework helps to unify and focus the expertise resources and capabilities of the people and programs across the federal government to meet the needs of disasters survivors and their communities. The National Disaster Recovery Framework represents a challenge a call to action requiring all of us to think beyond our traditional means and modes of disaster recovery planning. Given the importance of the National Disaster Recovery Framework to our nation's larger goal of supporting individuals, families, communities, and states as effectively as possible, the NDRF will be an evolving blueprint an ever improving roadmap for disaster recovery.

I think for Joplin the NDRF is a framework truly the F portion of that word that we can use to develop our plan because it puts all of the needs that we need to consider in one spot. It's really important that the whole community is involved when there's a disaster and we do practice that, but it's a method of making sure that everyone is included. NDRF is, uhm, is the backbone and the guiding path of how to pre-plan how to build relationships and how to be better prepared for catastrophic events. Long term recovery and economic growth. An opportunity to bring stakeholders together and to dialogue about disaster issues. It's a framework for the communities businesses to look at and consider as they work through the recovery process so they may need to focus on all of the core capabilities or they may need focus only on a few of them based on whatever type of disaster they are dealing with. A really wonderful opportunity to open doors for people with accessibility have an access to all come together. Is very important for us to begin thinking and talking about I would also say it's a new born baby as far as I am concerned. They need something to pull out and go to and OK, this is what my next step is. This is what I should be doing. This is where I can go for help. And also it gives the people that provide those services a chance to come together beforehand get to know each other and therefore work better together. We can put a focus on recovery make sure that we are giving it it's due attention, because it is the recovery process that really presses the re-set button for the community and allows them to establish where they want to be as they move forward following a disaster. It is only the first step. It is a baby step there's a lot more that needs to happen. We get the word and continue to grow it and to realize the concepts and how we can them work best for those disaster survivors and those communities impacted by disaster.

Visual 1.7



National Disaster Recovery Framework

Framework defines:

- Recovery principles
- Roles and responsibilities
- Coordinating structure
- Planning guidance
- Overall process for sustainability

1 - 7

Visual description: National Disaster Recovery Framework

Notes

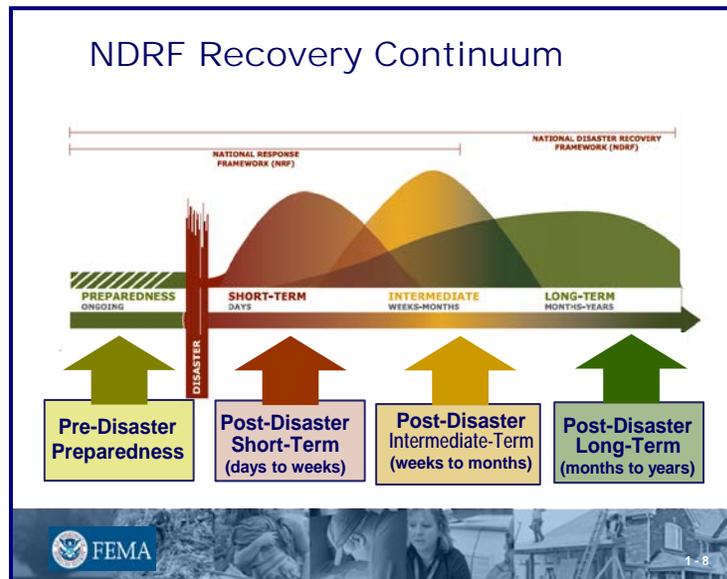
The National Disaster Recovery Framework (NDRF)⁴ is a conceptual guide designed to ensure coordination and recovery planning before a disaster, and defines how we will work together, following a disaster, to best meet the needs of states, local and tribal governments, communities and individuals in their recoveries.

The first time a framework has been developed at the national level that defines:

- Core recovery *principles*
- *Roles and responsibilities* of recovery coordinators and other stakeholders
- A *coordinating structure* that facilitates communication and collaboration among all stakeholders
- Guidance for pre- and post-disaster recovery *planning*, and;
- The overall *process* by which communities can capitalize on opportunities to rebuild stronger, smarter and safer

⁴ This section gives an overview of key concepts presented in the NDRF. To learn more about the NDRF, you may take FEMA's Independent Study course, IS-2900: National Disaster Recovery Framework (NDRF) Overview, available at <https://emilms.fema.gov/IS2900/index.htm>

Visual 1.8



Visual description: NDRF Recovery Continuum ⁵

Notes

Recovery involves a series of linked activities that overlap or occur simultaneously, and move your community toward a successful recovery over time.

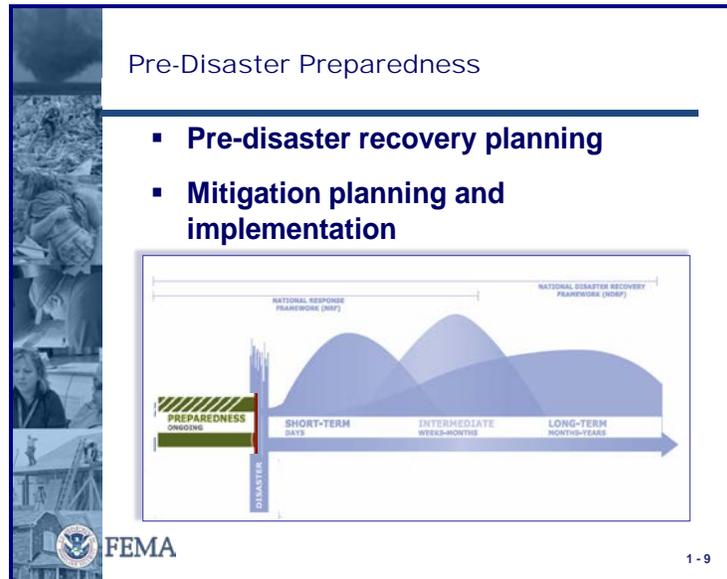
The Recovery Continuum depicts the level of effort associated with each phase of recovery. It is important to understand that actions taken before a disaster (pre-disaster preparedness) and those taken in the early stages of recovery will impact the recovery process.

The Recovery Continuum includes four stages of activities:

1. Pre-Disaster Preparedness
2. Post-Disaster Short-Term (days)
3. Post-Disaster Intermediate-Term (weeks to months)
4. Post-Disaster Long-Term (months to years)
5. Continuity of Operations Planning (COOP): short term planning.

⁵ Adapted from Federal Emergency Management Agency, 2011a, Figure 1. Recovery continuum – description of activities by phase, p. 8

Visual 1.9



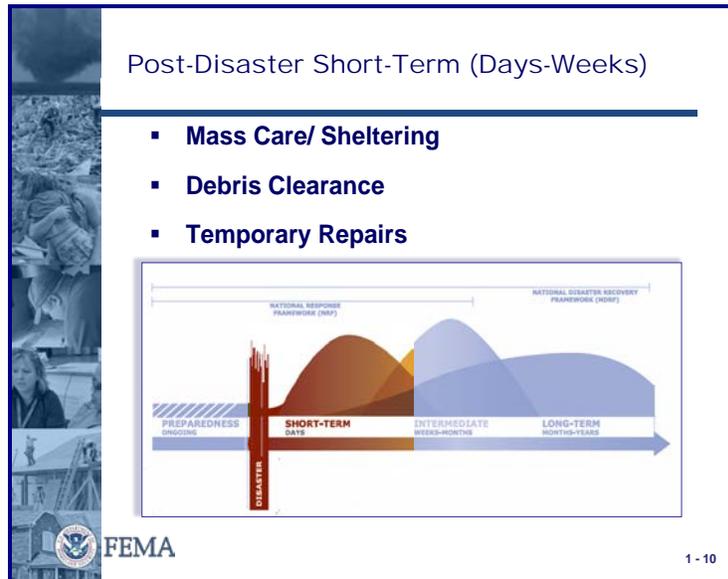
Visual description: Pre-Disaster Preparedness

Notes

During the Pre-Disaster Preparedness phase, examples of activities would include:

- Pre-disaster recovery planning
- Mitigation planning and implementation

Visual 1.10



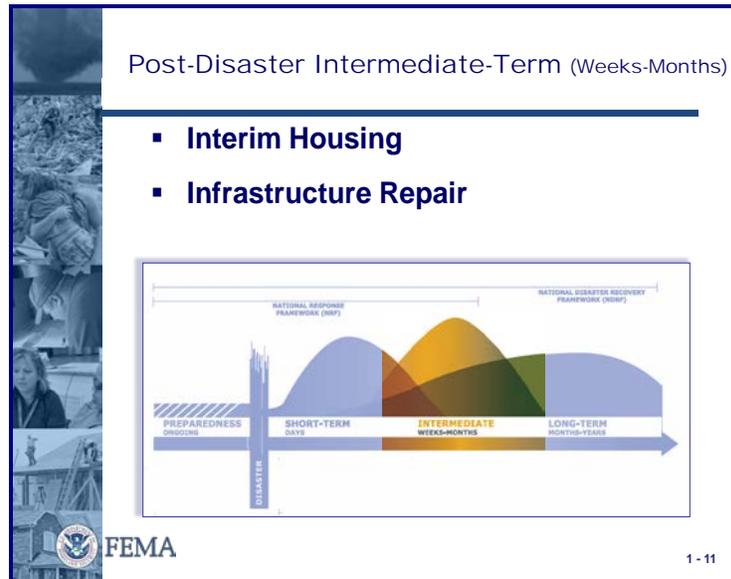
Visual description: Post-disaster Short Term

Notes

During the Post-Disaster Short-Term (Days), examples of activities would include:

- Mass Care/Sheltering - Including provision of integrated mass care and emergency services
- Debris Clearance – initial focus is on clearing primary transportation routes
- Temporary repairs

Visual 1.11



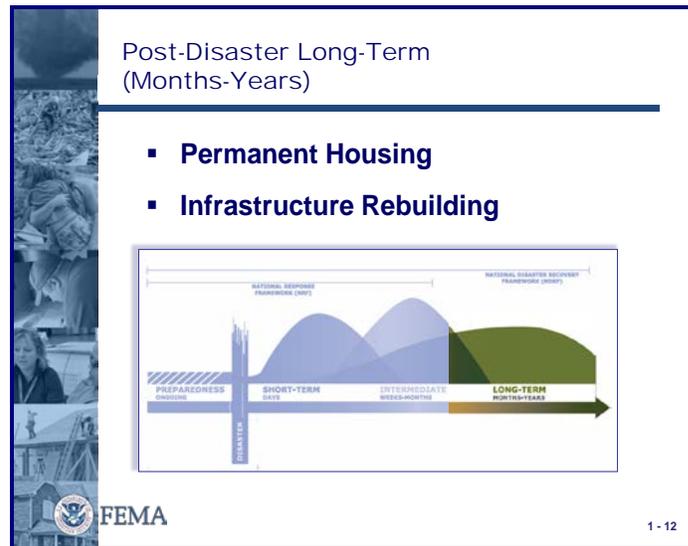
Visual description: Post-disaster Intermediate Term

Notes

During the Post-Disaster Intermediate-Term (Weeks-Months), example activities would include:

- Housing – provide accessible interim housing solutions
- Infrastructure Repair – plan immediate infrastructure repair and restoration

Visual 1.12



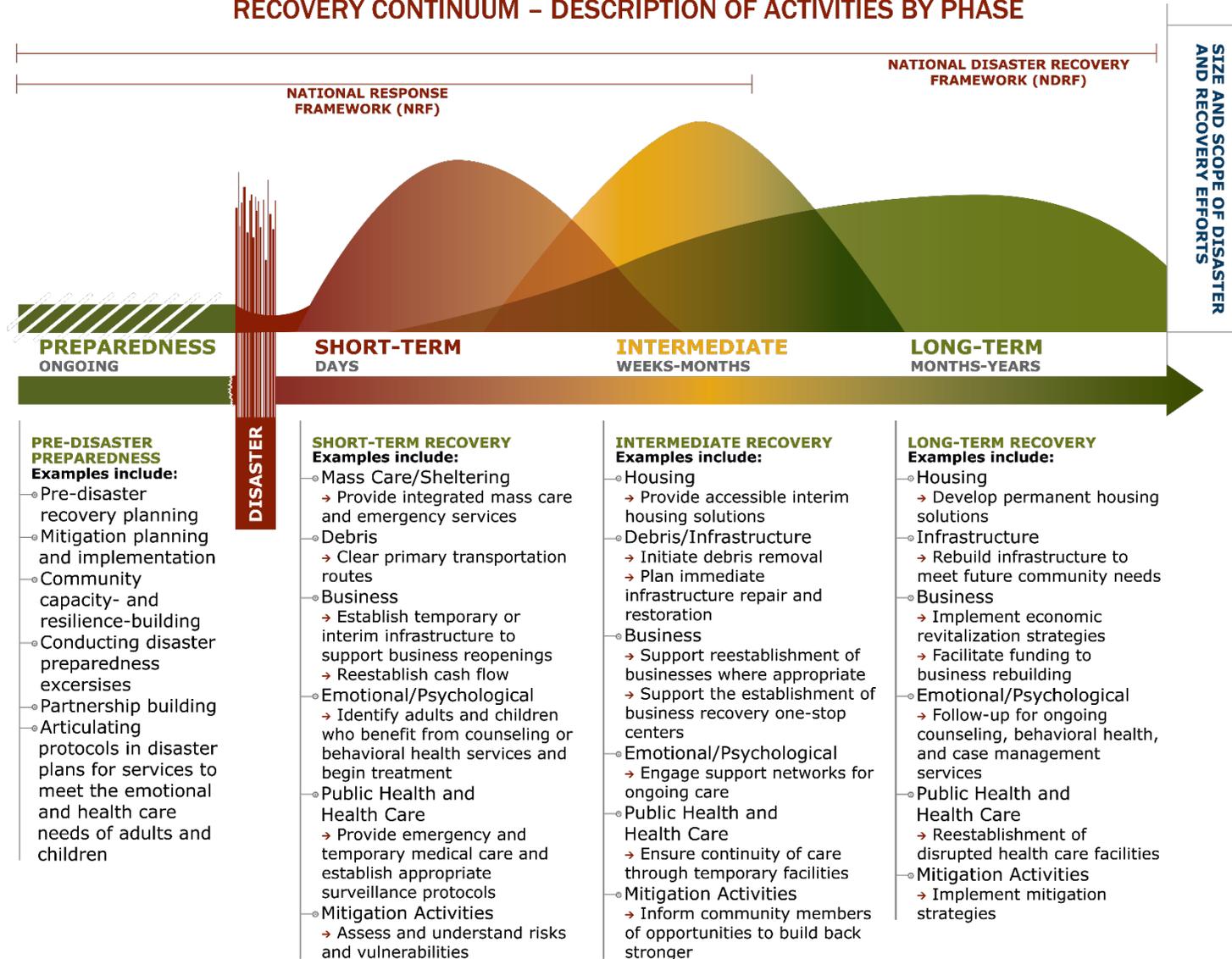
Visual description: Post-disaster Long Term

Notes

During the Post-Disaster Long-Term (Months-Years) example activities would include:

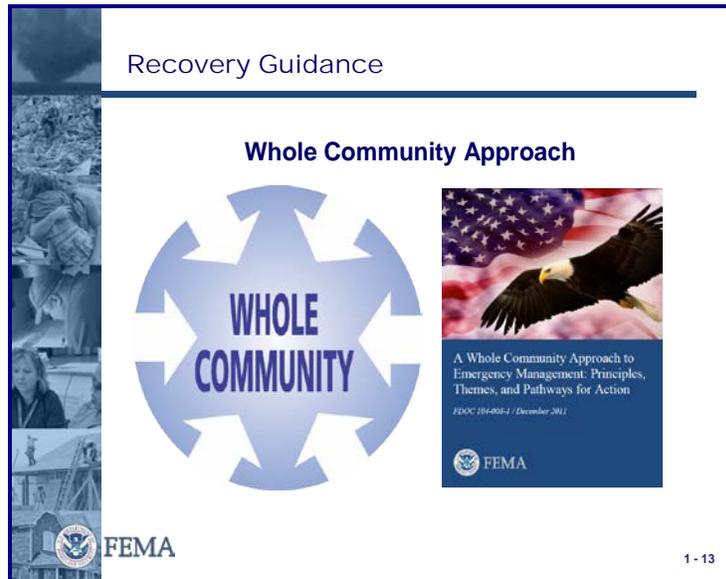
- Housing – develop permanent housing solutions
- Infrastructure – rebuild infrastructure to meet future community needs

RECOVERY CONTINUUM – DESCRIPTION OF ACTIVITIES BY PHASE



FEMA, 2011a, Figure 1. Recovery continuum – description of activities by phase, p. 8

Visual 1.13



Visual description: Recovery Guidance

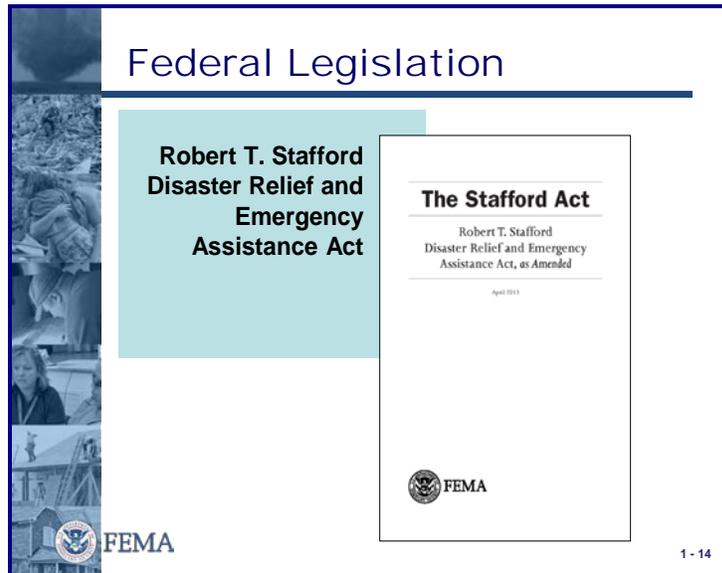
Notes

After Hurricane Katrina, Congress passed a law that called for a more effective way for managing post-disaster recovery. In 2009, the President tasked the U.S. Department of Homeland Security (DHS) and the U.S. Department of Housing and Urban Development (HUD) to strengthen disaster recovery for the Nation.

Presidential Policy Directive 8 was issued in 2011, establishing a National Preparedness Goal. That same year, FEMA released both the National Disaster Recovery Framework and the Whole Community Approach (FEMA, 2011b)⁶. While the NDRF focuses on the recovery phase of emergency management, the Whole Community Approach focuses on all four phases of disasters – preparedness, response, mitigation, and recovery.

⁶ Federal Emergency Management Agency. (2011, December). *A whole community approach to emergency management: principles, themes, and pathways for action* (FDOC 104-008-1). Available from FEMA's Resource & Document Library at <http://www.fema.gov/media-library/assets/documents/23781>

Visual 1.14



Visual description: Stafford Disaster Relief Act ⁷

Notes

There are two major pieces of legislation guiding the federal government's role in recovery. These include the Robert T. Stafford Disaster Relief and Emergency Assistance Act and more recently the Sandy Recovery Improvement Act of 2013.

The Stafford Act was adopted into law in 1988. The Stafford Act was designed to bring an orderly and systemic means of federal natural disaster assistance for state and local governments in carrying out their responsibilities to aid citizens.

⁷ Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1998, *as Amended*, 42 U.S.C. § 5121 *et seq.* (2013, April). Retrieved from <https://www.fema.gov/media-library/assets/documents/15271>

Visual 1.15



Sandy Recovery Improvement Act of 2013

January 2013 - Congress passed the Sandy Recovery Improvement Act authorizing several significant changes to the way FEMA delivers disaster assistance.

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Visual description: Sandy Recovery Improvement Act

Notes

In January 2013, Congress passed the Sandy Recovery Improvement Act, authorizing several significant changes to the way FEMA delivers disaster assistance.

The Act's provisions are intended to improve the efficacy and availability of FEMA disaster assistance and make the most cost-effective use of taxpayer dollars.

The "Sandy Recovery Improvement Act Overview Fact Sheet and Status"⁸ (November 2014) is available from FEMA's online multimedia library at: <https://www.fema.gov/media-library/assets/documents/85495>.

⁸ Federal Emergency Management Agency. (2014, November). *SRIA fact sheet: Sandy Recovery Improvement Act*. Available from FEMA's Resource & Document Library at <http://www.fema.gov/media-library/assets/documents/85495>

Visual 1.16



Recovery: Not Just Building Back

Historically, disaster recovery was defined as efforts to put the physical community back together again

Contemporary perspective is that disaster recovery is a “social process” encompassing decision making about restoration and reconstruction activities.

**DISASTERS
by Design**

A Reassessment of Natural Hazards in the United States

FEMA
1 - 16

Visual description: Recovery: Not Just Building Back

Notes

Historically, disaster recovery was perceived as simply putting the community back together again.

However, as Dr. Dennis Mileti pointed out in his 1999 book *Disasters by Design*⁹, the contemporary perspective of recovery is not just a physical outcome but a social process that encompasses decision making about restoration and reconstruction activities.

Dr. Mileti goes on to explain that this new perspective highlights how decisions are made, who is involved in making them, what consequences those decisions have on the community, and who benefits and who does not.

⁹ Mileti, D. (1999). *Disasters by Design: A reassessment of natural hazards in the United States* (Natural Hazards and Disasters series). Washington, D.C.: Joseph Henry Press.

Visual 1.17



Visual description: Disaster Resilience Defined

Notes

The photo on the left is of the devastation left in Greensburg, Kansas following a catastrophic tornado in May, 2007. The right photo shows an excellent example of the way the community members of Greensburg chose to “come back”. Through the work of their Recovery Task Force, Greensburg is now a 100% sustainable “green” community.

Read the article included on the following pages on Greensburg Kansas’ disaster recovery¹⁰. To learn more about Greensburg’s long-term disaster recovery planning efforts, Greensburg and Kiowa County’s Long-Term Community Recovery Plan¹¹ is available from their website.

¹⁰ Kuenzi, K. *Green recovery in Greensburg, Kansas*. In Boyd, A., Hokanson, B. J., Johnson, L. A., Schwab, J. C. (Ed.) & Topping, K. C. (2015). *Planning for post-disaster recovery: next generation* (PAS report 576) (pp. 162-163). American Planning Association. Retrieved from the American Planning Association website at https://www.planning.org/pas/reports/pdf/PAS_576.pdf

¹¹ Office of the Governor of Kansas & Federal Emergency Management Agency, Region VII. (2007, August). *Long-term community recovery plan: Greensburg + Kiowa County, Kansas*. Retrieved from <http://www.greensburgks.org/residents/recovery-planning/long-term-community-recovery-plan/view>

GREEN RECOVERY IN GREENSBURG, KANSAS

Kirstin Kuenzi

Although situated in a region often referred to as “Tornado Alley,” Greensburg, Kansas, had never sufficiently planned for its hazards. The Disaster Mitigation Act of 2000 set forth national guidelines requiring an approved Local Hazard Mitigation Plan in order for a jurisdiction to be eligible for federal mitigation grants. But Greensburg GreenTown founder Daniel Wallach said that the city did not have a comprehensive plan in place, let alone a working mitigation or recovery initiative.

On May 4, 2007, at 9:45 p.m., an EF-5 tornado ripped through the heart of the city; although the majority of residents were able to seek safety in time, 11 were killed and more than 60 injured. Ninety percent of Greensburg’s building stock was destroyed and close to half of its residents evacuated, never to return. This still left the town with a golden opportunity—though the population of the rural community had dropped from 1,500 to less than 800 within the past ten years, Greensburg is flourishing more than it ever has before.

Less than a week after the storm, residents began the recovery process by forming the organization Greensburg GreenTown. Kathleen Sebelius, former governor of Kansas, also called upon BNIM Architects, a consulting firm in Kansas City, Missouri. Encouraging in-depth collaboration, BNIM worked alongside residents, Emergency Support Function #14 team of the Federal Emergency Management Agency (FEMA), and Greensburg GreenTown on brainstorming a new vision for the city. Since the entire community had been damaged, residents discussed the idea of a green rebuild, the basis of this plan being rooted in the belief that

a better “new normal” was achievable. FEMA, BNIM, and GreenTown (present at each town meeting) described their main goal as making sustainability the corner piece of the rebuilding process, giving the town a distinct new identity and showcasing it as a green revival of America’s heartland.

Greensburg still conjures up important memories for BNIM principal Bob Berkebile and former associate Stephen Hardy. Although BNIM had been working on comprehensive plans for nearly 40 years, the process involved in Greensburg’s plan altered the firm’s viewpoints on the future of community integration. Greensburg still stands as the first example in which Berkebile and Hardy saw an entire community involved in comprehensive planning, including many women, children, and elderly residents.

With FEMA and BNIM’s assistance, residents were committed to the idea of placemaking and wanted to see a rededication for the future generations of Greensburg. As Mayor Bob Dixon (2012) said, “You are either growing or dying, and we needed the attitude that this has to be a better place for us to live and work.” In August 2007, after four large-scale community meetings and 43 resident interviews, FEMA released a long-term community recovery (LTCR) plan for Kiowa County and Greensburg. Projects that were considered most vital to the reconstruction of this community included rebuilding city and county buildings, developing affordable housing opportunities, creating a business incubator, and building a Kiowa County Museum and Tourism Center.

BNIM studied the recovery issues laid out in FEMA’s LTCR plan and released in early 2008 a separate master plan for the city, titled the *Greensburg Sustainable*

Comprehensive Plan. This plan discussed new additional growth concepts including LEED-Platinum certified buildings and a local wind farm, as well as multiple side projects such as eco-lodging and new home construction. A partnership with renowned brands, including SunChips and Ben & Jerry’s, greatly benefitted the municipality’s projects growth, and Greensburg now draws 100 percent of its energy from renewable sources. The town continues to work with the National Renewable Energy Laboratory, a division of the U.S. Department of Energy, on its energy credits while also looking to secure funding resources for the final aspects of BNIM’s plan. With the aid of federal, state, and private grants in addition to corporate donations, a large percentage of the plan has been completed. Most recently in Greensburg, the Big Well Museum and Gift Shop, dedicated to the world’s largest hand-dug well, located here, had its grand opening in May 2012.

One cannot commend the success of Greensburg without acknowledging the city’s difficulties. Stress weighed heavily on both residents and the mayor in office at the time, who resigned and handed his duties off to the subsequent mayor, John Janssen. Financing recovery was increasingly complex, community-building exercises saw arguments between residents, and the timeline for redevelopment at times looked bleak.

But the city was rewarded for its perseverance. Greensburg, now seen by many as the paragon of green sustainability, is thriving as planned. Other communities, such as Joplin, Missouri (p. 169), also discussed in this chapter, have consulted with Greensburg after the devastating tornadoes that occurred in the spring of 2011. Dixon states that he

felt it was his duty to bring back a strong community to endure lifetimes, and now his town is more than willing to pay it forward.

For more information, visit “Greensburg GreenTown” at www.greensburggreentown.org/.

Long-Term Community Recovery Plan for Kiowa County and Greensburg

Available at www.greensburgks.org/residents/recovery-planning/long-term-community-recovery-plan.

Greensburg Sustainable Comprehensive Master Plan

Available at www.greensburgks.org/residents/recovery-planning/sustainable-comprehensive-master-plan/view.

Watch Greensburg’s recovery process, “Greensburg, Kansas: Thriving in the Wake of Disaster,” on the Mother Nature Network at <http://planetgreen.discovery.com/tv/greensburg/>.

ple to emphasize one skill set over another. The point of this review, however, is to show that, because of its sheer complexity, all are relevant to some aspect of post-disaster recovery. If we adopt a conscious recognition of that fact in approaching the overall problem, the ability to gain a holistic grasp of the challenges that lie ahead is likely to increase significantly.

SUSTAINABILITY: THE FUTURE OF PLANNING FOR RESILIENCE

Resilience, by its very nature with its emphasis on being able to rebound from a setback or disaster, involves a relatively short-term capability based on more long-term traits that enable that capability. Put another way, it is a capacity deliberately cultivated that cannot simply be developed when the need arises, but which must precede the event that triggers a demonstration of that civic or communal quality.

Sustainability, on the other hand, is a quality that deliberately seeks to preserve opportunities for generations well removed from the present by reducing or eliminating current reliance on technologies or activities that consciously (or otherwise) deplete resources for current use and thus deprive future generations of the ability to use those same resources. The burning of fossil fuel is an obvious example but hardly the only one. The diametrical opposite is the Greensburg, Kansas, vision since the May 4, 2007, tornado of becoming totally reliant on renewable fuel sources.

Over time, sustainability has been robbed of some of its conceptual vitality by its appeal as a branding device for corporations, many of which now have sustainability officers, and for many other organizations that wish to present a positive environmental appearance. In the process, an increasing vagueness has crept into many of the popular discussions concerning just what sustainability actually is. At the same time, sustainable development advocates, like those for smart growth and new urbanism, often have had a tendency not to think too hard about issues like natural hazards, perhaps because they represent a disruptive force that can upset many assumptions. Yet it is hard to think of anything less green and more wasteful, or less sustainable, than the kinds of destruction wrought upon the built environment by events like Hurricane Katrina or Superstorm Sandy. Thus, the concept of “safe growth” emerged, and APA later offered the concept of a safe growth audit as a means to put it into productive use (Godschalk 2009; Schwab 2010).

When it first emerged as a concept, sustainable development relied on a definition provided by a United Nations

Visual 1.18



Visual description: Greensburg Kansas F-5 Tornado video ¹²

Notes

Transcript

0:00 the weather just seemed a little bit unusual. The sound was just deafening.
0:03 we could hear and feel things breaking up...my school was gone, my church was gone, my town was gone
0:07 what are we gonna do?
0:08 we could rebuild and we could start over and rebuild the whole community
0:12 rebuild the town. let's work together. let's try to do it right
0:15 the spirit of the community – “we will rebuild”. Maybe we do have to do it.
0:19 to be able to make a difference that can be felt for generations
0:24 it's very exciting.
0:27 Come and experience the story in Greensburg.

¹² Kiowa County Media Center. (2014, May 15). Greensburg tourism – experience the story [Video file]. Retrieved from <https://www.youtube.com/watch?v=9x9IHAr7TeQ>

Visual 1.19



Disaster Resilience Defined

Local resiliency with regard to disaster means that a locale is able to withstand an extreme natural event without suffering devastating losses, damage, diminished productivity, or quality of life and without a large amount of assistance from outside the community.



Dr. Dennis Mileti

FEMA

1 - 19

Visual description: Disaster Resilience Defined

Notes

In his book, *Disasters by Design* (1999), Dr. Dennis Mileti defined disaster resilience this way:

“Local resiliency with regard to disasters means that a locale is able to withstand an extreme natural event without suffering devastating losses, damage, diminished productivity, or quality of life and without a large amount of assistance from outside the community”¹³

¹³ Mileti, D., 1999, Chapter 1, Section 3: Principles of Sustainable Hazards Mitigation, para. 8

Visual 1.20



Characteristics of Resilience

What are the characteristics of resilient communities?

Dr. David Godschalk

FEMA

1 - 20

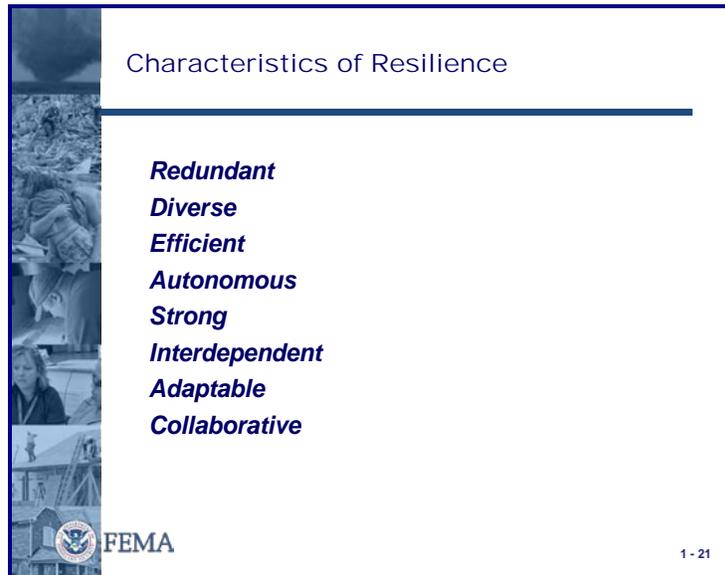
Visual description: Characteristics of Resilience

Notes

An explanation of the graphics on this slide

These are historical examples. The lower photograph is of San Francisco after the 1906 earthquake and fire. The upper graphic is a map of Grafton, Illinois - an area which relocated its downtown from the riverfront to higher ground. Grafton represents one of several Midwestern towns relocated following major flooding in the mid 1990's.

Visual 1.21



Visual description: Characteristics of Resilience

Notes

In his article, *Urban Hazard Mitigation: Creating Resilient Cities*¹⁴, Dr. David Godschalk summarized specifically the characteristics of resilient communities:

- **Redundant** - with a number of functionally similar components so that the entire system does not fail when one component fails.
- **Diverse** - with a number of functionally different components in order to protect the system against various threats.
- **Efficient** - with a positive ratio of energy supplied to energy delivered by a dynamic system.
- **Autonomous** - with the capability to operate independently of outside control.
- **Strong** - with the power to resist attack or other outside force.
- **Interdependent** - with system components connected so that they support each other.
- **Adaptable** - with the capacity to learn from experience and the flexibility to change.
- **Collaborative** - with multiple opportunities and incentives for broad stakeholder participation.

¹⁴ Godschalk, D.R., 2003, p. 139

Visual 1.22



Building Resiliency into Recovery

**Sharing a focus -
Mitigation and Recovery:**

- Economic
- Housing
- Natural and cultural resources
- Infrastructure
- Health and social services
- Government sectors





1 - 22

Visual description: Building resiliency into Recovery

Notes

Mitigation and recovery both offer unique opportunities to reduce future risk.

Following any incident, recovery efforts can be leveraged to implement solutions that will increase community resilience in the economic, housing, natural and cultural resources, infrastructure, and health and social services and government sectors.

Recovery projects that increase resilience can occur in any of the community systems outlined above. For instance, housing and infrastructure projects may increase resilience by rebuilding housing to meet new building and accessibility codes that minimize future damages or relocating critical infrastructure out of hazardous areas. Other resilience strategies could focus on diversifying the economy and bringing in sustainable industries or assisting community organizations to increase the resilience of all populations through preparedness efforts.

FEMA's *Effective Coordination of Recovery Resources for State, Tribal, Territorial and Local Incidents*, (2015, pp. 30-31)¹⁵ includes a short case study involving the deadly impact of tornadoes in 2013 to the community of Moore, Oklahoma. Impacts to the economic sector led to discussions from Oklahoma business leaders on strengthening the economic resilience in the state. A draft economic resilience framework was developed to represent Oklahoma's vision for building capacity in the public and private sectors to strengthen economic resilience statewide. The framework acknowledged the importance of developing a "resilience industry" to strengthen competitiveness, growth and innovation. The key elements of the framework include research and knowledge building, planning, governance, finance, infrastructure, procurement and local

¹⁵ Federal Emergency Management Agency. (2015, February). "Oklahoma Strong: Economic Resilience Initiative" (pp. 30-31). In *Effective coordination of recovery resources for state, tribal, territorial and local incidents*. Available from FEMA's Resource & Document Library at <http://www.fema.gov/media-library/assets/documents/101940>

sourcing, business continuity and risk management, workforce support, diversification, technical assistance and communication.

Visual 1.23



Types of Recovery Plans

The American Planning Association identifies three types of recovery plans

- Operational (limited pre-disaster)
- Policy (pre-disaster)
- Recovery (post-disaster)

FEMA

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Visual description: Types of Recovery Plans

Notes

The American Planning Association's recent publication *Planning for Post-Disaster Recovery: Next Generation*¹⁶ offers a three-part typology of recovery plans, based on their focus and whether they are prepared prior to or after disasters.

The three types are:

1. Operational (limited pre-disaster, may be an annex of the local emergency management plan)
2. Policy (pre-disaster)
3. Recovery (post-disaster)

In this course, we will be focusing on plan types 2 and 3.

¹⁶ Boyd, A., Hokanson, B. J., Johnson, L. A., Schwab, J. C. (Ed.) & Topping, K. C. (2015). *Planning for post-disaster recovery: next generation* (PAS report 576). American Planning Association. Retrieved from the American Planning Association website at https://www.planning.org/pas/reports/pdf/PAS_576.pdf

Visual 1.24



Policy (pre-disaster)

- Structure for managing recovery
- General policies and guidelines
- Hazard mitigation
- Adjustments in land-use policy and priorities
- Policies for funding of recovery activities.
- Identify recovery resources

Focus on issues that communities will face regardless of the specific pattern of destruction a disaster may cause.

FEMA

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Visual description: Policy (pre-disaster)

Notes

A pre-disaster recovery plan will address issues in a general way that can apply to any event that might occur.

The pre-disaster plan establishes a managerial structure for handling the recovery and defines general policies regarding issues like hazard mitigation, adjustments in land-use policy and priorities, and policies and procedures for funding of recovery activities.

Planners can focus on the policy issues that communities will face regardless of the specific pattern of destruction a disaster may cause.

Visual 1.25



Recovery (post-disaster)

- Developed after disaster has occurred to deal directly with the known consequences.
- The distinguishing feature of post-disaster plans is not only the timing of their preparation, but their orientation toward physical planning and urban design.

FEMA 1 - 25

Visual description: Recovery (post-disaster)

Notes

A post-disaster recovery plan is developed after disaster has occurred to deal directly with the known consequences.

The distinguishing feature of post-disaster plans is not only the timing of its preparation, but also its orientation toward physical planning and urban design.

This type of plan will include specific details about recovery projects, organizational priorities and community recovery goals.

Visual 1.26



Activity 1.2 Review of Pre- and Post-Disaster Recovery Plans

Waterbury
Long Term Community Recovery Plan | May 2012

Hillsborough County
Florida
Countywide
Post-Disaster
Redevelopment Plan
Building Back for a Stronger Tomorrow

FEMA

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Visual description: Activity 1.2: Review of Pre- and Post-Disaster Recovery Plans

Notes

Visual 1.27



Activity 1.2 - Review of Pre- and Post-Disaster Recovery Plans

- Purpose: **Assess the differences between pre and post-disaster recovery Plans and identify the benefits of each.**
- Instructions: **Table groups have 2 plans, a pre-disaster and post-disaster. You will have 30 minutes to compare and contrast the two plans. Select a spokesperson to provide 5 minute summation to the class.**



1 - 27

Visual description: Activity 1.2: Review of Pre- and Post-Disaster Recovery Plans

Notes

Group Activity
60 minutes

ACTIVITY 1.2

Review of Pre- and Post-Disaster Recovery Plans

This activity involves looking at two different types of recovery plans – one written in advance of the disaster (referred to as “Pre-Disaster”) and one written following the disaster event (referred to as “Post-Disaster”).

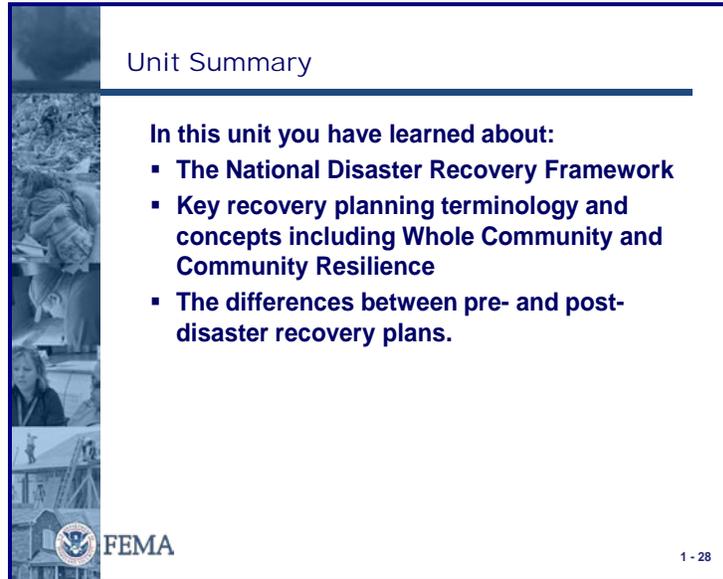
Purpose

To assess the differences between the plans and identify the benefits of each.

Instructions

1. Work within table groups to review a pre- and post- disaster plan. Two plans are provided in hard copy at each table. The electronic files for these two plans are included in the Course Reference Library. The plans can also be retrieved from the Internet via the URLs listed below.
 - a. Hillsborough County and the cities of Tampa, Temple Terrace, and Plant City, Florida. (2010). *Hillsborough County post-disaster redevelopment plan*. Retrieved from <http://www.hillsboroughcounty.org/index.aspx?nid=1795>
 - b. Waterbury, Vermont & FEMA’s Long Term Community Recovery Program. (2012, May). *Waterbury: long-term community recovery plan*. Retrieved from <http://www.waterburyvt.com/about/recovery/plan/>
2. Your group will have 30 minutes to review and compare and contrast the two plans.
3. At the conclusion of the review each group will select a spokesperson to provide 5 minute summation to the class.

