



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

FEBRUARY 2015



FEMA

This Page Intentionally Left Blank

# TABLE OF CONTENTS

<b>OVERVIEW</b> .....	1
Purpose of the Guide .....	3
Who is the audience?.....	4
How is this guide useful?.....	4
How does this guide differ from recovery planning guidance? .....	5
<b>LEADING THE RECOVERY COORDINATION PROCESS</b> .....	7
Identifying Recovery Coordination Leadership .....	7
Selecting a Recovery Coordination Structure .....	8
Recovery Support Function Model .....	10
Recovery Committee or Commission Model .....	10
Task Force Model.....	11
<b>ASSESSING AND EVALUATING CURRENT AND ANTICIPATED RECOVERY ISSUES</b> .....	13
Collecting Data.....	13
Identifying Priorities.....	16
<b>IDENTIFYING AND COORDINATING KEY RESOURCES</b> .....	17
Types of Resources .....	17
Information.....	17
Technical Assistance .....	17
Subject Matter Expertise .....	18
Funding Mechanisms.....	19
Avenues for Securing Resources .....	21
State, Tribal, Territorial, Regional and Local Government .....	21
Federal Government.....	21
Voluntary and Nonprofit Agencies .....	23
Philanthropy.....	25
Professional Associations and Academia .....	26
Private Sector.....	27
<b>BUILDING RESILIENCE INTO RECOVERY</b> .....	29
<b>APPENDIX A: RECOVERY COORDINATION AND SUPPORT ACTION EXECUTIVE CHECKLIST</b> ..	35
<b>APPENDIX B: APPLYING LEADERSHIP AND RECOVERY COORDINATION STRUCTURES</b> .....	37
<b>APPENDIX C: ASSESSMENT TOOLS</b> .....	49
<b>APPENDIX D: ADDITIONAL RESOURCES</b> .....	53

This Page Intentionally Left Blank

# 1. OVERVIEW

Communities are complex systems that consist of multiple networks of people, infrastructure, natural environments, commercial patterns, organizations and governments. All communities plan to manage the impact and subsequent recovery from a disruptive incident. These incidents can take many forms; to include natural incidents (tornado or flood), man-made incidents (oil spill, terrorist attack or hazardous material release), economic incidents (the closure of a key employer) and ecological incidents (a sudden shift in spawning areas for key fisheries).

The recovery challenges in the aftermath of such an incident can be overwhelming even to well-resourced or resilient communities. Often times systems are disrupted, needs exceed available resources, regular service providers are overextended and networks necessary to address incident related needs are not accessible. Resources and expertise from outside the community will be required to support recovery when either the existing capacity is exceeded or additional capabilities are required.

State, tribal, territorial and local government departments and agencies will be better positioned to address all the recovery issues and meet all the needs and priorities of an impacted community when engaging the whole community<sup>1</sup>. A whole community approach includes the collaboration between all levels of government, private sector, nonprofit organizations, business and faith-based communities, individuals and households, including people with disabilities and others with access and functional needs.

Communities need varying levels of resource support from a number of different sources to achieve a successful recovery. Furthermore, communities may not directly control all of these resources. Thus, those managing recovery have to both plan and coordinate relevant and available resources that meet the identified priorities and needs of the community while ensuring equal access and equal opportunity across the spectrum of recovery efforts.



Figure 1: Interrelationships of Whole Community in Recovery Process

<sup>1</sup>The Whole Community concept is described as "a means by which residents, emergency management practitioners, organizational and community leaders, and government officials can collectively understand and assess the needs of their respective communities and determine the best ways to organize and strengthen their assets, capacities, and interests. By doing so, a more effective path to societal security and resilience is built." *A Whole Community Approach to Emergency Management: Principles, Themes, and Pathways for Action*, FDOC 104-008-1, December 2011 is available at [http://www.fema.gov/media-library-data/20130726-1813-25045-0649/whole\\_community\\_dec2011\\_2\\_.pdf](http://www.fema.gov/media-library-data/20130726-1813-25045-0649/whole_community_dec2011_2_.pdf).

While recovery management includes coordination and planning through the key elements of leading, organizing, assessing, informing, engaging and implementing, as depicted in Figure 2: *Recovery Management*, this guide focuses on the recovery coordination function. Timely engagement and collaboration to determine whole community needs will allow effective coordination of the wide range of public, private and nonprofit resources typically available. Recovery resources include information for decision making, technical assistance, subject matter expertise, labor and equipment, as well as coordination and funding mechanisms.

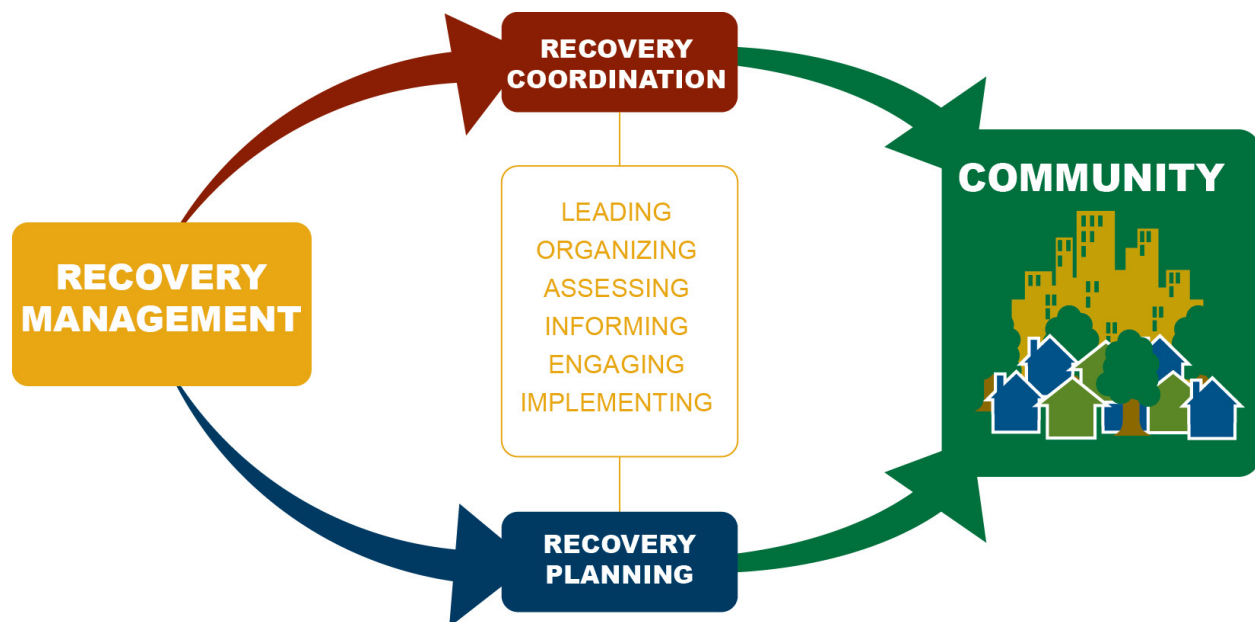


Figure 2: Recovery Management

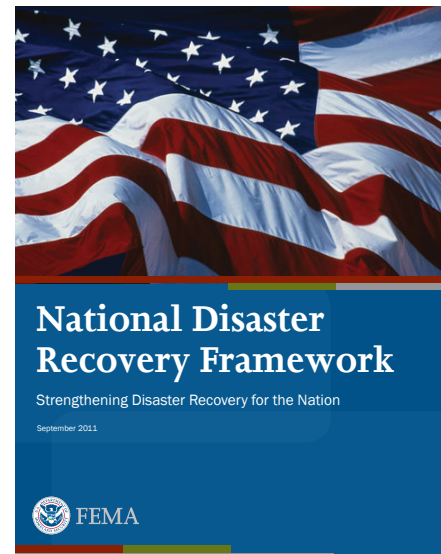
State, tribal, territorial and local government departments and agencies have a wide range of critical tasks when managing a recovery process, to include:

- identifying and prioritizing current and anticipated resource needs through an effective and inclusive evaluation process;
- understanding how to access all available resources beyond traditional recovery programs;
- capitalizing on state, tribal, territorial or local leadership authority to more strategically use current available resources;
- ensuring an inclusive coordination process; and
- incorporating opportunities to increase resilience and mitigate the impacts of future incidents.

Effective management of these tasks will improve recovery coordination and help ensure a more effective, efficient and equitable recovery for any incident regardless of the size or scale. This guide addresses these critical coordination tasks through expanding the concepts outlined in the *National Disaster Recovery Framework (NDRF)*.

The NDRF describes an inclusive process to identify scalable solutions and resources to convene, coordinate and engage whole community partners and recovery leadership at the Federal, state, tribal, territorial and local level following any incident. The NDRF captures the key considerations, effective management practices and lessons learned that were gathered from recovery stakeholders from across the Nation.

The NDRF requires Federal agencies to come together and organize in a structured and repeatable way that is focused on aligning Federal resources to help address state, tribal, territorial, regional and local needs. The NDRF suggests ways in which the community may organize to connect with these Federal resources. Building on the principles and concepts outlined in the NDRF, this guide will better position recovery stakeholders to lead, coordinate and support impacted communities in a more efficient and effective manner and to ensure everyone in the community has equal access to resources and equal opportunity to participate in recovery activities throughout the coordination process.