Visual 1.28



Unit Summary

In this unit you have learned about:

- The National Disaster Recovery Framework
- Key recovery planning terminology and concepts including Whole Community and Community Resilience
- The differences between pre- and post-disaster recovery plans.

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Visual description: Unit Summary

Notes

Unit 2: Recovery Pre-Disaster Planning Guidance for Local Governments

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Objectives

At the end of this unit, the participants should be able to:

1. Define the nine key activities of pre-disaster recovery plan development.
 2. Describe the nine key steps of developing a recovery plan using established pre-disaster recovery planning guidance.
 3. Analyze a pre-disaster recovery plan using the guidance documents provided.
-

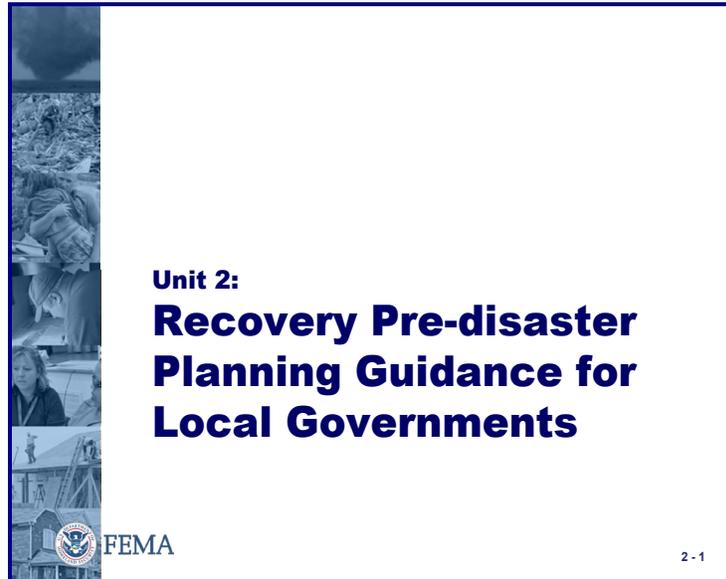
Scope

- Objectives
- Successful Recovery
- Key Activities in Pre-Disaster Recovery Planning
- Activity 2.1: Pre-Disaster Recovery Plan Evaluation
- Other Resources for Pre- and Post-Disaster Recovery Planning
- Unit Summary
- Appendix A: Recovery Planning Assessment Checklist

References

- Beaufort County, South Carolina, Recovery Task Force. (2011). *Beaufort County 2011-2012 disaster recovery plan*. Retrieved from <http://www.bcgov.net/archives/county-government/emergency-management/2011-disasterrecoveryplan.pdf>
- Boyd, A., Hokanson, B. J., Johnson, L. A., Schwab, J. C. (Ed.) & Topping, K. C. (2015). *Planning for post-disaster recovery: next generation* (PAS report 576). American Planning Association. Available from American Planning Association website at https://www.planning.org/pas/reports/pdf/PAS_576.pdf Retrieved from FEMA's Resource & Document Library at <http://www.fema.gov/media-library/assets/documents/103445>
- Community Recovery Management Toolkit | FEMA.gov. Available from <http://www.fema.gov/national-disaster-recovery-framework/community-recovery-management-toolkit>
- Fairfax County Office of Emergency Management. (2012, January 5). *Fairfax County pre-disaster recovery plan*. Retrieved from <http://www.fairfaxcounty.gov/oem/pdrp/pdrp-complete-doc-march2012.pdf>
- Federal Emergency Management Agency ESF 14 partners & Florida Long Term Recovery Office. (2005, December). *Long-term community recovery planning process: a self help guide*. Available from FEMA's Resource & Document Library at <http://www.fema.gov/media-library/assets/documents/6337>
- Federal Emergency Management Agency. (n.d.). *Recovery pre-disaster planning guidance for local governments*. Unpublished draft adjudicated February, 2015.
- Federal Emergency Management Agency. (2011). National preparedness goal (1st ed.). Available from FEMA's Resource & Document Library at <http://www.fema.gov/media-library/assets/documents/29221>
- Federal Emergency Management Agency. (2011, September). Appendix C: Planning for a Successful Disaster Recovery (pp. 99-110). *National disaster recovery framework: Strengthening disaster recovery for the nation*. Available from FEMA's Resource & Document Library at <http://www.fema.gov/media-library/assets/documents/32368>
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- Florida Division of Emergency Management & Florida Department of Community Affairs. (2008). *Post-disaster redevelopment planning: a guide for Florida communities*. Available from <http://www.floridadisaster.org/Recovery/IndividualAssistance/pdredevelopmentplan/Index.htm>
- Hillsborough County and the cities of Tampa, Temple Terrace, and Plant City, Florida. (2010). *Hillsborough County post-disaster redevelopment plan*. Retrieved from <http://www.hillsboroughcounty.org/index.aspx?nid=1795>

Visual 2.1



Visual description: Unit 2: Recovery Pre-disaster Planning Guidance for Local Governments

Notes

Visual 2.2

A slide titled "Unit Objectives" with a blue border. On the left side, there is a vertical strip of four images: a person in a hard hat, a person in a white coat, a person in a dark jacket, and a FEMA logo. The main text on the slide lists three objectives for completing the unit. The FEMA logo is at the bottom left of the slide, and the number "2-2" is at the bottom right.

Unit Objectives

After completing this unit, you will be able to:

- Define the nine key activities of pre-disaster recovery plan development.
- Describe the nine key steps of developing a recovery plan using established pre-disaster recovery planning guidance.
- Analyze a pre-disaster recovery plan using the guidance documents provided.

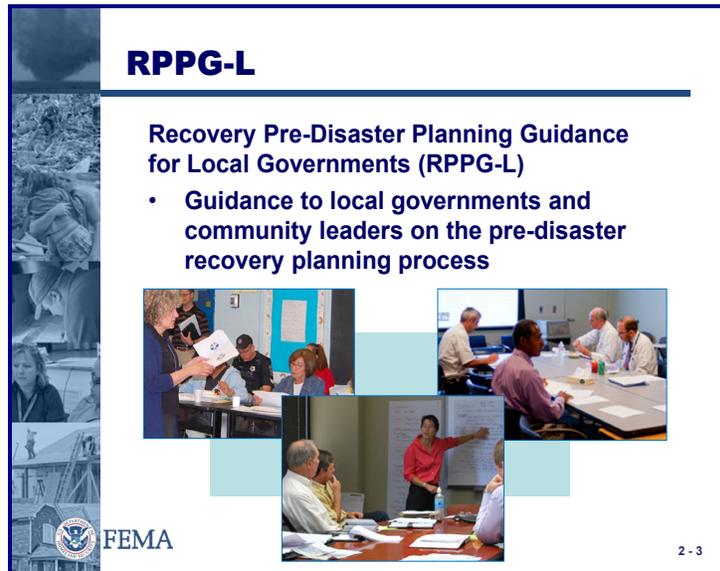
FEMA

2-2

Visual description: Unit Objectives

Notes

Visual 2.3



Visual description: Recovery Pre-disaster Planning Guidance for Local Governments (RPPG-L) ¹

Notes

Assisting local governments in implementing the National Disaster Recovery Framework, *Recovery Pre-Disaster Planning Guidance for Local Governments* (RPPG-L) offers a range of interpretations, helpful hints, and case studies to ease the process of preparing a pre-disaster recovery plan.

The premise of this document is that effective pre-disaster planning is an important process that allows a comprehensive and integrated understanding of community objectives and connects community plans to guide post-disaster decisions and investments.

The purpose of the guidance is to help local governments take the leadership role in working with the members of their communities to develop recovery capabilities, organizational frameworks and plans. By following the planning process in RPPG-L, communities will be able to create a written pre-disaster recovery plan that will aid them in effective management of recovery operations after a disaster.

¹ Federal Emergency Management Agency. (n.d.). *Recovery pre-disaster planning guidance for local governments*. Unpublished draft adjudicated February, 2015.

Visual 2.4



Recovery Core Capabilities

RECOVERY CORE CAPABILITY AND OPERATIONAL STRATEGY FOR NATIONAL PREPAREDNESS GOAL	
PLANNING	Coordinate a structured process supporting the viable community as appropriate to the characteristics of the disaster emergency, including, but not limited to, the following: <ul style="list-style-type: none"> Identify and coordinate emergency response and recovery activities. Identify and coordinate emergency response and recovery activities. Identify and coordinate emergency response and recovery activities.
PUBLIC INFORMATION AND WARNING	Identify and coordinate emergency response and recovery activities.
OPERATIONAL COORDINATION	Identify and coordinate emergency response and recovery activities.
ECONOMIC RECOVERY	Identify and coordinate emergency response and recovery activities.
HEALTH & SOCIAL SERVICES (HSS)	Identify and coordinate emergency response and recovery activities.
HOUSING	Identify and coordinate emergency response and recovery activities.
INFRASTRUCTURE SYSTEMS	Identify and coordinate emergency response and recovery activities.
NATURAL & CULTURAL RESOURCES (NCR)	Identify and coordinate emergency response and recovery activities.

- Planning
- Operational Coordination
- Public Information and Warning
- Infrastructure Systems
- Economic Recovery
- Health and Social Services
- Housing
- Natural and Cultural Resources

2 - 4

Visual description: Recovery Core Capabilities

Notes

The National Preparedness Goal² (2011, p. 2) includes “recovery” as one of the mission areas. It identifies the Recovery Core Capabilities as:

- Planning, Public information and warning, Operational coordination (common to all mission areas)
- Economic recovery
- Health and social services
- Housing
- Infrastructure systems
- Natural and cultural resources

RPPG-L lists targets for these Recovery Core Capabilities (pp. 9-11).

² Federal Emergency Management Agency. (2011). *National preparedness goal* (1st ed.). Available from FEMA's Resource & Document Library at <http://www.fema.gov/media-library/assets/documents/29221>

Visual 2.5



Factors for a Successful Recovery

1. Effective Decision-making and Coordination
2. Integration of Community Recovery Planning Processes
3. Well-managed Recovery
4. Proactive Community Engagement, Public Participation, and Public Awareness
5. Well-administrated Financial Acquisition
6. Organizational Flexibility
7. Resilient Rebuilding

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2-5

Visual description: Seven Factors to Successful Recovery

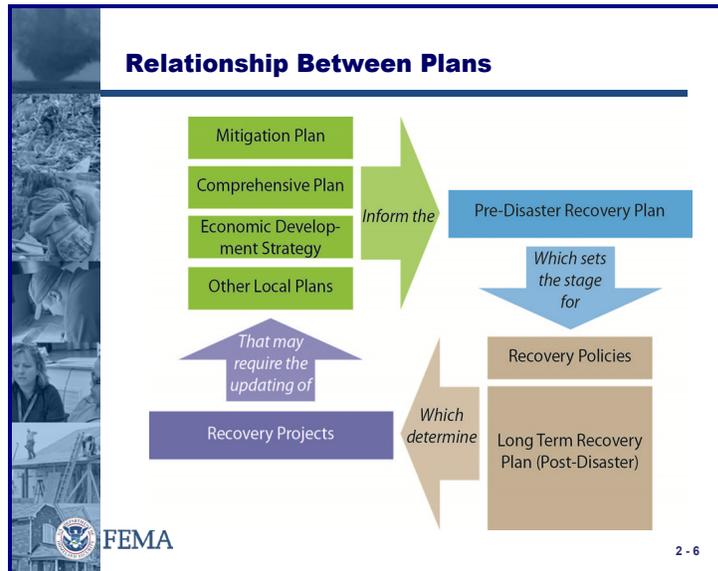
Notes

The National Disaster Recovery Framework (NDRF) identified seven factors for successful disaster recovery³. Those factors from NDRF are elaborated upon in RPPG-L, Appendix C, “Factors for a Successful Recovery” (p. 75). The factors are:

1. Effective Decision-making and Coordination
2. Integration of Community Recovery Planning Processes
3. Well-managed Recovery
4. Proactive Community Engagement, Public Participation, and Public Awareness
5. Well-administrated Financial Acquisition
6. Organizational Flexibility
7. Resilient Rebuilding

³ Federal Emergency Management Agency. (2011, September). Appendix C: Planning for a Successful Disaster Recovery (pp. 99-110). *National disaster recovery framework: Strengthening disaster recovery for the nation*. Available from FEMA’s Resource & Document Library at <http://www.fema.gov/media-library/assets/documents/32368>

Visual 2.6



Visual description: Relationship between Plans ⁴

Notes

The planning process should incorporate the results of other applicable planning processes in the community and region. Hazard mitigation plans, comprehensive plans, housing plans, and other planning documents can define a wide range of goals for the community and represent shared priorities of community members. Linking recovery planning to build on the community's existing plans will help inform recovery planning efforts, capitalize on past planning efforts so as not to “reinvent the wheel,” and incorporate community perspectives.

“Other local plans” might include general plans, continuity of operations plans, redevelopment plans and community revitalization plans.

⁴ From RPPG-L, p. 15, Figure 1: Relationship between existing plans, the pre-disaster recovery plan, and post-disaster recovery plans

Visual 2.7



Visual description: Key Activities in Pre-Disaster Recovery Planning ⁵

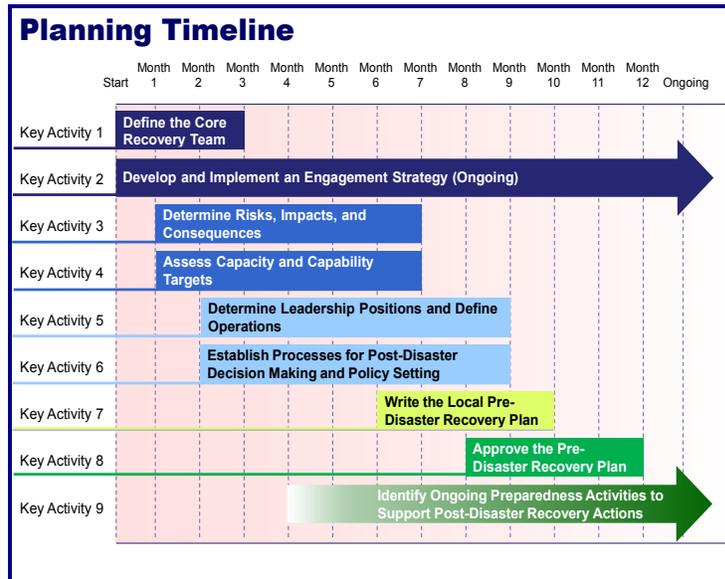
Notes

The RPPG planning process is categorized into nine key activities:

1. Define the Core Recovery Planning Team, Scope of Planning Activities, and Stakeholder Engagement Strategy
2. Develop and Implement a Stakeholder and Partner Engagement Strategy
3. Determine the Community's Risks, Impacts, and Consequences
4. Assess Community's Capacity and Identify Capability Targets
5. Determine Leadership Positions and Define Operations Necessary for Post-Disaster Recovery Planning and Management Efforts
6. Establish a Processes for Post-Disaster Decision Making and Policy Setting
7. Write the Local Pre-Disaster Recovery Plan
8. Approve the Pre-Disaster Recovery Plan and Associated Regulations
9. Identify Ongoing Preparedness Activities to Support Post-Disaster Recovery Actions

⁵ From RPPG-L, p. 20, Figure 2: Key Activities in the Pre-Disaster Recovery Planning Process

Visual 2.8



Visual description: Planning Timeline ⁶

Notes

As you'll note in the Planning Timeline, some key activities must be completed sequentially and others can be done concurrently. The timeline provide estimated schedules that will vary from community to community and are intended to serve as an example only. Since every community is unique, the amount of time it takes to work through each key activity may vary.

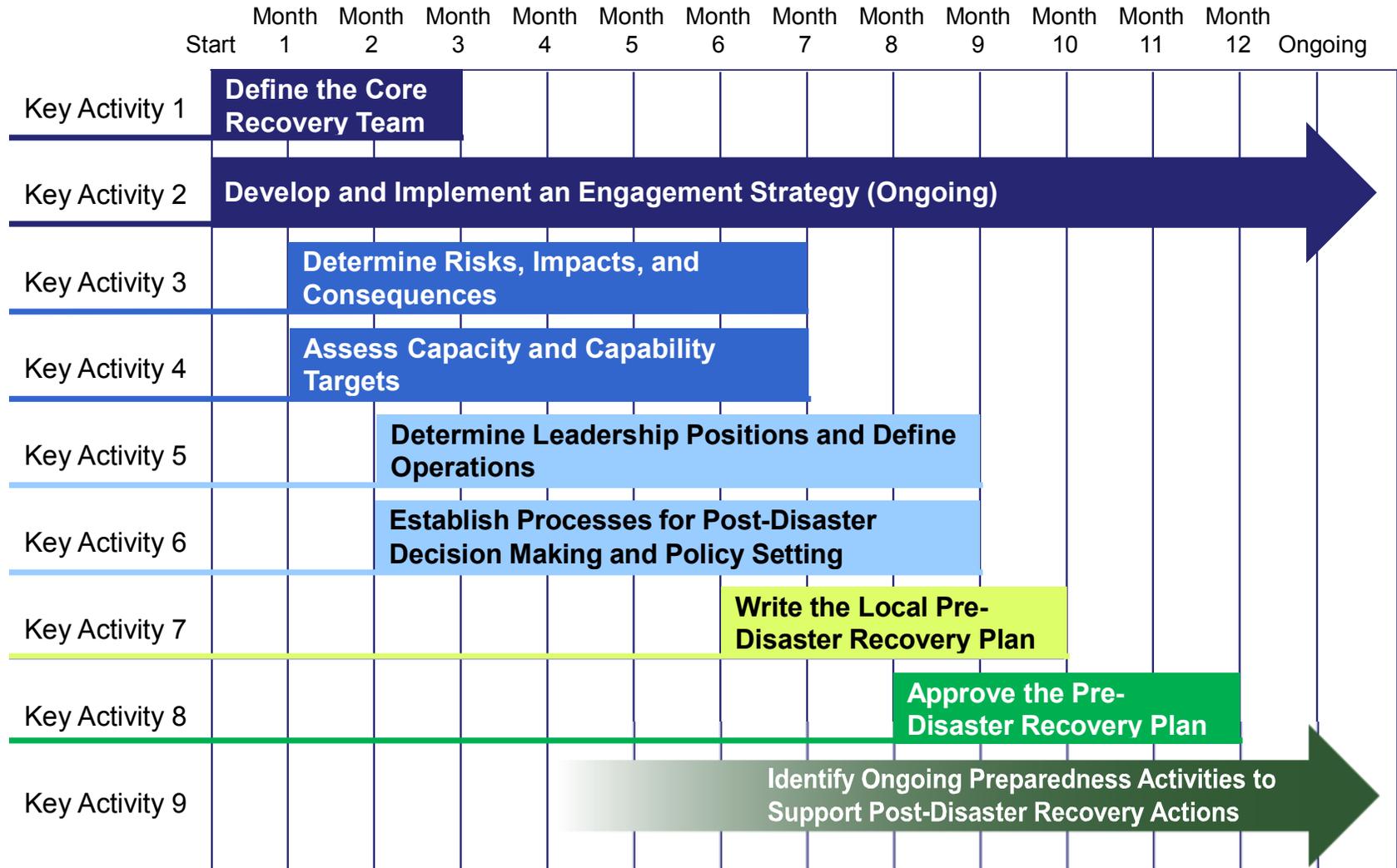
⁶ Adapted from RPPG-L, p. 23, Figure 3: Example Planning Timeline

Figure 2-1: Key Activities in the Pre-Disaster Recovery Planning Process



Planning Timeline

Figure 2-2: Timeline of key activities in the pre-disaster planning process



Visual 2.9



Key Activity One: Team, Partners, Scope

Timeline: 0-3 Months

1. Identify Core Recovery Planning Team Representatives
2. Identify Planning Partners
3. Determine Scope of Recovery Planning Activities




2 - 9

Visual description: Key Activity One: Team, Partners and scope ⁷

Notes

Key Activity One: Define the Core Recovery Planning Team, Scope of Planning Activities, and Stakeholder Engagement Strategy

The timeline for Key Activity One is **0-3 months**.

1. Identify Core Recovery Planning Team Representatives
2. Possible members of the Core Recovery Planning Team may include:
 - a. Emergency Management and Public Safety (police/fire/emergency medical services)
 - b. Community Planning
 - c. Zoning and Building Inspection
 - d. Floodplain Management
 - e. Public Works
 - f. Education
 - g. Community Development or Redevelopment Agencies
 - h. Economic Development, (local and regional)
 - i. Environment
 - j. Health and Social Services (including ADA coordinators)
 - k. Housing
 - l. Transportation

⁷ RPPG-L, pp. 25-27

3. Identify Key Organizations and Community Leaders that should serve as Planning Partners
 - Government agencies
 - Non-Government Organizations
 - Business leaders that work inside or outside of the area covered by the recovery planning process, have responsibilities or authority relevant to some aspect of community development, social services, economic development, business, disaster recovery, and can assist with data collection or analysis, provide advice on planning, policy development or provide other technical assistance.
4. Determine the Scope of Recovery Planning Activities
 - Geographic Area – single jurisdiction or regional plan?
 - Content Plan should include policies and requirements that enable recovery, operational processes and guidelines, key people and partners and their recovery roles, and recovery resources, may be documented in the community's other existing planning documents.

Visual 2.10

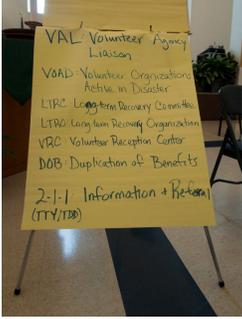


Key Activity Two: Stakeholder and Partner Engagement Strategy

Timeline: Ongoing

1. Scope of Engagements
2. Partner with NGOs
3. Role of Governmental Agencies
4. External Partnerships





2 - 10

Visual description: Key Activity Two: Stakeholder and Partner Engagement Strategy ⁸

Notes

Key Activity Two: Develop and Implement a Stakeholder and Partner Engagement Strategy

The timeline for Key Activity Two is **ongoing**. The steps involve:

1. Defining the Scope of Stakeholder Engagement
Stakeholders are those who will be supporting the work of the Core Recovery Planning Team but do not directly serve on the team. They may include local individuals and organizations or those from outside of the community, at the county, state or even national level.
2. Establish Partnerships with Non-Governmental Organizations that have a Role in Supporting Recovery Activities
Non-governmental organizations (NGOs) are critical partners in recovery. They should be included in developing a recovery plan and should be partners in its implementation post-disaster.

Possible answers:

- Chambers of Commerce
- Educational institutions
- Housing non-profits
- Faith-based organizations
- Realtors
- Power companies/cooperatives

⁸ RPPG-L, pp. 28-34

- American Red Cross
 - Community Development Finance Institution
 - Independent national, regional, and local social services delivery agencies
 - Fraternal organizations
 - Independent charities
 - Volunteer recruitment groups
 - Child-focused non-profits/experts
 - Private sector trade associations
 - Apartment owner associations
 - Neighborhood Partner Networks
 - Homebuilders Associations
 - State Insurance Boards/Commissions
3. Establish which Regional, State, and Federal Governmental Agencies Have a Role in Supporting Recovery Activities
- Local governments and community leaders will need to coordinate with recovery counterparts from the regional, state and federal levels to ensure effective recovery operations post-disaster. Identifying which agencies have the related mission expertise or resources to support recovery activities during the pre-disaster planning process will help to facilitate implementation after a disaster because organizations with similar missions and functions will already be aligned and have established relationships.
4. Consider External Partnerships
- Disaster impacts are typically regional and felt by people both inside and outside of city limits, across county lines, and/or across state lines.

Visual 2.11



**Key Activity Three:
Risks, Impacts, and Consequences**

Timeline: 1-6 Months

1. Identify Hazards
2. Assess Risks, Vulnerability, and Exposure






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2 - 11

Visual description: Key Activity Three: Risks, Impacts and Consequences ⁹

Notes

Key Activity Three: Determine the Community's Risks, Impacts, and Consequences

The timeline for Key Activity Three is **1-6 months**.

Understanding the community's risks and possible direct and indirect impacts to its assets will provide a foundation for the pre-disaster recovery planning process.

1. Identify Hazards

There may be numerous reference documents in your jurisdiction that will assist you in developing an up-to-date risk assessment. Three such references may include: Hazard Mitigation Plan, Emergency Operations Plan, Comprehensive Plan (Safety Element), and a Threat and Hazard Identification and Risk Assessments. Each of these documents contain hazard, risk, impact, and consequences information.

2. Assess Risks, Vulnerability, and Exposure

It is important to understand how the threats and hazards previously identified will impact various sectors of the community. Furthermore, understanding those impacts will allow members of the planning team to focus recovery planning efforts and to determine potential capability gaps given their knowledge of sector-specific impacts.

⁹ RPPG-L, pp. 35-38

Visual 2.12



**Key Activity Four:
Capacity Strengths and Weaknesses**

Timeline: 1-6 Months

1. Planning and Regulatory
2. Organizational and Staffing
3. Financial
4. Communication and Outreach

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2 - 12

Visual description: Key Activity Four: Capacity Strengths and Weaknesses ¹⁰

Notes

Key Activity Four: Assess Community's Capacity and Identify Capability Targets

The timeline for Key Activity Four is **1-6 months**.

Key Activity Four involves assessing the community's capacity and identifying capability targets. Understanding capacity gaps will serve as the basis for resource and partnership decisions throughout the recovery planning process, while understanding strengths will allow the community to leverage its existing resources and expertise. Based on the risk assessment, the next Key Activity addresses the need for the planning team to evaluate the community's capacity to address recovery needs and activities.

Here are some specific steps:

1. Evaluate Planning and Regulatory Strengths and Weaknesses
Initially, those involved in the pre-disaster recovery planning process should inventory and review policies and regulations currently in place that relate to recovery operations. Careful consideration is needed to evaluate whether these policies and regulations will work to support or hinder post-disaster recovery.

Documents to consider include:

- local ordinances
- zoning ordinances
- subdivision regulations
- building codes

¹⁰ RPPG-L, pp. 38-44

- planning documents
 - comprehensive land use plans
 - capital improvements plans
 - transportation plans
 - small area development plans
 - emergency preparedness and response plans
2. Evaluate Local Organizational and Staff Resources Available for Key Recovery Activities and Recovery Management
Inevitably, recovery operations will create an increased workload for partners. During pre-disaster recovery planning efforts, it is critical that partner agencies and organizations evaluate their staffing resources. This evaluation will serve to not only identify gaps in staffing quantity or expertise, but will also identify strengths and capacities of various partners.
 3. Evaluate Financial Strengths and Weaknesses
Recovering from a disaster costs money. Partner agencies and the community as a whole must consider the tax base of the community in conjunction with the potential loss of tax base due to a disaster, as well as the need for funding to operate government post-disaster. The costs of recovery management and activities should be considered as well.
 4. Evaluate Communication and Outreach Strengths and Weaknesses
Communication and outreach strategies are the foundation of developing inclusive partnerships and taking a holistic approach to both pre- and post-disaster recovery planning. In a pre-disaster context, local governments, and their partner agencies should identify their plans and resources available to conduct outreach. Particular attention should be paid to identifying strategies to communicate with seniors, individuals with disabilities and others with access and functional needs; those from religious, racial and ethnically diverse backgrounds; and people with limited English proficiency.

Visual 2.13



Key Activity Five: Leadership

Timeline: 3-9 Months

1. Leadership Position
2. Organizational Structure
3. Sector-Specific Coordinators



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2 - 13

Visual description: Key Activity Five: Leadership ¹¹

Notes

Key Activity Five: Determine Leadership Positions and Define Operations Necessary for Post-Disaster Recovery Planning and Management Efforts

The timeline for Key Activity Five is **3-9 months**.

1. Leadership Person
Strong leadership is critical for successful recovery, so the identification of such leadership must be a high priority. A strong leader will make securing partnerships easier, in part because the community will be able to demonstrate that it has put time, thought and talent into preparing for recovery. The leader should also have relationships necessary to ensure that recovery activities are closely coordinated with response and mitigation efforts.
2. Establish an Organizational Structure
After the leader has been selected, planners must decide which agencies and organizations will serve in lead roles and which will provide support during the post-disaster recovery process.
3. Create Sector-Specific Coordinator Positions
Other positions that need to be identified in the recovery organization include coordinator positions associated with key areas of community recovery.

¹¹ RPPG-L, pp. 45-53

Visual 2.14



Key Activity Six: Decision Making

Timeline: 3-9 Months

1. Goals
2. Priorities
3. Policies

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2 - 14

Visual description: Key Activity Six: Decision Making ¹²

Notes

Key Activity Six: Establish Processes for Post-Disaster Decision Making and Policy Setting

The timeline for Key Activity Six is **3-9 months**.

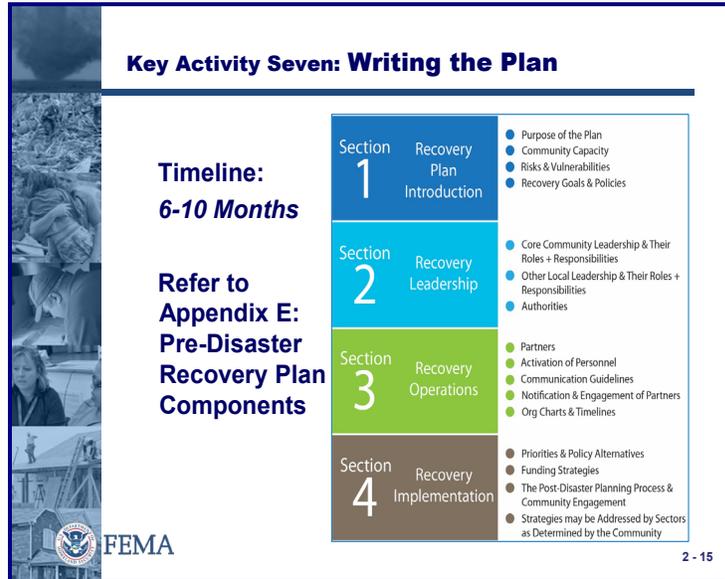
In addition to having an effective organizational structure with all of the necessary agencies and partners in place, stakeholders and participants in recovery must also establish leadership principles and a decision-making process.

With likely threats and hazards in mind, the pre-disaster recovery planning team will need to determine what goals, priorities, and policies can be established prior to the disaster. The priorities and processes established pre-disaster will facilitate post-disaster decision making.

Another common means for establishing a process for decision-making is a Recovery Ordinance. Such an ordinance will be discussed later in Unit 2.

¹² RPPG-L, pp. 54-56

Visual 2.15



Visual description: Key Activity Seven: Writing the Plan ¹³

Notes

Key Activity Seven: Write the Local Pre-Disaster Recovery Plan

The timeline for Key Activity Seven is 6-10 months.

Key Activity Seven focuses on pulling the pieces together to write the local Pre-Disaster Recovery Plan. Please refer to Appendix E: Pre-Disaster Recovery Plan Components in the back of RPPG-L as we go through the various sections.

Section 1 is the Introduction and includes the purpose of the Plan, a discussion of community capacity, a summary of the risks and vulnerabilities, and the recovery goals and policies.

Section 2 focuses on Leadership including core community and local leadership, roles, and responsibilities. Also, jurisdictional authorities are outlined.

Section 3 outlines Operations including interacting with partners, activation of personnel, communication guidelines, notification and engagement of partners, and organizational charts and timelines.

Section 4 provides tips for Implementation including priorities and policy alternatives, funding strategies, and the post-disaster planning process and community engagement.

¹³ RPPG-L, pp. 57-58 and Appendix E: Pre-Disaster Recovery Plan Components, pp. 79-82

Visual 2.16



Visual description: Key Activity Eight: Approval Process ¹⁴

Notes

Key Activity Eight: Approve the Pre-Disaster Recovery Plan and Associated Regulations

The timeline for Key Activity Eight is **8-12 months**.

Key Activity Eight focuses on the approval process for the Pre-Disaster Recovery Plan and associated regulations. Community input is an important part of the approval process. Utilizing the means commonly practiced for such policy documents, the jurisdiction should invite the community to read and contribute to the plan prior to the public hearing. Involving the whole community in the pre-disaster recovery planning process will improve results through better identification of risks and impacts, more accurate priorities for post-disaster redevelopment and greater public awareness of the need for preparedness.

Case Example: Hillsborough County, Florida

Methods used by Hillsborough County, Florida, to involve community organizations, businesses and members of the public in development of its pre-disaster recovery plan¹⁵ (called a Post-Disaster Redevelopment Plan) included:

- Formation of Technical Advisory Teams comprised of community leaders, including a team that is specifically tasked with addressing public outreach.
- Presentations on the plans at two Citizens Advisory Meetings and six Local Mitigation Strategy working group meetings.

¹⁴ RPPG-L, pp. 60-61

¹⁵ Hillsborough County and the cities of Tampa, Temple Terrace, and Plant City, Florida. (2010). *Hillsborough County post-disaster redevelopment plan*. Retrieved from <http://www.hillsboroughcounty.org/index.aspx?nid=1795>

- Creation of a recovery plan Web page used to share information on the preparedness efforts advertisement of meetings and collection of feedback.
- Development of a six-minute video to describe the goals of the planning process and Technical Advisory Committees' roles.
- Holding of six public workshops to present information on the plan, survey of attendees about their knowledge of hazards and redevelopment and collection of feedback on priority redevelopment areas.
- A survey of businesses to gauge preparedness efforts.

Visual 2.17



Key Activity Nine: Plan Maintenance

Timeline: Ongoing

1. Trainings
2. Exercises
3. Plan Updates

2 - 17

Visual description: Key Activity Nine: Plan Maintenance ¹⁶

Notes

Key Activity Nine: Identify Ongoing Preparedness Activities

The timeline for Key Activity Nine is **ongoing**.

Key Activity Nine involves the ongoing events that assist in maintaining the plan.

Trainings and exercises are a very effective way to present hazard scenarios and ensure the adequacy and effectiveness of the plan.

Case Example: Fairfax County, VA

A tabletop exercise for Fairfax County, VA was conducted in 2012 to conclude the plan writing process. By completing an exercise using the plan, Fairfax County was also able to identify areas for future improvement of their plan¹⁷, including roles that needed to be further developed. An after action report was prepared following the tabletop exercise.

¹⁶ RPPG-L, pp. 62-65

¹⁷ Fairfax County Office of Emergency Management. (2012, January 5). *Fairfax County pre-disaster recovery plan*. Retrieved from <http://www.fairfaxcounty.gov/oem/pdrp/pdrp-complete-doc-march2012.pdf>

Visual 2.18



Activity 2.1 – Pre Disaster Recovery Plan Evaluation

Instructions:

- You may select to review Beaufort, SC. Hillsborough FL. OR your own community plan in groups of 3-4
- Identify elements that are good about the plan and elements that need improvement.
- Be prepared to present your recommendations to the class in a 5-7 minute presentation.
- 90 minutes for group work.

 FEMA

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Visual description: Activity 2.1: Pre-Disaster Recovery Plan Evaluation

Notes

Group Activity
130 minutes

ACTIVITY 2.1

Pre-disaster Recovery Plan Evaluation

Purpose

Analyze a pre-disaster recovery plan using the nine Key Activities in *Recovery Pre-Disaster Planning Guidance for Local Governments*.

Directions

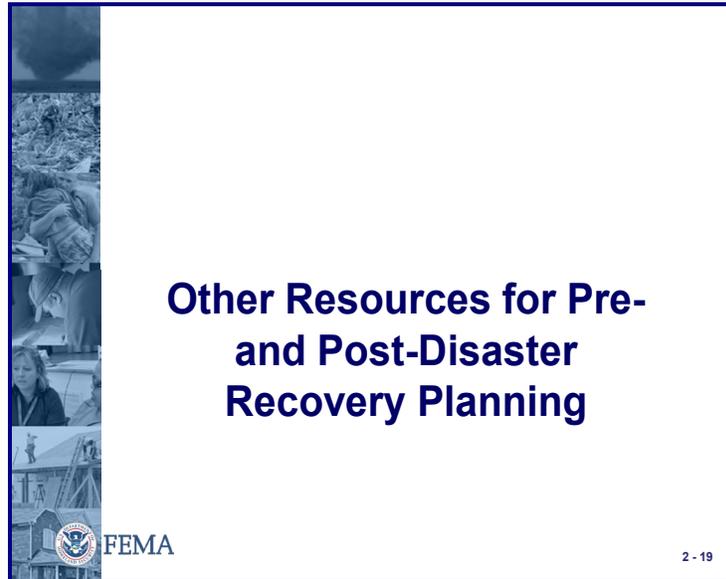
1. Working in table groups of 3-4 participants, you will review a Pre-Disaster Recovery Plan using the nine Key Activities in RPPG-L.
2. Your group may select to review your own community's plan, or one of the plans provided in the Course Reference Library. The plans included in the Course Reference Library (also available on the Internet) for use in this activity include:

Hillsborough County and the cities of Tampa, Temple Terrace, and Plant City, Florida. (2010). *Hillsborough County post-disaster redevelopment plan*. Retrieved from <http://www.hillsboroughcounty.org/index.aspx?nid=1795>

Beaufort County, South Carolina, Recovery Task Force. (2011). *Beaufort County 2011-2012 disaster recovery plan*. Retrieved from <http://www.bcgov.net/archives/county-government/emergency-management/2011-disasterrecoveryplan.pdf>

3. During your review of the chosen plan, participants should identify elements that are good about the plan and elements that need improvement, based on the planning guidance within the nine Key Activities of RPPG-L. Formulate your considerations into lists of these elements.
4. Your group will have 5-7 minutes to present your recommendations to the class. You may present your recommendations on easel charts or Microsoft PowerPoint for projection to the rest of the class, whichever is preferred.

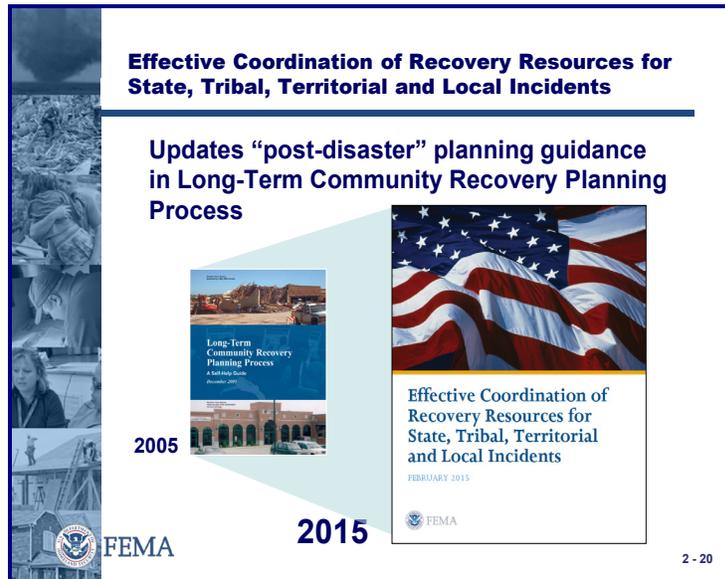
Visual 2.19



Visual description: Other Resources for Pre- and Post-Disaster Recovery Planning

Notes

Visual 2.20



Visual description: Effective Coordination of Recovery Resources for State, Tribal, Territorial and Local Incidents ¹⁸

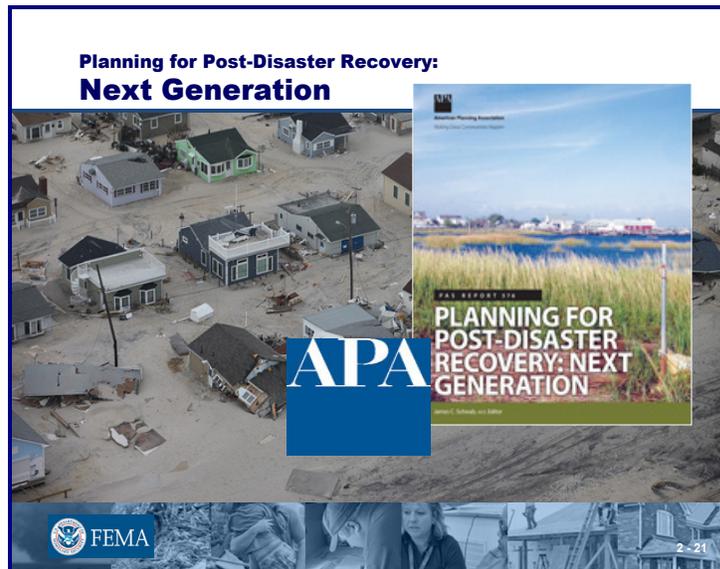
Notes

Effective Coordination of Recovery Resources for State, Tribal, Territorial and Local Incidents was released in February, 2015. The document contains updated information relating to post-disaster planning and coordination. This national guidance document updates guidance in a FEMA publication from 2005, *Long-Term Community Recovery Planning Process*.¹⁹

¹⁸ Federal Emergency Management Agency. (2015, February). *Effective coordination of recovery resources for state, tribal, territorial and local incidents*. Available from FEMA's Resource & Document Library at <https://www.fema.gov/media-library/assets/documents/101940>

¹⁹ Federal Emergency Management Agency ESF 14 partners & Florida Long Term Recovery Office. (2005, December). *Long-term community recovery planning process: a self help guide*. Available from FEMA's Resource & Document Library at <http://www.fema.gov/media-library/assets/documents/6337>

Visual 2.21



Visual description: APA's Planning for Post-disaster Recovery: Next Generation ²⁰

Notes

In 2015, American Planning Association published an update to its 1998 guidebook, Planning for Post-Disaster Recovery and Reconstruction. The 2015 publication is called Planning for Post-Disaster Recovery: Next Generation.

With content penned primarily for land use planners, the theme of APA's Next Generation is that as a community plans for the future, development and redevelopment must incorporate reduction of future risks. In particular, stressors including climate change and extreme weather necessitate the need to plan smarter. The authors emphasize that we need to ensure that we do not build or rebuild in harm's way where future risks can be anticipated. Communities also need to be ready to act with recovery plans in hand and to apply their mitigation and climate adaptation policies in the fast-moving post-disaster period. The rapid change brought on by a disaster requires an equally rapid and adaptable post-disaster recovery process so communities are able to take advantage of opportunities to rebuild smarter by integrating mitigation into redevelopment.

The 2015 publication provides a broad range of discussions on topics relating to recovery.

²⁰ Boyd, A., Hokanson, B. J., Johnson, L. A., Schwab, J. C. (Ed.) & Topping, K. C. (2015). *Planning for post-disaster recovery: next generation* (PAS report 576). American Planning Association. Available from American Planning Association website at https://www.planning.org/pas/reports/pdf/PAS_576.pdf Retrieved from FEMA's Resource & Document Library at <http://www.fema.gov/media-library/assets/documents/103445>

Visual 2.22



Model Pre-Event Recovery Ordinance

Model Ordinance, page 177 of APA Next Generation

- Authority
- Structure and Organization
- Safety and Betterment
- Buys Time





2 - 22

Visual description: Model Pre-Event Recovery Ordinance ²¹

Notes

After a disaster, there are urgent demands to restore “normalcy”. There is great pressure to replace development “as it was”, raising likelihood of future repetitive losses – it could happen again.

- Planning is needed to make things safer and better.
- A recovery ordinance reduces time because it establishes authority to act.

American Planning Association has included a model pre-event recovery ordinance in Appendix A of *Planning for Post-Disaster Recovery: Next Generation* (pp. 177-194).

²¹ American Planning Association, 2015, Appendix A: Model Pre-Event Recovery Ordinance, pp. 177-194

Visual 2.23



Visual description: Community Recovery Management Toolkit ²²

Notes

The Community Recovery Management Toolkit is a compilation of guidance, case studies, tools, and training to assist local communities in managing long-term recovery following a disaster. The materials provided in this toolkit are aimed at providing guidance and resources to help local officials and community leaders to lead, organize, plan for, and manage the complex issues of post-disaster recovery.

²² Community Recovery Management Toolkit | FEMA.gov. Available from <http://www.fema.gov/national-disaster-recovery-framework/community-recovery-management-toolkit>



Visual 2.24

State Recovery Planning

State of Florida, Post-Disaster Redevelopment Planning – A Guide for Florida Communities

“Rebuilding a community after a major or catastrophic disaster is a huge undertaking. The most effective way to accomplish holistic post-disaster redevelopment is to be prepared before a disaster strikes.”



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Visual description: State Recovery Planning

Notes

To date, the best recovery-related state level guidance has come from the state of Florida. In 2010, the State published *Post-Disaster Redevelopment Planning – A Guide for Florida Communities*²³. A Post-Disaster Redevelopment Plan (PDRP) is now a requirement for all Florida coastal counties and municipalities and is encouraged for inland communities. The PDRP is intended to identify policies, operational strategies, and roles and responsibilities for implementation that will guide decisions that affect long-term recovery and redevelopment of the community after a disaster. The PDRP emphasizes seizing opportunities for hazard mitigation and community improvement consistent with the goals of the local comprehensive plan and with full participation of the citizens.

The purpose of the Guide was to develop a planning process that would encourage vulnerable communities to undertake the preparation needed to ensure long-term sustainability and guide them through pre-disaster planning and post-disaster implementation.

The writing of the Guide included researching redevelopment lessons learned during previous disasters, applying the research during the drafting of a long-term post-disaster redevelopment planning process, and testing the planning process through a series of pilot projects.

Six communities were chosen by the State of Florida to be case studies and build the foundation for the Guidebook.

²³ Florida Division of Emergency Management & Florida Department of Community Affairs. (2008). *Post-disaster redevelopment planning: a guide for Florida communities*. Available from <http://www.floridadisaster.org/Recovery/IndividualAssistance/pdredevelopmentplan/Index.htm>

Visual 2.25

A slide titled "Unit Summary" with a blue border. On the left side, there is a vertical strip of four small images: a person in a hard hat, a person in a white coat, a person in a dark jacket, and a FEMA logo. The main text on the slide reads: "Unit Summary" followed by "In this unit, you have learned how to:" and a bulleted list of three items. The FEMA logo is at the bottom left of the slide, and "2 - 25" is at the bottom right.

Unit Summary

In this unit, you have learned how to:

- Define the nine key activities of pre-disaster recovery plan development.
- Describe the nine key steps of developing a recovery plan using established pre-disaster recovery planning guidance.
- Analyze a pre-disaster recovery plan using the guidance documents provided.

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2 - 25

Visual description: Unit Summary

Notes

In this unit, you have learned how to:

- Define the nine key activities of pre-disaster recovery plan development.
- Describe the nine key steps of developing a recovery plan using established pre-disaster recovery planning guidance.
- Analyze a pre-disaster recovery plan using the guidance documents provided.

Unit 2 Appendix

Recovery Planning Assessment Checklist

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Checklist

Recovery Planning Assessment

This self-assessment guide may assist you in determining the status of your community's recovery planning. The items listed in the matrix are key activities involved in disaster recovery that should be addressed in a recovery plan or annex. Place a checkmark (✓) in the "Yes" or "No" column if you know whether your recovery plan or annex includes each item. If you are not sure whether the item is included in your plan or annex, use the "?" column to indicate your response to each item.

It is recommended that you explore adding those items with a "No" or "?" to your recovery plan or annex when you return to your jurisdiction.

In the "Who Involved?" column, indicate which departments will be involved in reviewing and updating each element of your recovery plan or annex:

- A = Administration
- B = Building Inspection/Code Enforcement
- C = Community Planning/Economic Development
- E = Emergency Management
- ES = Emergency Services
- HC = Health Care (Hospitals, Public Health, Nursing Homes)
- PW = Public Works/Utilities
- S = Special Needs
- SC = Schools
- V = Voluntary Agencies

CHECKLIST

Does your recovery plan or annex . . .	Yes	No	?	Who Involved?
Contain an Introduction that includes information about your community, hazard assessment, the purpose of the Recovery Plan, legal basis for the plan (such as State law or local ordinance), and how the plan will be adopted and updated?				
Define response, recovery, long-term recovery, and mitigation for the purposes of disaster planning and operations?				
Describe the concept of operations (how response and recovery operations will unfold and the sequence of events that will trigger activation of your plan)?				
Include disaster declaration procedures (local emergency declaration, requesting assistance from the Federal Government or State governments)?				
Identify community recovery goals?				
Identify community recovery priorities?				
Identify recovery roles and responsibilities assigned to various departments, including: <ul style="list-style-type: none"> ▪ Administration (elected & appointed officials)? ▪ Emergency Management? ▪ Emergency Services (Fire, Law Enforcement, EMS)? ▪ Public Works (including private utilities)? ▪ Community Planning/Economic Development? ▪ Building Inspection/Code Enforcement? ▪ Voluntary Agencies? ▪ Health Care? ▪ Special Needs? ▪ Schools? ▪ Other: 				
Identify a Recovery Task Force and its role and responsibilities?				
Include a matrix showing primary and support roles of all departments?				

CHECKLIST

<p>Identify recovery functions (Emergency Support Functions (ESFs) or Recovery Functions (RFs)) to include:</p> <ul style="list-style-type: none"> ▪ Impact Assessment (Damage Assessment)? ▪ Continuation of Government, including alternate facilities? ▪ Public Information and Media Relations? ▪ Community Relations? ▪ Volunteers? ▪ Donations? ▪ Unmet Needs (Unmet Needs Committee)? ▪ Debris Management? <ul style="list-style-type: none"> ○ Clearance? ○ Disposal? ○ Contracting? ▪ Re-entry to and Security for Damaged Areas? <p>Identify recovery functions (Continued)</p> <ul style="list-style-type: none"> ▪ Health? ▪ Safety? ▪ Repair and Restoration of Public Infrastructure and services)? ▪ Building Inspection and Permitting Procedures? ▪ Rebuilding, construction, repairs, restoration? ▪ Housing (shelter, temporary housing)? ▪ Planning and Community Development? ▪ Environmental Concerns? ▪ Hazard Mitigation? ▪ Administration and Finance? <ul style="list-style-type: none"> ○ Documentation policies and procedures? ○ Pay for work? ○ Administrative leave and personnel impacted by the disaster? ○ Price gouging? 				
---	--	--	--	--

<ul style="list-style-type: none"> ▪ Federal Assistance Programs <ul style="list-style-type: none"> ○ General Guidelines and Sequence of Events ○ Individual Assistance ○ Public Assistance ○ Hazard Mitigation ○ SBA Assistance ○ Community Development Block Grants and other sources of funding assistance ▪ State Assistance Programs 				
<ul style="list-style-type: none"> ▪ References, Terms and Definitions, Acronyms and Abbreviations Used in the Plan 				
<ul style="list-style-type: none"> ▪ Other Items Pertinent to Your Community: 				

Unit 3: Leading and Managing Recovery

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Objectives

At the end of this unit, the participants should be able to:

- Describe actions a community leader can take to lead the community through recovery.
 - Describe the role of the Recovery Manager.
 - Apply learning points to solve problems faced by a Recovery Task Force.
 - Describe the function of an Unmet Needs Committee.
 - Identify sources of financial assistance available to the community.
 - Explain the importance of proper documentation.
-

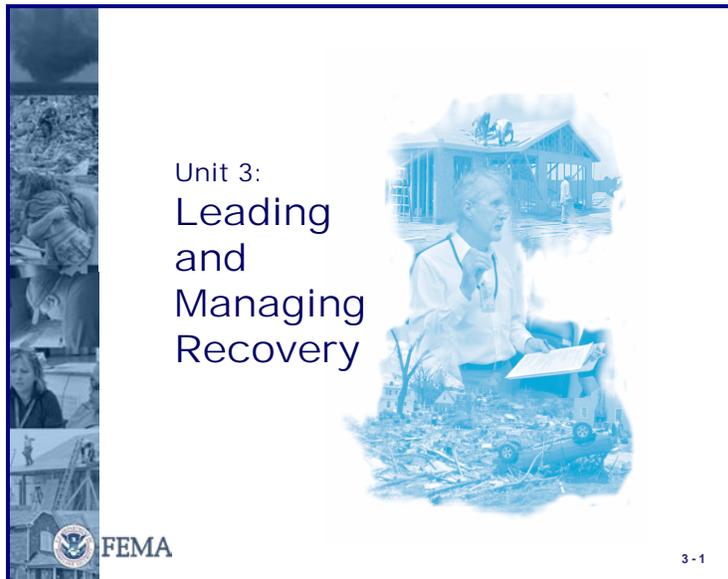
Scope

- Overview
- Introduction-Leadership versus Management
- Managing the Recovery
- Leading the Recovery
- Activity 3.1: Who Will Lead?
- Leading the Recovery (continued)
- Activity 3.2: Recovery Task Force Challenges
- Unit Summary

References

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- Waterbury, Vermont & FEMA's Long Term Community Recovery Program. (2012, May). *Waterbury: long-term community recovery plan*. Retrieved from <http://www.waterburyvt.com/about/recovery/plan/>

Visual 3.1



Visual description: Unit 3: Leading and Managing Recovery

Notes

Visual 3.2



Objectives

- Explain the importance of proper documentation.
- Describe the function of an Unmet Needs Committee.
- Identify sources of financial assistance available to the community.
- Describe the actions a community leader can take to lead the community through recovery.
- The role of the Recovery Leader.
- Apply learning points to solve problems faced by a Recovery Task Force.

FEMA

3 - 2

Visual description: Objectives

Notes

Visual 3.3



Visual description: Question: What is the difference between Leadership and Management?

Notes

Disaster recovery takes both a strong leadership presence and good management. These are NOT the same thing and are not likely to be done by the same individual.

What is the difference between leadership and management? Why is each essential to a successful recovery?

In this unit we will discuss the importance of both strong leadership and good management and some of the elements of each. First we will cover the management of recovery followed by a discussion on the leadership role.

Visual 3.4



Managing the Details

- **Cost recovery**
- **Creative financing**
- **Documentation**
- **Project management**
- **Legal issues**
- **Staffing Issues**
- **Assistance to disaster victims**

FEMA 3-4

Visual description: Managing the Details

Notes

Visual 3.5



Cost Recovery

The federal portion of disaster assistance is to help communities recover to safe, secure and sanitary conditions – NOT to make the community whole again.

FEMA

3 - 5

Visual description: Federal Portion of Disaster Assistance

Notes

It is important for local jurisdictions to understand the share of the disaster recovery costs they will have to bear.

According to the Stafford Act, the Federal share of presidentially declared disasters is generally 75% of eligible recovery costs that are reimbursed to state and local governments.

Following a presidential disaster declaration, some states pay all of the remaining 25% of eligible costs for state and local recovery. Others vary between zero and 25% percent of local costs.

There are some exceptions to this rule that we have seen in disasters, including Hurricane Katrina and Superstorm Sandy, where additional federal funding was approved due to the catastrophic nature of the events. These exceptions require legislative action.

There are federal resources available to assist state and local jurisdictions even if there is no presidential declaration. This is called direct federal assistance and may include Incident Management Assistance Teams, specific resources, and technical assistance.

You can learn more about FEMA Public Assistance by taking FEMA's Independent Study Course, IS-634: *Introduction to FEMA's Public Assistance Program*¹.

There have been significant changes to the rules governing how states and other entities receiving federal grant funds are allowed to spend and administer those federal grant funds. On

¹ Federal Emergency Management Agency. (n.d.). IS-634: *Introduction to FEMA's Public Assistance Program*. Available from <http://training.fema.gov/is/courseoverview.aspx?code=IS-634>

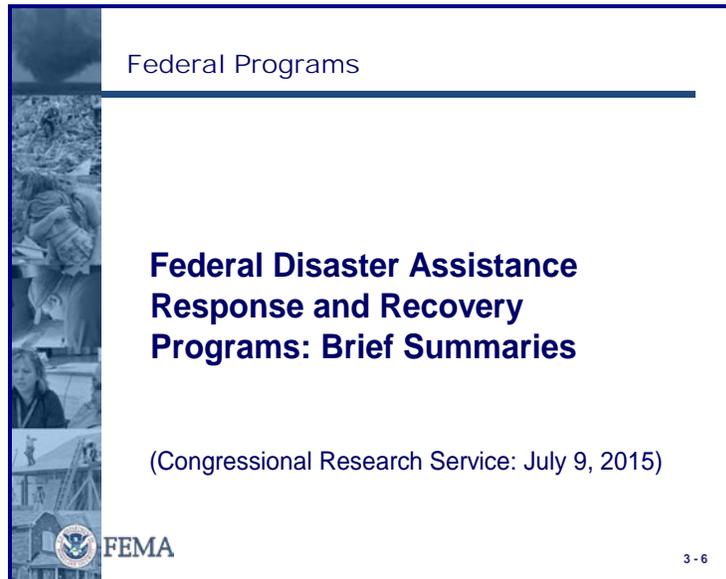
December 26, 2013, the federal Office of Management and Budget (OMB) issued a document called Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, referred to in short hand as the “Super Circular” document. This document streamlines requirements related to administration, use, and audit of federal grant funds by nonprofit organizations, state, local and tribal governments, and colleges and universities.

A guide to the Super Circular called *Navigating the OMB Super Circular Changes*, by CAPLAW, is included in the Course Reference Library. ²The content of the Super Circular is available as part of the Federal Register at <http://www.gpo.gov/fdsys/pkg/FR-2013-12-26/pdf/2013-30465.pdf>.³

² Evans, E. A. (2014). Navigating the OMB Super Circular Changes. *CAPLAW Update Newsletter*, Special Edition. Washington, D.C.: Community Action Program Legal Services, Inc., Department of Health and Human Services. Available from http://www.caplaw.org/resources/PublicationDocuments/updatenewsletter/2014/CAPLAW_NavigatingtheOMBSuperCircularChanges_SpecialEdition2014.pdf

³ Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 78 Fed. Reg. 78,590 (Dec. 26, 2013) ((codified at 2 C.F.R. Chapter I, Chapter II, pt. 200 et al.). Available from <http://www.gpo.gov/fdsys/pkg/FR-2013-12-26/pdf/2013-30465.pdf>

Visual 3.6



Visual description: FEMA Programs and Other Federal Programs

Notes

There are numerous federal programs and agencies that may provide recovery assistance. The programs range from direct disaster programs to very unique and focused support. On the following pages is a brief report from the Congressional Research Service⁴ that gives an overview of these programs and agencies.

⁴ Torsell, C. V. & Nagel, J. C. (2015, July 9). *Federal disaster assistance response and recovery programs: brief summaries* (CRS Report for Congress, RL31734). Retrieved from Naval Postgraduate School Homeland Security Digital Library website: <https://www.hsdl.org/?view&did=768214>



Federal Disaster Assistance Response and Recovery Programs: Brief Summaries

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L31734

Summary

This report is designed to assist Members of Congress and their staff as they address the needs of their states, communities, and constituents after a disaster. It includes a summary of federal programs that provide federal disaster assistance to individual survivors, states, territories, local governments, and nongovernmental entities following a natural or man-made disaster. A number of federal agencies provide financial assistance through grants, loans, and loan guarantees to assist in the provision of critical services, such as temporary housing, counseling, and infrastructure repair.

The programs summarized in the report fall into two broad categories. First are programs specifically authorized for disaster situations. Most of these programs are administered by the Federal Emergency Management Agency (FEMA). Second are general assistance programs that in some instances may be used in either disaster situations or to meet regular service needs. Many federal agencies, including the Departments of Health and Human Services (HHS) and Housing and Urban Development (HUD), administer programs that may be included in the second category.

The programs in the report are primarily organized by recipient: individuals, state and local governments, nongovernmental entities, or businesses. These programs address a variety of short-term needs, such as food and shelter, and long-term needs, such as the repair of public utilities and public infrastructure.

The report also includes a list of Congressional Research Service (CRS) reports on disaster assistance as well as relevant federal agency websites that provide information on disaster responses, updates on recovery efforts, and resources on federal assistance programs.

This report will be updated as significant legislative or administrative changes occur.

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Introduction

Federal agencies provide a range of assistance to individual survivors; state, territorial, and local governments; and nongovernmental entities after major disasters, including natural disasters and terrorist attacks. Types of aid can include, but are not limited to, operational, logistical, and technical support; financial assistance through grants, loans, and loan guarantees; and the provision of federally owned equipment and facilities.

Many, but not all, programs are available after the President issues a major disaster declaration pursuant to the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act) authority.¹ More limited aid is available under a Stafford Act emergency declaration,² a declaration issued by a department or agency head, or on an as needed basis.³

This report only identifies programs frequently used to provide financial assistance in the disaster response and recovery process. It provides brief descriptive information to help congressional offices determine which programs merit further consideration in the planning, organization, or execution of the disaster response and recovery process.

Most of the programs listed here are authorized as assistance programs and are listed in the *Catalog of Federal Domestic Assistance (CFDA)*.⁴ The list does not include operational or technical assistance that some agencies provide in emergency or disaster situations. It is not inclusive of all forms of financial disaster assistance that may be available to every jurisdiction in every circumstance, as unique factors often trigger unique forms of assistance. Congress may, and frequently has, authorized specific forms of financial assistance on a limited basis following particular disasters.

Program Selection Criteria

Programs discussed in this report satisfy one or more of the following criteria:

- Congress expressly designated the program to provide financial assistance for disaster relief or recovery.
- The program is applicable to most disaster situations, even if not specifically authorized for that purpose.
- The Federal Emergency Management Agency (FEMA) and other federal agencies have frequently used the program to provide financial assistance.
- The program is potentially useful for addressing short-term and long-term recovery needs (e.g., assistance with processing survivor benefits or repair of public facilities).

¹ 42 U.S.C. §5170. For more information on the Stafford Act, see CRS Report RL33053, *Federal Stafford Act Disaster Assistance: Presidential Declarations, Eligible Activities, and Funding*, by Francis X. McCarthy.

² 42 U.S.C. §5191.

³ The Administrators of the Small Business Administration and Farm Services Agency and the Secretaries of Agriculture and Transportation, within statutory limitations, may issue disaster declarations for purposes of providing assistance solely from their agencies. Citations to these authorities are presented in the relevant program summaries.

⁴ Available at <http://www.cfda.gov>.

Most of the programs listed in this report are specifically authorized for disaster situations. General assistance programs that may apply to disaster situations are described at the end of the report (see “General Assistance Programs”).

As Congress and the Administration respond to domestic needs arising from major disasters, some conditions of these programs may change. For the most up-to-date information on a particular program, please contact the CRS analyst or department or agency program officers listed in the report.

Federal Disaster Recovery Programs

Assistance for Individuals and Families

Individuals and Households Program

The Individuals and Households Program (IHP) is the primary vehicle for FEMA assistance to families and individuals after the President issues a major disaster declaration. Congress appropriates money for the IHP (and most other aid authorized by the Robert T. Stafford Disaster Relief and Emergency Assistance Act) to the Disaster Relief Fund. Grants assist disaster victims whose needs cannot be met through other forms of assistance, such as insurance or other federal programs. Program funds have a wide range of eligible uses, including temporary housing; limited housing repair or replacement; and uninsured medical, dental, or other personal needs (generally referred to as Other Needs Assistance [ONA]). ONA is cost shared at 75% federal and 25% state, but the federal share of temporary housing assistance is 100%. Grants may currently not exceed \$32,400 (FY2014) per individual or household. This amount is adjusted annually to reflect consumer price changes;⁵ IHP assistance is generally limited to a period of 18 months.⁶ (Also see “Physical Disaster Loans—Residential SBA Disaster Loans Available to Homeowners and Renters” below for additional assistance for homeowners and renters.)

Agency: Federal Emergency Management Agency

Authority: 42 U.S.C. §5174

Regulation: 44 C.F.R. §206.110–.120

Phone: Office of Congressional Affairs, 202-646-4500

Website: <http://www.fema.gov/public-assistance-local-state-tribal-and-non-profit/recovery-directorate/assistance-individuals-and>

CFDA Program Numbers: 97.048 (<http://cfda.gov/programs/97.048>), 97.049 (<http://cfda.gov/programs/97.049>), and 97.050 (<http://cfda.gov/programs/97.050>)

CRS Contact: Francis X. McCarthy, 202-707-9533

Disaster Unemployment Assistance

Disaster Unemployment Assistance (DUA) provides benefits to previously employed or self-employed individuals rendered jobless as a direct result of a major disaster, and who are not

⁵ 44 C.F.R. §206.110 (b).

⁶ 42 U.S.C. §5174 (B)(iii).

eligible for regular federal or state unemployment compensation (UC). In certain cases, individuals who have no work history or are unable to work may also be eligible for DUA benefits. DUA is federally funded through FEMA, but is administered by the Department of Labor and state UC agencies. Generally, individuals must apply for benefits within 30 days after the date the state announces availability of DUA benefits. When applicants have good cause, they may file claims after the 30-day deadline.⁷ This deadline may be extended; however, initial applications filed after the 26th week following the declaration date will not be considered.⁸ When a reasonable comparative earnings history can be constructed, DUA benefits are determined in a similar manner to regular state UC benefit rules. The minimum weekly DUA benefit is required to be half of the average weekly UC benefit for the state where the disaster occurred. DUA assistance is available to eligible individuals as long as the major disaster continues, but no longer than 26 weeks after the disaster declaration. For more information, see CRS Report RS22022, *Disaster Unemployment Assistance (DUA)*, by Julie M. Whittaker.

Agency: Department of Labor, Employment and Training Administration

Authority: 42 U.S.C. §5177

Regulation: 20 C.F.R. §625; 44 C.F.R. §206.141

Contact: See listings of state UC Agencies, <http://www.servicelocator.org/OWSLinks.asp>

Website: <http://ows.doleta.gov/unemploy/disaster.asp>

CFDA Program Numbers: 97.034 (<http://cfda.gov/programs/97.034>)

CRS Contact: Julie Whittaker, 202-707-2587

Dislocated Worker Activities

The dislocated worker program helps fund training and related assistance to persons who have lost their jobs and are unlikely to return to their current jobs or industries. Of the funds appropriated, 80% are allotted by formula grants to states and local entities and 20% are reserved by the Secretary of Labor for activities to fund a national reserve, including national emergency grants to states or local entities. One type of national emergency grant is Disaster Relief Employment Assistance, under which funds can be made available to states to employ dislocated workers in temporary jobs involving recovery after a national emergency. An individual may be

employed for up to six months.⁹ There are no matching requirements for Workforce Innovation and Opportunity Act (WIOA) programs.

Agency: Department of Labor, Employment and Training Administration

Authority: 29 USC 2918

Regulation: 20 C.F.R. §671

Contact: See listings of state Dislocated Worker/Rapid Response Coordinators at http://www.doleta.gov/layoff/rapid_coord.cfm

Website: <http://www.doleta.gov/layoff/>

CFDA Program Numbers: 17.260 (<http://cfda.gov/programs/17.260>) and 17.278 (<http://cfda.gov/programs/17.278>) *CRS Contact:* David H. Bradley, 202-707-7352

⁷ 20 C.F.R. §625.8.

⁸ 42 U.S.C. §5177(a).

⁹ 29 USC 2918 (d)(3).

Physical Disaster Loans—Residential SBA Disaster Loans Available to Homeowners and Renters

The majority of disaster loans provided by the Small Business Administration (SBA), approximately 80%, are made available to individuals and households. SBA disaster assistance is provided in the form of loans, not grants, and therefore must be repaid to the federal government. Homeowners, renters, and personal property owners located in a declared disaster area (and in contiguous counties) may apply to the SBA for loans to help recover losses from the disaster.

SBA's Home Disaster Loan Program falls into two categories: personal property loans and real property loans. These loans cover only uninsured or underinsured property and primary residences. Loan maturities may be up to 30 years.¹⁰

Personal Property Loans

A personal property loan provides a creditworthy homeowner or renter with up to \$40,000 to repair or replace personal property items, such as furniture, clothing, or automobiles, damaged or lost in a disaster.¹¹ These loans cover only uninsured or underinsured property and primary residences and cannot be used to replace extraordinarily expensive or irreplaceable items, such as antiques, recreational vehicles, or furs.

Real Property Loans

A creditworthy homeowner may apply for a "real property loan" of up to \$200,000 to repair or restore the homeowner's primary residence to its pre-disaster condition.¹² The loans may not be used to upgrade homes or build additions, unless upgrades or changes are required by city or county building codes. A real property loan may be increased by 20% for repairs to protect the damaged property from a similar disaster in the future.¹³

Agency: Small Business Administration

Authority: 15 U.S.C. §636(b) *Regulation:* 13

C.F.R. §123.200–.204

Contact: Office of Congressional and Legislative Affairs, 202-205-6700

Website: <http://www.sba.gov/content/home-and-personal-property-loans>

CFDA Program Numbers: 59.008 (<http://cfda.gov/programs/59.008>) *CRS*

Contact: Bruce R. Lindsay, 202-707-3752

Cora Brown Fund

This unique fund directs payments to individuals and groups for disaster-related needs that have not been or will not be met by government agencies or other organizations. A disaster survivor will normally receive no more than \$2,000 from this fund in any one declared disaster unless the

¹⁰ See CRS Report R41309, *The SBA Disaster Loan Program: Overview and Possible Issues for Congress*, by Bruce R. Lindsay.

¹¹ 13 C.F.R. §123.105(a)(1).

¹² 13 C.F.R. §123.105(a)(2).

¹³ 13 C.F.R. §123.107.

Assistant Administrator for the Disaster Assistance Directorate determines that a larger amount is in the best interest of the disaster victim and the federal government.¹⁴ There is no matching requirement for this program and no limitation on the time period in which assistance is available.

Agency: Federal Emergency Management Agency

Authority: 42 U.S.C. §5121 *et seq.*

Regulation: 44 C.F.R. §206.181

Contact: Office of Congressional Affairs, 202-646-4500

Website: <http://www.fema.gov/library/viewRecord.do?id=5037> CFDA

Program Numbers: 97.031 (<http://cfda.gov/programs/97.031>) *CRS Contact:*

Francis X. McCarthy, 202-707-9533

Crisis Counseling

This program provides grants that enable states to offer crisis counseling services, when required, to victims of a federally declared major disaster for the purpose of relieving mental health problems caused or aggravated by the disaster or its aftermath. Assistance is short-term and community-oriented. Cost-share requirements are not imposed on this assistance. The regulations specify that program funding generally ends after nine months, but time extensions may be approved if requested by the state and approved by federal officials.¹⁵

Agency: Federal Emergency Management Agency

Authority: 42 U.S.C. §5183

Regulation: 44 C.F.R. §206.171

Contact: Office of Congressional Affairs, 202-646-4500

Website: <https://www.fema.gov/recovery-directorate/crisis-counseling-assistance-training-program>

CFDA Program Numbers: 97.032 (<http://cfda.gov/programs/97.032>)

CRS Contact: Sarah A. Lister, 202-707-7320

Disaster Legal Services

These services offer free legal assistance to individuals affected by a major federal disaster. Types of assistance typically include help with insurance claims and guardianships, preparing powers of attorney, new wills, and other lost legal documents. Neither the statute nor the regulations establish cost-share requirements or time limitations for assistance.

Agency: Federal Emergency Management Agency

Authority: 42 U.S.C. §5182

Regulation: 44 C.F.R. §206.164

Contact: Office of Congressional Affairs, 202-646-4500

Website: <http://www.fema.gov/public-assistance-local-state-tribal-and-non-profit/recovery-directorate/disaster-legal-services>

CFDA Program Numbers: 97.033 (<http://cfda.gov/programs/97.033>)

CRS Contact: Francis X. McCarthy, 202-707-9533

¹⁴ 44 C.F.R. §206.164(c)(2).

¹⁵ 44 C.F.R. §206.17(g)(4).

Tax Relief

The Internal Revenue Code (IRC) includes tax relief provisions that apply to individuals and businesses affected by federally declared disasters, and the following are some examples.

Individuals located in affected areas are allowed extra time (four years instead of the general two) to replace homes due to involuntary conversion (e.g., destruction from wind or floods, theft, or property ordered to be demolished) and still defer any gain.¹⁶ Casualty losses can also be deducted against income in the prior tax year.¹⁷ These losses also include government-ordered demolition of unsafe property. Qualifying disaster relief payments received by affected individuals are not subject to tax.¹⁸ The Internal Revenue Service also has the authority to provide some relief, including the extension of tax filing deadlines.¹⁹ In addition to these and other permanent tax relief provisions, special temporary provisions were enacted for certain disasters, including Hurricanes Katrina, Rita, and Wilma, which struck the Gulf Coast in 2005,²⁰ and the severe weather that affected the Midwest in 2008.²¹ In 2008, Congress also provided some additional benefits for federally declared disasters occurring prior to January 1, 2010.²² For more information on all of the permanent and temporary provisions, see CRS Report R42839, *Tax Provisions to Assist with Disaster Recovery*, by Erika K. Lunder, Carol A. Pettit, and Jennifer Teefy.

Agency: Internal Revenue Service

Authority: Various provisions throughout the Internal Revenue Code, Title 26 U.S.C., including §§123, 139, 165, 402, 408, 1033, 6654, 7508A.

Regulation: No specific regulation

Contact: Congressional Liaison, 202-317-6985

Website: <http://www.irs.gov/uac/Tax-Relief-in-Disaster-Situations>

CRS Contacts: Molly Sherlock, 202-707-7797 and Erika Lunder, 202-707-4538.

Assistance for State, Territorial, and Local Governments

Public Assistance Grants

Authorized by multiple sections of the Stafford Act, the Public Assistance (PA) Grant Program is FEMA's primary form of financial assistance for state and local governments. The PA Program provides grant assistance for many eligible purposes, including

- Emergency work, as authorized by Sections 403, 407, and 502 of the Stafford Act, which provide for the removal of debris and emergency protective measures, such as the establishment of temporary shelters and emergency power generation.

¹⁶ 26 U.S.C. §1033.

¹⁷ 26 U.S.C. §165.

¹⁸ 26 U.S.C. §139.

¹⁹ 26 U.S.C. §7508A.

²⁰ Katrina Emergency Tax Relief Act of 2005 (KETRA), P.L. 109-73; Gulf Opportunity Zone Act of 2005 (GO Zone Act), P.L. 109-135.

²¹ Heartland Disaster Tax Relief Act of 2008, P.L. 110-343, Div. C (Tax Extenders and Alternative Minimum Tax Relief Act of 2008), Title VII, Subtitle A.

²² P.L. 110-343, Div. C (Tax Extenders and Alternative Minimum Tax Relief Act of 2008), Title VII, Subtitle B.

- Permanent work, as authorized by Section 406, which provides for the repair, replacement, or restoration of disaster-damaged, publicly owned facilities and the facilities of certain private nonprofit organizations (PNPs). PNPs are generally eligible for permanent work assistance if they provide a governmental type of service, though PNPs not providing a “critical” service must first apply to the SBA for loan assistance for facility projects. At its discretion, FEMA may provide assistance for hazard mitigation measures that are not required by applicable codes and standards. As a condition of PA assistance, applicants must obtain and maintain insurance on their facilities for similar future disasters.
- Management costs, as authorized by Section 324, which reimburses some of the applicant’s administrative expenses incurred managing the totality of the PA Program’s projects and grants.

The federal government provides a minimum of 75% of the cost of eligible assistance, and this cost-share can rise if certain criteria are met. For more information, see CRS Report R43990, *FEMA’s Public Assistance Grant Program: Background and Considerations for Congress*, by Jared T. Brown and Daniel J. Richardson.

Agency: Federal Emergency Management Agency

Authority: 42 U.S.C. §§ 5170b, 5172, 5173, 5189f, 5192

Regulation: 44 C.F.R. §206, subparts G, H, I

Contact: Office of Congressional Affairs, 202-646-4500

Website: <http://www.fema.gov/public-assistance-local-state-tribal-and-non-profit>

CFDA Program Numbers: 97.036 (<http://cfda.gov/programs/97.036>)

CRS Contact: Jared T. Brown, 202-707-4918

Hazard Mitigation Grants

The Hazard Mitigation Grant Program (HMGP) provides grants to states for implementing mitigation measures after a disaster and to provide funding for previously identified mitigation measures to lessen future damage and loss of life. There is a state and local matching requirement of 25%. Historically, the amount available for post-disaster mitigation was 15% of total Stafford Act disaster costs.²³ However, the Department of Homeland Security Appropriations Act of 2007 (P.L. 109-295) adjusted the percentage amounts for HMGP awards by establishing a scale that authorizes three tiers of awards: 15% of the total Stafford Act assistance in a state for a major disaster in which no more than \$2 billion is provided; 10% for assistance that ranges from more than \$2 billion to \$10 billion; and 7.5% for a major disaster that involves Stafford Act assistance from more than \$10 billion to \$35.3 billion.²⁴ As of FY2015, HMGP grants are also available with fire management assistance grants.²⁵ For more information, see CRS Report R40471, *FEMA’s Hazard Mitigation Grant Program: Overview and Issues*, by Natalie Keegan.

Agency: Federal Emergency Management Agency

Authority: 42 U.S.C. §5170c

Regulation: 44 C.F.R. §206.430–.440

²³ 42 U.S.C. §5170c(a).

²⁴ P.L. 109-295 Title VI, Subtitle E, §684, 120 Stat. 1447.

²⁵ P.L. 114-4, General Provisions, Section 570.

Contact: Office of Congressional Affairs, 202-646-4500

Website: <http://www.fema.gov/hazard-mitigation-grant-program> *CFDA*

Program Numbers: 97.039 (<http://cfda.gov/programs/97.039>) *CRS Contact:* Francis X. McCarthy, 202-707-9533

Pre-Disaster Mitigation Grants

This program provides grants and technical assistance to states, territories, and local communities for cost-effective hazard mitigation activities that complement a comprehensive hazard mitigation program and reduce injuries, loss of life, and damage and destruction of property. A minimum of

\$575,000 or 1.0% of appropriated funds is provided to a state or local government, with assistance capped at 15% of appropriated funds.²⁶ Federal funds generally comprise 75% of the cost of approved mitigation projects, except for small impoverished communities that may receive up to 90% of the cost.²⁷ For more information, see CRS Report RL34537, *FEMA's Pre-Disaster Mitigation Program: Overview and Issues*, by Francis X. McCarthy.

Agency: Federal Emergency Management Agency

Authority: 42 U.S.C. §5133

Regulation: 44 C.F.R. §201

Contact: Office of Congressional Affairs, 202-646-4500

Website: <http://www.fema.gov/pre-disaster-mitigation-grant-program> *CFDA Program Numbers:* 97.047 (<http://cfda.gov/programs/97.047>) *CRS Contact:* Francis X. McCarthy, 202-707-9533

Community Disaster Loans

This program provides loans to local governments that have suffered substantial loss of tax and other revenue in areas included in a major disaster declaration. Typically, the loan may not exceed 25% of the local government's annual operating budget for the fiscal year of the disaster. The limit is 50% if the local government lost 75% or more of its annual operating budget. A loan may not exceed \$5 million.²⁸ There is no matching requirement. The statute does not impose time limitations on the assistance, but the normal term of a loan is five years. The statute provides that the repayment requirement is cancelled if local government revenues are not sufficient to meet operations expenses during a three fiscal year period after a disaster.²⁹ The governor's authorized representative must officially approve the application and funds must be available in the Disaster Assistance Direct Loan Program account.³⁰ For more information, see CRS Report R42527, *FEMA's Community Disaster Loan Program: History, Analysis, and Issues for Congress*, by Jared

T. Brown.

Agency: Federal Emergency Management Agency

Authority: 42 U.S.C. §5184

Regulation: 44 C.F.R. §206.360–.378

²⁶ 42 U.S.C. §5133(f).

²⁷ 42 U.S.C. §5133(h).

²⁸ 42 U.S.C. §5184(b).

²⁹ 42 U.S.C. §5184(c).

³⁰ 44 C.F.R. §206.364(a).

Contact: Office of Congressional Affairs, 202-646-4500 Website:
<http://www.fema.gov/community-disaster-loan-program>
CFDA Program Numbers: 97.030(<http://cfda.gov/programs/97.030>)
CRS Contact: Jared T. Brown, 202-707-4918

Fire Management Assistance Grant Program

This program provides grants to state and local governments to aid states and their communities with the mitigation, management, and control of fires burning on publicly or privately owned forests or grasslands. The federal government provides 75% of the costs associated with fire management projects,³¹ but funding is limited to calculations of the “fire cost threshold” for each state.³² No time limitation is applied to the program.

Agency: Federal Emergency Management Agency

Authority: 42 U.S.C. §5187

Regulation: 44 C.F.R. §204.1–.64

Contact: Office of Congressional Affairs, 202-646-4500

Website: <http://www.fema.gov/fire-management-assistance-grants-program-details>

CFDA Program Numbers: 97.046(<http://cfda.gov/programs/97.046>)

CRS Contact: Francis X. McCarthy, 202-707-9533

Oil Spill Liability Trust Fund

Congress created the Oil Spill Liability Trust Fund (OSLTF) in 1986,³³ and the Oil Pollution Act of 1990 (OPA)³⁴ authorized its use and provided funding to support it. The OSLTF may be used, among other purposes, to fund oil spill response activities and to compensate individuals, businesses, and governments for applicable economic damages resulting from an oil spill.³⁵ Potential damages include injury or loss of property and loss of profits or earning capacity. OPA established a claims process for compensating parties affected by an oil spill. In general, claims must be presented first to the party responsible for the spill, but specific circumstances (e.g., the responsible party is unknown) allow persons to present a claim directly to the OSLTF.³⁶

Agency: National Pollution Funds Center (part of the U.S. Coast Guard)

Authority: 26 U.S.C. §9509 and 33 U.S.C. §2712.

Regulation: 33 C.F.R. §136

Contact: Office of Legislative Affairs, 202-245-0520

Website: <http://www.uscg.mil/npfc/>

CRS Contact: Jonathan L. Ramseur, 202-707-7919

³¹ 44 C.F.R §204.61.

³² 44 C.F.R §204.51.

³³ Omnibus Budget Reconciliation Act of 1986 (P.L. 99-509).

³⁴ P.L. 101-380, primarily codified at 33 U.S.C. §2701 et seq. OPA amended other sections of the U.S. Code, including the Clean Water Act (e.g., 33 U.S.C. §1321) and portions of the tax code (26 U.S.C. §4611 and §9509).

³⁵ For more information, see CRS Report RL33705, *Oil Spills: Background and Governance*, by Jonathan L. Ramseur.