The *National Disaster Recovery Framework* is available at [www.fema.gov/national-disaster-recovery-framework](http://www.fema.gov/national-disaster-recovery-framework).

## PURPOSE OF THE GUIDE

This guide highlights the critical tasks and coordination challenges that state, tribal, territorial or local governments most commonly address when managing a recovery process. It describes the processes, considerations and interdependencies of the key elements depicted in *Figure 2: Recovery Management* to enhance recovery coordination; those include leading, organizing, assessing, informing, engaging and implementing.

This guide is designed to be applied after an incident, either in concert with existing pre-incident recovery plans or to enhance post-incident planning efforts. Applying the key elements, this guide is organized into four sections:

- leading the recovery coordination process;
- assessing and evaluating current and anticipated issues;
- identifying and coordinating key resources; and
- building resilience into recovery.

Figure 3: Components of the Recovery Coordination Process shows that these key elements are connected and interdependent.



Figure 3: Components of the Recovery Coordination Process

## Who is the audience?

This document is intended for state, tribal, territorial and local government officials and other key stakeholders that may have a leadership, management or coordination role in the recovery process.

## How is this guide useful?

Incidents are inevitable and while the size, scale and scope will vary, state, tribal, territorial and local governments are responsible for leading, managing and driving the overall recovery process.

Some incidents qualify for a Presidential Declaration under the *Robert T. Stafford Disaster Relief and Emergency Assistance Act* (Stafford Act). Such a declaration would allow funding for disaster assistance through the Federal Emergency Management Agency's (FEMA) Individual Assistance (IA), Public Assistance (PA), and Hazard Mitigation Grant Program (HMGP) programs. Depending on a number of factors including the magnitude and severity of the impact, the President may authorize either one or a combination of FEMA assistance programs to support community recovery. Other statutes, such as the *Homeland Security Act*, may also authorize substantive Federal assistance in response to certain types of incidents. After the 2010 Deepwater Horizon oil spill, for example, Federal response was managed pursuant to the *Oil Pollution Act*.

The majority of incidents, however, are managed by the state, tribal, territorial and local government without a Presidential Declaration under the Stafford Act. Either way, impacted communities will have recovery needs and require access to resources that necessitate an effective recovery management and coordination process. This guide focuses on the application of the key components depicted in *Figure 3: Components of the Recovery Coordination Process* to improve the effective coordination of the recovery.

Lessons learned from the post-incident environment on establishing leadership and structure and developing whole community partnerships can help influence pre-incident planning and build capability for future incidents.

Recovery experiences have consistently pointed to examples of increased coordination efforts as central to an effective recovery. Coordination following any incident will allow recovery leaders to identify needs and priorities more effectively, reallocate existing resources, engage traditional and non-traditional whole community partners and identify other assistance. Since most incidents are managed at the state, tribal, territorial or local level, the incorporation of a coordinated effort is critical.

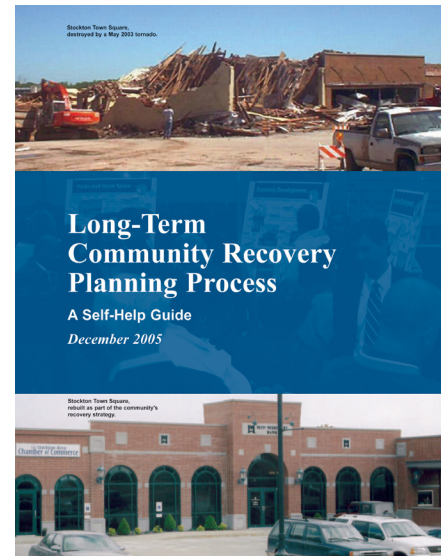


## How does this guide differ from recovery planning guidance?

This guide differs in that it is primarily intended to be implemented post-incident to more effectively coordinate recovery resources following an incident of any size or scale. In addition, it can be used pre-incident in the development of a recovery management model and to inform the pre-incident recovery planning process.

Pre-incident planning guidance<sup>2</sup> provides a process which helps identify goals and priorities, leadership, structure, roles and responsibilities and potential resources prior to an incident. An effective pre-incident inclusive recovery plan enables the whole community to begin the road to recovery more quickly.

The *Long-Term Community Recovery Planning Process: A Self-Help Guide* assists communities in the post-incident recovery planning process. Post-incident recovery plans strive to help communities rebuild and enhance their resilience, while capitalizing on existing strengths and addressing weaknesses that may have existed pre-incident. The recovery planning process includes the identification of specific recovery projects and strategies for implementation, while integrating community recovery needs with long-term community development goals.

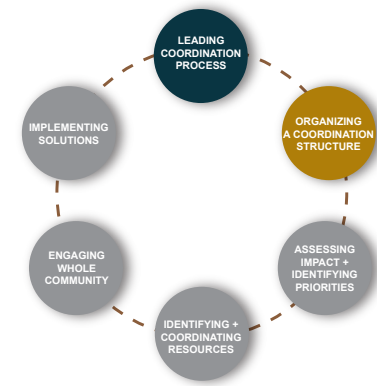


The *Long-Term Community Recovery Planning Process: A Self-Help Guide* is available at <http://www.fema.gov/media-library-data/20130726-1538-20490-8825/selfhelp.pdf>.

<sup>2</sup>The *Recovery Pre-Disaster Planning Guidance for States (RPPG-S)* and *Recovery Pre-Disaster Planning Guidance for Locals (RPPG-L)* are in draft and will assist state, tribal, territorial and local governments in the process of developing recovery plans before an incident. The guidance documents, when finalized, will be available at <https://www.fema.gov/resource-document-library>.

This Page Intentionally Left Blank

## 2. LEADING THE RECOVERY COORDINATION PROCESS



The post-incident environment can bring a disruption of essential services, complex and unprecedented challenges and a decline in public confidence. Communities must be ready to invest significant effort to understand the impacts following an incident and potential opportunities to create a new, more resilient future. The effects of the incident will present unique challenges and require different approaches in which leadership will play a key role in building the confidence of the community and addressing impacts in an effective manner.

Identifying who will lead is a critical first step to managing the recovery coordination process. 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. This leader, in consultation with state, tribal, territorial or local leadership, will often need to adapt an existing structure or establish a new structure that will be dedicated to addressing the recovery needs of impacted communities and supports coordination with public, nonprofit, voluntary agencies and private recovery stakeholders.

Identifying recovery leadership and a coordination structure are milestones that are critical in managing an effective, efficient and equitable recovery process. The earlier these milestones are reached in the recovery coordination process, the more time stakeholders will have to collaborate and leverage resources, rather than duplicate efforts.

**Appendix A: Recovery Coordination and Support Action Executive Checklist** provides a high level checklist for leadership and coordination considerations following an incident.

### IDENTIFYING RECOVERY COORDINATION LEADERSHIP

The NDRF encourages state, tribal, territorial or regional recovery coordination to be led by a State or Tribal Disaster Recovery Coordinator (SDRC or TDRC), identified by the Governor or tribal leader. The SDRC or TDRC organizes, coordinates and advances the recovery mission at the state, tribal or territorial level. The person in this role is responsible for facilitating coordination with relevant state and Federal departments and agencies, and the impacted jurisdiction(s).

The NDRF also recommends the appointment of a Local Disaster Recovery Manager (LDRM) to be identified by the senior elected official following any incident that requires a coordinated recovery effort. The LDRM can originate from the municipal, township, county or regional level depending on the geographic extent, political climate and local capacity and capability of the

impacted communities. 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 recovery coordination process on the ground; to include coordinating with recovery partners at all levels, communicating priorities of local leadership and ensuring an inclusive recovery process.

It is important to note that in tribal jurisdictions and some territories, the individual serving as the TDRC may also fill some of the duties typically assigned to an LDRM.

History demonstrates that recovery requires talent and experience distinct from emergency management and often calls for this talent at a time when emergency management is still heavily engaged with response and short-term recovery issues. For example, an incident that displaces a large number of residents may require a leader with a social services or housing redevelopment background.

**Appendix A: Recovery Coordination and Support Action Executive Checklist** includes a list of considerations when selecting a recovery leader. Additional pre- and post-incident roles and responsibilities for the SDRC, TDRC and LDRM are outlined in Chapter 7 of the *National Disaster Recovery Framework*.

To achieve a complete and timely recovery, the individual selected to lead will need to have the authority and influence to convene and coordinate recovery stakeholders while local emergency managers continue with the incident response. Authority may be given to recovery leadership through amending existing law enacting new legislation, or issuing an executive order, ordinance or proclamation. Formally assigning authority will enable various stakeholders to work together in a complex and dynamic environment, while minimizing friction between parties.

## SELECTING A RECOVERY COORDINATION STRUCTURE

A SDRC, TDRC or LDRM will need an effective coordination structure in place in order to assess and evaluate recovery issues, determine priorities, engage partners and identify and coordinate key resources. Engaging relevant agencies, departments and advisors under an appropriately scaled coordination structure will increase the capacity of any single agency to partner and facilitate recovery in support of state, tribal, territorial and local priorities. It will also enhance access to recovery resources, including information sharing, technical assistance, subject matter expertise and potential funding opportunities.