³⁶ 44 C.F.R §136.105.

Assistance for Small Businesses & Nonprofit Organizations

Economic Injury Disaster Loans

This program assists small businesses and nonprofits suffering economic injury as a result of disasters by offering loans and loan guarantees. Businesses must be located in disaster areas declared by the President, the Small Business Administration, or the Secretary of Agriculture.³⁷ There is no matching requirement in this program. The maximum loan amount is \$2 million.

Loan terms may extend for up to 30 years.³⁸ The application period is announced at the time of the disaster declaration. For more information, see CRS Report R41309, *The SBA Disaster Loan*

Program: Overview and Possible Issues for Congress, by Bruce R. Lindsay.

Agency: Small Business Administration

Authority: 15 U.S.C. §636(b) *Regulation:* 13

C.F.R. §123.300–.303

Contact: Office of Congressional Affairs, 202-205-6700

Website: <http://www.sba.gov/content/economic-injury-disaster-loans>

CFDA Program Numbers: 59.008 (<http://cfda.gov/programs/59.008>) *CRS*

Contact: Bruce R. Lindsay, 202-707-3752

Physical Disaster Loans

This program provides loans to businesses and nonprofits in declared disaster areas for uninsured physical damage and losses. The maximum loan amount is \$2 million.³⁹ Loan terms may extend for up to 30 years.⁴⁰ There is no matching requirement in this program. For more information, see CRS Report R41309, *The SBA Disaster Loan Program: Overview and Possible Issues for Congress*, by Bruce R. Lindsay.

Agency: Small Business Administration *Authority:* 15 U.S.C. §636(b) *Regulation:* 13 C.F.R. §123.200–.204

Contact: Office of Congressional Affairs, 202-205-6700

Website: <http://www.sba.gov/content/business-physical-disaster-loans/> *CFDA Program*

Numbers: 59.008 (<http://cfda.gov/programs/59.008>) *CRS Contact:* Bruce R. Lindsay, 202-707-3752

Emergency Loans for Farms

When a county has been declared a disaster area by either the President or the Secretary of Agriculture, agricultural producers in that county may become eligible for low-interest emergency disaster (EM) loans available through the U.S. Department of Agriculture's Farm Service Agency. Producers in counties that are contiguous to a county with a disaster designation

³⁷ 13 C.F.R. §123.300.

³⁸ 13 C.F.R. §123.302.

³⁹ 13 C.F.R. §123.202.

⁴⁰ 13 C.F.R. §123.203.

also become eligible for an EM loan. EM loan funds may be used to help eligible farmers, ranchers, and aquaculture producers recover from production losses (when the producer suffers a significant loss of an annual crop) or from physical losses (e.g., repairing or replacing damaged or destroyed structures or equipment, or replanting permanent crops, such as orchards).⁴¹ A qualified applicant can then borrow up to 100% of actual production or physical losses (not to exceed

\$500,000) at a below-market interest rate. For more information see CRS Report RS21212,

Agricultural Disaster Assistance, by Dennis A. Shields.

Agency: Department of Agriculture, Farm Service Agency

Authority: 7 U.S.C. §1961

Regulation: 7 C.F.R. §1945.1–.45

Contact: Legislative Liaison Staff, 202-720-3865

Website: <http://www.fsa.usda.gov/FSA/webapp?area=home&subject=fmlp&topic=efl>

CFDA Program Numbers: 10.404 (<http://cfda.gov/programs/10.404>)

CRS Contact: Dennis Shields, 202-707-9051

National Flood Insurance Program

Since 1968, the federal government has pursued a comprehensive flood risk management strategy designed to (1) identify and map flood-prone communities across the country (flood hazard mapping); (2) encourage property owners in NFIP participating communities to purchase insurance as a protection against flood losses (flood insurance); and (3) require communities in designated flood risk zones to adopt and enforce approved floodplain management ordinances to reduce future flood risk to new construction in regulated floodplains (floodplain management).

The Federal Insurance and Mitigation Administration (FIMA), a part of the FEMA in the U.S. Department of Homeland Security (DHS), manages the NFIP. For more information, see CRS Report R42850, *The National Flood Insurance Program: Status and Remaining Issues for Congress* and CRS Report R43395, *Efforts to Delay the Gradual Elimination of Flood Insurance Premium Subsidies*, both by Rawle O. King.

Agency: Federal Emergency Management Agency

Authority: 42 U.S.C. 4001 et seq.

Regulation: 44 C.F.R. §59.1–§82.21

Contact: Office of Congressional Affairs, 202-646-4500

Website: <http://www.fema.gov/national-flood-insurance-program> *CFDA*

Program Numbers: 97.022 (<http://cfda.gov/programs/97.022>) *CRS Contact:*

Rawle O. King, 202-707-5975

General Assistance Programs

In addition to programs described above that provide targeted assistance to individuals, states, territories, local governments, and businesses specifically affected by disasters, other general assistance programs may be useful to communities in disaster situations. For example, individuals who lose income, employment, or health insurance may become eligible for programs that are not specifically intended as disaster relief, such as cash assistance under the Temporary Assistance for Needy Families (TANF) program, job training under the Workforce Investment Act, Medicaid, or

⁴¹ 7 C.F.R. §1945.2.

the State Children's Health Insurance Program (S-CHIP). Likewise, state or local officials have the discretion to use funds under programs such as the Social Services Block Grant or Community Development Block Grant to meet disaster-related needs, even though these programs were not established specifically for such purposes. Other agencies may offer assistance to state and local governments, including the Economic Development Administration and the Army Corps of Engineers. For businesses, however, only the disaster programs administered by the Small Business Administration are generally applicable.

There are numerous federal programs that potentially offer disaster relief. However, specific eligibility criteria or other program rules might make it less likely that they would actually be used. Moreover, available funds might already be obligated for ongoing program activities. To the extent that federal agencies have discretion in the administration of programs, some agencies may choose to adapt these non-targeted programs for use in disaster situations. Also, Congress may choose to provide additional funds through emergency supplemental appropriations for certain general assistance programs, specifically for use after a disaster.

CRS analysts and program specialists can help provide information regarding general assistance programs that might be relevant to a given disaster situation. CRS appropriations reports may have information on disaster assistance within particular federal agencies. These reports also list CRS's key policy staff by their program area and agency expertise.⁴²

Other Sources of Information

Selected CRS Reports

Disaster Assistance

CRS Report R41981, Congressional Primer on Responding to Major Disasters and Emergencies, by Francis X. McCarthy and Jared T. Brown.

CRS Report RL33053, Federal Stafford Act Disaster Assistance: Presidential Declarations, Eligible Activities, and Funding, by Francis X. McCarthy.

CRS Report R41101, FEMA Disaster Cost-Shares: Evolution and Analysis, by Francis X. McCarthy.

CRS Report RS22266, The Use of Federal Troops for Disaster Assistance: Legal Issues, by Jennifer K. Elsea and R. Chuck Mason.

CRS Report RL33330, Community Development Block Grant Funds in Disaster Relief and Recovery, by Eugene Boyd.

CRS Report R43990, FEMA's Public Assistance Grant Program: Background and Considerations for Congress, by Jared T. Brown and Daniel J. Richardson

⁴² CRS appropriations and budget reports can be found at <http://www.crs.gov/Pages/clis.aspx?cliid=73&preview=False>.

CRS Report RL34585, The Emergency Management Assistance Compact (EMAC): An Overview, by Bruce R. Lindsay.

CRS Report RL33579, The Public Health and Medical Response to Disasters: Federal Authority and Funding, by Sarah A. Lister.

CRS Report RL34131, Flood Damage Related to Army Corps of Engineers Projects: Selected Legal Issues, by Cynthia Brown.

CRS Report RS22254, The Americans with Disabilities Act and Emergency Preparedness and Response.

CRS Report R40650, National Flood Insurance Program: Background, Challenges, and Financial Status, by Rawle O. King.

CRS Report R43395, Efforts to Delay the Gradual Elimination of Flood Insurance Premium Subsidies, by Rawle O. King.

CRS Report R41884, Considerations for a Catastrophic Declaration: Issues and Analysis, by Bruce R. Lindsay and Francis X. McCarthy.

CRS Report R42527, FEMA's Community Disaster Loan Program: History, Analysis, and Issues for Congress, by Jared T. Brown.

CRS Report R42839, Tax Provisions to Assist with Disaster Recovery, by Erika K. Lunder, Carol A. Pettit, and Jennifer Teefy.

CRS Report RL34146, FEMA's Disaster Declaration Process: A Primer, by Francis X. McCarthy.

CRS Report RL34537, FEMA's Pre-Disaster Mitigation Program: Overview and Issues, by Francis X. McCarthy.

Disaster Assistance to Individuals, Families, and Businesses

CRS Report RS22022, Disaster Unemployment Assistance (DUA), by Julie M. Whittaker.

CRS Report R42839, Tax Provisions to Assist with Disaster Recovery, by Erika K. Lunder, Carol A. Pettit, and Jennifer Teefy.

CRS Report R41309, The SBA Disaster Loan Program: Overview and Possible Issues for Congress, by Bruce R. Lindsay.

CRS Report RS21212, Agricultural Disaster Assistance, by Dennis A. Shields.

CRS Report RS22945, Flood Insurance Requirements for Stafford Act Assistance, by Edward C. Liu.

Federal Agency Websites

Note: Because not all agencies have complete, up-to-date information available on the Internet, in particular during and immediately after a disaster, congressional users are encouraged to contact the appropriate CRS program analysts or department or agency program officers for more complete, timely information.

USA.gov

<http://www.USA.gov/>

Many federal agencies have established websites specifically for responding to disasters. Some agencies maintain websites with comprehensive information about their disaster assistance programs, whereas others supply only limited information; most list contact phone numbers. An A-Z index of U.S. government departments and agencies is available at the website above.

FEMA Website

<http://www.fema.gov>

From its website, FEMA offers regular updates on recovery efforts in areas under a major disaster declaration. Information on a specific disaster may include a listing of declared counties and contact information for local residents.

Disaster Assistance.gov

<http://www.disasterassistance.gov/>

DisasterAssistance.gov provides information on how help might be obtained from the U.S. government before, during, and after a disaster. The website includes tools to find, apply for, and check the status of assistance by category or agency. The website also includes disaster-related news feeds and information on community resources.

Catalog of Federal Domestic Assistance

<http://www.cfda.gov>

The CFDA posts official descriptions of more than 2,200 federal assistance programs, including disaster and recovery grants and loans. For programs summarized in this report, CFDA program numbers and links are given. Full CFDA program descriptions, updated continuously by departments and agencies, cover authorizing legislation, objectives, uses and restrictions, and eligibility requirements. For current appropriations and additional information, users can contact CRS analysts, or departments and agencies.

National Disaster Recovery Program Database

<https://asd.fema.gov/inter/ndhpd/public/searchHousingProgramForm.htm>

The NDRPD is a tool for state, local, tribal governments, emergency managers, and planners to find what disaster recovery resources are available from federal, state, for-profit, nonprofit, and charitable entities.

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Acknowledgments

David Bradley (DSP), Jared Brown (G&F), Rawle King (G&F), Bruce R. Lindsay (G&F), Sarah A. Lister (DSP), Erika Lunder (ALD), Francis X. McCarthy (G&F), Jonathan Ramseur (EP), Molly Sherlock (G&F), Dennis Shields (RSI), and Julie Whittaker (DSP) were consulted in the preparation of this report.

Visual 3.7



Creative Financing

- Restructure local budget
- Insurance
- Financing
- General obligation bonds
- Revenue bonds
- Diverse partnerships

FEMA

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Visual description: Creative Financing

Notes

Restructuring the local budget is generally the first option exercised in a post disaster situation. Unobligated general funds and reserves may be obligated to assist in funding recovery activities. In more severe situations existing budgets may be reallocated to offset expenses.

The community may be further impacted by the loss of some of its tax base, due to loss of residences, business and jobs.

Insurance is the first line of defense against property losses. Be aware that self-insured jurisdictions may be required to spend down their self-insurance limits before additional assistance will be available. Determination of insurance coverage is a primary consideration for Public Assistance Program eligibility.

Financing may be necessary to cover the recovery costs. The primary ways local governments borrow money is through bond issues and tax programs. Most governments have the authority to finance bond issues, but may have to enact legislation for tax programs. Arrangements may also be made with banks for short term loans.

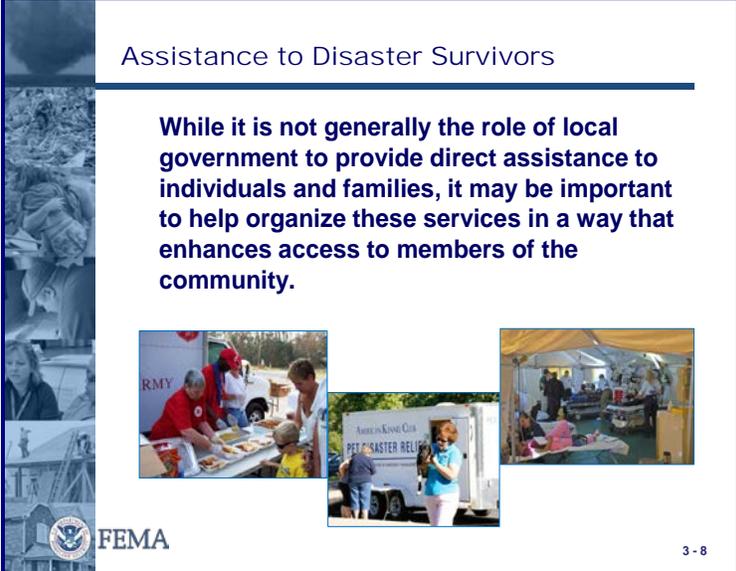
Partnerships may be a good option for projects related to special interests, downtown associations, parks, revitalization, etc. In some cases, non-profits, businesses and foundations have provided grants for special projects related to community recovery. Cost sharing with other jurisdictions when appropriate may also provide creative funding options.

Visual 3.8



Assistance to Disaster Survivors

While it is not generally the role of local government to provide direct assistance to individuals and families, it may be important to help organize these services in a way that enhances access to members of the community.



FEMA

3 - 8

Visual description: Assistance to Disaster Survivors

Notes

In addition to FEMA's Individual Assistance Program, there are a variety of voluntary organizations, advocate groups and social service agencies that may be able to assist survivors with disaster recovery issues.

It is important to know what agencies and organizations exist within your community that may be able to help with individual needs during recovery. These agencies and organizations may not typically be tasked with recovery assistance, but can be pressed into service when needed.

These agencies and organizations may be grouped in to one disaster recovery organization called the Unmet Needs Committee.

Visual 3.9



Assistance to Disaster Survivors

Unmet Needs Committee is a unique organization that many communities have adopted as part of their recovery planning. The Committee acts as a safety net by providing creative ways to provide help when traditional assistance programs fall short.



FEMA

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Visual description: Unmet Needs Committee

Notes

Not all needs can be met by traditional state and federal assistance programs. Even voluntary agencies have a specific scope of services that may not meet all needs.

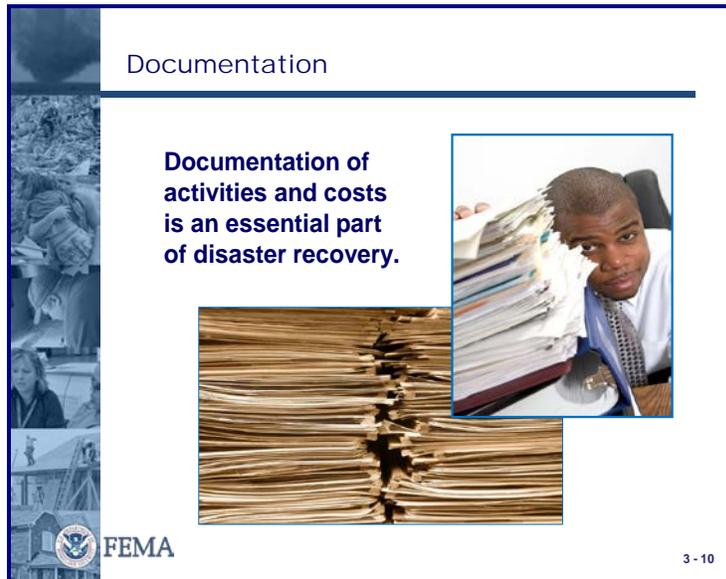
An Unmet Needs Committee can be used in situations where traditional programs are not meeting the needs, or when the event is not large enough to have made these programs available.

The Unmet Needs Committee will need to develop rules for operating. This might include:

- Developing an operational plan (the simpler the better)
- Meeting frequency
- Establishing a client confidentiality policy
- How resources will be committed



Visual 3.10



Visual description: Documentation

Notes

- Contracts
- Procurement processes
- Project tracking
- Expenses
- Grants
- Insurance claims
- Wage rates and policies
- Other personnel related policies

Department of Homeland Security **Office of Inspector General**

**FEMA Should Recover \$258,488 of
Public Assistance Grant Funds Awarded to the
Graton Community Services District, California**



OIG-14-109-D

June 2014



OFFICE OF INSPECTOR GENERAL
Department of Homeland Security

Washington, DC 20528 / www.oig.dhs.gov

JUN 25 2014

MEMORANDUM FOR: Karen Armes
Acting Regional Administrator, Region IX
Federal Emergency Management Agency

FROM: John V. Kelly
Assistant Inspector General
Office of Emergency Management Oversight

SUBJECT: FEMA Should Recover \$258,488 of Public Assistance Grant
Funds Awarded to the Graton Community Services District,
California
FEMA Disaster Number 1628 DR CA
Audit Report Number OIG-14-109-D

We audited Federal Emergency Management Agency (FEMA) Public Assistance grant funds awarded to the Graton Community Services District of Graton, California (District), Public Assistance Identification Number 097-UGBU4-00. Our audit objective was to determine whether the District accounted for and expended FEMA grant funds according to Federal regulations and FEMA guidelines.

The California Governor's Office of Emergency Services (California), a FEMA grantee, awarded the District \$3.4 million for damages resulting from severe storms, flooding, mudslides, and landslides from December 17, 2005, through January 3, 2006. The award provided 75 percent FEMA funding for one large project and two small projects.¹ The audit covered the period December 17, 2005, to January 8, 2014. We audited all three projects, or 100 percent of the claim, totaling \$4.1 million (see exhibit).² Table 1 shows the gross and net award (before and after FEMA deducted anticipated insurance proceeds) for all projects. As of the date of this report, California was preparing to review the District's final claim.

¹ Federal regulations in effect at the time of the disaster set the large project threshold at \$57,500.

² Although FEMA initially obligates funding based on estimated costs, it funds large projects using a final accounting of actual costs. After reviewing a final claim for reimbursement, FEMA may adjust (obligate/deobligate) the amount of the grant to reflect the actual cost of the eligible work. In the case of the District, FEMA (through California) obligated \$3.4 million, but the District ultimately submitted a (revised) final claim to California amounting to \$4,113,669.

Table 1.	Gross and Net	Award	Amounts
Projects	Gross Award Amount	Insurance Reductions	Net Award Amount
All Projects	\$3,407,307	(\$22,387) ³	\$3,384,920

Source: FEMA and District Project Documentation

We conducted this performance audit between September 2013 and March 2014, pursuant to the *Inspector General Act of 1978*, as amended, and according to generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based upon our audit objective. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based upon our audit objective. We conducted this audit by applying the statutes, regulations, and FEMA policies and guidelines in effect at the time of the disaster. We decided to audit this grant, in part, because FEMA officials requested our collaboration to assist them in reviewing its Public Assistance Program subgrants that were ready for closeout.

We interviewed FEMA, California, and District officials; reviewed judgmentally selected project costs (generally based on dollar value); and performed other procedures considered necessary to accomplish our objective. We also notified the Recovery Accountability and Transparency Board of all contracts the subgrantee awarded under the grant to determine whether the contractors were debarred or whether there were any indications of other issues related to those contractors that would indicate fraud, waste, or abuse. We did not assess the adequacy of the District's internal controls applicable to grant activities because it was not necessary to accomplish our audit objective. However, we did gain an understanding of the District's method of accounting for disaster-related costs and its procurement policies and procedures.

BACKGROUND

The Graton Community Services District (District), located in Sonoma County, California, currently has one function: the maintenance and operation of a wastewater treatment plant.

Beginning on December 17, 2005, flooding occurred and waters from two nearby creeks soon overtopped the protective levee surrounding the facility and inundated the treatment plant, eroding levee material into three settling ponds and damaging

³ The District actually received \$20,542 in insurance proceeds of the \$22,387 that FEMA originally estimated.

stationary equipment. FEMA provided grant funding to repair the facility and to build a concrete floodwall surrounding parts of the facility to mitigate the impact of a future event (see figure 1).

Figure 1. Settling Ponds, Graton Sewer Treatment Facility (October 2009)



Source: Graton Community Services District

RESULTS OF AUDIT

The District did not properly account for or expend \$258,488 according to Federal regulations and FEMA guidelines (see table 2). This amount represents about 6 percent of the \$4,113,669 the District claimed.

Table 2. Summary of Costs Questioned

Finding	Subject	Costs Questioned
A	Improper Procurement	\$241,755
B	Duplicate Administrative Costs	13,500
C	Costs Claimed Not Related to the Disaster	3,233
Total		\$258,488

Source: FEMA and District Project Documentation and OIG Analyses

Further, District officials did not recover \$20,542 in insurance proceeds until after we advised them of their oversight. The District did not deduct the proceeds from its initial claim, as FEMA requires (finding D). Also, the District may have included costs that were administrative in nature in its claim for engineering costs, thereby duplicating costs covered by the statutory administrative allowance (finding E). These findings occurred, in part, because California officials did not consistently ensure that District officials were aware of and complied with applicable Federal regulations and FEMA guidelines. Therefore, California should improve its oversight of subgrant activities (finding F).

Finding A: Improper Procurement for the Architectural & Engineering (A&E) Contract

The District awarded four contracts totaling \$3,477,741 to complete the work FEMA authorized. District officials generally complied with Federal procurement standards for three of these contracts, totaling \$3,038,485, but did not comply with those standards in awarding an A&E contract for \$439,256. As a result, full and open competition did not always occur and the District claimed \$241,755 in excessive A&E costs that we question as unreasonable.

Federal procurement standards at 44 Code of Federal Regulation (CFR) 13.36, stipulate that subgrantees must perform the following activities:

- Conduct procurements in a manner providing full and open competition except under certain circumstances. (13.36(c))
- Use noncompetitive proposals only in limited circumstances (such as when the item is only available from one source or FEMA authorizes noncompetitive proposals). (13.36(d)(4)(i))
- Avoid using time-and-material type contracts unless no other contract is suitable and provided the contract includes a ceiling price, which the contractor exceeds at its own risk. (13.36(b)(10))
- Prepare a cost or price analysis in connection with every procurement action, including contract modifications. (13.36(f)(1))
- Maintain a contract administration system that ensures contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders. (13.36 (b)(2))

In addition, Federal cost principles and FEMA guidelines require that costs subgrantees claim must: (1) be reasonable and necessary to accomplish the work; (2) not exceed costs that a prudent person would incur under similar circumstances; and (3) be fair and equitable for the type of work performed.⁴

District officials did not comply with these criteria for the A&E contract. Instead, they awarded a non-competitive, time-and-material contract with no ceiling; did not prepare a cost or price analysis; and did not properly monitor the contractor's performance to ensure cost reasonableness. One week after the disaster occurred, the District accepted and approved a proposal from an engineering contractor that, since December 2004, had been performing work on the District's capital improvements. The District did not seek similar proposals from any other engineering firms or conduct a cost or price

⁴ 2 CFR, Section 225, Appendix A, C.2.; and *Public Assistance Guide* (FEMA 322, October 1999, pp. 33, 39,

and 81). analysis to determine reasonable costs for the work needed. District officials used a time-and-material contract, but did not determine (or justify) that no other contract type was suitable or include the required ceiling. Time-and-material contracts are riskier than other types, such as fixed-price or costs-plus-fixed-fee contracts, because they require careful monitoring to ensure that the contractor bills only for authorized work that it can properly support with detailed timesheets and invoices.

However, District officials did not create or approve a disaster-related scope of work for the engineering contractor and did not carefully monitor contractor expenses. They have no documentation demonstrating that they signed or otherwise approved—oreven required the engineer to maintain—detailed timesheets, planned work assignments, or descriptive invoices. Further, the District’s policy required (Board of Directors) approval of engineering invoices that exceeded \$25,000. However, the District could not provide documentation supporting the Board’s review and authorization of four A&E invoices that exceeded the \$25,000 threshold.

Because the District did not take the required precautions to ensure that the contractor performed only authorized work at reasonable prices, we analyzed the costs to determine eligibility and reasonableness. The District claimed \$439,256 for A&E work, or about 14.5 percent of the \$3,038,485 costs for actual construction work. FEMA’s guidelines on engineering costs (for projects of above-average complexity) indicate that about 6.5 percent of the construction costs are reasonable.⁵ Per these guidelines, thereasonable amount would be approximately \$197,501, or \$241,755 less than what the District claimed.

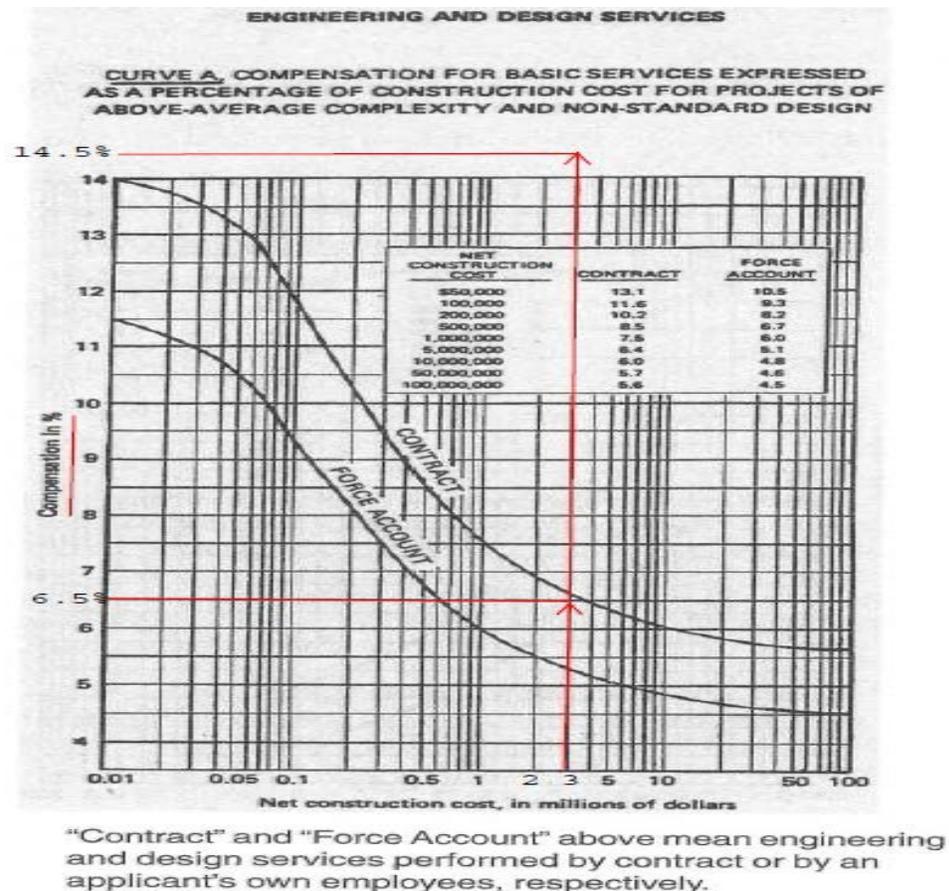
FEMA relies on final inspection and reconciliation to determine the actual costs for reimbursement of engineering services; however, one can estimate the costs during project formulation using a percentage of the construction cost. FEMA derives these percentages from its *Engineering and Design Services Cost Curves*. These curves, which FEMA bases on data developed by the American Society of Civil Engineers, show a correlation between engineering costs and total construction costs. Figure 2 depicts a cost curve.

⁵ To be conservative, we used FEMA’s 6.5 percent guideline for “above-average” complexity, rather than its 5.5 percent guideline for average complexity. However, we would categorize much of the District’s construction work (such as constructing a basic wall) to be of average complexity.

Figure 2. FEMA's Cost Curve

A

Engineering and Design Services for Above-Average Complexity: Eligible vs. Actual



Source: FEMA 322

In addition to being excessive, some of the engineering costs the District claimed appear to be ineligible. FEMA criteria indicate engineering and design services that are generally eligible for reimbursement include preliminary engineering analysis, preliminary design, final design, and construction inspection (FEMA 322, p. 75, October 1999). However, many of the tasks the A&E contractor performed appear to be administrative in nature and, therefore, ineligible (see findings B and E).

In conclusion, District officials did not comply with Federal procurement standards in awarding and administering the A&E contract. As a result, full and open competition did not occur and the District claimed \$241,755 in excessive A&E costs that we question as unreasonable.

District officials agreed that they did not follow Federal contracting procedures for engineering and construction management services. They asked that we consider that they did not have the time or resources for competitive procurement in the

aftermath of the disaster. Officials said it would have been less efficient and create considerable delays to their ongoing work to properly procure these services. They also said that California officials never advised them on these requirements. We maintain that the District took more than 6 years to complete the work and should have taken a minimum of time upfront to ensure full and open competition and reasonable costs. Further, full and open competition ensures more than just reasonable costs. It also helps to discourage and prevent favoritism, collusion, fraud, waste, and abuse. Regarding the reasonableness of the claimed engineering costs, District officials said they mistakenly combined costs and functions in their claim. For example, they acknowledged their claimed costs included engineering services, construction management services, and grant administration charges. They said, when properly segregated, the engineering services fall within FEMA's criteria for reasonableness. They told us that they plan to properly identify and segregate all of their charges and resubmit their claim to California and FEMA.

California officials generally agreed with our finding and reiterated that the District should separately account for and claim the variety of charges related solely to the contracted engineering services. California officials said they would await the District's revised claim.

FEMA officials are withholding comment until after we issue our final report.

Finding B: Duplicate Administrative Costs

The District improperly claimed \$13,500 for the cost of A-133 (\$9,000) and California-required (\$4,500) audits under Project 2776.⁶ These costs are, in effect, duplicate costs because the statutory administrative allowance covers such costs.⁷

According to 44 CFR 206.228, a subgrantee receives an administrative allowance to cover the necessary costs of requesting, obtaining, and administering Federal disaster

⁶ The District expended more than \$500,000 per year in Federal awards and thus was subject to audit requirements commonly referred to as *Single* or *A-133* audits. The Office of Management and Budget requires these audits under its guidelines *Audits of States, Local Governments, and Non-Profit*

Organizations (Circular A-133). Further, California requires that its Special Districts—of which Graton Community Services District is one—have a complete annual audit of their financials. These audits of financial statements and other information become available to the public, the Governor, any potential grantors, and financial institutions, etc.

⁷ Finding E relates to additional costs that we identified that may be administrative in nature and covered by the statutory administrative allowance.

assistance subgrants. The allowance covers all direct and indirect administrative costs.⁸ Audits are administrative in nature, and therefore subgrantees cannot separately claim the costs for audits because the administrative allowance covers these costs.

California officials previously determined that the \$13,500 the District claimed for the cost of audits was ineligible and deducted the amount from the District's claim. Nevertheless, District officials submitted the same costs again for reimbursement in a subsequent, revised claim.

Therefore, FEMA should disallow \$13,500 as ineligible costs and review all engineering costs the District claimed to ensure they did not include costs for grant administration. District officials agreed with our finding and said California did not make them aware of the requirements pertaining to the statutory administrative allowance. They said they will work with California officials to resubmit their claim and seek reimbursement for these costs from the statutory administrative allowance or elsewhere.

California officials generally agreed with our finding and said they would provide the District additional information on the statutory administrative allowance and collaborate with the District to revise their claim. FEMA officials are withholding comment until after we issue our final report.

Finding C: Costs Claimed Not Related to the Disaster

District officials improperly claimed \$3,233 for Project 2776 for engineering services (surveying consultation and drainage collection) that a contractor performed before the disaster occurred. Federal regulations and FEMA guidelines stipulate that claimed costs must be for work directly related to the declared disaster [44 CFR 206.223; *Public Assistance Guide* (FEMA 322, October 1999, pp. 23, 33, and 71–73)].

The contractor performed the engineering services during December 1–15, 2005, which was before the disaster began on December 17, 2005. Therefore, we question as ineligible the \$3,233 the District claimed in costs for Project 2776 that did not relate to the disaster.⁹

District officials agreed with our finding and said they would revise their claim. California officials agreed with this finding. FEMA officials are withholding comment until after we issue our final report.

⁷ For disasters that occurred after November 13, 2007, FEMA no longer provides this allowance, but allows subgrantees to claim administrative costs that directly relate to specific projects (FEMA Disaster Assistance Policy 9525.9).

⁸ This amount does not include those costs related to the District's claimed preparedness costs incurred

immediately before the disaster (e.g., sandbagging). We did not question those costs.

Finding D: Unreported Insurance Recovery

District officials did not recover \$20,542 in insurance proceeds until after we advised them of their oversight. Thus, the District did not deduct such proceeds from its initial claim, as FEMA requires. Federal regulations require FEMA to deduct actual or

anticipated insurance recoveries that apply to eligible costs from project awards (44 CFR 206.250(c)). This action prevents subgrantees from receiving duplicate benefits for losses.

FEMA officials correctly deducted \$22,387 in anticipated (estimated) insurance proceeds from the funding they obligated for the District's eligible projects. However, District officials did not actively pursue recovering \$20,542 of insurance proceeds for which they were eligible under their insurance policy in effect at the time of the disaster. Therefore, their initial claim to FEMA included \$20,542 in ineligible costs for which FEMA should not have been liable.

During the course of our audit fieldwork, we brought this issue to the attention of District officials. At first, they could not confirm whether they had filed an insurance claim for damages related to the disaster, but they started looking into the matter. As a result, their insurance provider issued proceeds of \$20,542 related to the disaster damages, which the District subsequently deducted from its revised claim.

This disaster is over 8 years old. Therefore, the District should have long ago pursued its insurance claim and notified California of the actual proceeds. Further, California, as the grantee, should have held the District accountable for pursuing and reporting insurance proceeds in a timely manner.

District and California officials generally agreed with our finding. FEMA officials are withholding comment until after we issue our final report.

Finding E: Costs Covered by Statutory Administrative Allowance

The District included administrative costs in its claim for engineering costs (see finding A). FEMA covers administrative costs through its statutory administrative allowance and so the District cannot claim them separately as direct project expenses. The District agreed to revise and resubmit its claim to FEMA; therefore, we did not verify the total administrative costs improperly included in the District's claim for engineering services.

According to 44 CFR 206.228, a subgrantee receives an administrative allowance to cover the necessary costs of requesting, obtaining, and administering Federal disaster assistance subgrants. The allowance covers all direct and indirect administrative costs, including the costs of tasks such as identifying damage, attending briefings, completing forms, providing documentation, assessing damage, collecting cost data, developing estimates, and working with California.¹⁰ The District's claim included many of these costs, for activities it described as—

- estimating costs
- developing FEMA spreadsheets
- preparing applications to FEMA

- analyzing costs
- traveling to and attending FEMA training
- reviewing FEMA flood application requirements
- exchanging emails related to FEMA
- writing cover letters
- discussing FEMA funding
- packaging and mailing letters to FEMA and the State for budget augmentation
- discussing matters with the State

District officials agreed with our finding and said California did not make them aware of the requirements pertaining to the statutory administrative allowance. They also said they included various charges related to the overall administration of the grant in their claim for contracted engineering services (see finding A). They intend to identify and segregate these costs and work with California officials to resubmit their claim and seek reimbursement for these costs from the statutory administrative allowance or elsewhere.

California officials generally agreed with our finding and indicated that they would provide the District additional information on the statutory administrative allowance and collaborate with the District to revise their claim. FEMA officials are withholding comment until after we issue our final report.

Finding F: Grantee Management

The preceding findings in this report occurred, in part, because California officials did not consistently ensure that District officials were aware of and complied with applicable Federal regulations and FEMA guidelines. Further, District officials consistently said they did not receive enough or appropriate guidance from California. Although California officials were involved in the projects and took their role as grantee seriously, they need to improve their procedures for monitoring and managing Federal

⁸ For disasters that occurred after November 13, 2007, FEMA no longer provides this allowance, but allows subgrantees to claim administrative costs that directly relate to specific projects (FEMA Disaster Assistance Policy 9525.9).

grants. Federal regulations at 44 CFR 13.37(a)(2) requires the State (California) to ensure that subgrantees are aware of requirements that Federal regulations impose on them. Further, 44 CFR 13.40(a), requires grantees to manage the day-to-day operations of subgrant activity and monitor subgrant activity to ensure compliance with applicable Federal requirements. California officials could improve in providing

sufficient oversight and coordination of subgrant activities, particularly to ensure that subgrantee officials manage Federal grants associated with future disasters effectively and efficiently. District officials agreed with this finding. California officials did not comment on this finding, except to note that the District is a small entity and therefore may not have been fully equipped to process and implement the guidance California provided them. FEMA officials are withholding comment until after we issue our final report.

RECOMMENDATIONS

We recommend that the Acting Regional Administrator, FEMA Region IX:

Recommendation #1: Disallow \$241,755 (Federal share \$181,316) of ineligible contract costs that do not comply with Federal procurement regulations and are excessive and unreasonable according to FEMA guidelines, unless the District can provide proper documentation to support these costs (finding A).

Recommendation #2: Review the items of work for all engineering costs the District claimed and disallow (or reallocate) those costs that are not eligible engineering services (findings A and E).

Recommendation #3: Disallow \$13,500 (Federal share \$10,125) in ineligible project costs that the statutory administrative allowance covers (finding B).

Recommendation #4: Disallow \$3,233 (Federal share \$2,425) in ineligible costs that are not related to the disaster (finding C).

Recommendation #5: Ensure the District and California accurately reflect in its final claim the \$20,542 in proceeds the District received from its insurance provider (finding D).

Recommendation #6: Advise California to instruct its subgrantees to pursue all insurance proceeds for which they are entitled and deduct such proceeds from their final claims (finding D).

Recommendation #7: Review all costs claimed as engineering to determine actual engineering costs versus those costs eligible under the statutory administrative allowance, and instruct the District and California to claim all applicable costs under that allowance and exclude all other costs that are not direct project costs from the District's final claim (finding E).

Recommendation #8: Direct California to improve its oversight and coordination of Federal grant funding to ensure that its subgrantees comply with Federal regulations and FEMA guidelines governing proper procurement, reasonable costs, insurance, and the statutory administrative allowance (findings A to F).

DISCUSSION WITH MANAGEMENT AND AUDIT FOLLOW UP

We discussed these findings with District officials during the course of this audit and

included their comments in this report, as appropriate. We also provided a written summary of our findings and recommendations in advance to FEMA on March 12, 2014, and to California and District officials on March 17, 2014. We discussed the findings and recommendations at an exit conference with California and District officials on March 19, 2014, and FEMA officials on March 26, 2014.

Within 90 days of the date of this memorandum, please provide our office with a written response that includes your (1) agreement or disagreement, (2) corrective action plan, and (3) target completion date for each recommendation. Also, please include the contact information of responsible parties and any other supporting documentation necessary to inform us about the current status of the recommendations. Until we receive and evaluate your response, we will consider the recommendations open and unresolved.

Consistent with our responsibility under the *Inspector General Act*, we will provide copies of our report to appropriate congressional committees with oversight and appropriation responsibility over the Department of Homeland Security. We will post the report on our website for public dissemination.

Major contributors to this report are Humberto Melara, Director; Devin Polster, Audit Manager; and Montul Long, Auditor.

Please call me with any questions at (202) 254-4100, or your staff may contact Humberto Melara, Director, Western Regional Office, at (510) 637-1463.

Schedule of Projects Audited and Costs Questioned

Questioned Costs							
				Improper Procurement (Finding A)	Duplicate Administrative Costs (Finding B)	Costs Claimed Not Related to the Disaster (Finding C)	Total
2776 / F	\$3,361,649	\$4,082,381	\$17,185	\$241,755	\$13,500	\$3,233	\$258,488
*1538 / B	18,174	**19,726					
*2166 / E	5,097	**11,562	3,357				
Total	\$3,384,920	\$4,113,669	\$20,542	\$241,755	\$13,500	\$3,233	\$258,488

Source: FEMA and District Project Documentation and OIG Analyses

* Small Project

** California denied the District's overrun request for Project 2166 because District officials did not submit a Net Small Project Overrun request within the regulatory 60-day mandatory timeframe. It is unclear whether California will likewise deny the additional costs the District claimed for Project 1358, based on the overrun recorded in their updated claim. California's review is forthcoming. (A Net Small Project Overrun occurs when the applicant (District) incurs costs greater than the total amount approved for all small projects.)

¹¹ FEMA estimated the District's insurance proceeds to be \$22,387.

¹² The District deducted the insurance proceeds from the *total* costs of all projects (large and small) combined in its final claim to California and FEMA. Therefore, we accounted for insurance recoveries for each project on a prorated basis according to FEMA's initial anticipated insurance proceeds allocations.

The District actually received \$20,542 in insurance proceeds of the \$22,387 that FEMA originally

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Director, Risk Management and Compliance
Audit Liaison, FEMA Region IX

Audit Liaison, FEMA (Job Code G-13-058)

Grantee (California Governor's Office of Emergency Services)

Director

Executive Assistant to the
Director Chief of Staff

Audit Liaison

State (California)

California State Auditor, Bureau of State Audits

Subgrantee (Graton Community Services District, California)

President, Board of Directors
General Manager

Chief Financial Officer

Recovery Accountability and Transparency Board

Director, Investigations, Recovery Accountability and Transparency Board

Office of Management and Budget Chief, Homeland Security Branch
DHS OIG Budget Examiner

Congressional Oversight and Appropriations Committees, as appropriate, including:

Senate Committee on Appropriations, Subcommittee on Homeland Security
Senate Committee on Homeland Security and Governmental Affairs

House Committee on Appropriations, Subcommittee on Homeland Security
House Committee on Homeland Security

House Committee on Oversight and Government Reform
House Committee on Transportation and Infrastructure

Visual 3.11



Documentation

- Does your jurisdiction have documentation procedures in place?
- Are there procurement procedures in place?
- Are there policies in place for disaster pay rates, overtime, benefits?
- Have you documented force account labor rates?
- Are there specific disaster recovery documentation requirements in your State?
- Who will be responsible for developing these policies and procedures?

FEMA

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Visual description: Documentation

Notes

The following questions can be used as a “documentation checklist”, as a starting point for developing documentation procedures:

- Does your jurisdiction have documentation procedures in place?
- Are there procurement procedures in place?
- Are there policies in place for disaster pay rates, overtime, benefits?
- Have you documented force account labor rates?
- Are there specific disaster recovery documentation requirements in your State?
- Who is responsible for developing these policies and procedures?
- Are familiar with the Super Circular?

There is a sample of guidelines for cost recovery and documentation⁵ from the state of Indiana on the following pages in your Student Manual.

⁵ Indiana Department of Homeland Security, Public Assistance Grant Program. (2014). *Reimbursement procedures for FEMA public assistance*. Retrieved from <http://www.in.gov/dhs/files/reimburse.pdf>

REIMBURSEMENT PROCEDURE FOR FEMA PUBLIC ASSISTANCE

Financial Assistance Availability

The impact of major or catastrophic emergencies can exceed local financial resources. Financial aid and assistance may be requested from FEMA through the State of Indiana. Applicants should contact the County Emergency Management Director of the impacted county for the appropriate source of assistance and for application procedures.

FEDERAL- When damages are so extensive that the combined local and state resources are not sufficient, the governor submits a request for an emergency or major disaster declaration to the President through FEMA. A joint FEMA, state and local team will conduct a Preliminary Damage Assessment to determine if there is a need for federal assistance. If federal assistance is justified, the President issues an emergency or major disaster declaration and various emergency or disaster programs are made available. Federal assistance is on a shared cost basis with 75% federal funds and 25% non-federal funds.

Documentation

All reimbursement is based on the supporting documentation. The documentation must be able to stand the test of audit. **The attached “Documenting Disaster Costs” will provide the guidelines and tools needed to set up files and document costs.** The forms utilized are also available in a computerized version using MS Excel. Failure to properly document costs may result in part or the entire claim being ineligible for reimbursement. It is very important to document the request for mutual aid in addition to documenting costs.

Eligibility

To meet eligibility requirements for reimbursement, an item of work must:

- Be required as the result of the emergency or disaster event.
- Be located within a designated emergency or disaster area.
- Be the legal responsibility of the eligible applicant.
- If Mutual Aid - Have been requested by the impacted jurisdiction.

Fire service resources activated by this plan must submit reimbursement claims to the impacted jurisdiction(s).

Categories of Work

The work most often performed under this plan is Emergency Work. This work is performed immediately to save lives, to protect property, for public health and safety, and/or to avert or lessen the threat of a major disaster. Emergency Work contains two categories: Debris Clearance (Category A) and Protective Measures (Category B).

It is possible that certain types of claims may be made under Permanent Work categories. For example, certain damages or losses of facilities and equipment may fall into the permanent Work categories.

Expenses for Personnel

Only the actual hours worked beyond the regular duty time (either overtime, regular time hours, comp time) can be claimed for FEMA category A and B (Emergency Work). Standby time is not eligible for reimbursement. If time and one-half or double time is paid to regular hourly employees for overtime or holiday work, these payments must be in accordance with rates established prior to the disaster (i.e. Collective Bargaining Agreement). If Applicant volunteers

are not normally paid, FEMA may offset the non-federal portion of the emergency work by granting credit for eligible donated labor, equipment and materials. Volunteer Fire Departments activated by this plan may submit claims to the impacted jurisdiction(s) for reimbursement at the normal rate per hour. The claim for reimbursement of all personnel costs will be for hours actually worked in excess of any pre-designated response period. In some cases, FEMA may approve reimbursement for overtime costs associated with “backfilling”. If approved, this option would allow the department to be reimbursed when personnel are called back to work on an overtime basis to replace existing employees already approved to perform disaster related activities elsewhere. To facilitate this reimbursement, the responding department must have a written policy concerning “backfilling” in existence prior to the disaster.

The information included in “Documenting Disaster Costs” details the required information and instructions for documenting the department’s personnel costs (Force Account Labor). It also provides guidance for claiming Fringe Benefit costs and includes a sample rateschedule.

Expenses for Equipment

Each department may be eligible for reimbursement for the use of equipment owned (Force Account Equipment) by the department when it is used in disaster work. To assist in the reimbursement process, FEMA has developed a “Schedule of Equipment Rates”. The impacted jurisdiction should obtain the most recent version of the schedule available at the FEMA.gov website (using the search engine for EQUIPMENT RATES) prior to submitting for reimbursement. A suggested format for recording the needed information and instructions can be found in “Documenting Disaster Costs”.

Equipment that is damaged and/or lost during disaster incidents may be eligible for reimbursement. The damage and/or loss must be documented along with sufficient supportive documentation such as video and/or photographs. Factors such as insurance, salvage, and age of the equipment (a Blue Book type of figure) will also be considered as a part of the review of the claim. If the documentation is not comprehensive, detailed and accurate, portions of the claim and possibly the entire claim may be disallowed.

Rented Equipment

It is possible that a department may use some rented equipment. These costs may also qualify for reimbursement. Refer the “Documenting Disaster Costs” for the proper documenting of these expenses.

Processing Claims

Each department is responsible for preparing the necessary documentation and submitting a claim for resources deployed. Where and how to file a claim is dependent on several factors because of the variety of possible reimbursement sources. The size of the event, the type of event and the type of emergency or disaster declaration can effect which funding sources are available. Some general guidelines are:

- Time is of the essence. County Agencies should coordinate their claims. City departments should coordinate their claims. Coordinate reimbursement claims with the volunteer fire departments and Emergency Management Agency of the impacted county. Volunteers may be claimed by the supported jurisdiction.
- For a federal claim, the Request for Public Assistance form must be filed within 30 days of the designation of the county for public assistance.

The Disaster Declaration Process

- **Local Government responds** to the emergency or disaster supplemented by neighboring communities and volunteer agencies. If the local government is overwhelmed, the County Emergency Management Agency requests an Emergency Declaration from the County Commissioners declaring a state of disaster emergency and requesting state assistance;
- **The State Responds** with state resources, such as the National Guard and other state agencies. If these resources are overwhelmed, then the state requests assistance from the Federal Emergency Management Agency (FEMA);
- **Damage Assessment** by a Joint Preliminary Damage Assessment team composed of local, state, and federal agencies determines losses and recovery needs;
- **A Major Disaster Declaration** is requested by the governor, based on the damage assessment, and an agreement to commit state funds and resources to long-term recovery;
- **FEMA Evaluates** the request and recommends action to the White House based on the disaster, the local community and the state's ability to recover;
- **The President** considers the request and FEMA informs the governor whether it has been approved or denied. This decision process could take a few hours to several weeks depending on the nature of the disaster.

Reimbursement Procedure Notes

- It is very important, especially for FEMA claims, that written mutual aid agreements be executed prior to a disaster. The Plan must be adopted by the local jurisdiction(s) prior to the incident. The crucial points that the agreement must contain are: 1) the terms for charges for mutual aid; and 2) there is no contingency clause, i.e. "Payment will be provided only upon receipt of funding from FEMA."
- The language of the "Reimbursement Procedure" and the "Documenting Disaster Costs" has been researched with the Indiana Department of Homeland Security Response and Recovery Division to insure compatibility and accuracy.
- The Response and Recovery Division of the Indiana Department of Homeland Security can be an important resource to help match reimbursement claims with the best available funding source.
- Additional information is available from FEMA's "Public Assistance Guide" (FEMA 322) and FEMA's "Public Assistance Policy Digest (FEMA 321).

DOCUMENTING DISASTER COSTS

A. GENERAL

Following a major disaster, federal funding may be available to help local governments repair or replace damaged facilities. The primary reason that local governments fail to receive reimbursement is the lack of properly documented disaster costs. Since federal payments are based on Project Worksheets, final inspections and audits, the proper documentation of costs is an absolute requirement. It is not enough just to complete the disaster-related work - that work must be fully and accurately documented!

B. SPECIFIC

Documentation should begin immediately during the response to the disaster. The work done for such things as debris removal and emergency protective measures should be documented.

A separate file folder should be set up for each location where work is being done. Later, as Project Worksheets are completed, a separate folder should be established for each Project Worksheet. Place the Project Worksheet in its own folder along with all supporting documents to verify claim for potential reimbursement. If in doubt about starting a new folder, start a new folder. It is easier to consolidate folders than it is to separate documentation into new folders

Basically, there are two ways to complete items of work: one is by contract, and the other is by force account (using personnel, equipment, and materials belonging to the jurisdiction). The proper documentation in each case is described below.

1. Force Account Work

Prior to or immediately after a disaster occurs, someone should be appointed to start keeping a record of costs. Ideally, this person should have been designated and trained in advance. In addition, the person picked should attend the Applicant's Briefing that the state and federal officials will conduct.

If temporary workers or extra help are hired to complete items of work (which is frequently done for emergency work such as debris removal), they must be placed on the payroll and the job, wages, and period of employment must be recorded. The procedures for placing temporary workers on the payroll during an emergency should be planned in advance. Notate these workers as temporary or extra hire on your documentation if you are the Applicant.

When a resource (personnel, materials and/or equipment) is used from another jurisdiction, (mutual aid), the resource must be documented and paid for as contract work to qualify for reimbursement. Invoices are required to show a description of the resource, dates the resource was used, name of the jurisdiction providing the resource, an invoice number, and cost of the resource. *See FEMA Mutual Aid Policy.

Guidelines for documenting and organizing costs are outlined below.

Files

After a presidential declaration, there will be a kickoff meeting conducted by the Federal Public Assistance Officer. Guidance will be provided at this meeting for the formulation of Project Worksheets. The jurisdiction may then write their own Project Worksheets without having to wait for the FEMA personnel to write the Project Worksheets. Approval of the Project Worksheets may not be received until several weeks after the disaster. In the meantime, emergency work must be started.

The problem is how to keep a separate record of costs for each project when it is not known what each project will cover. One way to accomplish this is to establish, immediately after the disaster, a separate folder for each emergency work project that must be done before project approval is received. For example, damage to three streets should have a separate folder set up for each street, not one folder for all three streets. If several buildings require repairs (such as repairing roofs to prevent further rain damage), set up a folder for each building. When the Project Worksheets are completed and approved, a permanent folder can be established for each project. It is easier to combine information from several folders than to separate information out of one folder.

Labor

Permanent and temporary employees must be on the payroll in order to be reimbursed for their work on disaster projects. The payroll records must show the pay period, employee name, job

classification, number of hours worked each day, total hours worked for the pay period, rate of pay (regular and overtime), and total earnings. Most established payroll systems already include this information.

The records must also show which project the employee worked on each day and each hour if he/she worked on more than one project in a single day. Claims for labor must be documented for each project **individually**.

The time records must show how much time the employee worked on the disaster projects. Overtime must be shown on the records as being disaster related. Overtime pay must be in accordance with policies and practices in use by the jurisdiction before the disaster. That means that pay for overtime worked during a disaster cannot be claimed if overtime is not paid for extra hours worked prior to the disaster.

Procedures must be set up to record each day to show which employees worked on each disaster-related job, for how long, and what he or she did. The Force Account Labor Summary Record is needed for this purpose (*see Exhibit 1*). The record sheets should be used by the supervisor of each work crew and turned into the designated record keeper. The record keeper should also prepare the Fringe Benefit Rate Sheet (*see Exhibit 2*).

If an employee worked on two or more projects on the same date, the supervisor should turn in a **separate Forced Account Labor Record for each project**. These Force Account Labor Records are to be filed in the proper project folders.

There is no direct reimbursement for volunteer labor. However, it is important to keep a record of volunteer labor if claims for equipment hours used by volunteers are being made. FEMA may allow credit for the fair market value of volunteer labor hours (per task) to offset the applicant cost share if a force account labor sheet is kept for each volunteer.

Equipment

Equipment used on each project (both owned and rented) must be documented. Specifically, the documentation must show the Project Number, date used, FEMA code (if known), equipment description, operator, hours used each day, cost per hour, and total cost for each piece of equipment. **Equipment not in actual use is considered standby and is not eligible for reimbursement.** Use the Force Account Equipment Record (*see Exhibit 3*) or the Rental Equipment Summary Record (*see*

Exhibit 4) to document the use of the equipment. Place the forms in each project folder immediately upon starting work. Operator costs associated with the use of equipment should be reported separately as part of the labor costs on the Force Account Labor Record unless the rental charge included the operator.

If the equipment is rented, the rental invoices must show the type of equipment, date and hours used, rate per hour (with or without operator), total cost, vendor name, invoice number, amount paid, and check number. This information is recorded on the Rented Equipment Summary Record (*see Exhibit 4*). Include a copy of invoice(s) and proof of payment(s) with submission. Repair costs for rental equipment are not reimbursable.

Rates claimed for forced account equipment should correspond to those approved on FEMA's "Schedule of Equipment Rates". Preparing a list in advance of all available force account equipment showing the make, model and other specifications will facilitate the determination of the correct rate to charge. If a piece of equipment is used which is not listed on the rate

schedule, FEMA will determine an applicable rate. However, having a record of the make, model number, and any other pertinent information will help in establishing the rate.

Materials and Supplies

A record of materials and supplies purchased or taken from stock must be kept for each project. Specifically, the documentation must show the name of the vendor, description of the material, quantity, unit price, total price, date of purchase, date used and whether purchased or taken from stock. The Material Summary Record (see *Exhibit 5*) can be used to record this information. Claims for materials taken from stock must be supported either by copies of the original purchase invoice or the invoice for replacement of the materials. Invoices for the materials must show the date paid, the amount paid and the check number and should be placed in the appropriate project folder. Include copies of invoice(s) and proof of payment(s) with submission.

Contract Work

The folder for each project that involves contract work must contain a copy of the contract and all invoices for that project. Each invoice must include a description of the work done, date of the work, name of the contractor, an invoice number, and amount billed. The Contract Work Summary Record (see *Exhibit 6*) is used to record this information. The folder must also contain a copy of the contract advertisement, a list of bidders, and proof that the work was awarded to the low bid contractor. If the low bid is not accepted (there can be some acceptable reasons for not taking the low bid), it must be documented why the bid was not accepted and that information must be placed in the project folder. The contract may be awarded to the next lowest bidder who is able to meet the terms of the contract. If the contract is significantly more than the approved Project Worksheet amount, the Public Assistance Branch of IDHS should be notified. **CAUTION: FEMA will not reimburse costs for cost-plus-percentage-of-cost contracts or any contract where payment for work is contingent upon federal reimbursement.** Any work done by either type of contract will be ineligible and no federal funds will be paid for the work. Include copies of contracts, invoices and proof of payment with submission.

C. GENERAL DOCUMENTATION REQUIREMENTS

The dates used on all documentation must be within the allowable time period for each project. This period is from the date of the disaster to the completion date of the work as shown in the Project Application. It is important that the dates on our supporting documentation agree with the project dates and final inspection. In other words, if 50 percent of the work was completed (as shown on the Project Worksheet) when the Project Worksheet was written, 50 percent of the work and costs must be shown between the date of the disaster and the date the Project Worksheet was prepared. The other 50 percent must be between the Project Worksheet date and the completion date shown on the final inspection report.

The approved Project Worksheet will show a total amount approved for each job. However, do not restrict the supporting documentation to these amounts. Overruns on large projects will be considered on a case-by-case basis for reasonable costs. Significant cost overruns on small projects will be considered in relation to the net overrun on all small projects. All overruns should be reported to the IDHS as soon as possible. This step is critical because early approval of overruns is necessary. If a large overrun is not approved, reimbursement will not cover the overrun.

FEMA will reimburse only for repairs included in scope of work on the Project Worksheet. If it is decided to change to an alternate project, FEMA approval is required. Immediately inform the IDHS of any proposed changes and justification for those changes. FEMA must approve of

alternate and/or improved projects prior to engaging in the work due to National Environmental Protection Act compliance or other clearances/requirements.

D. AVAILABLE ASSISTANCE

Contact the local Emergency Management Director who will arrange for technical assistance with the documenting of damage costs through the Public Assistance Branch of the Indiana Department of Homeland Security Response and Recovery Division.

Remember, reimbursement is tied to documentation. Good records must be kept!

RECORD KEEPING FORMS AND INSTRUCTIONS

Introduction

It is essential that the expenses incurred in disaster response and recovery be accurately documented. Accurate documentation will help:

1. Recover all eligible costs.
2. Have the information necessary to develop Project Worksheets.
3. Have the information available for the state and FEMA to validate the accuracy of small projects.
4. Be ready for any state or federal audits or other program or financial reviews.

There are many ways to maintain documentation. What is important is to have the necessary information, readily available and that this information is in a usable format. The records for the documentation must be assembled under the Project Number as shown on FEMA's Project Worksheet. The Public Assistance Coordinator assigns project numbers.

Six record forms have been developed to assist in the organizing of the project documentation. Other systems can be used if the system will provide the required information.

The forms are:

1. **Force Account Labor Summary Record** (Exhibit 1) -- used to record personnel costs.
2. **Fringe Benefit Rate Sheet** (Exhibit 2)-- used to record benefit costs.
3. **Force Account Equipment Summary Record** (Exhibit 3) -- used to record your equipment use costs.
4. **Rented Equipment Summary Record** (Exhibit 4) -- used to record the costs of rented or leased equipment.
5. **Material Summary Record** (Exhibit 5) -- used to record the supplies and materials that are taken out of stock or purchased.
6. **Contract Work Summary Record** (Exhibit 6) -- used to record the costs or work that is done by contract.

EXHIBIT 1

FORCE ACCOUNT LABOR SUMMARY RECORD INSTRUCTIONS

Force Account is the term to refer to the jurisdiction's own personnel and equipment. Keep the following points in mind when compiling force account labor information:

- Record regular and overtime hours separately.
- Record the benefits separately for regular and overtime hours. Most overtime hours include fewer benefits than regular hours.
- Attach a Fringe Benefit Rate Sheet giving a breakdown of what is included in the jurisdiction's benefits. By percentages, e.g., Social Security

– 15.2%, Workman's Compensation – 4.3%, insurance – 18.5%, etc. Use an average rate if there are different benefit rates for different employees.

Complete the Force Account Labor Summary Record as follows:

Heading:

- Applicant:** Enter the jurisdiction's name.
- Paid:** Enter the date these wages were paid.
- PW#:** Enter the Project Worksheet Number that this record covers.
- Disaster Number:** Enter the assigned Disaster Number.
- Location/Site:** Enter the location or site where the work was performed for this Project Worksheet.
- Category:** Enter the category of work being done, e.g. A, B, C, etc.

Detail Section:

- Name:** Enter the names of the employees who worked on the project.
- Job Title:** Enter the job title of each employee who worked on the project.
- Reg:** Enter the regular hours that each employee worked on the project.
- OT:** Enter the overtime hours that each employee worked on the project. **REMINDER: The only overtime that is eligible for reimbursement is overtime for emergency work. Record both regular and overtime hours, so that personnel hours can be compared with equipment use hours, if necessary.**
- Date:** Enter the days date in the space at the top of each column.
- Hours Worked:** Enter the hours worked by each employee, regular hours and overtime hours, in the blocks below the date worked.
- Total Hours:** Add up the regular hours and enter the total. Add up the overtime hours and enter.
- Hourly Rate:** Enter the regular hourly rate for each employee and enter the overtime rate for each employee.
- Benefit Rate:** Enter the appropriate benefit rate from the Totals line on the Fringe Benefit Rate Sheet.
- Total Hourly Wages:** Multiply the Hourly Rate by the Benefit Rate to get an hourly benefit rate. Add the hourly rate to the hourly benefit rate and enter that total.
- Total Costs:** Multiply the Total Hours by the Total Hourly Wage and enter that total.
- Totals Section:**
 - Total Force Account Labor – Regular Time:** Add up the Regular time Total Costs and enter.
 - Total Force Account Labor – Over Time:** Add up the Overtime Total Costs and enter.

Total Force Account Labor: Add the Regular time total to the Overtime total and enter.

Jurisdiction		FORCE ACCOUNT LABOR SUMMARY RECORD			Page	of		
Applicant		Paid	PW #	Disaster Number				
Location/Site		Category					Period covering to	
Description of work performed								
Name	Job Title	Date	Dates and Hours worked each week				Costs	
			Total Hours	Hourly Rate	Benefit Rate %	Total Hourly Wage	Total Costs	
		Reg		\$		%	\$	\$
		OT		\$		%	\$	\$
		Reg		\$		%	\$	\$
		OT		\$		%	\$	\$
		Reg		\$		%	\$	\$
		OT		\$		%	\$	\$
		Reg		\$		%	\$	\$
		OT		\$		%	\$	\$
		Reg		\$		%	\$	\$
		OT		\$		%	\$	\$
		Reg		\$		%	\$	\$
		OT		\$		%	\$	\$
			Total Force Account Labor - Regular Time				\$	
			Total Force Account Labor - Overtime Time				\$	
			Total Force Account Labor				\$	

I certify that the above information was obtained from payroll records, invoices, or other documents that are available for audit.

Certified _____ Title _____ Date _____

EXHIBIT 2

FRINGE BENEFIT RATE SHEET INSTRUCTIONS

Fringe Benefit Calculations:

Fringe benefits for force account labor are eligible for reimbursement. Fringe benefits for overtime will be significantly less than for regular time, except for extremely unusual cases. The following steps will assist in calculating the percentage for fringe benefits paid on an employee's salary. Note that items and percentages will vary from one entity to another.

The normal year consists of 2080 hours (52 weeks X 5 workdays/week X 8 hours/day). This does not include holidays and vacations.

Determine the employee's basic hourly pay rate (annual salary / 2080 hours).

Fringe benefit percentage for vacation time: Divide the number of hours of annual vacation time provided to the employee by 2080 e.g. (80 hours (2 weeks) / 2080 = 3.85%).

Fringe benefit percentage for paid holidays: Divide the number of paid holiday hours by 2080 e.g. (64 hours (8 holidays) / 2080 = 3.07%).

Retirement Pay: Because this measure varies widely, use only the percentage of salary matched by the employer.

Social Security and Unemployment Insurance: Both are standard percentages of salary.

Insurance: This benefit varies by employer. Divide the amount paid annually by the jurisdiction by the basic pay rate determined in Step 2. Then divide the result by 100 to determine the correct percentage rate.

Workman's Compensation: This benefit also varies by employee. Divide the amount paid annually by the jurisdiction by the basic pay ray determined in Step 2. Then divide the result by 100 to determine the correct percentage rate.

Note: Typically, the same rate should not be charged for regular time and overtime. Generally, only FICA (Social Security) is eligible for overtime; however, some entities may charge retirement tax on all income.

Sample Rates:

Although some rates may differ greatly between jurisdictions due to their particular experiences, the table below provides some general guidelines that can be used as a reasonableness test to review submitted claims. These rates are based on experience in developing fringe benefit rates for several state departments, the default rate used for the State of Florida, following Hurricane Andrew (August 1992), and the review of several FEMA claims. The rates are determined using the gross wage method applicable to the personnel hourly rate (PHR) method. The net available hours method would result in higher rates.

Paid Fringe Benefits:

FICA (Social Security Matching)

7.65% (or slightly less)		
Retirement – Regular	17.00%	(or less)
Retirement – Special Risk	25.00%	(or slightly less)
Health Insurance	12.00%	(or less)
Life & Disability Insurance	1.00%	(or less)
Worker's Compensation	3.00%	(or less)
Unemployment Insurance	0.25%	(or less)

Leave Fringe Benefits:

Accrued Annual Leave	7.00%	(or less)
Sick Leave	4.00%	(or less)
Administrative Leave	0.50%	(or less)
Holiday Leave	4.00%	(or less)
Compensatory Leave	2.00%	(or less)

Rates outside of these ranges are possible, but should be justified during the validation process.

Jurisdiction		FRINGE BENEFIT RATE SHEET				Page	of
Applicant		Paid		PW #	Disaster Number		
Location/Site		Category		Period covering to			
Description of work performed							
		Regular Employees		Part-Time Employees			
		Regular Time %	Overtime %	Regular Time %	Overtime %		
Vacation		%	%	%	%		
Holiday Pay		%	%	%	%		
Insurance		%	%	%	%		
Retirement		%	%	%	%		
Unemployment		%	%	%	%		
Social Security		%	%	%	%		
Workman's Comp.		%	%	%	%		
Other		%	%	%	%		
Other		%	%	%	%		
Other		%	%	%	%		
Other		%	%	%	%		
TOTALS		%	%	%	%		
I certify that the above information was obtained from payroll records, invoices, or other documents that are available for audit.							
Certified		Title				Date	

EXHIBIT 3

FORCE ACCOUNT EQUIPMENT SUMMARY RECORD INSTRUCTIONS

Complete the Force Account Equipment Summary Record as follows:

Heading

- Applicant:** Enter the jurisdiction's name.
- Paid:** Enter the date these charges were paid.
- PW#:** Enter the Project Worksheet Number that this record covers.
- Disaster Number:** Enter the assigned Disaster Number.
- Location/Site:** Enter the location or site where the work was performed for this Project Worksheet.
- Category:** Enter the category of work being done, e.g. A, B, C, etc.

Detail Section:

- Type of Equipment:** Enter the name of the equipment used including the size, capacity, horsepower, make and model.
- Equip Code #:** Enter the FEMA Cost Code for the equipment, if known.
- Operator's Name:** Enter the name of the equipment operator.
- Date:** Enter the day's date in the space at the top of each column.
- Hours Used:** Enter the hours used for each piece of equipment in the blocks below the date. Idle and standby hours cannot be included.
- Total Hours:** Add up the Hours Used for the week and enter.
- Equipment Rate:** Enter the cost per hour to use the equipment.
- Total Cost:** Multiply the Total Hours by the Equipment Rate and enter the result.

Totals Section:

- Total Hours:** Add the Total Hours column and enter.

Total Cost: Add the Total Cost column and enter.

Jurisdiction		FORCE ACCOUNT EQUIPMENT SUMMARY RECORD				Page	of			
Applicant		Paid	PW #	Category	Disaster Number					
Location/Site		Period covering to								
Description of work performed										
Type of Equipment Indicate size, capacity, horsepower, make and model	Equip. Code #	Operator's Name	Date	Dates and Hours Used each Day				Costs		
			Hours					Total Hours	Equipment Rate	Total Cost
			Hours						\$	\$
			Hours						\$	\$
			Hours						\$	\$
			Hours						\$	\$
			Hours						\$	\$
			Hours						\$	\$
			Hours						\$	\$
			Hours						\$	\$
			Hours						\$	\$
			Hours						\$	\$
			Hours						\$	\$
Grand Totals									\$	\$

I certify that the above information was obtained from payroll records, invoices, or other documents that are available for audit.

Certified _____ Title _____ Date _____

EXHIBIT 4

RENTED EQUIPMENT RECORD SUMMARY

Complete the Rented Equipment Summary Record as follows:

Heading

- Applicant:** Enter the jurisdiction's name.
- Paid:** Enter the date these charges were paid.
- PW#:** Enter the Project Worksheet Number that this record covers.
- Disaster Number:** Enter the assigned Disaster Number.
- Location/Site:** Enter the location or site where the work was performed for this Project Worksheet.
- Category:** Enter the category of work being done, e.g. A, B, C, etc.

Detail Section:

- Type of Equipment:** Enter the name of the equipment used including the size, capacity, horsepower, make and model.
- Dates and Hours Used:** Enter the date used on the upper block and the hours used in the lower block.
- W/Opr:** Enter the rate charged per hour when the rental company provides the operator.
- W/O Opr:** Enter the rate charged per hour when the rental company does not provide the operator.
- Total Cost:** Multiply the Hours used by the appropriate Rate per Hour and enter.
- Vendor:** Enter the name of the rental company.
- Invoice No:** Enter the rental Company's invoice number.
- Date and Amount Paid:** Enter the Date Paid in the upper block and the Amount Paid in the lower block.
- Check No:** Enter the number of the check used to pay the vendor.

Total Section

Grand Total: Add the Amounts Paid in the Date and Amount Pd column and enter. Attach copies of invoices and proof of payment

EXHIBIT 5

MATERIALS SUMMARY RECORD

Complete Materials Summary Record as follows:

Heading

- Applicant:** Enter the jurisdiction's name.
- Paid:** Enter the date these charges were paid.
- PW#:** Enter the Project Worksheet Number that this record covers.
- Disaster Number:** Enter the assigned Disaster Number.
- Location/Site:** Enter the location or site where the work was performed for this Project Worksheet.
- Category:** Enter the category of work being done, e.g. A, B, C, etc.

Detail Section:

- Vendors:** Enter the name of the vendor supplying the materials.
- Description:** Enter a description of the materials used.
- Quantity:** Enter the quantity used.
- Unit Price:** Enter the price per unit.
- Date Purchased:** Enter the date purchased for use or replacement of stock.
- Date Used:** Enter the date the materials were used on this project.
- Info From:** Check whether the information on this record came from a vendor's invoice or from stock records.

Total Section:

Add up the Total Price column and enter. Attach copies of invoices and proof of payment.

EXHIBIT 6

CONTRACT WORK SUMMARY RECORD

Complete the Contract Work Summary Record as follows:

Heading

- Applicant:** Enter the jurisdiction's name.
- Paid:** Enter the date these charges were paid.
- PW#:** Enter the Project Worksheet Number that this record covers.
- Disaster Number:** Enter the assigned Disaster Number.
- Location/Site:** Enter the location or site where the work was performed for this Project Worksheet.
- Category:** Enter the category of work being done, e.g. A, B, C, etc.

Detail Section:

- Dates Worked:** Enter the dates for the work billed on the invoice listed.
- Contractor:** Enter the name of the contractor.
- Billing Invoice Number:** Enter the contractor's invoice submitted for payment.
- Amount:** Enter the total billed on the invoice.
- Comments – Scope:** Enter pertinent comments such as percentage of work completed, etc.

O Total Section

- Amount:** Add up the Amount column and enter.
Attach copies of contract, invoices and proof of payment.

Jurisdiction		CONTRACT WORK SUMMARY RECORD			Page	of	
Applicant		Paid	PW #	Disaster Number			
Location/Site		Category					Period covering to
Description of work performed							
Dates Worked	Contractor	Billing Involes Number	Amount	Comments - Scope			
to			\$				
to			\$				
to			\$				
to			\$				
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to			\$				
to			\$				
		Grand Total					
I certify that the above information was obtained from payroll records, invoices, or other documents that are available for audit.							
Certified		Title			Date		

Visual 3.12



Legal Issues

Ensure that all legal documents and policies are reviewed by legal staff.

What are some of the kinds of documents that should be reviewed?

FEMA

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Visual description: Legal Issues

Notes

It is important to develop a recovery plan before the disaster happens. The plan should include ordinances, policies and procedures.

Some policies, ordinances and procedures may be specific to the recovery process and will not apply during day to day operations. It is important to anticipate the types of changes needed during recovery operations and have necessary ordinances, policies and procedures either in place, or ready to enact when the need arises.

What are some types of documents that you think should be reviewed by legal staff?

Visual 3.13



Staffing Considerations



Local governments will need adequate numbers of trained staff to manage the workload of recovery efforts.

FEMA

3 - 13

Visual description: Staffing Considerations

Notes

The number of additional staff needed to manage recovery efforts will vary from disaster to disaster. Each jurisdiction will base their staffing decisions on size of the event, amount of damage, available resources and the recovery organization structure.

Each jurisdiction will need to determine what it takes to maintain current government functions, the scope of the recovery work to be done and available staff within the organization. Similar to a gap analysis, answering these questions will help the jurisdiction decide what additional staff and expertise is needed to face the recovery challenge.

Visual 3.14



Staffing Considerations

- How many staff will be needed?
- Can existing staff be temporarily reassigned?
- What training will be required?
- Where will the additional staff work?
- What expertise is needed?
- Where can additional staff be obtained?
- Are existing staff members also disaster victims?
- How will the stress of the recovery be managed?

FEMA

3 - 14

Visual description: Staffing Considerations

Notes

The following are some considerations for staffing:

1. Can existing staff be temporarily reassigned?
2. What would be the considerations for reassigning staff?
3. Where can additional staff be obtained?
4. How will the stress of the recovery be managed?
5. What can you do to manage staff stress?

Visual 3.15



Leading the Recovery

To successfully lead the recovery and establish a vision for the future, a leader must have a solid understanding of the whole community.

FEMA

3 - 15

Visual description: Establish a Vision

Notes

The primary role of leadership is to represent the community throughout the recovery process.

Visual 3.16



Activity 3.1: Who Will Lead?

Purpose: Consider attributes of a recovery leader.

Instructions:

1. Review list of attributes.
2. Recommend any additional attributes you believe are critical to the success of a recovery leader.
3. Identify candidates within your jurisdiction that meet or exceed the attributes.

10 minutes

FEMA

3 - 16

Visual description: Activity 3.1: Who Will Lead?

Notes

The most fundamental need in this stage is to answer the question of “who will lead?”

A credible, strong leader can help coordinate and convene the appropriate stakeholders, establish and drive organizational priorities and policies, resolve issues and challenges and deconflict competing interests.

Individual Activity
10 minutes

ACTIVITY 3.1

Who Will Lead?

Purpose

To consider attributes of a recovery leader.

Directions

1. Refer to the excerpt on the following pages of your Student Manual. This excerpt is “Appendix A: Recovery Coordination and Support Action Executive Checklist ⁶”, from FEMA’s *Effective coordination of recovery resources for state, tribal, territorial and local incidents* (2015). The second item on the checklist includes recommended leadership attributes of a recovery coordinator or manager.
2. Consider the attributes on this checklist, and recommend any additional attributes you believe are critical to the success of a recovery leader.
3. Identify candidates within your jurisdiction that meet or exceed the attributes.

⁶ Federal Emergency Management Agency. (2015, February). Appendix A: Recovery Coordination and Support Action Executive Checklist (pp. 35-36). *Effective Coordination of Recovery Resources for State, Tribal, Territorial and Local Incidents*. Available from FEMA’s Resource & Document Library at <https://www.fema.gov/media-library/assets/documents/101940>

APPENDIX A:

RECOVERY COORDINATION AND SUPPORT ACTION EXECUTIVE CHECKLIST

The following checklist local governments to implement an effective, efficient and equitable recovery coordination process following an incident of any size or scale. The timeframe to complete the tasks will depend on the impacts of the incident.

 Assess if current conditions will require a different approach to managing recovery.

- Determine if anticipated challenges and issues following the incident are beyond current and available resources.

 Ensure that recovery leadership at the state, tribal territorial and local levels are identified and are knowledgeable to support the recovery needs, strategies and plans of impacted communities (See Identifying Recovery Coordination Leadership).

- Identify or assign and deploy a State/Tribal Disaster Recovery Coordinator (SDRC/ TDRC) or Local Disaster Recovery Manager (LDRM); considerations in selecting:
 - Ability to engage and influence stakeholders (However, candidate must have no political or financial conflict of interest in outcome of recovery);
 - Project management skills;
 - Working relationship with other state, tribal, local, nonprofit agencies and the for-profit private sector;
 - Knowledge of the resources that recovery partners can provide; such as post-incident technical support and grant funding programs;
 - Understanding of the wide variety of needs of different populations; to include children, adults and children with access and functional needs, groups with limited English proficiency and people with disabilities; and
 - Knowledge of community development and planning.

 Establish a dedicated recovery focused multi-agency coordination structure at the state, tribal, territorial and local level as appropriate (See Selecting a Recovery Coordination Structure).

- Implement Recovery Support Function, Task Force, and/or Recovery Committee models as appropriate.
- Include current and potential recovery partners; to include non-governmental organizations and the private-sector to ensure that technical support and programmatic resources are known, available and coordinated.
- Coordinate between counterpart local, state, and national non-governmental and private-sector partners to maximize an understanding of available support and ensure coordination.
- Identify the need for Federal support to state/tribal or local recovery coordinating partners.

Effective Coordination of Recovery Resources for State, Tribal, Territorial and Local Incidents

Complete an effective evaluation process on the current and anticipated recovery impacts that will drive the recovery activities of the organizational structure and decision makers to prioritize resources (See Chapter 3: Assessing and Evaluating Current and Anticipated Recovery Issues).

- Ensure that identified recovery leaders and stakeholders are involved in the assessment process.
- Develop or use an existing assessment tool that is comprehensive and evaluates recovery impacts by core capability or sector (See Appendix C: Assessment Tools).
- Collect and analyze data, reports and assessments from a wide range of sources to identify short- and long-term recovery needs.
- Identify recovery priorities from the results of the assessment and existing planning and policy documents.

Support a community's recovery through the identification and coordination of recovery resources and engagement of partners (See Chapter 4: Identifying and Coordinating Key Resources).

- Identify state, tribal, territorial and local programs that can be used, reprioritized, or altered to support the needs of affected communities identified in the assessment process.
- Identify the potential for peer-to-peer/mutual aid assistance to support local recovery coordination and planning efforts.
- Request additional assistance from Federal agencies as needed; to include Federal recovery coordination support.
- Ensure that supplemental support is in alignment with identified local priorities, strategies and plans to maximize impact, identify gaps and avoid duplication.
- Implement solutions that incorporate resilience and mitigation principles (See Chapter 5: Building Resilience into Recovery) and ensure that recovery programs and projects are well managed and monitored.

Visual 3.17



Leading the Recovery

- **Vision for recovery**
- **Visible**
- **Proactive**
- **Set the tone for cooperation**
- **Involve community partners**
- **Gain support for recovery initiatives**
- **Lobby for support**
- **Host VIP's president, partners, potential benefactors**

FEMA

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Visual description: Leading the Recovery

Notes

The role of the recovery leader will include involvement in the following activities:

- Establishing a vision for recovery
- Setting the tone for cooperation
- Fostering relationships with community partners
- Garnering support for recovery initiatives
- Lobbying for support
- Hosting VIP's president, partners, potential benefactors

The recovery leader should be visible and proactive in the course of conducting all of these activities.

Visual 3.18



Visual description: Establish a Vision for Recovery

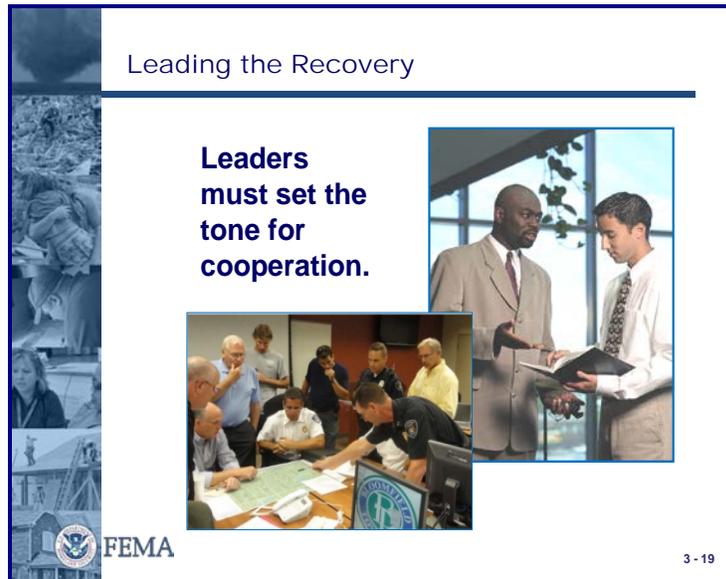
Notes

Leaders must be able to envision the community's future as they move through the recovery process. Leaders must also be able to impart this vision to others to gain support and enthusiasm for recovery projects and programs.

A leader might consider the following questions when creating a vision for their community's recovery. These questions may be asked at staff meetings, focus groups, community meetings, and at other gatherings involving community groups and citizens.