Recovery leadership will evaluate various options for a recovery coordination structure to determine what is most appropriate to address the current and future needs. What works in one place may or may not work in others. The following considerations can be used by state, tribal, territorial or local governments to establish an effective and efficient recovery coordination structure:

- **Will a new structure need to be created or can an existing structure be adapted?** Options for selection can include:
  - » identifying a coordination body from a pre-incident recovery plan;
  - » utilizing a coordination body from a prior incident;
  - » designating a state, tribal, territorial or local department or agency; or
  - » establishing a new organization or system within the existing government structure, such as a Recovery Commission or Task Force or Disability Advisory Group.

Establishing a new organization or system may require the movement of authorities to a new office or reallocation of funding and staff to manage the new system.

- **How will the size of government drive the requirements and activities of the recovery structure?** Generally, larger or more complex governments such as medium to large cities or states will need to balance the equities and capabilities of a broad set of departments, agencies, commissions, elected and politically appointed officials and other stakeholder groups. As a result, the recovery structure will be responsible for bringing together multiple entities for a common purpose. Alternatively, smaller governments may need a recovery organization that is less broad and focuses on specific recovery challenges.
- **Are there regional impacts that may call for a more collaborative approach?** The recovery process may also present an opportunity for regional collaboration. The impacts of an incident often do not stop at jurisdictional boundaries. Nearby cities, towns and counties usually share the same vulnerabilities and risks and they often experience the same effects after an incident. During recovery, individual communities can fare better if they collaborate, share ideas and resources, and rebuild in ways that increase resilience, economic competitiveness and quality of life across the region as a whole. The recovery coordination structure can take a regional approach in its organization and/or integration of relevant and appropriate regional stakeholders.
- **How can the structure be adaptable and scalable?** The recovery environment will evolve overtime. Thus, the structure needs to be flexible to accommodate the coordination requirements for current and anticipated support. A scalable structure would allow for components designed to address specific issues. The recovery structure defined in the NDRF centers around multi-agency coordination facilitated by the Federal Disaster Recovery Coordinator in coordination with the Recovery Support Function Coordinating Agencies. This organizational concept is scalable. If an incident only impacts one sector, it may only require the activation of one Recovery Support Function.
- **How is universal access addressed throughout the recovery coordination process?** The concept of accessibility is applicable across the recovery coordination process, to include identifying and securing barrier-free meeting forums, inviting people with disabilities and others with access and functional needs to participate and evaluating specific long-term recovery issues. Regardless of the coordination model, disability subject matter experts can be used as advisors to assist in a more inclusive recovery coordination process that ensures everyone in the community has equal access to resources and equal opportunity to participate in recovery activities.

The following sections outline example models of recovery coordination structures for state, tribal, territorial and local governments. The models are not mutually exclusive in that the different concepts described can be integrated and used in a variety of ways, depending on what works best for the state, tribal, territorial or local government.

### Recovery Support Function Model

The Federal government uses Recovery Support Functions (RSFs) to coordinate key functional areas of recovery support. The RSF model can be applied across state, tribal, territorial or local governments. The purpose of RSFs is to facilitate problem solving, improve access to resources and foster coordination among state and Federal agencies, nongovernmental partners and stakeholders.

### Appendix B: Applying Leadership and Recovery Coordination Structures

includes case studies that demonstrate the exercise of leadership and use of different organizational structures in the post-incident environment. The appendix also highlights coordination structures outlined in pre-incident recovery plans and example participating agencies and departments by functional area or sector.<sup>3</sup>

RSFs bring together departments and agencies and many other supporting organizations—including non-traditional emergency management stakeholders—to focus on the recovery needs. These departments and agencies have responsibilities, authorities or a stake in the outcome of each functional area. At the Federal level, departments and agencies are organized into RSFs or six functional areas or sectors. Relevant stakeholders and experts are brought together when activated post-incident to identify and address recovery needs, issues and challenges. The RSFs are driven by commonly recognized sectors such as economic, housing and infrastructure. Depending on the scope and scale of the incident, and need for Federal coordination and support, one or more RSFs will be activated by the Federal Disaster Recovery Coordinator (FDRC) in consultation with the National RSF Coordinator, and assigned responsibility for addressing recovery objectives. The RSF model is an approach that any jurisdiction can use to improve coordination with partner agencies and to ensure equitable whole community access and participation.

### Recovery Committee or Commission Model

Establishing a recovery committee or commission provides a broad-based approach. Recovery committees are typically temporary because their primary role is to identify broad strategic objectives and provide oversight on the overall recovery process. Committees are often localized and comprised of high level stakeholders to include community political and business leaders that can help identify and address recovery-related issues at a strategic level. In an advisory role, the committee may be asked to produce a report with recommendations to the Governor and/or senior elected officials, and in some cases, provide oversight or implementation of those recommendations. Task forces may be created to address specific problems that require a targeted approach and subject matter experts.

<sup>3</sup>Additional information on leadership and organizational models is located in the RPPG-S and RPPG-L and the *Disaster Recovery Staffing Framework*. The RPPG-S and RPPG-L are in draft and, when finalized, will be available at <https://www.fema.gov/resource-document-library>. The *Disaster Recovery Staffing Framework* is available at [http://www.lmi.org/en/About-LMI/LMI-Research-Institute-\(1\)/Reports-Articles/Disaster-Recovery-Staffing-Framework/Disaster-Recovery-Staffing-Framework](http://www.lmi.org/en/About-LMI/LMI-Research-Institute-(1)/Reports-Articles/Disaster-Recovery-Staffing-Framework/Disaster-Recovery-Staffing-Framework).

## Task Force Model

Another way of organizing recovery stakeholders and resources is to create one or more task forces to address a unique or specific recovery need. States often create task forces to address specific issues, such as affordable and accessible housing, children, watershed management or tourism. Task forces are thematic and often focus on a particular problem or project. This may be ideal for bringing subject matter experts and relevant community partners to take a targeted approach. A task force will only focus on one specific issue, thus multiple issues would necessitate the establishment of multiple task forces. Task forces may be asked to develop and implement specific recommendations and recovery activities.

If a state, tribal, territorial or local government uses a RSF model, they may encounter an issue that crosses multiple RSFs where it would be advantageous to consider establishing a task force. For example, the revitalization of the tourism industry could depend on the economic recovery, infrastructure systems and housing RSFs working together to achieve one objective.

While the task force model indicates organizing by specific sectors, it is important to note that the concept of accessibility is cross-cutting and applicable to the whole community. Universal access will need to be considered when addressing each issue and project.

**Appendix B: Applying Leadership and Recovery Coordination Structures** provides case studies for:

- **Recovery Support Function Model**  
District of Columbia, Maryland, North Carolina and Pennsylvania in adopting the RSF model before an incident and the application of the model in Arizona following the wildfires in 2013. The appendix also includes a hypothetical example of the RSF model applied to a state, outlining functional areas or sectors, mission statements and relevant agencies and departments.
- **Recovery Committee or Commission Model**  
Galveston, Texas, Iowa, Mississippi and Missouri in establishing recovery committees following an incident.
- **Task Force Model**  
Colorado and Iowa in establishing recovery task forces following an incident.

This Page Intentionally Left Blank



### 3. ASSESSING + EVALUATING CURRENT + ANTICIPATED RECOVERY ISSUES



The post-incident environment is dynamic as needs evolve over time and new challenges emerge. After identifying recovery leadership and a coordination structure, understanding the current and anticipated recovery issues is a critical component for the effective management and coordination of recovery resources. The state, tribal, territorial or local leadership can use the established recovery structure to conduct an evaluation of the recovery impacts of the incident including likely future impacts of actions not taken. An effective evaluation process includes collecting and analyzing existing data, reports and assessments from a wide range of sources that will help identify short and long-term recovery needs and drive the activities of the organizational structure and decision-makers to prioritize resources.

#### COLLECTING DATA

There is a wide range of methodologies and tools to be used when conducting an assessment. The recovery core capabilities, as depicted in *Table 1: Recovery Core Capabilities and Definitions*, provide one lens by which present and future recovery impacts can be more readily identified and evaluated.

The core capabilities for recovery are based on restoring distinct essential functions that allow communities and state, tribal, territorial or local governments to operate effectively. They are not agency specific and often relate to a comprehensive set of functions that involve resources from a wide range of stakeholders including state, tribal, local, nonprofit and the private sector.

Using the recovery core capabilities in the data assessment process allows recovery leaders to evaluate impacts beyond restoring physical infrastructure and services. The core capability lens provides a comprehensive view of the recovery landscape; to include a continuum of care to meet the needs of affected community members, reestablishing the social fabric and positioning the community to meet the needs of the future.

In the post-incident environment, the ability to deliver on that core capability may be hindered or severely degraded and additional support may be needed. The *National Preparedness Goal*<sup>4</sup> identifies and defines eight recovery core capabilities.<sup>5</sup> The definitions are goals for the nation to work towards when managing a recovery process.

<sup>4</sup>The *National Preparedness Goal* is defined as, “A secure and resilient nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.”

<sup>5</sup>The full list of core capabilities is available at <http://www.fema.gov/core-capabilities>.

<b>RECOVERY CORE CAPABILITIES AND DEFINITIONS FROM THE NATIONAL PREPAREDNESS GOAL</b>	
<b>PLANNING</b>	Conduct a systematic process engaging the whole community as appropriate in the development of executable strategic, operational, and/or community-based approaches to meet defined objectives.
<b>PUBLIC INFORMATION AND WARNING</b>	Deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to effectively relay information regarding any threat or hazard and, as appropriate, the actions being taken and the assistance being made available.
<b>OPERATIONAL COORDINATION</b>	Establish and maintain a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of core capabilities.
<b>ECONOMIC RECOVERY</b>	Return economic and business activities (including food and agriculture) to a healthy state and develop new business and employment opportunities that result in a sustainable and economically viable community.
<b>HEALTH &amp; SOCIAL SERVICES (H&amp;SS)</b>	Restore and improve H&SS networks to promote the resilience, independence, health (including behavioral health), and well-being of the whole community.
<b>HOUSING</b>	Implement housing solutions that effectively support the needs of the whole community and contribute to its sustainability and resilience.
<b>INFRASTRUCTURE SYSTEMS</b>	Stabilize critical infrastructure functions, minimize health and safety threats, and efficiently restore and revitalize systems and services to support a viable, resilient community.
<b>NATURAL &amp; CULTURAL RESOURCES (NCR)</b>	Protect NCR and historic properties through appropriate planning, mitigation, response, and recovery actions to preserve, conserve, rehabilitate, and restore them consistent with post-disaster community priorities and effective practices and in compliance with appropriate environmental and historic preservation laws and executive orders.

Table 1: Recovery Core Capabilities and Definitions

The process of analysis in a post-incident environment is different than one conducted during steady-state for the following reasons:

- timeframe for the completion of this evaluation is compressed;
- targeted on how this particular incident impacted the community;
- major decisions will be based on the information that is collected;
- results will receive a high level of exposure and could have implications for the whole community; and
- the door is open to a wide range of new opportunities.

**Appendix C: Assessment Tools** has an example of a data collection tool based on the recovery core capabilities that may be useful to state, tribal, territorial or local governments in conducting a post-incident assessment. In addition, the appendix includes a summary of *Arizona’s Recovery Assessment Template*.

Analyzing assessment data will help state, tribal, territorial and local governments to understand which recovery core capabilities have been or will be impacted by comparing the existing conditions to desired capability targets. Capability targets describe the objectives that enable the achievement of a goal within each core capability. Additional considerations for analyzing data include:

- **Recovery core capability goals** (described in *Table 1: Recovery Core Capabilities and Definitions*) **can be used to develop specific targets.**<sup>6</sup> The targets may be used as a metric to compare the existing capability of the impacted state, tribal, territorial or local community against the goals.
- **Sufficient capacity may exist in some areas and the analysis will inform the prioritization of resources.** For example, the data may indicate that the availability of affordable and accessible housing is not a recovery issue, thus additional support, stakeholders, partnerships and resources for affordable housing may not be needed.
- **Recovery issues may cut across multiple recovery core capabilities and have long-term or cascading effects.** What may initially appear to be an issue specific to one core capability, may actually result in a multi-layered problem. For example, a major medical facility may be impacted by an incident, damaging its physical infrastructure. The loss of a major employer in a community will have economic implications such as the inability to sustain the medical workforce and maintain the network of businesses supporting the facility and staff. Consequently, some residents may need to relocate due to unemployment, essential business closures and the lack of hospital medical services. These recovery issues will require enhanced coordination to complete in-depth analysis across multiple core capabilities.

<sup>6</sup>Individual State Preparedness Reports outline the core capability targets.

## IDENTIFYING PRIORITIES

Understanding the capability gaps and recovery needs will enable state, tribal, territorial and local leaders to identify priorities and make informed decisions with best available data. The analysis may result in a comprehensive list of capability gaps and potential recovery needs that will need to be prioritized. State, tribal, territorial or local governments will need to consider the following when identifying priorities:

- objectives of senior elected officials;
- recovery stakeholder goals;
- existing legal authorities;
- availability of resources;
- the unique cultural characteristics and expectations of the jurisdiction;
- planning for and inclusion of people with disabilities and others with access and functional needs;<sup>7</sup>
- short, intermediate or long-term impacts; and
- potential impacts of prioritizing certain recovery needs over others.

The priorities established may already be identified or influenced by existing planning and policy documents (such as Threat and Hazard Identification and Risk Assessments, Hazard Mitigation Plans, Comprehensive Plans, pre-disaster recovery plans, Comprehensive Economic Development Strategies<sup>8</sup> or Capital Development Plans) and modified based on the impacts and needs of particular incident. Example priorities may include:

- Restore the tax base and revenues to stable levels.
- Restore schools, including Head Start schools, health services provided in schools and school lunch programs before the upcoming school year.
- Reopen key industries and key sources of employment as soon as possible.
- Implement mitigation principles and practices to enhance resiliency.
- Preserve and restore the natural and cultural resources of the community.
- Retain population and character of community.

Identifying priorities will help determine policy changes and recovery projects or initiatives that will be implemented. This will allow state, tribal, territorial or local governments to target the identification of appropriate whole community recovery resources.

<sup>7</sup>State and local jurisdictions are required to ensure all citizens are included in all phases of disasters under the *Americans with Disabilities Act*. State and local jurisdictions are also required to ensure people with disabilities have equal access and equal opportunity to enhancements for which state and local jurisdictions receive federal funding.

<sup>8</sup>More information on Comprehensive Economic Development Strategies is available at [http://www.eda.gov/pdf/CEDS\\_Flyer\\_Wht\\_Background.pdf](http://www.eda.gov/pdf/CEDS_Flyer_Wht_Background.pdf).

## 4. IDENTIFYING + COORDINATING RESOURCES



Understanding needs, setting priorities and developing proposed solutions are critical components to managing recovery coordination. The application of specific resources to the priorities identified is critical to enabling a community to move beyond understanding the recovery impacts and into the implementation of tangible recovery efforts.

In this instance, the term “resources” does not only include funding. Supporting a community’s recovery requires more than programmatic resources. Coordinating recovery resources includes understanding the numerous types of resources available, as well as the avenues in which those resources can be secured. *Types of resources include shared information (such as data, intelligence, and key stakeholder contacts), technical assistance, subject matter expertise and funding mechanisms.* Resources can be sourced from a wide range of whole community partners, including governmental, voluntary, nonprofit and private sector agencies and organizations, and individuals.

### TYPES OF RESOURCES

#### Information

The post-incident environment presents the need for accurate and timely information as it is a key aspect of effective coordination. Information sharing is the exchange of relevant data, knowledge and intelligence between relevant stakeholders. Information may pertain to addressing the following types of questions:

- What is the process to get started?
- Where do funding opportunities exist?
- Has the delivery of program services changed?
- What other resources besides funding are available?

This type of information can be shared by convening partners, reviewing published materials or communicating through electronic media.

#### Technical Assistance

Technical assistance allows an experienced person, organization or agency to provide advice, support or training in a given subject or technical area; such as hosting a training or workshop, ensuring accessibility of public meetings, facilities and programs, assisting in identifying and applying for grants or conducting research or technical studies.

**Appendix A: Recovery Coordination and Support Action Executive Checklist** provides a high level checklist for resource considerations following an incident.

### **West Virginia Chemical Spill 2014: Federal Agencies/Departments providing technical assistance**

In January 2014, the water supply in Kanawha County, West Virginia was contaminated by a chemical spill leaking into the Elk River. Nearly 300,000 people experienced the direct effects of the spill or the indirect effect of the Governor's "Do Not Use" order. Recovery assistance was provided by several Federal agencies and departments working closely with state and regional partners to address specific recovery issues resulting from the chemical spill.

FEMA convened a coordination call with the Federal Recovery Support Function leads to gain a better understanding of any recovery efforts currently being provided on the ground. While support from Federal departments and agencies to West Virginia was not formally coordinated through the Recovery Support Functions, FEMA used the RSF structure to assist in overall coordination with the Federal leads. The RSF structure was used to coordinate, convene and share information. Individual state agencies and departments or other whole community partners worked with appropriate Federal agencies and departments to receive technical assistance. Federal recovery technical assistance included:

- The U.S. Department of Commerce Economic Development Administration and the U.S. Small Business Administration consulted on the economic impact and application requests respectively. Both participated in a roundtable discussion with legislators on the long-term effects on businesses.
- The U. S. Army Corps of Engineers, U.S. Environmental Protection Agency, and other agencies worked with private companies to identify affected critical infrastructure.
- The U. S. Geological Survey provided water sampling.
- The U.S. Department of the Interior Fish and Wildlife Services assessed threats to aquatic and endangered species.
- FEMA provided outreach to state liaisons and assessed community impacts through collecting and aggregating data.
- In support of the West Virginia Bureau of Public Health, the U.S. Department of Health and Human Services (HHS) shared research on existing authorities relating to pipes and plumbing in schools and hospitals, relevant publications from the HHS Centers for Disease Control and Prevention, and relevant programs relating to public health messaging.

West Virginia continues to maintain relationships with Federal, regional and local partners as the state continues to recover from the chemical spill and develop solutions to mitigate impacts from future incidents.