- How do we define recovery and what will our community look like when it is achieved?
- What opportunities exist for improvement in the community infrastructure, facilities and amenities?
- Are there key events and historical or cultural issues that must be considered and preserved as part of the recovery?
- How should recent or long term changes in demographics be considered when planning for recovery programs and projects? (i.e. how has the community changed from its beginning to the present day?)
- How do sustainability and mitigation issues relate to decisions about recovery?

Visual 3.19



Visual description: Leaders Set the Tone

Notes

In setting the tone for cooperation, leaders must be visible and proactive throughout the process. Doing so will help obtain essential community support for recovery initiatives.

Leadership may find it necessary to lobby for support of recovery initiatives. This may include both political and financial support. This lobbying effort may include hosting VIP's, community groups and partners as well as potential benefactors for special projects and programs.

Visual 3.20



Visual description: Video: "Selling Waterbury" (Partnering for Recovery) ⁷

Notes

With the completed Waterbury, Vermont's Long-Term Community Recovery Plan ⁸ in hand, FEMA facilitated a meeting for Waterbury with prospective "recovery partners". This video introduces the process of Waterbury "selling" the projects within their Recovery Plan to state, federal, and foundation partners who could help Waterbury rebuild their community.

⁷ Tracey, S. (Producer). (2012, May 1). *Partnering for recovery* [Video file]. Retrieved from <https://www.fema.gov/media-library/assets/videos/79737>

⁸ Waterbury, Vermont & FEMA's Long Term Community Recovery Program. (2012, May). *Waterbury: long-term community recovery plan*. Retrieved from <http://www.waterburyvt.com/about/recovery/plan/>

Transcript for the Video: “Partnering for Recovery”

All of the windows were smashed out. The Baptist Church which their basement was completely flooded out, they were out of business for quite a while. The old red mill...

Rebecca Ellis/Waterbury Selectboard: In November we started this process, the long term recovery process. And it's been a great experience for us here in Waterbury because we have been able to come up with really specific projects that will help us move forward.

Rebecca Ellis/Wilmington Selectboard: Today's meeting is a turning point for the community. Up till now, we have been doing a lot of planning about how we think we can move forward and today we are going to be able to take those plans and really start to move with them.

Denise Gilliam/FEMA Community Planning and Capacity Building: The project champions are displaying their plans and talking to the partners about their projects.

Mary Wright/Wilmington Project Champion: We are presenting our community generated long term community recovery plans to various state and federal agencies telling them how we think we want to succeed and go forward and they are here to help us find resources to do that.

Our first project is the business resource center.

This project here is to build a joint police, fire and rescue building.

Our group is revitalization of the historic village.

These are not just pie-in-the-sky ideas. These are the ideas we thought would have the biggest impact and would really come to life.

An application for Waterbury will score well. It will score well for national competition.

Denise Gilliam/FEMA Community Planning and Capacity Building: This meeting is the transfer of the FEMA group working with this community to the community moving forward on its own with the other partners.

Jon-Michael Muise/USDA: USDA Rural Development has about forty different programs and I would say about ninety-nine percent of the projects in the room with have programs consistent with.

Mathew Sucholdolski/Northeastern Economic Development Association: Not only the number of projects brought forth but the depth and understanding of each of those projects was and is very impressive.

Jon-Michael Muise/USDA: There's a lot of resources out there to be able to help communities with what they want to accomplish, whether it is a community center or fire and rescue, however unless you have someone that is willing to step up and be the champion of that activity the money doesn't usually get accessed.

Mathew Sucholdolski/Northeastern Economic Development Association: A long term disaster recovery plan, such as the one that has been put forth by the town today, will certainly give those communities a competitive edge, not only in the consideration of an application for funding under our programs but other state and federal programs as well as foundation funding.

Sue Minter/Vermont Irene Recovery Officer: FEMA brings people with experience. They bring facilitators. They help with the logistics of setting up meetings. The help move us forward. That has taken a whole team of people that, unfortunately, we don't really have at the state. So we

feel so grateful for the resources provided because it has been a catalyst and its set timelines and very focused strategies and I know it is making a difference.

Sue Minter//Vermont Irene Recovery Officer: I just want to make sure you are planning to go through the Downtown Designation process. That is going to really help you. Is there any way to hurry that process?

Mary Wright/Wilmington Project Champion: One of the recovery partners was saying I understand Wilmington is thinking of going for downtown designation. As soon as you get that it will fast-track you onto this other granting process. And we said... I have heard it can take a year and a half.

I have heard it takes a year and half to apply. And she said "Mary, you have been doing it.

Sue Minter/Vermont Irene Recovery Officer: That is what you have been doing. So that was an "ah-ha" moment.

Skip Flanders/Waterbury Project Champion: After seeing all the people here today and the energy and things I am converted. We are about fifty-percent complete on this. (applause)

Skip Flanders/Waterbury Project Champion: You really feel confident it is the right thing and this is going to be good for the future of Waterbury.

Rebecca Ellis/Wilmington Project Champion: There is a buzz in the air. And people are talking. You can feel the ideas that have been going back and forth so this has really been a wonderful day.

Visual 3.21



Visual description: Involve Community Partners

Notes

In order to gain support for recovery initiatives it is important to involve community partners in the process.

Visual 3.22



Inter-jurisdictional Relationships

A leader will need to establish trust and cooperation with outside agencies and other jurisdictions to help aid the recovery effort.

- Mutual aid
- Mutual interests
- Cross-jurisdiction damage
- Common issues: City-County-State



3 - 22

Visual description: Inter-jurisdictional Relationships

Notes

Leadership must determine the most appropriate way to manage the recovery and task personnel accordingly.

Visual 3.23



Recovery Manager

The roles of the Recovery Manager are:

- To coordinate the recovery program with leadership.
- To oversee a broad range of projects and programs.
- To manage the details
- To ensure that management staff are working together to reach the established goals and community vision for recovery.

FEMA

3 - 23

Visual description: Role of the Recovery Leader

Notes

The *National Disaster Recovery Framework*⁹ recommends the appointment of a Local Disaster Recovery Manager to be identified by the senior elected official following any incident that requires a coordinated recovery effort (FEMA, 2011, p. 25). Individuals in these positions are intended to serve as the primary point of contact for recovery issues within their jurisdiction and are responsible for managing the details of recovery process on the ground; to include coordinating with recovery partners at all levels, communicating priorities of local leadership and ensuring an inclusive recovery process.

⁹ Federal Emergency Management Agency. (2011, September). *National disaster recovery framework: Strengthening disaster recovery for the nation*. Available from FEMA's Resource & Document Library at <http://www.fema.gov/media-library/assets/documents/32368>

Visual 3.24



Recovery Task Force

One way leaders and managers can help establish a broad vision and incorporate community goals into the recovery strategy is to establish a Recovery Task Force.



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Visual description: Recovery Task Force

Notes

Tell the students that the Recovery Task Force can take a variety of forms. The composition of the Recovery Task Force may vary from disaster to disaster and it may be fluid to adapt to the current needs of the recovery process. It may also have numerous subcommittees addressing various needs or projects.

Visual 3.25



Activity 3.2

Recovery Task Force Challenges
In your table group, review your assigned Recovery Task Force topic, and answer each of the questions provided. Prepare responses on easel to share with class.

45 minutes



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Visual description: Activity 3.2 Recovery Task Force Challenges

Notes

Group Activity
45 minutes

ACTIVITY 3.2

Recovery Task Force Challenges

Purpose

To discuss issues and challenges faced by a Recovery Task Force.

Directions

The class will work in table groups for this activity.

1. Your instructor will assign one of the 5 Recovery Task Force topics to each table group.
2. Read and discuss your recovery issue.
3. Develop comprehensive responses to each of the questions provided.
4. Answer the questions provided and record the group's ideas on an easel pad.
5. Select a spokesperson to report on your findings. The spokesperson should read their group's assigned Recovery Task Force issue at the beginning of their report to the class.

ACTIVITY 3.2**Recovery Task Force Challenges****Scenario 1: Providing Temporary Housing**Background

Once shelters have closed, temporary housing may be necessary. There is a need for interim or temporary housing when residential buildings are so damaged that funds and time are needed before the buildings are habitable. In areas where housing vacancies are low and the damage is high, temporary housing must be provided fairly quickly. Finding temporary housing for low-income residents may be especially challenging.

From the perspective of your local governments, report the following:

1. What official or organization would probably lead this recovery effort?
2. What barriers could hinder cooperative efforts in your locale?
3. What recovery challenges does this particular function pose to your jurisdiction? (Examples: housing shortage, rapid population growth and uncontrolled development, non-English speaking population)
4. What selling points for cooperation would be most effective in your area?
5. What ideas might be introduced to encourage discussion?
6. Who might assist or be involved in the Recovery Task Force?

ACTIVITY 3.2**Recovery Task Force Challenges****Scenario 2: Restoring Essential Community Services**Background

In the effort to get the community back on its feet as quickly as possible, restoration of community services becomes a very high priority. Without stores, schools, hospitals, childcare and other services, the community cannot return to normal. Restoring these services requires communication and coordination among both providers and government officials. The difficulty in restoring community services depends upon the severity of the damage and, of course, the greater the difficulty, the more complicated all of the other aspects of recovery become.

From the perspective of your local governments, report the following:

1. What official or organization would probably lead this recovery effort?
2. What barriers could hinder cooperative efforts in your locale?
3. What recovery challenges does this particular function pose to your jurisdiction?
4. What selling points for cooperation would be most effective in your area?
5. What ideas might be introduced to encourage discussion?
6. Who might assist or be involved in the Recovery Task Force?

ACTIVITY 3.2

Recovery Task Force Challenges

Scenario 3: Providing Permanent Housing

Background

For regularly employed middle-income earners, the post-disaster housing assistance process works fairly well. Groups outside the mainstream have had serious problems obtaining replacement housing. Low-income earners, certain groups of renters, and the chronically homeless often are ill-served by systems currently in place.

Permitting and financing are both necessary ingredients of a successful rebuilding effort. Local governments must establish the codes, standards, ordinances, and permit requirements that will apply to replacement housing. Financing, sometimes from multiple sources, must be made available.

Local government is responsible for helping individuals replace their housing through the permitting process. In addition, it is responsible for the provision of some low-income housing. Expanded redevelopment districts could result in construction of some additional low-income housing in a community. Local governments do not establish housing policies of the State and Federal aid programs, but they influence the tone and direction of those programs in the local community. Local government also may get involved in financing private repairs and often can influence donations and assistance from voluntary nonprofit agencies.

From the perspective of your local governments, report the following:

1. What official or organization would probably lead this recovery effort?
2. What barriers could hinder cooperative efforts in your locale?
3. What recovery challenges does this particular function pose to your jurisdiction? (Examples: housing shortage, rapid population growth and uncontrolled development, non-English speaking population)
4. What selling points for cooperation would be most effective in your area?
5. What ideas might be introduced to encourage discussion?
6. Who might assist or be involved in the Recovery Task Force?

ACTIVITY 3.2

Recovery Task Force Challenges

Scenario 4: Aiding Business Recovery

Background

Government alone cannot ensure community recovery from disaster. The business and government communities must be partners. Business recovery is essential to the community's survival, and many early recovery decisions affect how businesses rebound. After the first few days of the emergency, life safety is less an issue and there is tremendous pressure to begin returning the community to normal. How and when the business community gains access to its property is important. If your business community is out of business, your community cannot recover from a disaster.

From the perspective of your local governments, report the following:

7. What official or organization would probably lead this recovery effort?
8. What barriers could hinder cooperative efforts in your locale?
9. What recovery challenges does this particular function pose to your jurisdiction? (Examples: population loss, poor public transportation, dependence on tourism)
10. What selling points for cooperation would be most effective in your area?
11. What ideas might be introduced to encourage discussion?
12. Who might assist or be involved in the Recovery Task Force?

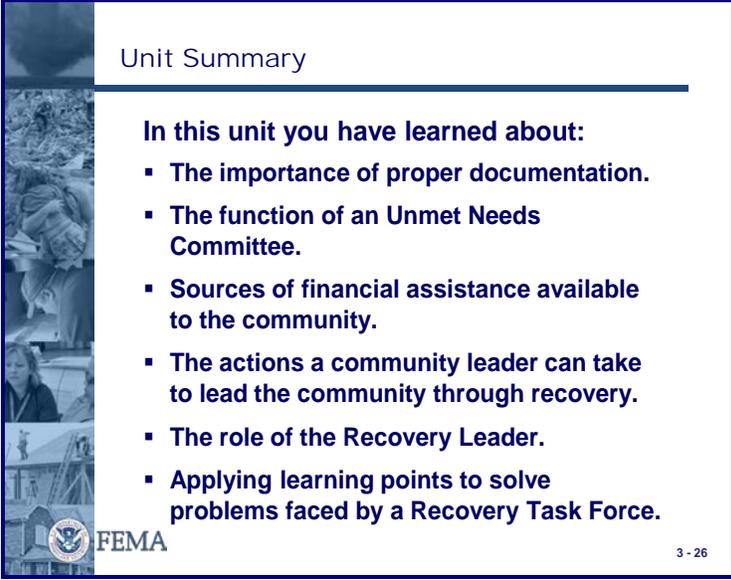
ACTIVITY 3.2**Recovery Task Force Challenges****Scenario 5: Determining Rebuilding Options**Background

Questions will arise almost immediately from the community and leading officials about what has to be done in order to rebuild. What will be rebuilt? Where will rebuilding take place? Will there be changes in the building process? What will the rebuilt community look like? The level of damage to the community and the community growth and development issues before the disaster will affect the types of planning issues that will arise. Everyone will have a different opinion on what should be rebuilt and how to do it.

From the perspective of your local government, report the following:

1. What official or organization would probably lead this recovery effort?
2. What barriers could hinder cooperative efforts in your locale?
3. What recovery challenges does this particular function pose to your jurisdiction? (Examples: aging infrastructure, rapid population growth and uncontrolled development)
4. What selling points for cooperation would be most effective in your area?
5. What ideas might be introduced to encourage discussion?
6. Who might assist or be involved in the Recovery Task Force?

Visual 3.26



Unit Summary

In this unit you have learned about:

- The importance of proper documentation.
- The function of an Unmet Needs Committee.
- Sources of financial assistance available to the community.
- The actions a community leader can take to lead the community through recovery.
- The role of the Recovery Leader.
- Applying learning points to solve problems faced by a Recovery Task Force.

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Visual description: Unit Summary

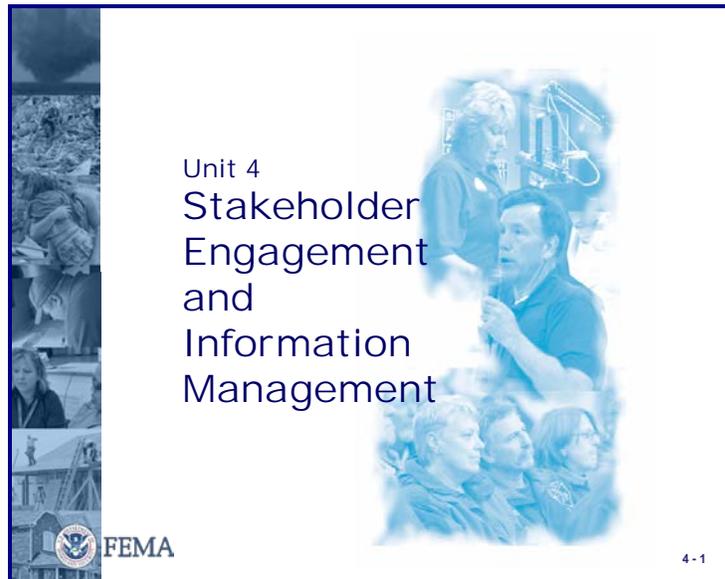
Notes

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Unit 4: Stakeholder Engagement and Information Management

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Visual 4.1

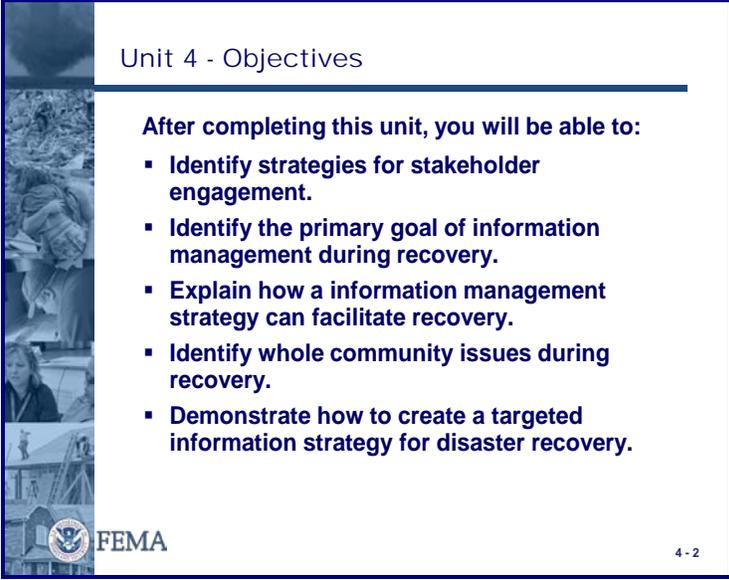


Visual Description: Unit 4: Stakeholder Engagement and Information Management

Notes

Stakeholder engagement and information management are integral parts of the recovery process. Recovery is a whole community effort that requires collaboration with stakeholders and various level of government. Providing appropriate information management is critical to a successful recovery effort.

Visual 4.2



Unit 4 - Objectives

After completing this unit, you will be able to:

- Identify strategies for stakeholder engagement.
- Identify the primary goal of information management during recovery.
- Explain how a information management strategy can facilitate recovery.
- Identify whole community issues during recovery.
- Demonstrate how to create a targeted information strategy for disaster recovery.

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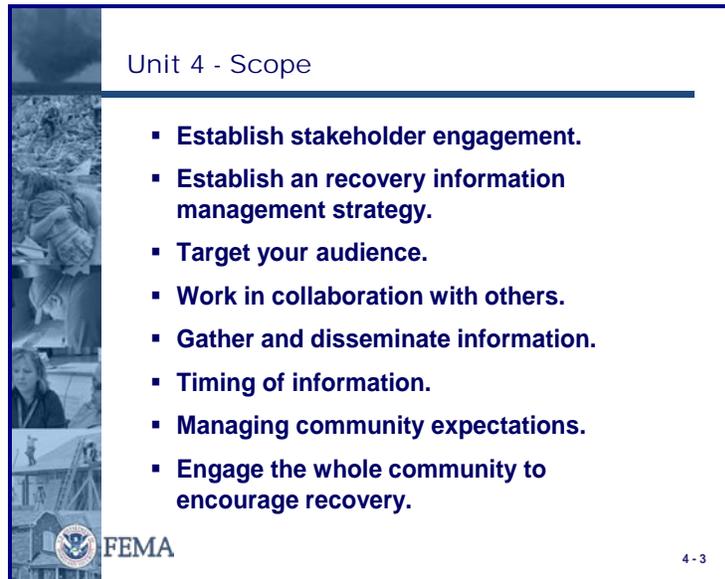
4 - 2

The slide features a vertical strip of images on the left side, including a person working at a computer, a person in a hard hat, and a FEMA logo at the bottom. The text is presented in a clear, professional font with a blue header and a list of objectives.

Visual Description: Unit 4 Objectives

Notes

Visual 4.3



Unit 4 - Scope

- Establish stakeholder engagement.
- Establish an recovery information management strategy.
- Target your audience.
- Work in collaboration with others.
- Gather and disseminate information.
- Timing of information.
- Managing community expectations.
- Engage the whole community to encourage recovery.

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4 - 3

Visual Description: Unit 4 Scope

Notes

Visual 4.4



Visual Description: Engaging the Whole Community

Notes

Allowing and encouraging engagement of the whole community is critical to a successful recovery process.

How would you go about engaging community members that are interested or affected by recovery decisions, but are not necessarily part of the “recovery team?”

What stakeholders (community groups, organizations or individuals) should be considered when developing your strategy for community engagement?

Visual 4.5



Community Engagement in Recovery

What role does information management play in gaining whole community participation and support?

FEMA

4 - 5

Visual Description: Community Engagement in Recovery

Notes

How might Information Management be used to engage the whole community?

Visual 4.6



Community Engagement in Recovery

- Help encourage participation in the recovery decisions and process
- Help identify opportunities to create partnerships
- Help the community understand the role of government -vs- stakeholder responsibilities
- Help engage special interest groups
- Help create “ownership” in the process

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4 - 6

Visual Description: Community Engagement in Recovery

INotes

At the conclusion of this unit, you will have an opportunity to work in table groups to develop a disaster recovery communication strategy.

Visual 4.7



Information Management Goal

The information management goal is to effectively collect and distribute accurate and timely disaster recovery information.

4 - 7

Visual Description: Information Management Goal

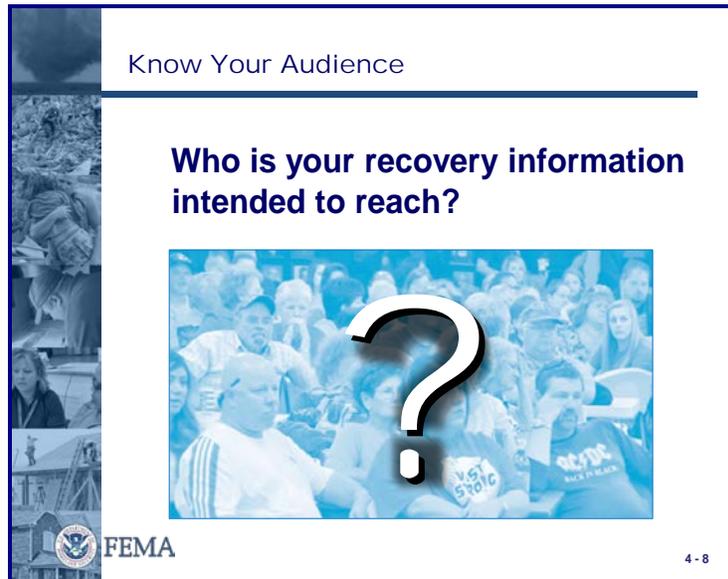
Notes

The primary goal of information management is to effectively collect and distribute accurate and timely disaster recovery information.

Note the word “effectively.” There are many elements that enhance effectiveness. We will cover a variety of ways to help you be more effective in your information management task.

On the surface this may seem like a pretty straightforward task. However, every aspect of the recovery effort comes with specific needs for information, and challenges in getting that information out to the intended audience.

Visual 4.8



Visual Description: Who is your recovery information intended to reach?

Notes

It is critical to understand who your public information message it intended to reach. It will be essential to develop a strategy for collecting, developing and disseminating information.

- Who is your audience? What is the demographic of the community?
- What specific challenges arise when trying to communicate with these audiences?
- Are there cultural issues? i.e. non-English speaking, disabled, elderly or other population segments.
- How do the social and psychological impacts that the disaster has on the community impact your communication strategy?
 - Elizabeth Kubler Ross 5 stages of grieving cycle:
 - Denial
 - Anger
 - Bargaining
 - Depression
 - Acceptance

These unique challenges may require special efforts to communicate effectively. All of these issues must be considered as you develop your communication strategy.

Visual 4.9



Coordinate Communication Efforts



All agencies will need to coordinate efforts to provide clear and effective recovery information.

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4 - 9

Visual Description: Coordinate communication efforts

Notes

All local government departments and partner agencies will have information they need to provide to the public. Coordination and collaboration among those agencies and organizations that have important information for the public will be essential if the information is to be clear and effective. Coordination will help provide consistency in the information provided, clarification as to who will release information, and clear direction on who serves as the spokesperson on specific issues.

The following questions are important considerations for coordination of communication efforts.

- What department or agency handles the Information management function in your community?
- If various people will serve as spokespersons, who will coordinate the messages?
- What agencies, departments and organizations will need to coordinate information to ensure consistency?
- Who will staff the information management function?
- Will additional staff be needed?

Visual 4.10



Information Management

- **Communicate the specifics of the recovery efforts**
- **Use a proactive approach**
- **Develop an information management strategy**
- **Poll key figures**
- **Work with stakeholders and the media**
- **Monitor the message**
- **Collaborate and build trust**

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4 - 10

Visual Description: Information Management

Notes

Recovery planning reflects the specifics of the damage, demographics of those impacted, viability of solutions and the realistic timeframe for performance. So too should your communications strategy.

Typical communications strategies must be compared to the specific needs of the disaster and revised to maximize impact.

Recovery officials from each organization must share the latest information and sign off on information to be released to the public. Strong internal collaboration will ensure that the recovery team speaks with one voice and follows a common agenda.

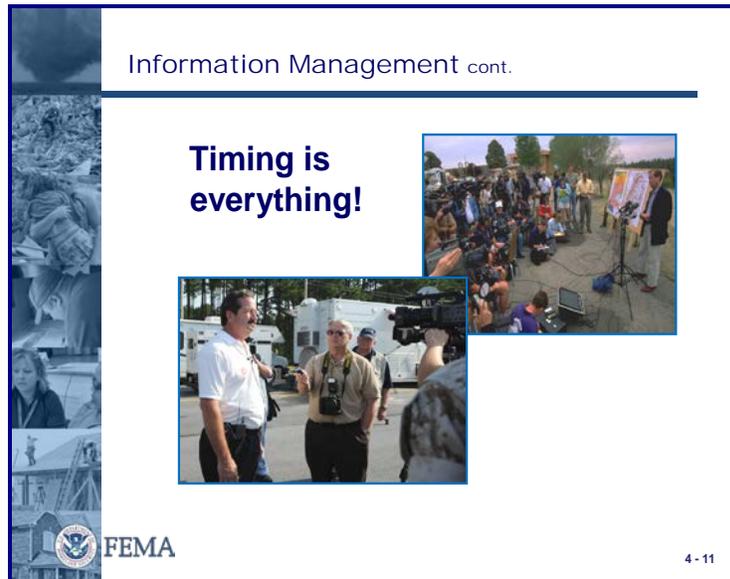
Proactive communication is step one. Step two is monitoring how the message has been received and perceived. Monitor the media to determine the accuracy of information reaching the community. Work to supply answers for identified information gaps.

The following questions are considerations for effective information gathering and development of a communications strategy.

- Can no news be good news? What happens in an information void?
- What individuals, organizations and entities should be among the first to receive information?
- What key figures in the community can serve as accurate sources of information?
- Who will monitor the accuracy of information and how it is received and perceived by the public?
- What assistance from local media will help the recovery team?

- How can you build a collaborative, trusting working relationship with local media and key community figures?

Visual 4.11



Visual Description: Information Management (cont.)

Notes

Just like warning information during an emergency, the timing of recovery information is critical. It must be delivered when the public needs it, and when they can best use the information.

What kinds of information would be delivered during the early phase of disaster recovery?

Immediately following a disaster, people may be in shock and grieving over what has happened. They may not be able to process complex information effectively. Government needs to deliver information that is direct and to the point during the early days following a disaster.

What kind of information is important to deliver in mid-term recovery? And in long-term recovery?

Visual 4.12



Managing Expectations

Communications should include elements that realistically manage community expectations.



FEMA

4 - 12

Visual Description: Managing Expectations

Notes

Why it is important to include expectation management in your information management strategy?

What types of incidents can derail expectation management efforts?

Visual 4.13



Encourage Recovery

Do everything you can to work in partnership with all stakeholders in the community.



FEMA

4 - 13

The image shows a group of people, including men and women of various ages, sitting around a large table in a meeting room. They appear to be engaged in a discussion or a workshop. There are papers and folders on the table. In the background, there is a presentation screen and an American flag. The FEMA logo is visible in the bottom left corner of the slide.

Visual Description: Encourage Recovery

Notes

Recovery is a game that everyone in the community gets to play. Note that both community engagement and information management strategies are critical to a successful process. When appropriate, the message to the community should reflect that recovery is a team effort that includes all stakeholders in the community.

Visual 4.14

A slide titled "Activity: 4.1 Targeting the Whole Community" with a blue border. The slide includes a vertical strip of images on the left: a person at a computer, a person reading, a person speaking, and a FEMA logo. The main text on the slide is as follows:

Activity: 4.1
Targeting the Whole Community

Purpose: **To develop strategies for providing recovery information to a target audience.**

Instructions: **Working in your table group, complete the following:**

- **Develop strategies for providing recovery information to your target audience.**
- **Record key discussion points on an easel pad.**
- **Select a spokesperson and be ready to give a brief 2-3 minute report in 15 minutes.**

FEMA 4-14

Visual Description: Activity 4.1: Targeting the Whole Community

Notes

Group Activity
30 minutes

ACTIVITY 4.1

Targeting the Whole Community

Purpose

To develop strategies for providing recovery information to a specific audience.

Directions

1. Your instructor will assign your group one of the 5 scenarios.
2. Working in table groups, develop strategies for providing recovery information to your target audience.
3. Record key discussion points on an easel pad.
4. Select a spokesperson and be ready to give a brief 2-3 minute report in 15 minutes.

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ACTIVITY 4.1**Targeting the Whole Community****Information Management Challenge #1: Providing recovery information to the business community.**

A significant portion of the local business community has been adversely affected by the disaster. It is important to the overall recovery of the community that the businesses receive timely and appropriate information related to business recovery issues.

What information management strategies would you use to communicate with this facet of your community?

As a group, answer the following questions:

5. What challenges does this scenario pose?
6. What communication strategies would you suggest?
7. What special information should the business community receive?

ACTIVITY 4.1

Targeting the Whole Community

Information Management Challenge #2: Providing recovery information to the access and functional needs members of the community.

A portion of the damage area houses a broad range of individuals with access and functional needs who have been adversely affected by the disaster. It is important to their overall recovery that they receive appropriate information to conquer the obstacles they face during recovery.

What information management strategies would you use to communicate with this facet of your community?

As a group, answer the following questions:

8. What challenges does this scenario pose?
9. What communication strategies would you suggest?
10. What special information would the disabled and special-needs community need?

ACTIVITY 4.1**Targeting the Whole Community****Information Management Challenge #3: Providing recovery information to the non-English speaking members of the community.**

A significant portion of the damage area houses many non-English speaking residents who have been adversely affected by the disaster. It is important to their overall recovery that they receive appropriate information to conquer the obstacles they face during recovery.

What information management strategies would you use to communicate with this facet of your community?

As a group, answer the following questions:

1. What challenges does this scenario pose?
2. What communication strategies would you suggest?
3. What special information would the non-English speaking need to receive?

ACTIVITY 4.1**Targeting the Whole Community****Information Management Challenge #4: Providing recovery information to the low income and elderly members of the community.**

A significant portion of the damage area impacted the housing. Many low income and elderly residents have been adversely affected by the disaster. Approximately 80% of these individuals and families are renters. It is important to their overall recovery that they receive appropriate information to conquer the obstacles they face during recovery.

What information management strategies would you use to communicate with this facet of your community?

As a group, answer the following questions:

1. What challenges does that scenario pose?
2. What communication strategies would you suggest?
3. What special information would the low income and elderly community need to receive?

ACTIVITY 4.1

Targeting the Whole Community

Information Management Challenge #5: Clarifying policies and procedures for removal of debris from private property.

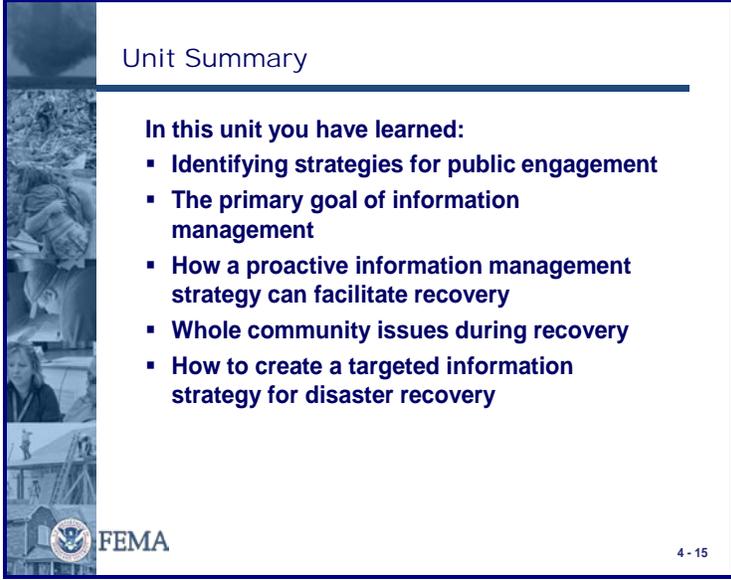
Residents in the community are confused about the policies and procedures for removal of debris from private property. Several rumors have been circulating throughout the community regarding the proper handling of debris from private property. First, that public works crews will enter private property at the residents request and remove debris, and second, that it is OK for residents to put debris from their property in the county right of way for free pick up. Debris is piling up in the streets of many neighborhoods and others expect the county to clean up the debris on their property.

What information management strategies would you use to communicate with this facet of your community?

As a group, answer the following questions:

1. What challenges does that scenario pose?
2. What communication strategies would you suggest?
3. What special information would residents need to receive?

Visual 4.15



Unit Summary

In this unit you have learned:

- Identifying strategies for public engagement
- The primary goal of information management
- How a proactive information management strategy can facilitate recovery
- Whole community issues during recovery
- How to create a targeted information strategy for disaster recovery

FEMA

4 - 15

Visual Description: Unit Summary

I Notes

Unit 5
Local Capabilities and Challenges

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Objectives

After completing this unit, you will be able to:

1. Explain the roles of local agencies for functions including housing, public works, building inspection, planning, and community development.
 2. Identify the six community planning tools that can assist in disaster recovery
 3. Describe the challenges and opportunities related to short and long term housing issues.
-

Scope

- How community systems relate to each other in the recovery process.
 - Internal capabilities and challenges relating to developing your recovery plan.
 - Identify community resilience opportunities in community system recovery.
 - Contemporary recoveries with focuses on housing and infrastructure (2 Briefing Papers on housing and infrastructure)
-

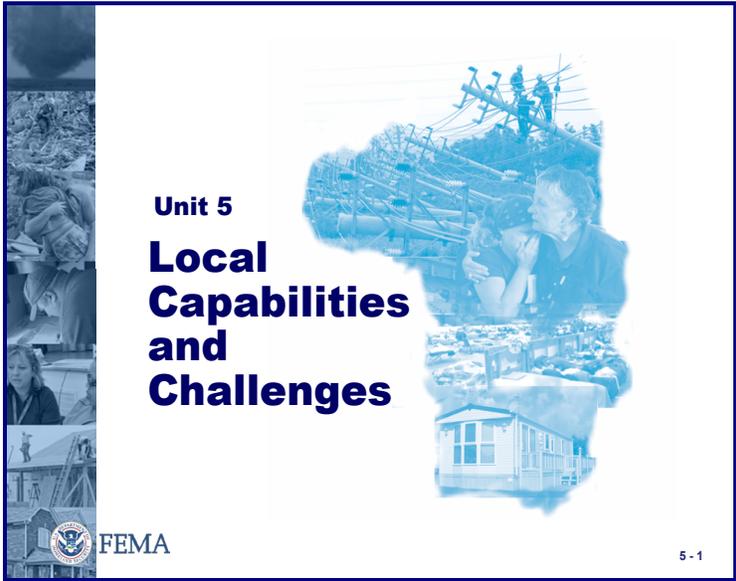
References

American Planning Association. (ca 2015). *Affordable housing* (Planning for post-disaster recovery briefing papers) (Issue Brief No. 4). Retrieved from <https://www.planning.org/research/postdisaster/briefingpapers/pdf/housing.pdf>

American Planning Association. (ca 2015). *Planning resilient infrastructure* (Planning for post-disaster recovery briefing papers) (Issue Brief No. 3). Retrieved from <https://www.planning.org/research/postdisaster/briefingpapers/pdf/infrastructure.pdf>



Visual 5.1



Visual description: Unit 5: Local Capabilities and Challenges

Notes



Visual 5.2



Unit Objectives

After completing this unit, you will be able to:

- Explain the roles of local agencies for functions including housing, public works, building inspection, planning, and community development.
- Identify the six community planning tools that can assist in disaster recovery.
- Describe the challenges and opportunities related to short and long term housing issues.

FEMA

5 - 2

Visual description: Unit Objectives

Notes

This unit is about contemporary recoveries with focuses on housing and infrastructure



Visual 5.3



Visual description: Planning and Community Development

Notes

Successful disaster recovery often requires the application of community planning and administrative skills, knowledge, and resources. Community planning provides many options for restoring and improving the socio-economic and environmental framework of the community.



Visual 5.4

The Role of Community Planning

- Analyze existing community development problems and issues.
- Identify options and solutions.
- Develop a vision for the community's future.

FEMA

5 - 4

Visual description: The Role of Community Planning

Notes

The Planning and/or Community Development department has an important role in disaster recovery. Not all communities are large enough or have sufficient resources to have their own planning department but many counties do provide this function of government.

Local government planning and community development departments specialize in reviewing problems and issues involving the community's socio-economic and environmental framework. Housing, transportation, infrastructure, parks and recreation, and environmental concerns are examples of the types of issues within this department's purview.

Community planners identify options and solutions for the identified problems and issues; however, they cannot adopt them. Rather, it is their job to formulate proposals that are subject to public review and comment and to adoption by the local governing board.

Community planners also help establish a vision of the community's future—what it could look like, how it could change, and what measures could be taken to achieve that change.

The disaster recovery phase provides ample opportunity for the community planning department to apply its tools and techniques to identify solutions and options for the community's future. The following are examples:

- Participating in damage assessment and situation analysis.
- Reviewing proposals for rebuilding damaged areas.
- Reviewing development proposals and building permits for compliance with Federal, State and local requirements.
- Coordinating hazard mitigation projects.
- Participating on the Recovery Task Force.



Visual 5.5

Six Planning Tools

- General Plan and Elements
- Zoning Ordinance
- Subdivision Regulations
- Capital Improvements Programming
- Transfer of Development Rights
- Mapping

FEMA

5 - 5

Visual description: Six Planning Tools

Notes

The following six planning tools are common local powers that can have a major impact on a community's recovery from a disaster. Each of the tools will be described in detail in the remainder of this section.

- 1) General Plan and Elements
- 2) Zoning Ordinance
- 3) Subdivision Regulations
- 4) Capital Improvements Programming
- 5) Transfer of Development Rights
- 6) Mapping



Visual 5.6

General Plan and Elements

The Land Use or General Plan and Elements sets goals for these uses:

- Land Use
- Transportation
- Safety
- Public Utilities
- Open Space

FEMA

5 - 6

Visual description: General Plan and Elements

Notes

The General Plan (may also be called a Comprehensive Plan) and its elements are used to describe and guide existing and future social, economic, and environmental features of a community. They describe the direction and pace of community development, usually in 5-year increments or forecasts.

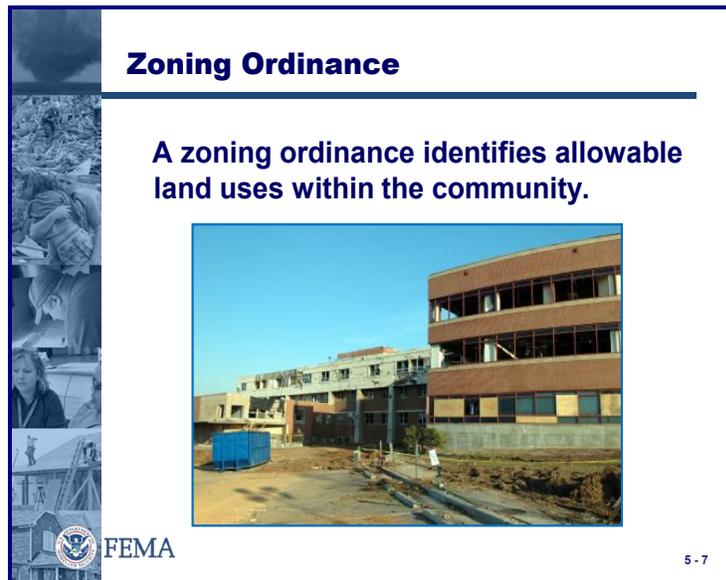
The following elements are usually contained in the General Plan. Additional or different elements may be included, depending on the nature and priorities of the community (e.g., history, environmental concerns).

- Land Use
- Transportation
- Safety
- Public Utilities
- Open Space

Because it is a guidance document, the General Plan and Elements can be used to guide disaster recovery discussions and, ultimately, decisions. For example, the General Plan and Elements may reveal that a recovery proposal conflicts with the land use, open space, or historic preservation goals of the community.



Visual 5.7



Visual description: Zoning Ordinance

Notes

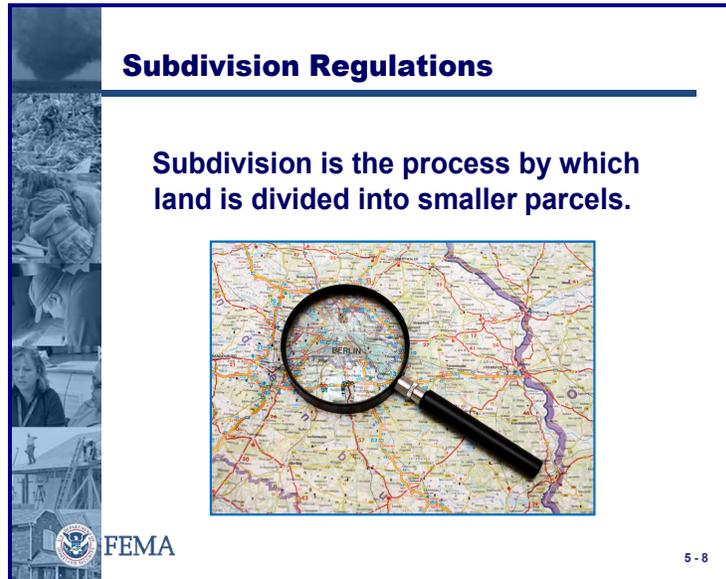
Zoning regulations and maps designate permitted uses of land based on mapped zones which separate one set of land uses from another. Zoning may be use-based (regulating the uses to which land may be put), or it may regulate building height, lot coverage, and similar characteristics, or some combination of these.