### **Subject Matter Expertise**

Subject matter expertise involves the use of a person or team of people that have knowledge, skills or experience in a particular area or topic. For example, subject matter experts could include communities that have experienced similar incidents in the past and state, tribal or territorial governments may assist by partnering peer communities to share successful recovery management practices. In addition, disability subject matter experts will assist recovery leadership with eliminating barriers to access and participation in facilities, communication and programs.

## Funding Mechanisms

Public, private, nonprofit or voluntary agencies, organizations or financial institutions can provide funding opportunities through mechanisms such as donations, grants, loans, low interest credits, subsidies or municipal bonds.

State, tribal, territorial and local governments need to evaluate the jurisdictions' financial capacity to cover the cost of the recovery effort.<sup>9</sup> When considering funding mechanisms, state, tribal, territorial and local governments will need to explore existing budgets and the potential opportunity to reprioritize funds. Reprioritization could include the use of existing agencies' or departments' programs or grants or the reallocation of Federal funding. The Governor's or tribal leader's office has the authority to convene department and agency leadership and senior appointed or elected officials to coordinate these financial resources. Senior elected leadership must make clear the intent to redirect these funds to support impacted communities to agency level decision makers at the outset.

Potential budget areas that can be examined when considering reprioritization include:

- **“Rainy Day” Fund or Savings Reserve** which may be a restricted reserve in the General Fund; any use may need to be approved by the General Assembly.
- **Reserve for Contingency and Emergency (Contingency Funds)** which is an appropriated reserve, receiving annual appropriation.
- **Reallocation of State Agency Appropriation** will allow a Governor or senior elected official to reallocate funds within the appropriations of the various departments or agencies when contingency, emergency and other funds are insufficient. States also assign the administration of Federally funded programs to different agencies so coordination with and an inventory of the agencies and their resources will benefit a recovery program.
- **Postponement, Cancellation and Completion of Capital Improvement Projects;** unexpended appropriations of completed capital improvement projects and/or projects that can be postponed may be transferred to the general fund then transferred to the disaster relief reserve.
- **Reprioritization of Federal Grant Funding;** State, tribal, territorial and local governments will need to consult with the Federal agency providing the grant to determine whether funds are permitted to be reprioritized. An example includes the U.S. Department of Housing and Urban Development Community Development Block Grants (CDBG). CDBG funding is allocated to benefit states and communities. Funds flow from the U.S. Department of Housing and Urban Development to major urban areas (Entitlement Communities) and states. These funds are then allocated to approved projects or communities according to priorities or state formulas. Following an incident, states and Entitlement Communities can shift funding priorities for unused funds, and approve projects that support individual and community recovery needs. All approved projects must meet certain criteria and address specific program goals; however, CDBG funds are flexible and can be used to meet a variety of needs.<sup>10</sup>

<sup>9</sup>Financial Planning for Disasters: A Workbook for Local Governments and Regions is available at <http://www.nado.org/financial-resiliency-in-the-face-of-disasters-webinar-now-available-for-download/>.

<sup>10</sup>More information on CDBG program is available at [http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/comm\\_planning/communitydevelopment](http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/communitydevelopment).

There may be additional monitoring, accounting and reporting requirements that relate to post-incident funding avenues and programs.<sup>11</sup> For example, projects that receive Federal assistance will require an environmental and historic preservation review. The Unified Federal Review<sup>12</sup> process can be utilized to coordinate environmental and historic preservation reviews with multiple Federal agencies in order to avoid duplicative review of projects funded by more than one Federal agency.

### **Illinois Tornadoes 2012 and 2013: State Reallocating Funding<sup>13</sup>**

In spring 2012, the state of Illinois experienced severe storms and tornadoes and estimated 440 homes impacted by the incident, of which 176 were destroyed or suffered major damage. Eight people in Harrisburg lost their lives as a result of the tornado, making this the deadliest Illinois incident in nearly a decade.

The state of Illinois did not receive a Presidential Declaration under the Stafford Act, however FEMA provided technical assistance through recovery specialists in support of state efforts to identify and coordinate recovery assistance around the needs and goals of the impacted communities. The specialists assisted in the coordination of the Governor's Office and state department and agency heads to discuss the reprioritization of existing state and Federal resources, based on the impacted communities' unmet needs. In addition, the U.S. Small Business Administration declared a disaster for Saline County and eight contiguous counties, making the counties eligible for economic injury disaster assistance.

The process resulted in the reprioritization of \$13 million, to include funding from existing state and Federal programs. Following the announcement, state agency representatives met in the affected communities to outline programmatic requirements, coordinate assistance and support the development of a unified local recovery plan.

Severe storms and tornadoes impacted the state again in 2013. The impacted community was eligible for FEMA's Individual Assistance program through a Presidential Declaration under the Stafford Act, however not for FEMA Public Assistance. With the coordination mechanisms in place and understanding of authorities and resources from the 2012 tornadoes, the state understood its available resources and how to coordinate and convene appropriate stakeholders to reprioritize funding in a timely fashion to address the impacted communities' infrastructure needs.

<sup>11</sup>Information on standards is available in *NFPA 1600: Chapter 4 "Program Management"* at <https://www.nfpa.org/> and *EMAP: Chapter 4 "Emergency Management Program Elements"* at <http://www.emaponline.org/index.php/what-is-emap/the-emergency-management-standard>.

<sup>12</sup>The Unified Federal Review process assists to unify and expedite the review process and avoid duplication of efforts across Federal agencies. More information is available at <https://www.fema.gov/unified-federal-environmental-and-historic-preservation-review-presidentially-declared-disasters>.

<sup>13</sup>More information on the recovery coordination and resource prioritization that occurred following the 2012 Illinois tornadoes is available in the *FEMA Region V Non-Stafford Act Recovery Guide* at [http://www.fema.gov/media-library-data/20130726-1910-25045-8797/non\\_stafford\\_act\\_recovery\\_guide.pdf](http://www.fema.gov/media-library-data/20130726-1910-25045-8797/non_stafford_act_recovery_guide.pdf).



## **AVENUES FOR SECURING RESOURCES**

An inclusive recovery coordination process requires convening and engaging key whole community partners, including governmental, voluntary, nonprofit and private sector agencies and organizations to understand and coordinate available resources and implement recovery projects and initiatives.

### **State, Tribal, Territorial, Regional and Local Government**

Different departments and agencies outside of emergency management will need to be active contributors in the identification and securing of recovery resources. All departments and agencies will need to understand the subject matter expertise, personnel, commodities, programs and other resources that can be brought to the table. Understanding resources in advance will enable department and agencies to support recovery efforts in a timely manner. In addition, Mutual Aid Agreements between state, tribal, territorial, regional and local governments may be a mechanism to supplement resources during recovery.

Another potential source for resources are regional development organizations (RDOs); which include councils of government, regional planning commissions, economic development districts, and other multi-jurisdictional planning and economic development organizations. RDOs have a regional perspective and interdisciplinary focus. They regularly work with a broad network of partners at all levels of government as well as the private and philanthropic sectors. Following an incident, RDOs work with Federal and state agencies to allocate recovery funding, help communities apply for funding, manage revolving loan funds to support small business and other needs, provide technical assistance, convene stakeholders to discuss controversial rebuilding issues and provide staff time to fill the gaps in local capacity, a function that is especially important in small towns and rural areas. More broadly, RDOs can help foster intergovernmental collaboration among Federal, state, and local officials and bring a long-term recovery perspective while communities may still be focused on incident response.

### **Federal Government**

Coordination with the Federal government is important. Every year the U.S. Congress authorizes and appropriates different Federal programs. State, tribal, territorial and local governments will need to use existing relationships and the established recovery coordination structure to coordinate with assisting Federal agencies at the regional or field office. Recovery coordination will enable the appropriate state, tribal, territorial or local stakeholders to understand the Federal programs available and if any process or policy changes have occurred as a result of the incident. Informing Federal partners of the established coordination structure in a post-incident environment will improve communication and will enhance Federal Recovery Support Function coordination.

Federal assistance to communities impacted by incidents is authorized through an array of statutes, including the Stafford Act and *Homeland Security Act*. Some large incidents, especially man-made ones (for example, the Deepwater Horizon Oil Spill in 2010), are addressed by law which seeks to place responsibility with responsible parties (such as the *Clean Water Act*, *Oil Pollution Act*, and *Price-*

*Anderson Act*). Other laws provides for public health incidents such as pandemic (*Public Health Service Act*), drought and other agricultural incidents and fisheries depletion and similar incidents (*Magnuson–Stevens Fishery Conservation and Management Act*). Furthermore, other statutes such as the *Small Business Act* and the *Flood Control and Coastal Emergency Act* can operate alongside the aforementioned authorities or independently.

A Presidential Declaration under the Stafford Act allows for Federal funding for disaster assistance through FEMA’s IA, PA and HMGP programs, as well as other assistance. Most incidents, however, do not warrant a Governor’s or tribal leader’s request for a Presidential Declaration. Regardless of whether the state, tribal or territorial government is granted a Presidential Declaration under the Stafford Act, a number of Federal agencies such as the U.S. Small Business Administration, the U.S. Department of Agriculture, U.S. Army Corps of Engineers and the U.S. Department of Housing and Urban Development maintain programs that can directly support the needs of impacted communities. Coordination among Federal agencies with state, tribal, territorial and local governments could allow stakeholders to leverage different programs to achieve a more effective outcome.

After an incident that requires additional support, a state, tribal or territorial government may also request Federal recovery coordination support through the FEMA Regional Administrator to share information or provide technical assistance. Federal recovery coordination support could include an individual with experience and expertise in recovery coordination. The individual could also provide relevant subject matter expertise and facilitate enhanced coordination between Federal agencies and state, tribal or territorial recovery leadership.

The Corporation for National and Community Service (CNCS)<sup>14</sup> is a Federal agency that encompasses four main program areas: AmeriCorps, Senior Corps, the Social Innovation Fund and the Volunteer Generation Fund. Through its four programs, CNCS provides a wide range of resources. Thousands of Americans serve in an AmeriCorps program in communities across the country each year. AmeriCorps state and National members serve to meet education, public safety, health and environmental needs. The AmeriCorps VISTA program partners with faith-based and other community organizations and public agencies to address issues of poverty. Members of AmeriCorps National Civilian Community Corps (NCCC) work in partnership with nonprofits, faith-based organizations, local municipalities, state governments, the Federal government, national and state parks, Indian tribes and schools on a variety of service projects. AmeriCorps NCCC-FEMA

Corps partners with FEMA to address emergency management and disaster relief projects. Through Senior Corps, Americans over 55 serve their communities as foster grandparents, senior companions, tutors, and in a variety of other roles through local and national organizations. The Social Innovation Fund (SIF) brings together public and private resources to initiate innovative solutions in low-income communities in the areas of economic opportunity, healthy futures and youth development. In the past few years SIF has invested more than half a billion dollars in dozens of nonprofit and pass-through entities across the U.S. The Volunteer Generation Fund serves to support voluntary organizations and state service commissions in organizing, retaining and training volunteers.

<sup>14</sup>More information on the Corporation for National and Community Service is available at <http://www.nationalservice.gov/>.

FEMA's Voluntary Agency Liaisons (VALs), positioned at FEMA Regional or Headquarters offices, support the ability of the community and the voluntary organizations to coordinate resources by identifying available resources through either voluntary or existing programs, and providing expertise that encourages resource management resulting in a successful recovery for the survivor. VALs work with the local community to help them build a foundation and a long-term recovery organization that can sustain and support long-term recovery efforts for individuals which leads to the recovery of the community. This structure may provide resources such as funding, a volunteer labor force, case management and spiritual and emotional care in a holistic approach to help survivors achieve successful recovery. VALs are able to facilitate local resources to support and bring in regional, state, tribal and national partners that bring additional resources, educational opportunities and subject matter expertise.

FEMA Regional and Headquarters Disability Integration Advisors can identify and coordinate local disability subject matter experts with resources at the Federal, state and local level. Local disability subject matter experts will understand the community's recovery needs, plans and actions. Disability subject matter experts may be brought in early during the recovery coordination process to ensure local resources are included at the outset of an incident.

### **Voluntary and Nonprofit Agencies**

Voluntary and nonprofit agencies, organizations and associations can play a critical role following any incident. VALs and Disability Integration Advisors, as discussed in the previous section, help to connect these key partners with the community's unmet needs. Voluntary and nonprofit agencies, organizations and associations continuously work to assist in meeting survivors' emergency needs and those needs not met by other traditional government services. These key partners provide outside resources, and training that can help local nonprofit, faith-based and community-based organizations to maximize the support they provide in an affected community. This support is generally coordinated through member organizations and provided via peer-to-peer networks similar to mutual aid.

Many non-governmental organizations have disaster programs which play a pivotal role in supporting the recovery of impacted individuals and communities. These organizations coordinate through local, state, tribal and national coalitions known as Voluntary Organizations Active in Disaster (VOAD).<sup>15</sup> VOAD member agencies can support a variety of needs including:

- individual and community needs assessments;
- inclusive case management training and support;
- accessible construction (repair/rebuild) support and coordination;
- support the establishment of an Individual Needs Recovery Committee (such as a Long-Term Recovery Group);
- debris removal from private property;
- grant assistance;

---

<sup>15</sup> More information on Voluntary Organizations Active in Disaster is available at <http://www.NVOAD.org>.

- resource identification and fundraising support;
- crisis counseling and/or emotional and spiritual care;
- youth focused resilience programs;
- support for faith leaders in impacted areas;
- coordination of spontaneous volunteers;
- donations management support;
- inclusive information and referral support; and
- nutrition assistance.

Examples of nonprofit agencies that may be helpful after an incident include:

- State, tribal and national offices of civic organizations (such as Lions Club International, Kiwanis International and Rotary Clubs)
- Disability service and advocacy organizations (such as the State Protection and Advocacy Agency, local Centers for Independent Living and State Assistive Technology Projects)
- Faith-based associations
- Food banks
- State, tribal and national nonprofit organizations and associations (such as United South and Eastern Tribes)
- Nonprofit legal associations (such as the American Bar Association, the Legal Services Corporation, and the National Legal Aid and Defender Association)
- Trade unions
- National Voluntary Organizations Active in Disaster
- State Voluntary Organizations Active in Disaster
- Community Organizations Active in Disaster
- State, tribal and national office of youth councils and organizations (such as the Boys and Girls clubs, Future Farmers of America, 4H clubs, and the Boy Scouts of America and Girl Scouts)

## Philanthropy

Organizations, corporations and families as well as individual donors can be generous in the pre- and post-incident environment. These philanthropic donors, organizations, corporations and foundations serve as key partners and stakeholders in disaster relief as well as capacity building, resilience and sustainability efforts. Philanthropy can provide the enabling resources ranging from technical assistance to providing cost shares for available grants to solutions where none other exists for unmet needs. Often philanthropic resources can be applied to individuals and families, voluntary organizations, nonprofit organizations, academic research and government.

The challenge for the philanthropic donor as well as the recipient—or the administering entity—is in understanding how to help one another. This calls for each to view the other as both a client and a partner. Examples of elements that need to be communicated and understood include: Specific donor interests such as health, education, housing, infrastructure and planning;

- scope of the impacts to the community, area, region, state, tribe and/or territory;
- exacerbated pre-existing conditions across the recovery sectors;
- foresight regarding trends or emerging needs, projects and initiatives;
- identified needs, projects and initiatives;
- projected timelines and phases for recovery as well as opportunities to build capacity for resilience and sustainability;
- amount of funds needed and/or available;
- discussion of how best to leverage philanthropy to enable other available resources such as grants;
- who will serve as the financial vehicle for disbursement;
- projected outcomes and tracking; and
- telling the story—how to document and communicate what happened, what is transferable, and what we learned.

The starting point often begins with a conversation with existing community or statewide foundations in or near the impacted area(s). Community foundations are likely attuned to donor interests in the area and will also reach out to peers and umbrella organizations such as the Council on Foundations, Exponent Philanthropy and the Center for Disaster Philanthropy when necessary.

### **Central Oklahoma Severe Storms and Tornadoes 2013: Philanthropic Initiative**

Severe storms and multiple tornadoes in 2013 in Oklahoma resulted in the loss of twenty-four lives, 377 injuries and the loss of property due to high wind and flooding. Of the twenty-four people killed, seven were children who perished in an elementary school. It is no surprise that severe weather poses a threat to the built environment to include schools. Historically mid-afternoon to early evening has been the most frequent time of day for severe storms and tornadoes. The tragic loss of these children reminded all of the vulnerability faced and it served to renew interests regarding safe rooms for schools.

A group of Tulsa, Oklahoma car dealerships banded together to donate funds that could be used for school safe rooms. These for-profit business leaders quickly recognized the need to identify an appropriate financial stakeholder for the deposit and distribution of these donated funds. The community foundation serving Central Oklahoma created a fund for the donations and served as a facilitator between donor interest and interested stakeholders.

This initial effort was further advanced into millions of dollars through the creation of a website named Safe Kids Oklahoma which enabled others to donate to the cause. What started locally near the impacted area has a broader focus worldwide through Safe Kids Worldwide.<sup>16</sup>

In addition to direct donor funds, philanthropy provides direct support through indirect means. The interest for safe rooms in schools attracted an international organization of architects active in disasters who offered technical assistance, design support, training, and analysis to the state of Oklahoma and their stakeholders. This offer was realized through both the organization's members as volunteers, as well as the hiring of a dedicated full-time architect for one year. The enabling funding for this initiative was secured by the organization from three philanthropic foundations interested in resilience and sustainability.

### **Professional Associations and Academia**

Professional associations and academic institutions provide coordination between agencies of all types and are engaged at the national, regional, state, tribal, territorial and local levels. These organizations can provide additional coordination, research and data collection, lessons learned and effective practices from other incidents and programmatic/subject matter support via peer-to-peer networks. Engagement with professional associations or the academic community can encourage resilience through the development, promotion and coordination of tools and best practices.

Examples of professional associations include:

- American Planning Association
- City/County Manager Associations (such as International City/County Management Association)
- Council of State Community Development Agencies

---

<sup>16</sup>More information is available at <http://www.safekids.org/coalition/safe-kids-oklahoma>.