Zoning regulations may, for example, stipulate that only single-family housing is permitted in a given area of a community. A proposal to replace destroyed single-family housing with apartment buildings in such an area would not comply with the zoning ordinance. In this case, the proposal would either be denied or a variance might be proposed. In either case, the Planning/Community Development Department would coordinate the review and make recommendations on the proposal.

Zoning regulations and maps are an important part of the guidelines for participation in the National Flood Insurance Program (NFIP). Zoning regulations are cross-referenced with Special Flood Hazard Areas identified on the community's flood maps and studies and specify permitted land uses within these areas.



Visual 5.8



Visual description: Subdivision Requirements

Notes

Subdivision is the process by which a tract of land is divided into smaller parcels, lots, or building sites.

States grant “police powers” to local governments to allow regulation of land use for health, environmental, safety, and similar purposes.

Subdivision regulations enable a community to ensure that new neighborhoods and other land divisions are properly designed.

Planning/Community Development Departments coordinate the review of subdivision proposals to ensure that hazard areas, storm water management, soil erosion, water quality, environmental impacts, landscaping, safety and other issues are addressed.

During disaster recovery, subdivision regulations may provide an opportunity for a community to rebuild with recognition of hazard and environmental concerns.



Visual 5.9

Capital Improvements Programming

Capital improvements can help direct future growth or rebuilding.

FEMA

5 - 9

The slide features a central photograph of a construction site for a new building. A crane is visible on the left, and a person stands in the foreground. To the left of the main image is a vertical strip of smaller images showing people and construction equipment. The FEMA logo is in the bottom left corner, and the number '5 - 9' is in the bottom right corner.

Visual description: Capital Improvements Programming

Notes

Capital improvements are the “engine” of local development and are funded through the jurisdiction’s Capital Improvement Plan. The location and type of improvements often determine the direction and type of community growth. The improvements range from new or rehabilitated facilities including buildings, to park lands, to infrastructure.

Following a disaster, decisions sometimes have to be made about repairing or replacing utilities, roads, bridges, and other infrastructure. Sometimes, recovery and mitigation goals can be accomplished by consolidating, relocating, or eliminating these capital investments.

For example, following a disastrous wildfire, a community may decide to consolidate three destroyed police stations into a single new structure while still serving the same area.

Planning/Community Development Departments are also adept at “grantsmanship” since many of their plans and proposals rely on Federal and State programs and funding. These departments may be especially effective in identifying outside funding sources for disaster recovery and mitigation projects.



Visual 5.10



Visual description: Transfer of Development Rights

Notes

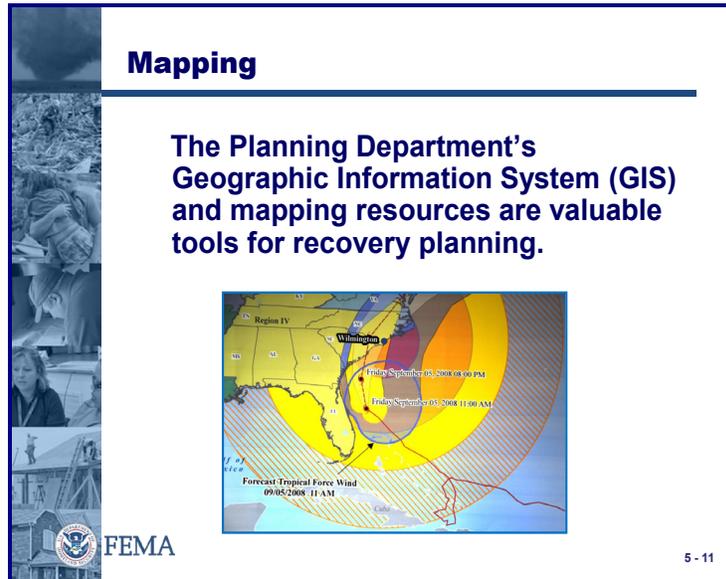
Transfer of Development Rights allows landowners to sell or trade their development rights to other landowners, usually so that the second landowner can increase the density of their development.

Local governments may also use Transfer Development Rights to preserve open space or historic structures, or to prevent development of hazard-prone areas.

For example, a local government might own a piece of land that is not hazard-prone and wish to trade development rights with another property owner whose land is hazard-prone. The local government might be willing to do this in order to remove the development potential of the hazard-prone property. If the two pieces of land were traded, the local government would preserve its new piece of land as open space; the other property owner would be able to develop his/her property. This situation becomes a “win/win” for both parties.



Visual 5.11



Visual description: Mapping

Notes

Hazard mapping is an important part of disaster recovery operations.

The Planning/Community Development Department develops and uses maps on a daily basis as part of its “day to day” local government role. In disaster situations, the mapping capabilities can be used to display damage assessment, recovery, and hazard mitigation information. GIS will be used extensively by building inspection and public works personnel as they execute their recovery and mitigation responsibilities.

Mapping is also a useful tool for displaying information from the County Assessor’s Office. For example, property valuation data from the County Assessor’s Office could be overlaid on maps of damage areas. The resulting information on damage areas and the value of property within those areas could be a useful tool for recovery planning. A Recovery Task Force or local government departments might find this information useful for their operations.



Visual 5.12



Visual description: Housing

Notes

The focus of this section is on the issues and challenges of providing housing during disaster recovery.



Visual 5.13

Issues and Challenges

Why does a community with significant housing damage need to be concerned about temporary housing, and replacement housing for its citizens?

FEMA

5 - 13

The slide features a vertical strip of images on the left side, including a person in a hard hat, a person looking at a laptop, and a construction site. The FEMA logo is located at the bottom left of the slide area, and the slide number '5 - 13' is at the bottom right.

Visual description: Issues and Challenges (Housing)

Notes

Why does a community with significant housing damage need to be concerned about sheltering, temporary housing, and replacement housing for its citizens?



Visual 5.14

Short- and Long-Term Options

- Temporary housing
- Replacement housing

The slide features a vertical strip of images on the left showing a person in a hard hat, a person in a uniform, and a construction site. Below the list are two photographs: a modern, single-story house with a gabled roof and a white trailer with a porch. The FEMA logo is in the bottom left corner, and the text '5 - 14' is in the bottom right corner.

Visual description: Short and Long-term Options

Notes

There are two primary types of housing in provisions for short- and long-term housing. These are:

- 1) Temporary housing
- 2) Replacement housing



Visual 5.15

Temporary Housing

People whose homes are not habitable, safe, sanitary, or secure will need temporary housing.

FEMA

5 - 15

Visual description: Temporary Housing

Notes

Temporary housing can take many forms and may be necessary in a disaster that does not receive a Federal declaration as well as when Presidential Disaster Declarations are made. In either case, the first resources for temporary housing are vacant rental properties within a reasonable radius. A reasonable radius may be different for various locales. People should be able to go to work if their jobs are still there and, in off hours, be able to spend time working on restoring their home and communicating with their support network.

Options for temporary housing vary greatly, depending on the nature and size of the event and upon the locale. For example, when a disaster occurs in a portion of a metropolitan area, rental units are often readily available. Disasters in more rural, less populated areas may not have the availability of rental units, and may require alternatives, such as hunting cabins or lake cottages that could be rented. If not, temporary housing may need to be brought in.

When entire regions within a state or between states are affected by disasters there may be very little availability of rental property throughout the region.



Visual 5.16

Temporary Housing Resources (1 of 2)

When there is NOT a Presidential Disaster Declaration, contact:

- **Your State's multi-family housing association.**
- **Local nonprofit housing providers and developers.**
- **State Housing Finance Agency (HFA) or Economic Development Agency (EDA).**
- **The American Red Cross.**
- **Your Unmet Needs Committee.**


FEMA

5 - 16

Visual description: Temporary Housing Resources

Notes

Most disasters do not result in a Presidential Disaster Declaration. However, there may still be a significant number of people in need of temporary housing units. Most States have multi-family housing associations and enlist their help to survey their members within the affected area to identify vacant rental units. Ask the association to urge their members to charge Fair Market Rent (FMR) for the locale.

Fair Market Rent (FMR) (<http://www.huduser.org/datasets/fmr.html>) is determined by the Department of Housing and Urban Development (HUD) for geographic regions.

Local nonprofit housing providers and developers can be a good resource as well, particularly for lower income households, the elderly and disabled populations.

State or City Housing Finance Agencies (HFAs) may also prove to be a valuable resource for identifying vacant rental units or advising where the information can be obtained.

Certain organizations may be able to help your community develop a database of affordable rental units that can be made available on Web sites for survivor and case manager access. One example, socialserv.com (<http://www.socialserve.com>), has developed databases in 28 states. Other states may have similar organizations that provide this service. HousingLink (<http://www.housinglink.org>) operates in the Greater Minneapolis/St. Paul area for the same purpose. It has expanded to a state-wide resource to assist disaster survivors when needed.

It is a good idea to pre-assign responsibility for contacting and working with these organizations prior to the disaster. This is usually done by the City or County Housing and Redevelopment Authority (HRA) or Community Development Agency (CDA).

Some homeowner insurance policies cover the cost of temporary housing.

Often the American Red Cross is able to assist with financing temporary rental assistance as well.

In addition to the typical resources, consider unusual circumstances that may result in available housing, such as university dormitories during breaks and closed armed service bases.

Your unmet needs committee may also be able to help find temporary housing.



Visual 5.17

Temporary Housing Resources (2 of 2)

When a Presidential Disaster Declaration is made, FEMA will activate the National Disaster Housing Strategy, which includes:

- Providing repair and replacement assistance.
- Cataloging vacant rental units.
- Providing manufactured and alternative interim housing (as a last resort).




5 - 17

Visual description: Temporary Housing Resources

Notes

Presidential Disaster Declarations activate the National Disaster Housing Strategy when needed. The National Disaster Housing Strategy was developed in collaboration between FEMA, the U.S. Department of Housing and Urban Development (HUD), and the American Red Cross.

Repair and replacement: The first resource for repair and replacement of housing is homeowners insurance. When homeowners insurance is not available or sufficient, FEMA can provide a specified amount towards repair. This amount is adjusted annually.

When FEMA becomes involved they will work with government and community groups to catalogue available rental properties throughout the affected area, and will, via an online database, provide that information to disaster survivors seeking affordable rental housing. The information will also provide details about accessibility for those in need of these units.

If damaged homes are destroyed or cannot be repaired quickly, FEMA or HUD will provide rental assistance to eligible disaster survivors.

The maximum time period for rental assistance is 18 months.



Visual 5.18

Short- and Long-Term Temporary Housing

- **Short-Term**
 - **Onsite travel trailers (manufactured) units**
 - **Alternative housing (tents)**
- **Long-Term**
 - **Mobile homes**

FEMA

5 - 18

Visual description: Short and Long-term Temporary Housing

Notes

When requested by the State, FEMA will provide a range of options for temporary housing units. Onsite travel trailers or alternative housing such as tents are convenient options when damaged homes need minimal repair and utilities are available. Homeowners like this option for two reasons: 1) they are better able to ensure no further harm comes to their property, and 2) they can sleep and eat in the temporary unit and work on repairing their home in their free time.

If you use either of these options, there are several important issues to consider.

- Establish a date when the unit must be vacated.
 - Weather could be a factor in selecting the date. Make sure case managers working with survivors are aware of the date by which the unit must be vacated.
- Prior to a disaster make sure that local ordinances allow for this type of temporary housing.

When longer term temporary housing is necessary, FEMA may have mobile homes transported to the locale. Prior to transporting any temporary housing, FEMA requires that the State identify acceptable unoccupied formaldehyde levels. The ideal place for mobile homes to be placed is on commercial pads in existing mobile home parks. FEMA will work with local officials to identify vacant pads.

When private and commercial site locations are not adequate to meet the need, FEMA will work with state and local officials to identify prospective sites for development, construction, and extended occupation.



Visual 5.19

New Site Development Considerations

- **Size of the development:** determine whether there should be multiple sites.
- **Proximity to:** transportation, shopping, churches, jobs, schools, etc.
- **Large developments may need play areas, gathering places, onsite services (VOAD, Recovery Center).**
- **Site approval and preparation may be a lengthy process.**


FEMA
5 - 19

Visual description: New site Development Considerations

Notes

We can learn some important lessons from the past about where the local jurisdiction and the State locate the temporary housing sites.

Large developments can become socioeconomic challenges. Tough lessons were learned after Hurricane Charley when a development was built for 500 mobile homes housing 1,500 people in Florida. The park was too large with too many people living in close proximity. Only two small playgrounds were included for hundreds of children. The entire park was fenced in with only one entrance and exit. There was no place for teens to gather and no entertainment activities. The director of recovery for Charlotte County was quoted as saying, “You throw together all these very different people under already tremendous stress, and bad things will happen.”

If your community needs to select a location for a mobile home park consider: (1) the number of people who need housing; (2) what sites are available; (3) whether one site or multiple sites are needed (to lessen the number of survivors living in close proximity); whether the potential sites are close to grocery stores, churches, jobs, medical care, VOAD, and Recovery Centers, etc.; whether reasonably inexpensive public transportation is available to these facilities; and where schoolchildren will be attending class.

If the decision is made to build one large mobile home development, consider options for all of the above identified inadequacies. Consider a variety of sources to fill gaps in funding for such things as play areas and teen facilities. Some possibilities are: foundations, corporations, and social service agencies.

Site approval and preparation often is a lengthy process and requires many steps. This process and the time required to complete it is sometimes misunderstood by the general public and the media.

The City of East Grand Forks, MN with a population of 9,000 had only 8 homes that were undamaged as a result of the Red River Valley Floods of 1997. The decision was made to acquire 600 homes using FEMA Mitigation funding, Petro and Minnesota Department of Natural Resources (DNR) funds. When buildings are acquired using mitigation funding, the land must remain clear of obstructive structures. Four hundred (400) mobile homes were needed to house survivors. Mobile home parks were needed. The decision was made to acquire two separate parcels of land adjacent to town placing 200 mobile homes in each. FEMA typically installs temporary infrastructure when they construct mobile home parks. The State of Minnesota and the City of East Grand Forks realized that the City was going to need new developments to locate replacement housing. The State agreed to loan the City the funds to pay the difference to install infrastructure permanently. As the mobile homes were removed, two lots were combined to make one permanent lot which was then sold to households wishing to build new homes.



Visual 5.20



Visual description: Replacement Housing

Notes

Don't make assumptions about replacement housing needs. A community can't assume that every house that was lost will need to be replaced. Remember, disasters accelerate the natural attrition in a community. People leave town or even the area.

Consider:

- There may have been deaths or injuries in the household taking precedence to deciding about future housing.
- People need some time to stabilize and become more grounded before they make decisions about how they're planning to proceed.
- Survivors need time to connect with loved ones and friends, to make sure everyone is safe and well.
- After a few weeks a housing survey can be taken to help determine what the survivor's intentions are, this is especially important in less populated areas.

Considerations about mitigation need to be addressed prior to rebuilding:

- If effected homes are in a floodplain will there be property acquisitions?
- Will the community mitigation activities include flood protection, such as flood walls, requiring the acquisition of homes for placement?
- Will building codes be upgraded to require elevation of homes, hurricane clips, earthquake resistant construction, etc.?

Even incidents not involving acquisition of property opportunities should be considered.

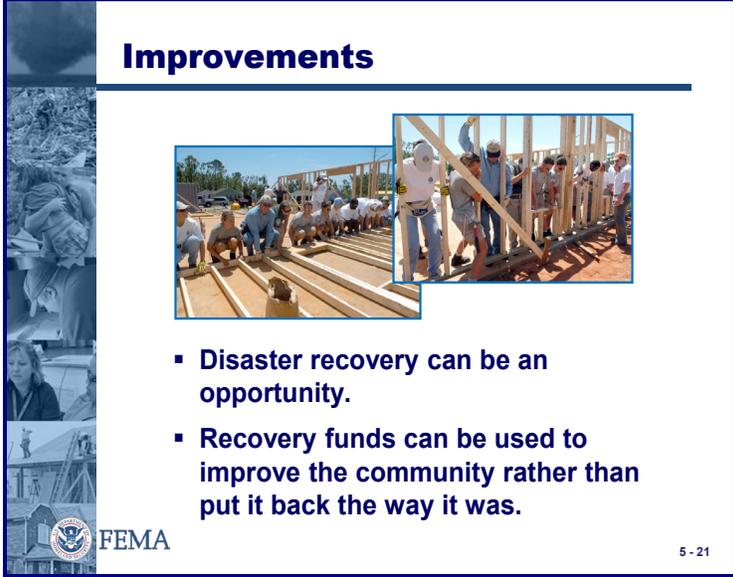
An example is Greensburg, Kansas. In May of 2007, Greensburg, Kansas was severely damaged by an EF5 tornado. The community spent 12 weeks developing the Long-Term Community Recovery Plan. It is the result of multiple meetings and discussions between the long-term recovery planning team, local, State, and Federal officials, business owners, civic groups, and citizens. Community participation provided an invaluable source of input and feedback that was used to refine and prioritize the projects contained in this plan. The community resolved to build back better, safer, and in a more sustainable manner.

At the heart of the plan is a simple guiding principle—keep the things that have made Greensburg and Kiowa County a good place to live, work, and own a business, and then suggest ways to build upon strengths of the community in order to make it even more prosperous, appealing, livable, and sustainable—this is an excellent approach for all communities. Information about Greensburg recovery can be found at:

<http://www.greensburgks.org/>



Visual 5.21



Improvements

- Disaster recovery can be an opportunity.
- Recovery funds can be used to improve the community rather than put it back the way it was.

FEMA

5 - 21

Visual description: Improvements

Notes

Following a disaster, everyone's first response is to return everything to "normal." The reality is there was a disaster and everything will never be normal again. However, there will be a "new normal." Like Greensburg, every community should consider how to use recovery funds to improve the community rather than putting it back the way it was. Pull out the community's Comprehensive Plan and determine what improvements were already being planned. Are they still viable? Can they be improved upon considering the current situation? In rebuilding the housing stock, how can we encourage homeowners and rental property owners to rebuild in a more disaster resistant, sustainable manner?

Following the Red River Floods of 1997 the City of East Grand Forks, MN worked with the University of MN Architectural School's Rural Design Institute to redesign with the city. Throughout the Gulf Coast following the devastation of the 2005 hurricanes there are numerous examples of jurisdictions and nonprofits working with Architectural Schools to create less expensive designs incorporating green construction techniques as well as mitigation techniques.

Historically, many communities developed along rivers when waterways were a main means of transportation. More than half of the U.S. population currently lives on or near coastlines. Millions of homes are located in the country's most vulnerable areas. Often, poorer sections of the population live in the most vulnerable places in our communities.

When a considerable loss of housing follows a disaster, consider:

- Is this still the best place for housing development?
- If infrastructure is destroyed can replacement housing be planned in new neighborhoods that can be laid out in a more sustainable manner?
- What vulnerabilities resulted in the most loss of housing?
- Can future damage be mitigated by developing new neighborhoods away from a hazardous area?
- What current zoning needs to be updated to prevent future loss of housing?
- Has the community become more vulnerable since it first developed?

New Orleans is an example of a community whose surrounding terrain has changed since its beginnings. When New Orleans was first developed it was protected from hurricanes by the delta but in the last 100 years the delta has eroded.



Visual 5.22

Community Revitalization

The goal of housing recovery is two-fold:





- **Help survivors repair or replace housing.**



- **Revitalize the community's housing stock and tax base.**


FEMA
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Visual description: Community Revitalization

Notes

The housing needs of survivors and rebuilding the housing stock are two different goals. One is to provide adequate long-term housing for survivors and the other is to increase community revenue. What they have in common is revitalizing the damaged community.

After the Red River Valley Floods of 1997 the City of Grand Forks, ND, was concerned about losing residents due to the loss of housing. They used some of their recovery funding to have 200 homes built by contractors on property the city owned. They sold about seven homes for the asking price and the remaining were eventually sold but at extremely reduced prices. The problem was: the site the development was built on was not where most people wanted to live. It was bordered by a busy railroad, a dump, and a mobile home park. The lesson we can learn is that people whose homes are destroyed or are being acquired with mitigation funds want to make their own choice about where to rebuild, what home design they want, and the contractor to use.

While a high percentage of survivors are typically able to restore or rebuild their homes on their own using proceeds from their homeowner's insurance, FEMA Repair and Replacement Assistance or SBA Disaster Loans, others will need additional assistance and financial counseling. Many communities have one or more housing nonprofits and new nonprofit housing providers may also develop following disasters. The purpose is to develop affordable housing.



Visual 5.23

Potential Resources

Potential housing recovery resources include:

- Financial options
- Housing recovery assistance

FEMA

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Visual description: Potential Housing Recovery Resources

Notes

The amount and type of assistance following a disaster will vary depending on the extent of the disaster. The amount of financial help people need will also vary. Some residents will have the ability to return to the community relatively quickly with their own resources. However, those with low and moderate incomes will often need financial assistance. In many rural areas the cost to rebuild a home will far exceed the pre-disaster value and nearly always the insured value is less than the cost to rebuild resulting in a financing gap. Very often, people who have lost housing will need housing counseling assistance to navigate the myriad of insurance along with FEMA, Small Business Administration (SBA), and other forms of assistance. Survivors nearly always can benefit from technical housing assistance.

Greensburg, KS, as well as numerous other communities that have sustained a high degree of housing loss, have established Housing Recovery Centers, staffing them with people who can assist residents with forms, financial resources, technical rebuilding assistance, financial advice, housing rehabilitation assistance, and overall, help them through the process of reestablishing their household into permanent housing. The centers are also an excellent place for coordination of volunteers. The centers can be a “one stop shop” by also housing the permitting office and community housing inspector.

Housing Recovery Centers provide valuable assistance and should be staffed by housing professionals familiar with federally funded housing assistance programs, construction, and housing rehabilitation. Counselors need to know or be trained in the FEMA/SBA process if there is a federally declared disaster. Staff may consist of existing city/county housing staff, housing consultants, or those who have worked for nonprofit housing developers. Local nonprofit housing developers may also take the lead in managing a Housing Recovery Center.



Visual 5.24

Financial Options

Financial resources available to repair and replace housing:

- Insurance
- Small Business Administration (SBA) Disaster Assistance Loans
- State and/or Federal Disaster Assistance
- Non-Governmental Organizations (NGO) Resources and Services

FEMA

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Visual description: Financial Options for Housing Repair and Replacement

Notes

Insurance is always the first source of disaster recovery funding; examples are:

- Homeowner Policy
- National Flood Insurance Program (NFIP)
- Hurricane or earthquake insurance

Small Business Administration (SBA) Disaster Assistance Loans are made available when there are Presidential Declarations of Disasters. When a disaster doesn't reach the magnitude of a Presidential Declaration it may still be enough damage to warrant a SBA declaration making the SBA loans available for recovery efforts. SBA declarations are based on the percentage of uninsured loss caused by the event.

The SBA can assist homeowners, renters and small businesses affected by the disaster. The SBA is a critical source of housing finance as well as small business recovery funding following disasters. Other Federal programs may offer assistance and some State resources may as well.

Non-Governmental Organizations (NGOs) often provide significant assistance most notably through housing counseling and case management, which provides essential guidance. They may also be able to provide financial resources.



Visual 5.25

Non-FEMA Government Assistance

- SBA
- Department of Housing and Urban Development (HUD) Community Development Block Grants (CDBG)
- United States Department of Agriculture (USDA) Rural Development (RD) housing programs

FEMA

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Visual description: Non-FEMA Government Assistance

Notes

Small Business Administration

As previously mentioned the largest source of financing for homeowners and renters following insurance is the SBA. SBA loans may be used to repair or replace damaged real estate or personal property owned by the survivors. Renters are eligible for their personal property losses, including automobiles.

- Loans cover uninsured or otherwise uncompensated losses.
- Loans cover only replacement of property, not additions or other unnecessary enhancements.
- Additional funds may be available for improvements that will protect the property.
- Rebuilding loans are limited to \$200,000.
- Personal property loans are limited to \$40,000.
- The SBA can refinance all or part of prior mortgages under certain conditions.
- The SBA loans are typically offered at lower than market interest rates and up to 30-year repayment terms.

The SBA's website on Disaster Assistance Loans offers excellent information, including a tutorial and fact sheet: <http://www.sba.gov/services/disasterassistance>

Housing and Urban Development (HUD) Community Development Block Grants (CDBG)

In response to disasters, Congress may appropriate additional funding to HUD for the CDBG and HOME programs for Disaster Recovery grants to local jurisdictions or States to aid in rebuilding the affected areas and provide crucial seed money to start the recovery process. As

CDBG Disaster Recovery assistance may fund a broad range of recovery activities, HUD can help communities and neighborhoods that otherwise might not recover due to limited resources.

Disaster Recovery grants often supplement disaster needs unmet by other Federal disaster assistance programs.

CDBG funds are some of the most flexible funds a community can receive. Half of the funds must be used to benefit low-income survivors.

Specific information about CDBG disaster housing assistance can be found at:

<https://www.hudexchange.info/community-development/>

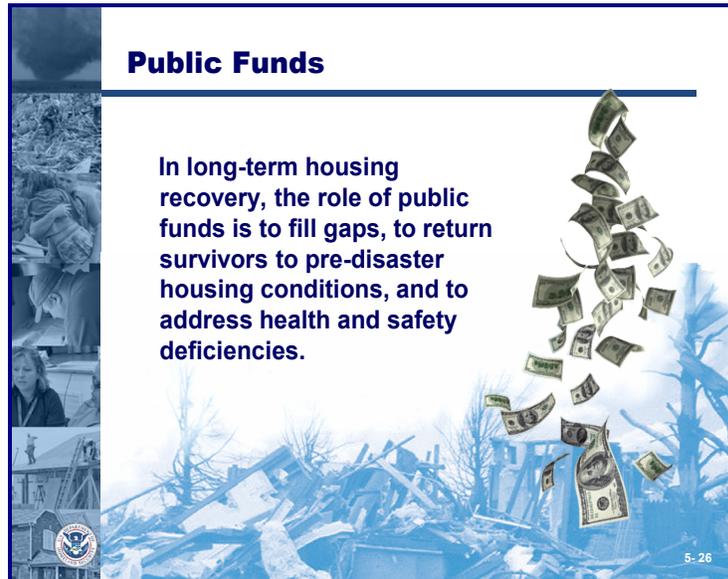
United States Department of Agriculture Rural Development Housing Programs

Typically, in areas affected by natural disasters, Rural Development can help existing Rural Development borrowers who are survivors of a disaster.

Following the tornadoes that devastated Greensburg, KS, Rural Development partnered with the city, county and nonprofits to provide low-interest loan and grant funding to support the financing of new affordable homes and home repairs, along with workforce and senior rental housing.



Visual 5.26



Visual description: Public Funds

Notes

In long-term housing recovery, the role of public funds is to fill gaps, to return survivors to pre-disaster housing conditions, and to address health and safety deficiencies.

Present the following points:

It is not unusual for gaps to occur in people's ability to return to pre-disaster housing conditions, when insurance proceeds have been applied and people have borrowed to the extent possible, they need gap financing.

There are two types of gaps that may occur:

- A value gap occurs when it costs more to build than the value of the completed home. This is most typical in more rural areas with depressed housing values.
- An affordability gap occurs when the household income is not sufficient to re-pay loans needed for rebuilding.
- Gaps occur both in new construction and when the cost to rehab a home exceeds a reasonable debt load.

Communities wishing to encourage housing reconstruction may want to use CDBG or State funds to design gap financing assistance. When this is the case, design programs as deferred loans rather than grants. Deferred loans can be forgiven after the survivors have maintained the home as their primary resident for a set period of time such as 10 years or they may be due on sale. Make the length and term of the assistance long enough to ensure that public funds are used to help with rebuilding, not provide a windfall for someone.

Public funds can also be used to encourage development of new construction—both owner occupied and rental, but the recovery money should be used to offer incentives to homeowners or for construction of affordable housing. Remember, 50 percent of CDBG funding must be used for low-income households.



Visual 5.27

Other Resources

Nonprofit housing providers assist with:

- **Housing counseling**
- **Volunteer coordination**
- **Job site supervision and guidance**
- **New home and home rehabilitation construction management**
- **Financial aid**




5 - 27

Visual description: Other Resources

Notes

Many communities have one or two non-profit housing providers whose mission involves affordable housing. These are also often nonprofit organizations that provide broader community development or social service functions. Existing nonprofits may take on additional activities following a disaster, where there isn't an existing nonprofit housing provider one may develop. These organizations often play an important role in the effective recovery of communities, particularly for those households needing more assistance.

Housing Counseling involves assisting people with the red tape of repairing or rebuilding their home, working through the insurance process, and the FEMA/SBA process. This counseling service may also be able to provide advice on financially feasible borrowing limits. Housing counseling can also include rehabilitation expertise, assistance obtaining bids for needed work, homeownership counseling, etc.

Following nearly every disaster volunteers come to help. They are an incredibly valuable resource when managed well. The skills of the volunteers need to be matched with the needs of the survivors, a task that many nonprofits are adept at managing. Some of the volunteers will be skilled in construction.

Additional resources may be available for job site supervision, guidance, and construction management for new homes and for housing rehabilitation. For example, the Hope Community Development Agency (CDA) which was developed when East Biloxi, MS City Councilman, Bill Stallworth, recognized the incredible need in the second ward following Hurricane Katrina. The ward was the home of over 10,000 of the city's lowest income residents. Hope CDA works in concert with community, faith-based and civic organizations, government officials, and private entities. It strives to ensure that the citizens it serves achieve self-sufficiency and success in the

economic mainstream of society. Hope CDA guts and repairs homes as well as builds new homes.

Nonprofit organizations may be able to assist households whose insurance proceeds fall short and they do not have the financial capacity to finance rehabilitation or new construction. When communities receive cash donations for the benefit of survivors, non-profit organizations can provide oversight and ensure appropriate use. One such example occurred in Breckenridge, MN following the floods of 1997. The City of 3,500 received over a million dollars in donations earmarked for household recovery. The community decided to create a nonprofit they called Lend a Helping Hand to oversee the use of the funds and to coordinate volunteers who came to rebuild with homeowners in need of the specific skills being offered, thereby allowing the city staff to focus on other aspects of recovery.

Nonprofits may also have relationships with national organizations that can provide both monetary and non-monetary resources.

Additionally a city may contract with an experienced nonprofit to manage Community Development Block Grant or Home funds.



Visual 5.28

Providers Identified

Identifying local nonprofit housing providers:

- **Community Action Agencies/Programs (CAP)**
- **Neighborhood Housing Services (NHS)**



- **Community Development Organizations**
- **Community-Based Organizations (CBO)**


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Visual description: Providers Identified

Notes

Community Action Agencies have a variety of names including Community Action Programs (CAP). They were created by President Johnson's 1964 Economic Opportunity Act. They often deliver housing rehabilitation programs and some are involved in development. They may be best known for providing energy assistance, Head Start, and Meals On Wheels. The organization also offers a variety of housing programs. To locate the CAPs in your State refer to: www.communityactionpartnership.com/.

Neighborhood Housing Services (NHS) started as a grass roots effort to improve housing conditions in older urban neighborhoods. Neighborhood Housing Services are now located in several hundred communities throughout the country and are no longer limited to urban areas. Rural NHS's typically have a service area of several counties. NHS's have frequently assisted communities with housing recovery. Centro Campesino, a NHS in Central Florida, has been an essential resource for housing recovery in the rural Central Florida counties following several hurricanes. To determine if there is a NHS in your community go to: <http://www.neighborworks.org/Our-Network/Network-Directory>

There are also many independent Community Development and Community-Based Organizations.



Visual 5.29

Activity 5.1: Case Study - APA Briefing - Housing

Purpose: Examine issues relating to affordable housing during recovery.

Instructions: Individually read the 5 page briefing, discuss as a class.

04 PLANNING FOR POST-DISASTER RECOVERY BRIEFING PAPERS

AFFORDABLE HOUSING

KEY POINT #1
Low income households are vulnerable to displacement and are least able to access safe and affordable housing after a disaster.

KEY POINT #2
Displacement of low income households must be quickly reduced to emergency, safe housing or other accommodations plan for permanent, sustainable housing.

KEY POINT #3
Disaster recovery engagement contributes to a shared vision of recovery and fosters broad support for rebuilding affordable housing.

KEY POINT #4
Partnerships can help to fund and build the capacity of affordable housing providers to be more resilient in future disasters.

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Visual description: Activity 5.1 Case Study

Notes

Individual and Class Activity
35 minutes

ACTIVITY 5.1

Case Study: APA Briefing – Housing

Purpose

Examine issues relating to affordable housing during recovery.

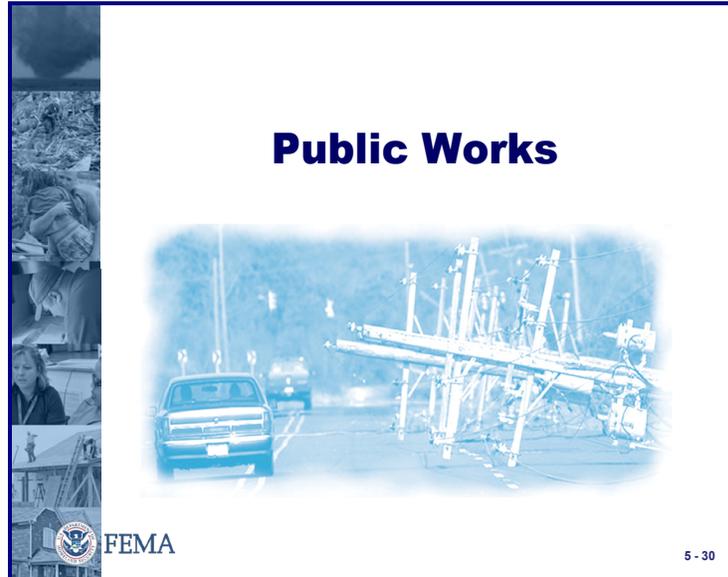
Directions

Individually read the 5 page briefing.¹ Your instructor will facilitate a discussion on the reading as a class. This paper is available as Appendix C in your Student Manual. It is also available electronically as a PDF in the Course Reference Library.

¹ American Planning Association. (ca 2015). *Affordable housing* (Planning for post-disaster recovery briefing papers) (Issue Brief No. 4). Retrieved from <https://www.planning.org/research/postdisaster/briefingpapers/pdf/housing.pdf>



Visual 5.30



Visual description: Public Works

Notes

This section's focus is on the successful recovery operations for public works during disaster recovery.



Visual 5.31



Critical Issues for Public Works

- Transportation systems and facilities
- Drainage and flood control systems
- Water and sewer utility systems
- Solid waste – collection/continuity
- Solid waste – debris removal/disposal
- Recovery and mitigation support services



5 - 31

Visual description: Critical Issues for Public works

Notes

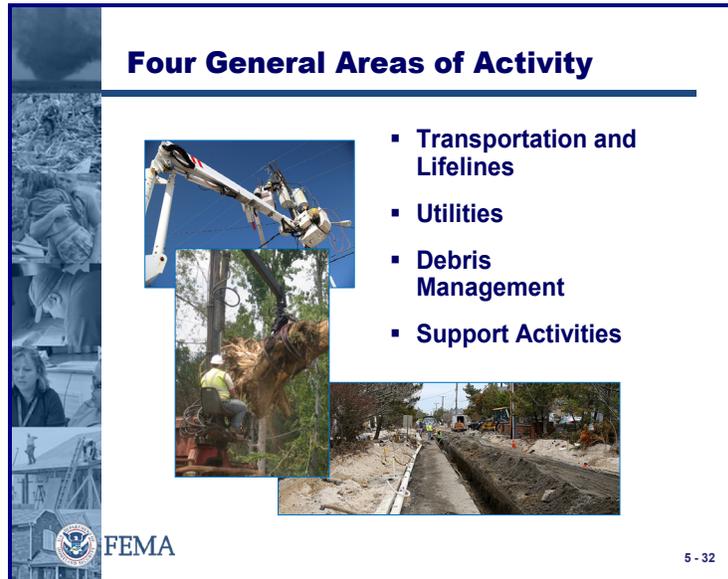
These issues are critical to facilitating the recovery process in any community:

- Transportation systems and facilities
- Drainage and flood control systems
- Water and sewer utility systems
- Solid waste – collection/continuity
- Solid waste – debris removal/disposal
- Recovery and mitigation support services

Many of these will be occurring simultaneously; however, some are sequenced to allow for a smooth operational flow and a less complicated process for those impacted.



Visual 5.32



Visual description: Four General Areas of Activity

Notes

The critical issues can be divided into four general areas for the purpose of planning and discussion. Each group shares similar issues and concerns.

Recovery of transportation systems and lifelines are essential to ensure movement and communication to support the recovery process. The restoration of other services and activities in the community depends on transportation and communications.

Utilities are part of the overall lifeline definition, but have been separated here for the purpose of discussing coordination between the utility organizations and the community. In some communities, these are all publicly operated. In others they are either quasi-governmental or privately operated. The way in which public works plans and interacts with these will be key to efficient and rapid recovery.

Debris management is often the largest portion of a community's recovery effort. Most disasters or emergencies generate large quantities of debris.

The last category is support. This includes a number of critical operations provided by public works and/or other disciplines as part of the overall community recovery effort.



Visual 5.33

Transportation Systems

- Roads
- Bridges
- Traffic Control

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Visual description: Transportation Systems

Notes

Clearance of debris and other obstructions to roads, bridges, and traffic control systems and temporary repairs to these systems occurs during short-term recovery.

Roads and bridges have to be inspected for structural integrity and other safety concerns before they can be reopened. While signage and other traffic control systems are out of operation, the use of four-way stops and other contingency measures are implemented during short-term recovery.

Decisions about the permanent repair and replacement of damaged transportation systems are part of the long-term recovery process. Alternative designs and locations may be available or perhaps some roads or bridges won't be replaced at all.

What routes and key facilities have priority attention? (This will differ from agency to agency. This would usually include routes to hospitals, fire/police stations, and main highways.)

Who is the "owner" or controller of these routes and facilities? (They may be local, county, or State controlled. Responsibility for clearing may not be the local agency.)

Also, note that an effective plan must include provisions for re-establishment of traffic control in some form.

- What procedures need to be in place to re-establish traffic control and traffic operations?
- Will temporary signage be used? If so, do you have enough inventory?
- Will there be temporary one-way streets to control traffic?
- Would it help your community to have separate travel plans for construction and debris vehicles?



Visual 5.34

Other Transportation Systems

- Transportation facilities
 - Airports
 - Seaports
 - Rail systems
 - Mass transit systems
 - Tunnels

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5 - 34

Visual description: Other Transportation Systems

Notes

Other transportation facilities include:

- Airports
- Seaports
- Rail systems
- Mass transit systems
- Tunnels

Each of these, if present in a community, will allow for more efficient movement of supplies and people during the recovery phase.

The key here is coordinating with the “owner” of these facilities. It may be another unit of government, an authority, or a private corporation.

Each may require a different approach in the process of recovery. If public-owned, inter-governmental, or inter-local, agreements may provide a basis for emergency actions. If private, Federal dollars may not apply for repairs, even if it is critical to the community.

While there is little direct influence over private infrastructure, they often stand to lose more if they delay and don't coordinate with local agencies.



Visual 5.35

Lifelines







- Electrical power
- Telecommunication
- Cable
- Internet
- Natural Gas


5 - 35

Visual description: Lifelines

Notes

Lifeline systems may be controlled in numerous ways. As such, they may be represented in a recovery team by active members or by liaison personnel coordinating their actions with the community's.

Electric power system restoration is an important point for the residents' emotional well-being. In many ways, having electric lights, refrigeration, and either heat or air conditioning is a major barometer against which they evaluate their opinion of the overall recovery operation.

Telecommunication systems are critical to the re-establishment of most commercial businesses. Today's computer-based industry and commercial businesses put extra emphasis on having some telecommunication system established for their information systems to operate. This is especially true of chain and franchise operations. Their entire operational systems often are located offsite at a central location, and they cannot serve the community without a telecommunication system.

Cable systems are growing in complexity and their interconnection with the community. Just a few years ago they were not generally considered a key utility system in most recovery plans. The advent of hi-speed Internet has changed this as more businesses and residents now do all their bill paying and ordering online. Ignoring the cable industry in a community's recovery operation will most likely bring complaints from many sides of the community.