- Emergency management associations (such as the National Emergency Management Association, the International Association of Emergency Managers, Tribal Emergency Management Association, and state, county and local associations of emergency managers)
- International Economic Development Council
- National Association of Counties
- National Associations of Development Organizations
- National Association of Regional Councils
- National Congress of American Indians
- National League of Cities
- National Tribal Emergency Management Council
- State and national associations of county or municipal governments
- State and national associations of health departments (such as National Association of County and City Health Officials)
- State and national public works associations (such as the American Public Works Association)

## **Private Sector**

Developing coordination and support relationships with key private sector stakeholders and establishing public-private partnerships is important for state, tribal, territorial and local leadership. Coordinating support for the needs of the private sector may be critical to saving businesses and jobs in the community and ensuring a viable recovery. The private sector has a wealth of data and subject matter expertise that can help to inform recovery decisions and more effectively and efficiently address economic and community recovery needs. Large corporations and other private sector networks may be able to access non-traditional financial resources to facilitate local private sector and wider community recovery.

While mutually supportive relationships with individual business partners and other economic drivers of the community is a goal, private sector associations and trade groups can help to provide recovery leadership with more information on the resources and needs of their membership and facilitate introductions to key stakeholders. Examples of private-sector associations include business associations, professional associations and local, state and national chambers of commerce.

### ***Cedar Rapids, Iowa Floods 2008: Private Sector Resources***

In the aftermath of the Midwest floods in 2008, the Cedar Rapids Chamber of Commerce created a business case management system. Case managers worked with individual affected businesses to identify and address specific needs post-incident. Five case managers identified over 900 affected businesses using local community resources like JumpStart Business Recovery Initiative and other small business groups. Restoring small business vitality was essential to the recovery of the whole

community and local stakeholders were able to work together to create an innovative solution that kick-started recovery.

The case managers worked directly with the businesses, Chamber's Flood Recovery committee, city and state governments, a wide range of Federal departments and agencies, Entrepreneurial Development Center, Business Civic Leadership Center, SCORE (a resource partner with SBA) and Safeguard Iowa Partnership to match businesses to necessary recovery resources. Case managers provided information on grant eligibility, coordinated intergovernmental and media outreach, provided documentation support, developed specific business recovery plans and monitored implementation and effectiveness. In the second year of recovery, case managers were able to organize workshops to educate businesses on recurring issues like sales, marketing, social media, tax planning, business strategy and grant education. Other valuable resources included small business roundtable discussions.

This business case management model was the first of its kind and brought private sector resources together to address business recovery challenges.<sup>17</sup>

---

<sup>17</sup> More information is available at [www.restoreyoureconomy.org](http://www.restoreyoureconomy.org).



## 5. BUILDING RESILIENCY INTO RECOVERY

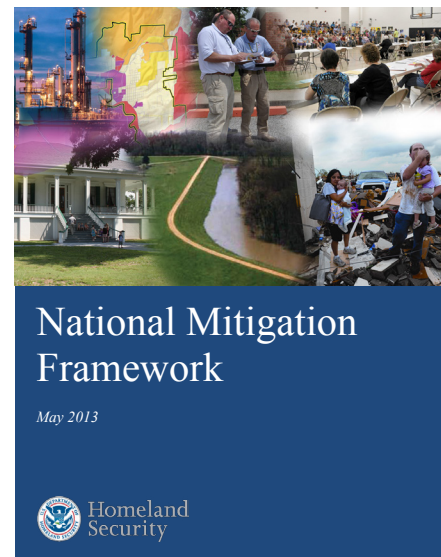


During the recovery coordination process, actions can be taken to address the resilience of state, tribal, territorial or local communities. The *National Disaster Recovery Framework* defines resilience as the ability to adapt to changing conditions, and withstand and rapidly recover from disruption due to emergencies, while mitigation includes the capabilities necessary to reduce loss of life and property by lessening the impact of an incident.

Recovery offers a unique opportunity 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. Well planned, inclusive, coordinated and executed solutions can build capacity and capability, and enable a community to better manage future incidents.

The *National Mitigation Framework* establishes a common platform and forum for coordinating and addressing how the Nation manages risk through mitigation capabilities. Mitigation reduces the impact of incidents by supporting protection and prevention activities, easing response, and speeding recovery to create better prepared and more resilient communities.

The Flood Mitigation Assistance and Pre-Disaster Mitigation programs are examples of funding sources that can be used to mitigate future damage and increase resilience in local communities. More information is available at <https://www.fema.gov/flood-mitigation-assistance-program> and <https://www.fema.gov/pre-disaster-mitigation-grant-program>.



The *National Mitigation Framework* is available at <http://www.fema.gov/national-mitigation-framework>

The mitigation and recovery mission areas focus on the same community systems—community capacity, economic, health and social services, housing, infrastructure, and natural and cultural resources—to increase resilience. Cross-mission area integration activities, such as planning, are essential to ensuring that risk avoidance and risk reduction actions are taken during the recovery process. Communities have developed Hazard Mitigation Plans which outline strategies and priorities to further community resiliency through mitigation. Following an incident,

communities will need to look for opportunities to enhance the effectiveness of the community's mitigation practices. Integrating mitigation actions into pre- and post-incident recovery plans will also provide systematic risk management after an incident, with effective strategies for an efficient recovery process.

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. Using innovative solutions to address recovery needs is an important consideration in developing recovery strategies. State, tribal, territorial and local communities can look to a wide range of organizations for help in increasing resiliency such as the Rockefeller Foundation or various university centers and research institutes.

Lessons learned during the recovery process also inform future mitigation actions and pre-incident recovery planning. Linking recovery and mitigation breaks the cycle of damage-repair-damage resulting from rebuilding without mitigation following incidents.

#### **Oklahoma Strong: Economic Resilience Initiative**

A series of tornadoes and severe storms in May 2013 caused significant damage in central and south-central Oklahoma. Impacts to the economic sector led to discussions from Oklahoma business leaders on strengthening the economic resilience in the state. Following the initial meetings, a business stakeholder group formed to develop a strategy towards capacity building among Oklahoma leaders by integrating efforts, leveraging existing resources and building on existing expertise and assets. As a result, a steering committee was formed under the direction of the Oklahoma Office of Emergency Management and Oklahoma Department of Commerce with support from the U.S. Department of Commerce Economic Development Administration and FEMA.

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

As the steering committee expanded their engagement with Oklahoma leaders in the private and public sector, several initiatives emerged; to include:

- **Business Emergency and Communications Optimization Network (BEACON):** The first initiative to emerge focused on developing a platform for business resilience collaboration, communication and technical assistance by creating a focal point utilizing the space and expertise of one of the state’s technology centers to assist businesses. The support includes:
  - » Developing a business competitiveness toolkit, for both pre-and-post disaster communications and preparedness through business collaboration;
  - » Implementing a Messenger Service for crisis communications, and conducting tabletop risk scenario exercises to give hands-on experience;
  - » Linking Volunteer Organizations Active in Disasters more closely through communication, focusing on engaging in messenger service; and
  - » Creating an online, recommendation-based procurement system for preparedness, mitigation, response and recovery resources.

This initial focal point will serve as a hub and as a model for replication regionally across the state.

- **Ready Now! Business Continuity:** To address the immediate need for business continuity planning, a partnership was formed between the Oklahoma Small Business Centers (SBC) and the American Red Cross called “Ready Now!” This initiative combines classroom and internet-based training with hands on counseling and technical assistance for business/industry preparation business continuity planning, and an on-site evaluation to ensure business/industry is ready for disruption. The SBC and American Red Cross team members providing these services are all trained members of Community Emergency Response Teams (CERT) bringing added value to the areas they serve by establishing the CERT program and training individuals to be better prepared. This joint partnership serves as a resource with Business Emergency and Communications Optimization Network to provide comprehensive assistance to Oklahoma small businesses.

This Page Intentionally Left Blank

## 8. APPENDICES

---

### **APPENDIX A**

*Recovery Coordination and Support Action Executive Checklist*

### **APPENDIX B**

*Applying Leadership and Recovery Coordination Structures*

Post-Incident

Pre-Incident

### **APPENDIX C**

*Assessment Tools*

### **APPENDIX D**

*Additional Resources*

This Page Intentionally Left Blank

## RECOVERY COORDINATION AND SUPPORT ACTION EXECUTIVE CHECKLIST

The following checklist is for senior elected or designated officials in state, tribal, territorial and 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.

- ❑ **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.



## APPLYING LEADERSHIP AND RECOVERY COORDINATION STRUCTURES

### POST-INCIDENT

The following case studies demonstrate the exercise of leadership and use of different organizational structures in the post-incident environment to more effectively address a wide range of recovery challenges after an incident.

#### Colorado Flooding 2013: Resiliency Working Group established

In September 2013, many Colorado communities were impacted by record flooding. While the impacts of the incident were devastating to many, the incident also presents an opportunity for Colorado communities, residents and businesses to build back better, safer, smarter and stronger and become more resilient. The state of Colorado organized around this opportunity to improve resilience throughout the state. Following the state of Colorado Resiliency Summit in June 2014, State and Federal partners formed the Colorado Resiliency Working Group (CRWG) to steer the development of a resilience framework and promote the incorporation of resilience strategies and activities into the flood recovery.