In many parts of the United States, natural gas is a key system to re-establish for commercial and industrial operations, as well as the operations of heating water and structures through boilers, furnaces, and water heaters. This also may be a governmental or private industry operation.



Visual 5.36

Important Issues to Consider

- Primary re-start locations
 - Prioritize for community needs
 - Coordinate the work and priorities
- Publicize the plan
 - Communicate with stakeholders
 - Establish clear expectations

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5-36

Visual description: Important Issues to Consider

Notes

As previously mentioned, establishing priorities for restarting lifelines and transportation links is an essential part of recovery operations and recovery planning. This allows local government to:

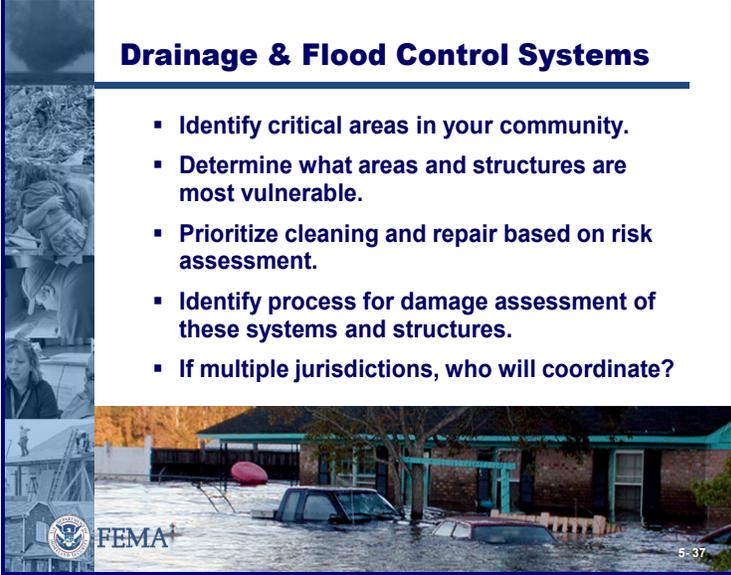
Set priorities based upon the community's needs and the situation. Coordinate work between all the recovery operations.

Publication of the re-start plan is an essential function of successful implementation. The entire community must be informed of these plans. Stakeholders should be given clear information so they clearly understand:

- Public works operational timelines.
- Public works priorities and where work will be occurring.
- Establish realistic expectations.



Visual 5.37



Drainage & Flood Control Systems

- Identify critical areas in your community.
- Determine what areas and structures are most vulnerable.
- Prioritize cleaning and repair based on risk assessment.
- Identify process for damage assessment of these systems and structures.
- If multiple jurisdictions, who will coordinate?

Visual description: Drainage and Flood Control Systems

Notes

If the event involves any debris or flooding, it is essential to inspect and re-establish the drainage system as soon as possible. Additional events are possible; therefore, it is important to prevent additional or new flooding.

- Where are the critical areas in the community that are prone to flooding issues?
- Are there key facilities within these areas?
- What is the priority for clearing and repairing these systems based upon both existing conditions and short term risk?
- Determine in advance, or quickly post event, who will be coordinating work involving multiple jurisdictions.

How priorities for restoration of utilities, transportation systems, communication systems, and other facilities and services will vary from agency to agency and incident to incident. However, as New Orleans experienced after Hurricane Katrina, and Galveston, Texas experienced after Hurricane Ike, residents could not safely return until the drainage systems were capable of handling storm water, which may result from a follow-on event.



Visual 5.38

Sanitary Sewer Systems

- Ownership and control
- Status of key components
- Isolation points
- Availability of spare parts and equipment




5 - 38

Visual description: Sanitary Sewer Systems

Notes

Probably the most important of the utilities or lifelines to restore is the sanitary sewer system. Generators can provide power, and water can be trucked in, but any serious recovery operation and re-entry program requires an operational sewer system to minimize the threat of disease. It is important to determine the following.

- If the whole system is not affected, how will system repairs be carried out while continuing operations in the non-impacted areas?
- Who owns and operates the system?

Public vs. private ownership will determine how involved the Federal role may be. If privately owned, is there language in the contract or franchise agreement regarding reestablishing the systems, in what timeframe, and in coordination with the local government?

- What is the status of the collection system and the fixed plants? How soon can it be functional?

This needs to be communicated as soon as possible to the decision and policymakers for incorporation into the overall recovery process. Can areas of the system be isolated to provide more rapid re-start? Isolation of heavily damaged areas may allow for more rapid continuity of service to less damaged areas, speeding economic and community revitalization.

- What is availability of parts, and timeline for overall repair?

Without readily available spare parts, the recovery will be severely hampered. These do not have to be stocked by the community, but pre-identified sources for spare parts should be determined and, if necessary, contractual arrangements made beforehand.



Visual 5.39

Potable Water Systems

- Ownership and control
- Status of key components isolation points
- Availability of spare parts and equipment

5 - 39

Visual description: Potable Water systems

Notes

Similar to sanitary sewer systems, potable water requires coordination to re-start. Initiating water flow into neighborhoods without an operating sanitary sewer system is inviting an environmental disaster. Starting the community service in coordinated sectors with the sewer system is the preferred method.

If the whole system is not affected, how will system repairs be carried out while continuing operations in the non-impacted areas?

- Who controls and operates the system?
- Where do they get their water?
- What is the status of the components?
- Treatment plants
- Distribution system
- Raw water source (surface, well, or other provider)
- What is the availability of needed parts to repair and restart?

If water supplies do not meet water quality standards, state and county health departments have processes in place to notify citizens to boil water for purification. In most cases, licensed water systems must publicize and recommend the state standard only.

Private water systems, if licensed, must usually comply with same regulations as the public supply. However, some smaller systems have lower thresholds for testing and reporting. It is imperative to have private wells tested if there has been a flooding event to ensure that contamination has not occurred.



Visual 5.40



Solid Waste – Collection/Continuity

- **Who will carry out normal collection operations?**
- **Are there drawbacks to one contractor doing both routine and debris operations?**
- **Will the traditional disposal sites change their billing or operational policies and procedures?**
- **Will commercial collection needs increase during the recovery period due to increased business and restocking?**

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Visual description: Solid Waste- Collection/Continuity

Notes

It is important to note with regard to solid waste, public works will be challenged with the need to provide continued service to non-impacted areas of the community very shortly after the event.

- Who will carry out normal collection operations?
- Are there drawbacks to one contractor doing both routine and debris operations?
- Will the traditional disposal sites change their billing or operational policies and procedures?
- Will commercial collection needs increase during the recovery period due to increased business and restocking?



Visual 5.41

Solid Waste – Debris Removal/Disposal

- Determine community's role.
- Determine Temporary Debris Storage and Reduction sites (TDSR) and permit requirements.
- Publicize plans and requirements.
- Understand Federal requirements for reimbursement of debris-related costs.




5 - 41

Visual description: Solid Waste- Debris Removal/Disposal

Notes

Debris management is the most visible operation in many events. People want the piles of “stuff” gone from their property.

- What is the public works' role in collection, reduction, and processing of debris?
- Will it be in-house forces or contractual operations.
- The number of Temporary Debris Storage and Reduction Sites (TDSRs) needed is determined by the amount of debris generated by the disaster. Utilize one of the debris generating models to estimate the material quantity.
- Where will sites TDSRs be located? Pre-permitting by State and Federal officials is allowed and recommended.
- Provide public awareness of the plan.
- Become familiar with the Public Assistance Program reimbursement policies and practices.
- Will property owners be allowed access to damaged sites to inspect and gather any salvageable belongings? Who will manage this and under what rules.

Galveston, TX had major issues with this after they announced a re-entry, only to have to cancel it.

After the Oakland and San Diego, CA wildfires, officials arranged for residents to park in central locations, bused them into the impacted area for a specific time period, then bused them back out.



Visual 5.42



Debris Management

- Once debris is moved to TDSR, reduction is an efficient method to reduce material disposal costs.
 - Recycle: metal, glass, plastics, paper, white goods
 - For other combustibles:
 - Air curtain burner
 - Grinders/chippers
 - Composting
 - Authority to demolish structures.

FEMA 5 - 42

Visual description: Debris Management

Notes

Disposal costs may be reduced by minimizing the quantity of material that is handled.

Reduction helps minimize these costs, and can be accomplished through numerous methods:

Recycling materials including metals, glass, plastics, and white goods will significantly reduce disposal costs as many of these are bulky and take up many cubic yards, as well as pounds in the disposal process.

Reduction of combustibles, including vegetation, also reduces volume and weight, reducing final costs. This can be done through:

- Air curtain burners
- Grinders and chippers
- Composting

In many cases, properties are left abandoned or ownership cannot be determined. It is important to be aware of State and local regulations regarding cleanup and demolition should it become necessary.

In some States, mobile and manufactured homes are considered vehicles, not property, so there are no land titles to search for ownership.



Visual 5.43



Hazardous Material Collection

- How will hazardous materials be collected?
- Determine protocols for collection (OSHA/EPA).
- How and to whom will spills or leaks be communicated?
- Communicate the need to separate from other debris.
- Determine final disposal plan.

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Visual description: Hazardous Material Collection

Notes

Hazardous waste issues include both disaster caused events, as well as household hazardous waste.

Determine the who, how and when of hazardous materials collection.

- If and when found, how will they be cataloged and collected?
- What are the appropriate protocols for collection?
- Is personal protection required for workers?
- Is special training necessary for the personnel?
- Who is notified of the material's location and makeup?
- What is final disposal plan for the material?



Visual 5.44



Technical Support – Recovery

Provide support to other recovery team members for:

- Damage assessment.
- Engineering, fleet, facilities, and resources.
- Liaison with utilities and agencies.



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Visual description: Technical Support - Recovery

Notes

One of the key components of the public works discipline is providing technical support to other recovery team members, which can include personnel versed in:

- Damage assessment.
- Engineering, fleet operations, facilities, transit systems, and utilities.
- Liaison with utilities and government agencies.

In the aftermath of the 2004 and 2005 hurricane seasons, public works teams fanned out across the gulf coast assisting local agencies in assessing, repairing, and recovering from the damage they sustained. In New Orleans a task force of water department equipment and personnel from Portland, Oregon responded and provided crucial assistance in repairing key water pipes and other system components.

After Hurricane Ike, the Texas Task Force One, a public works response team quickly mobilized into Galveston, and was assessing and repairing their transportation and utility systems even as the flood waters were still receding.



Visual 5.45



Technical Support – Mitigation

- Determine how mitigation can be incorporated into recovery.
- Evaluate/identify areas of future risk.
- Identify mitigation techniques.
- Determine financing options.



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Visual description: Technical Support - Mitigation

Notes

As recovery unfolds, mitigation opportunities will often present themselves. Public works can help in the following ways:

- Determine what efforts can be incorporated into recovery, and which can't.
- Evaluate/identify areas of future risk.
- Determine what techniques are available to mitigate both the existing and future risk concerns.
- Determine financing options for mitigation projects.



Visual 5.46



Continuity

In most cases, there are services that must be provided despite the recovery process.

- Identify areas and services that have priority.
- Determine how to staff both recovery and continuity operations.
- Plan how and when to transition forces from one to the other.

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Visual description: Continuity

Notes

In most cases, there are services that must be provided despite the recovery process.

- Identify areas and services that have priority.
- Determine how to staff both recovery and continuity operations.
- Plan how and when to transition forces from one to the other.



Visual 5.47



Transition

Determining when to transition from recovery to normal operations is often difficult.

- Who determines when this transition will take place?
- How will employees be transitioned?
- What operations will be transitioned first?
- Are there new priorities or policies?
- How will these new policies be communicated?

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Visual description: Transition

Notes

Determining when to transition from recovery to normal is often a difficult thing to do:

- Who determines when this transition will take place?
- How will employees be transitioned?
- What operations will be transitioned first?
- Has the disaster led to new priorities or policies from the elected officials?
- How will these new policies be communicated to the staff?



Visual 5.48

Activity 5.2: Case Study - APA Briefing - Infrastructure



Purpose: Examine issues relating to infrastructure during recovery.

Instructions: Individually read the 5 page briefing, discuss as a class.

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Visual description: Activity 5.2 Case Study - APA Briefing

Notes

The purpose of reading and discussing the Case Study is to examine issues relating to infrastructure issues associated with recovery.

Please read the 8 page APA Briefing Paper on Infrastructure. This paper is provided on the following pages in your Student Manual. Discuss as a table group and be prepared to share your thoughts with the class.

35 minutes

Individual and Table Group Activity
35 minutes

ACTIVITY 5.2:

Case Study – APA Briefing - Infrastructure

Purpose

The purpose of reading and discussing the Case Study is to examine issues relating to infrastructure issues associated with recovery.

Directions

Please read the 8 page APA Briefing Paper on Infrastructure¹. This paper is provided as Appendix D in your Student Manual and is also available electronically in the Course Reference Library. Discuss as a table group and be prepared to share your thoughts with the class.

¹ American Planning Association. (ca 2015). *Planning resilient infrastructure* (Planning for post-disaster recovery briefing papers) (Issue Brief No. 3). Retrieved from <https://www.planning.org/research/postdisaster/briefingpapers/pdf/infrastructure.pdf>



Visual 5.49



Visual description: Building Inspection

Notes

Almost every disaster event will result in some need for building inspection.



Visual 5.50



Building Inspection

Building inspection services may be needed for:

- Damage Assessment
- Re-Entry and Access Policies
- Temporary Protection vs. Reconstruction
- Contractor Licensing and Approvals
- Code Issues
- Mitigation Activities
- Demolition of Structures
- Building-Related Debris Management

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Visual description: Building Inspection

Notes

Inspection services usually have a role in the following areas during disaster recovery:

- Damage Assessment
- Re-Entry and Access Policies
- Temporary Protection vs. Reconstruction
- Contractor Licensing and Approvals
- Code Adequacies
- Mitigation Activities
- Demolition of Private and Public Properties
- Building-Related Debris Management



Visual 5.51



Damage Assessment

- Establishes a picture of scope and impact.
- Supports application for declaration and funding.
- Requires trained staff and a damage assessment procedure.
- Requires cooperation with other agencies and private sector.
- Makes use of technology where possible.

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Visual description: Damage Assessment

Notes

Damage Assessment:

- Establishes a picture of the scope and impact of the incident or disaster.
- Supports the application for a disaster declaration. Each State has a reporting process in place to detail and record this information. It is imperative that emergency managers and other personnel become familiar with their State's requirements.
- Requires trained staff and a damage assessment plan or procedure.
- Requires cooperation with other agencies and private sector.
- Makes use of technology where possible.



Visual 5.52

Trained Staff

- Reporting methods and structure
- Procedures and report format
- Uniform marking code
- Lines of responsibility and communication

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Visual description: Trained Staff

Notes

A trained staff is essential for timely and appropriate completion of this process for “peacetime” and disaster applications. Training should cover the following areas:

- **Reporting methods and structure:** Inspection personnel should be familiar with the damage assessment methodology and reporting structure.
- **Procedures and report format:** This will ensure familiarity with the forms being used and the information being requested. The method of the inspection also should be uniform and clearly understood. This could include in what order an inspection will occur as well as what information will be collected.
- **Uniform marking code:** The code should be used to indicate to follow-up staff whether the structure has been initially inspected, detail inspected, determined safe for entry, or approved for occupancy. This can be done by color coded tags, decals, stickers, or forms.
- **Lines of responsibility and communication:** These are critical to the efficient inspection and reporting process. Who is responsible, who reports to whom, and what is reported are key points that everyone involved in the process must be familiar with.

This will most likely involve coordination and cooperation with other agencies and utilities. Pre-planning this coordination and information gathering will save valuable time in the reporting process.

Geographic Information Systems (GIS) and Geographic Positioning Systems (GPS) can be effective tools for mapping and defining damage patterns. These systems can be used to create an electronic file of GPS coordinates, photos of the damage and condition, and other information that will assist the community in reporting.



Visual 5.53

Rapid Damage Assessment

- Conducted immediately post event.
- Provides general information to officials... How big how bad?
- Provides rough estimates and limits of damage.
- Can be accomplished through either single resources, task force, or strike team concepts.

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Visual description: Rapid Damage Assessment

Notes

Rapid damage assessment is intended to provide local officials with an early estimate of the scope and limits of damage, including:

- Define the areas of damage.
- Estimate extent of damage in rough terms (structures in the area have an average market value of \$200,000. Damage to a structure is estimated at 50 percent. The damage estimate for the structure is \$100,000).
- Field forces determine the extent of damage. Cost estimates may be applied in the field or following the gathering of data.
- It is conducted as soon as possible post event and, depending on severity, may take 1 to 2 days to complete.
- It provides the local officials with the key answers to...How bad is it?...How big is it?

Utilizing the concept of incident management, rapid damage assessment can be accomplished through the use of inspectors functioning as:

- **Single Resources:** Each inspector works independently and reports directly back to a reporting center.
- **Task Force:** Inspectors from different disciplines or utilities are teamed together and complete inspections in a comprehensive manner.
- **Strike Team:** Inspectors from each discipline or utility work together but independent of other disciplines with information compiled at the reporting center.



Visual 5.54



Detailed Damage Assessment

- May overlap in timeline with rapid damage assessment.
- Provides more extensive information.
- Inspections involve more physical presence.
- Costs are based upon more detailed estimates than rapid damage assessment.
- Helps determine actual losses
- Assists with mitigation and recovery planning.

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Visual description: Detailed Damage Assessment

Notes

Detailed damage assessment is a more thorough, detailed reporting of the conditions identified in the rapid damage assessment.

These activities may overlap. Detailed damage assessment will take time, as it may require services of engineers, architects, contractors, as well as other professionals.

Information gathered will be far more extensive and detailed (e.g., not just “the bridge is damaged,” but “the bridge deck is damaged, but structure is intact, estimated repairs are ____ dollars”).

The process provides estimates of actual repairs based upon previous experience, actual estimates from contractors, or other sources.

This work requires the presence of personnel on the ground, evaluating the damage and providing substantial estimates of needed repairs.

Detailed damage assessment information may be transformed into a detailed document for the purposes of reviewing and identifying potential mitigation projects, as well as long-term recovery needs.



Visual 5.55



Re-Entry and Access Policy

- Critical part of emergency planning.
- Potential conflict between officials, citizens, and businesses.
- Necessary for public safety and security.
- Should establish who, when, where, and how long.
- Access routes and perimeter security.
- Planning can avoid conflicts between debris/public recovery and private recovery.

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5 - 55

Visual description: Re-entry and Access Policy

Notes

The question of re-entry and access is one that must be addressed in pre-event planning. It can greatly impact how local government is viewed by the public during recovery.

The control of access is an important consideration for safety of the general public. Basic sanitation and utility services must be present in order to prevent additional health and safety issues. There are also obvious concerns about leaking natural gas or propane, energized downed electrical lines and hidden areas of damage caused by flood or washout. The question of access is critical, and often different in each situation.

The questions below may prove contentious, especially between local officials and citizens and business leaders who want to “know what’s damaged” and to “do something” about it.

- Who is allowed in? Residents? Contractors?
- Is there a curfew?
- When are they allowed in? How soon to allow is a difficult decision. There will be pressure to make it as soon as possible.
- Where will they be allowed to go? Can they go beyond their own neighborhood?
- Do they need a pass or escort?
- How long can they stay? Time limits? During daylight only?
- What if they refuse to leave?

This has been handled in many different ways, for example:

During both the Oakland and San Diego, California, wildland fires, residents were collected at a central point and officials used buses to move them to their homes. They were dropped off and

allowed a given period of time before being picked up and transported back to their vehicles. This not only controlled access, but reduced the congestion of the roads. This gradually was modified as debris removal and utility operations allowed for better access and traffic flow. Control points were maintained for property protection purposes for quite a while after the event.

Contractors can also be processed at a central point, authorized or licensed as needed, and provided a pass into the area specifying address, and the type of work to be performed.

Traffic control and clearly communicated routes in, around and out of the impacted area will greatly ease the burden of managing this process. While potentially different for each event, general routes can be determined in advance for your community as whole, as well as each neighborhood. This allows for improved traffic flows and efficient transportation of materials and debris.

After Hurricane Ike, officials of a Gulf Coast community issued a return home instruction before all was made safe. As thousands drove toward the bridges to go back home, they realized that they were not ready. They canceled the return invitation, but not before thousands of vehicles were crowding the roadways. Those residents caught in the resulting traffic jam were highly critical of the officials for not being prepared and not being clear in their instructions.



Visual 5.56

Temporary Repairs vs. Reconstruction





- Does temporary work require permits?
- What is the threshold between temporary and permanent repairs?
- How will requests for exemption of code and ordinance requirements be managed?


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Visual description: Temporary repairs vs. Reconstruction

Notes

It will ease conflict with residents and contractors if they know in advance what actions you will allow without permits. Residents want to return home quickly, and waiting for permits will delay their recovery and add to frustrations.

Local officials must determine:

- Does temporary protection work require permits?
- What constitutes “temporary”?

Planning in advance for these questions will ease the stress after the event.

What is the threshold for permanent repairs? As noted above, is a plywood patch on the hole temporary or permanent? Is a tar paper overlay to waterproof the patch allowed? Can a hole in a wall be patched? When will that be a repair? Pre-planning will enable the building inspection department to identify the possibilities and develop answers.

One question that always arises after an event is whether codes will be relaxed to promote faster recovery (i.e., exempted from enforcement). This is especially prominent in flood-prone areas or in areas where older, existing structures do not comply with newer zoning or building codes. Public officials must be mindful of the potential impact of providing code exemptions because such approvals could affect liability, insurance coverage and cost, and public safety in the affected area. The local government legal department should be consulted on these issues.

A separate issue is whether the local government will reduce or waive building permits fees. In this case, a permit is still required and all regulations must be adhered to; however, the applicant is provided some relief by not being required to pay for a permit.



Visual 5.57



Contractor Licensing and Approvals

- Plan for the inevitable influx of contractors.
- Licensing vs. approved lists.
- Publicizing your process and protections to the public.



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Visual description: Contractor Licensing and Approvals

Notes

The influx of repair contractors that follows any major event can be very challenging for local officials. Many contractors and repair workers may appear without being requested. Tales of persons taking deposits and not returning, or taking money, starting the job, and not finishing it, are often reported.

Develop a plan on how to manage this issue, including provisions to direct contractors and other incoming repair workers to one central processing point. Develop procedures and guidelines in advance, to help determine contractor qualifications and how they will be identified as such. If a community does not currently license contractors, how will it be managed in these circumstances?

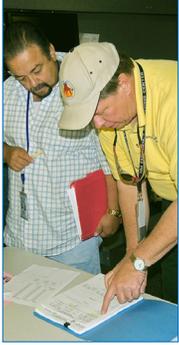
Publicize the process and the protections that are being established. Provide this information when residents begin the re-entry process so citizens and contractors have it in a timely manner.



Visual 5.58

Code Adequacies

The best time to review codes for currency and adequacy is **BEFORE** the disaster.



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Visual description: Code Adequacies

Notes

In the aftermath of disasters, communities often find it necessary to review the adequacy of their building codes. It's from such events that we see fire suppression sprinklers and alarms mandated in structures, earthquake resistant codes adopted in earthquake-prone communities, and wind/water protection measures upgraded in coastal areas. Code changes may be controversial and time consuming. Officials need to ask:

- Are codes current and appropriate?
- Are their special considerations for times of disaster?
- What changes are needed?

If the code review is conducted in the post-event timeframe, it will delay repairs and rebuilding, raise costs, and be very unpopular with residents and businesses alike.

Sometimes, a general review of codes is necessary to mitigate future events and better prepare the community. If that is the case, do not hesitate to do this while the memory of the event is fresh. Within just a couple of years the urgency is gone and the event is a historical event, not a pressing issue.



Visual 5.59

Mitigation Activities

- Information from assessments can be key component of mitigation reviews.
- Public support is often higher after an event.
- Coordination with community planning department.

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Visual description: Mitigation Activities

Notes

Mitigation serves an important role in protecting and preserving the cultural and socio-economic qualities of a community.

Public interest in and support for issues such as property buyouts and rezoning of at-risk properties may be higher after an event, and chances of making an impact may be greater. It is also much easier to acquire structures when they are damaged than after they have been repaired.

The Building Department usually works in tandem with the Community Planning and Development Department, either at the local or at the county level, to achieve mitigation projects. Together, these two departments can review development or rebuilding projects and proposals and determine whether mitigation opportunities exist. In cases where special building methods and techniques must be applied in recognition of hazards, the departments can work together to identify and enforce the requirements.

Disasters may provide opportunities for mitigation improvements in the community's infrastructure as well as residences. Pre-disaster and post-disaster hazard mitigation plans will identify priority areas for attention and, in the event of a Federal Disaster Declaration, may provide resources to accomplish them. In these cases, Federal and State agencies will be coordinating their actions to help achieve mitigation goals. As mentioned in Unit 3 a Recovery Task Force may also help leverage various sources of funding to achieve recovery and mitigation.



Visual 5.60

Demolition of Private & Public Properties

- Always a contentious issue.
- Authority to approve demolitions.
- Criteria to be applied:
 - Extent of damage (\$ vs. %)
 - Public safety vs. community safety
 - Proper notification of property owners





5 - 60

Visual description: Demolition of Private and Public Properties

Notes

In most events involving natural disasters, some demolition of structures will likely be necessary. Who will demolish and when, is often an issue of great debate. The following questions will arise:

- Can the local government demolish a structure without the owner's approval?
- Under what guidelines?
- Who can authorize it?
- Who pays for it?
- Can a structure be demolished just because it is beyond financial repair, even if it is not currently a safety hazard?
- What is the definition of a safety hazard?
- Is this clearly defined in plans, codes, or ordinances?
- What criteria will need to be met?
- What threshold will be used to determine repair or demolition?

Documentation of these actions should be maintained and supported by photographic evidence as to why the demolition was undertaken.

Public safety or community safety issues may present themselves in decisions about demolition. Community safety may involve sanitation or disease-related issues, while public safety may involve the structure being used when it is not habitable or by unauthorized persons.

Some State and local codes require written notification of the property owner prior to demolition.

The community legal department should be involved in all decisions relating to demolition.



Visual 5.61



Unit Summary

Are you now able to:

- Explain the roles of local agencies for functions including housing, public works, building inspection, planning, and community development.
- Identify the six community planning tools that can assist in disaster recovery?
- Describe the challenges and opportunities related to short and long term housing issues.

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Visual description: Unit Summary

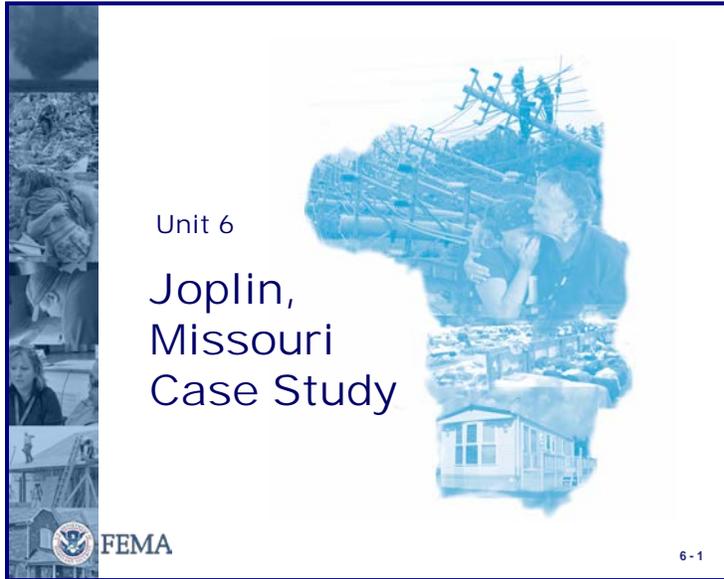
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Unit 6: Joplin, Missouri Case Study

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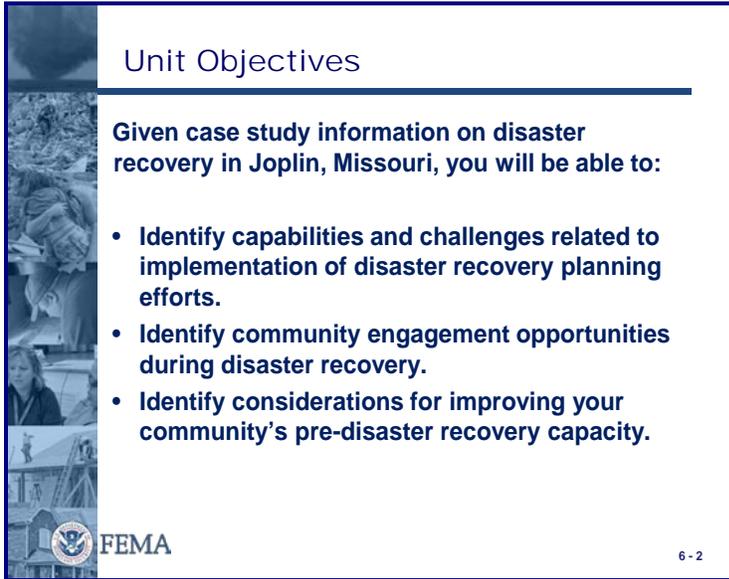
Visual 6.1



Visual Description: Unit 6: Joplin, Missouri Case Study

Notes

Visual 6.2



Unit Objectives

Given case study information on disaster recovery in Joplin, Missouri, you will be able to:

- Identify capabilities and challenges related to implementation of disaster recovery planning efforts.
- Identify community engagement opportunities during disaster recovery.
- Identify considerations for improving your community's pre-disaster recovery capacity.

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Visual Description: Unit Objectives

Notes

Visual 6.3



Activity 6.1: Case Study: Joplin



- 1 hour 30 minutes
- Table Groups
- Topics: Finances, Housing, COAD, CART, and Catalytic Recovery Efforts
- Report Out: 3-5 minutes

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Visual Description: Activity 6.1: Case Study: Joplin

Notes

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Table Group Activity
1 hour, 30 minutes

ACTIVITY 6.1

Case Study: Joplin, MO

Purpose

The purpose of this case study is to provide an illustrative example, so that participants can analyze the case study in order to accomplish the following:

- Identify capabilities and challenges related to implementation of disaster recovery planning efforts.
- Identify community engagement opportunities during disaster recovery.
- Identify considerations for improving your community's pre-disaster recovery capacity.

Directions

1. The Joplin, Missouri Case Study was assigned as an evening reading on the first day of class. You should be somewhat familiar with this case study already.
2. Your table group will be assigned one of the 5 topics on the following pages.
3. Working in your table group, review your assigned section of the Joplin, Missouri Case Study. You will have 30 minutes for group discussion.
4. Following group discussion, one or more members of your group will be asked to present a 3-5 minute presentation summarizing your responses to your assigned questions.
5. Your instructor will lead a class discussion following the activity on how a community can develop pre-disaster capacity.

ACTIVITY 6.1**Case Study: Joplin, MO****Topic 1: Context of Recovery - Finances**

The Joplin Missouri Case Study indicates that at six months post disaster, the city was at a crossroads with difficult decisions ahead regarding how to apply millions of dollars in state and federal redevelopment grants, tax incentives and philanthropic donations.

1. Discuss considerations and strategies for moving the recovery forward.
2. What challenges might be anticipated?
3. How can these challenges be minimized?
4. What is the implementation strategy?

ACTIVITY 6.1**Case Study: Joplin, MO****Topic 2: Summary of Major Damages/Losses - Housing**

Housing recovery is a huge issue for the long term recovery of Joplin. The case study indicates residents have been displaced. 4000 of these residents are low income. Rental units suffered disproportionate destruction.

1. Discuss considerations and strategies for moving the housing recovery forward.
2. What challenges might be anticipated?
3. How might these challenges be minimized?
4. What is the implementation strategy?

ACTIVITY 6.1**Case Study: Joplin, MO****Topic 3: The Context of Recovery - COAD**

The Joplin Missouri area had a well-established association known as the Jasper County Community Organizations Active in Disasters (COAD). Review the Case Study to determine the following:

1. How does the COAD integrate into the overall recovery effort?
2. What challenges might be anticipated? How can they be minimized?
3. What strategies might be implemented to ensure maximum coordination and collaboration among the COAD, local government and members of the community?

ACTIVITY 6.1**Case Study: Joplin, MO****Topic 4: Citizens Advisory Recovery Team (CART):**

The Citizens Advisory Recovery Team or “CART” process refers to a planning process for long term recovery that was implemented within a month following the Joplin tornado.

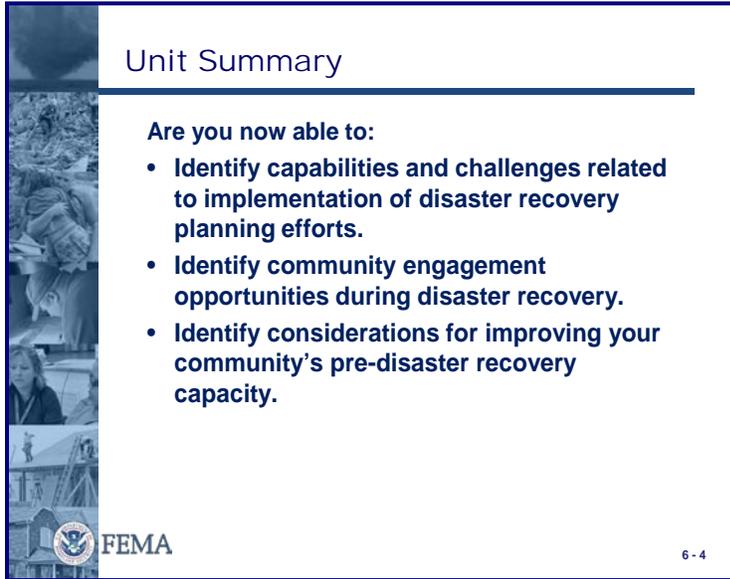
1. How does the CART integrate into the overall recovery effort?
2. What challenges might be anticipated? How can they be minimized?
3. What strategies might be implemented to ensure maximum coordination and collaboration among the CART, local government and members of the community?

ACTIVITY 6.1**Case Study: Joplin, MO****Topic 5: Catalytic Recovery Efforts**

Within days of the tornado many different elements among the Joplin community made critical decisions that had a significant impact on the course of the recovery.

1. What were the key elements/actions that led to the successful recovery during the first six months following the Joplin tornado event?
2. What leadership strategies/actions would be necessary to make this effort successful?
3. What should be done during a pre-disaster recovery planning process to ensure the necessary elements are in place?

Visual 6.4



Unit Summary

Are you now able to:

- Identify capabilities and challenges related to implementation of disaster recovery planning efforts.
- Identify community engagement opportunities during disaster recovery.
- Identify considerations for improving your community's pre-disaster recovery capacity.

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Visual Description: Unit Summary

Notes

Unit 7: Course Conclusion

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Scope

- Course Summary and Final Comments
 - Course Examination
 - Conclusion
-

Time Plan

A suggested time plan for this unit is shown below. More or less time may be required, based on the experience level of the group.

Topic	Time
Course Summary and Final Comments	5 minutes
Course Examination	40 minutes
Conclusion	15 minutes
Total Time	1 hour

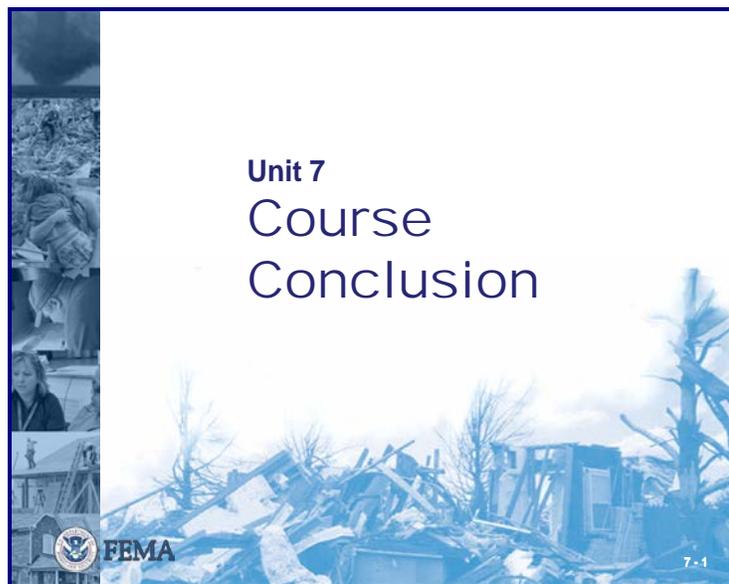
Materials and Equipment

- Instructor Guide
- Student Manual
- Power Point slides and computer projection system

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Visual 7.1

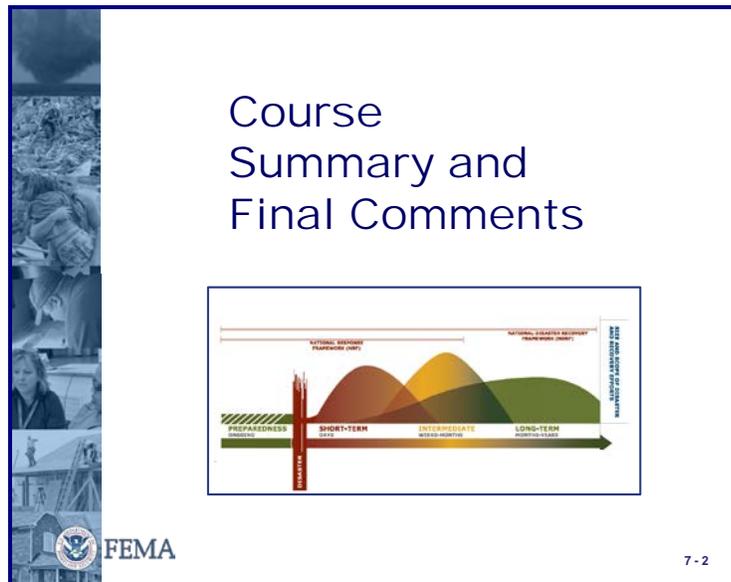


Visual Description: Title Slide: Course Conclusion

Notes



Visual 7.2

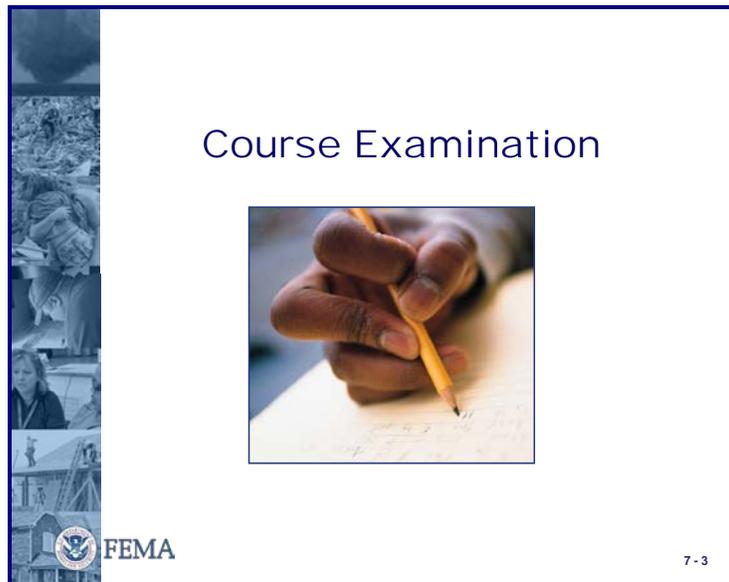


Visual Description: Course Summary and Final Comments

Notes



Visual 7.3



Visual Description: Course Examination

Notes

Visual 7.4



Final Course Evaluation

Please complete the final evaluation form for this course.

Give us your suggestions for improvement, and help us refine this material for the students who will take this program after you.

A circular inset image showing a hand holding a pen and writing on a white notepad.

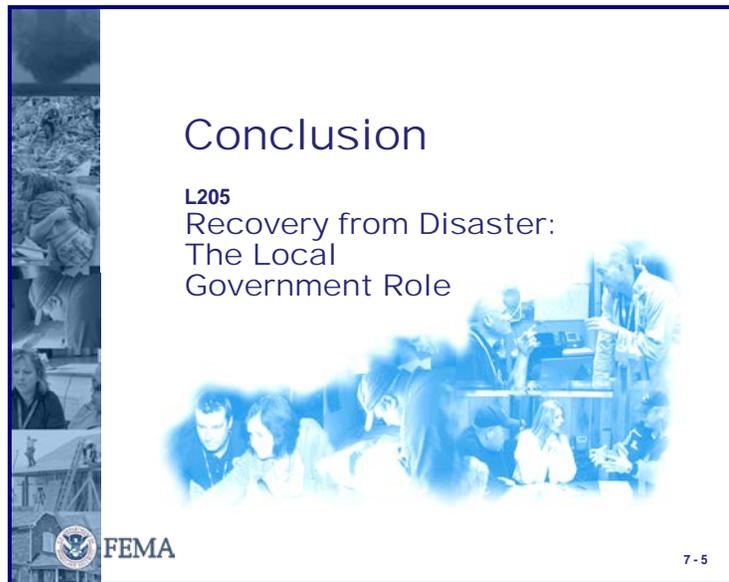
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7-4

Visual Description: Final Course Evaluation

Notes

Visual 7.5



Visual Description: Conclusion

Notes

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