The partners come from the whole community and are participating in one or more sectors, as depicted in Figure 4: Colorado Resiliency Working Group. The Governor’s Resiliency Leadership Committee sets the policy direction for the state’s resiliency efforts and oversees the Working Group and Sectors’ activities.

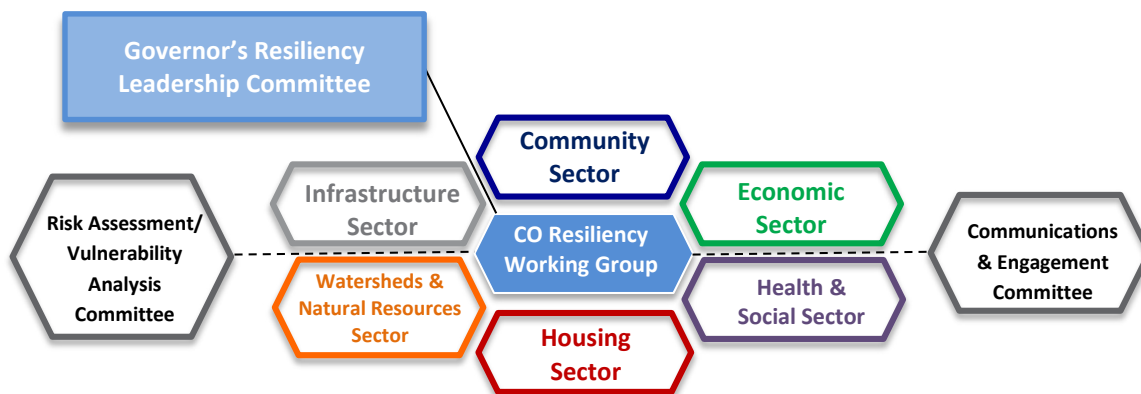


Figure 4: Colorado Resiliency Working Group

The CRWG and Sector Partners are currently engaged in an ambitious six-month resiliency planning process, which started in October 2014. The process will result in resilience strategies, projects and funding priorities, which will be incorporated into recovery funding opportunities.

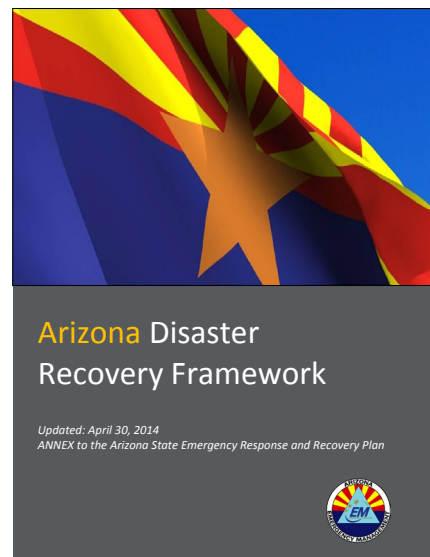
### **Arizona Wildfire 2013: State uses Recovery Support Functions to Coordinate**

The state of Arizona published the *Arizona Disaster Recovery Framework (AZDRF)* in 2012, identifying the roles and responsibilities of a State Recovery Coordinator (SRC) and six State Recovery Support Functions (SRSFs) following any incident. The six SRSFs mirror those identified by the Federal government; to include Community Planning and Capacity Building, Economic, Health and Human Services, Housing, Infrastructure and Natural and Cultural Resources. The AZDRF created a structure that identifies, organizes and coordinates key state and Federal stakeholders following the recovery from an incident of any size or scale.

Following an incident, the State Recovery Coordinator engages the SRSF coordinating agency with the assistance of the Arizona Division of Emergency Management to provide leadership, coordination and oversight of each SRSF that is activated. The coordinating agency works with SRC to assess impacts, prioritize needs and engage SRSF partner if needed. The SRSF primary agencies may lead interagency field assessments or support teams as necessary.

In 2013, the state of Arizona experienced a complex wildfire in the unincorporated community of Yarnell, which impacted a number of homes, and received significant media attention. Media attention generated significant financial donations to help rebuild the 20 to 30 uninsured homes that were destroyed, however the fire caused approximately \$1 million of structural damage to a private water co-op, jeopardizing the entire water supply for the Yarnell community. The damage did not meet the state's threshold for applying for a Presidential Declaration under the Stafford Act in Public Assistance. In addition, the Governor's Emergency Fund would not cover the damage because the co-op was privately owned. Thus, the state activated the Infrastructure Systems SRSF as a coordination mechanism in addressing a key aspect of the community's recovery.

All the Infrastructure Systems SRSF partners were contacted at first, but then key major players including the State Department of Water Resources and the State Department of Environmental Quality formed a working group and took the lead on convening and coordinating the relevant stakeholders on this issue. The Arizona Corporation Commission, local branches of U.S. Department of Agriculture, and the National Rural Water Association assessed the current state of the water supply and infrastructure system, as well as available financial resources to include consolidated or restructured loans. The stakeholders worked together to effectively reorganize the private co-op debt by expediting loan approvals and consolidating existing loans. This allowed Yarnell to maintain the community's water access.



The *Arizona Disaster Recovery Framework* is available at [http://www.dem.azdema.gov/recovery/docs/publications/azdrf/AZDRF\\_Final.pdf](http://www.dem.azdema.gov/recovery/docs/publications/azdrf/AZDRF_Final.pdf).

Lessons learned in coordinating and convening the Infrastructure Systems SRSF allowed Arizona to update the AZDRF in 2014 to be more operational. The updated document added a tool on how to conduct recovery assessments to determine which SRSFs to activate. The state has also solidified the role of the State Disaster Recovery Coordinator position and SRSF communication process.

#### ***Missouri Storms and Floods 2008: Governor establishes Steering Committee***

Following the Missouri storms and floods in 2008, Governor Blunt announced four priorities for flood recovery and created a State-Federal Flood Recovery Steering Committee. The Governor appointed three co-chairs from the State: State Emergency Management Agency Director; Director of Public Safety; and Public Safety; and a member of the Governor's staff with public safety and housing expertise. Four sub-committees were formed; to include (1) Housing & business assistance led by the Missouri Department of Insurance, Financial Institutions and Professional Registration and Department of Economic Development; (2) Demolition and debris removal led by the Missouri Department of Natural Resources; (3) Local match for levee repairs led by the Missouri Department of Agriculture; and (4) Voluntary buyout & relocation led by the Missouri State Emergency Management Agency Mitigation Branch.

#### ***Iowa Storms and Floods 2008: Governor establishes Commission and Task Forces***

The Rebuild Iowa Office (RIO) was established by Executive Order to coordinate state activities for rebuilding and recovering from the 2008 flooding. Rebuild Iowa Commission, chaired by a National Guard Adjutant General, provided strategic direction to the RIO, which was led by the Lieutenant Governor. The Commission's nine members led nine Task Forces; to include Housing; Education; Floodplain Management and Hazard Mitigation; Infrastructure and Transportation; Economic and Workforce Development; Cultural Heritage and Records Retention; Public Health and Health Care; Long-Term Recovery Planning; and Agriculture and Environment.

#### ***Galveston Hurricane Ike 2008: Mayor appoints Recovery Committee***

Hurricane Ike hit Galveston Island, Texas in the fall of 2008 and damaged 75 percent of the city's structures. The Mayor and City Council appointed 330 citizens and business leaders to the Galveston Community Recovery Committee (GCRC) to develop a vision, goals and projects to put Galveston on the road to recovery. The city ensured the GCRC was citizen-led and provided an opportunity for all community members to engage in the recovery process which created a sense of ownership. As a result of this effort, 42 recovery projects were developed in the areas of environment, housing and community character, health and education, and transportation and infrastructure.

### **Mississippi Hurricane Katrina 2005: Governor establishes Recovery Commission and Recovery Office**

Within two weeks of the disaster, Governor Barbour established the Governor's Commission on Recovery, Rebuilding and Renewal, a privately funded, nonprofit organization, with over 40 local officials and business leaders serving as chairs and committee leaders for the Commission. It was supported by a small (about ten member) staff and included over 500 volunteers serving on numerous committees. In Governor Barbour's words: "The Commission will lead, but local governments and the private sector will decide. The Coast and South Mississippi will decide their own destiny, but with strong support from the Commission, our Congressional delegation, state officials and many others."

In mid-October 2005, the Commission held a six-day Mississippi Renewal Forum with teams of local and out-of-state professionals working alongside community leaders to design and plan for the Gulf Coast. Following this, the Commission worked to process input from the Forum and developed its final report titled, "After Katrina: Building Back Better than Ever" on December 31, 2005 that contained over 230 recommendations in a variety of areas including infrastructure, economic development, and human services. The Commission effectively ended at this point but its work and recommendations were instrumental in shaping the state's recovery agenda.

In early 2006, Mississippi's state legislature and Governor Barbour established the Governor's Office of Recovery and Renewal, which served as a policy-oriented body for the state and its staff had the primary responsibility for designing the state's various recovery programs and shaping the state's overall approach to rebuilding. Among its responsibilities, the office coordinated relief efforts among Federal and state agencies, namely the Mississippi Development Authority and the Mississippi Emergency Management Agency, and other public and private entities. Its primary objectives included maximizing the use of credit in lieu of cash, providing policy advice and formulation to the governor and state agencies, providing technical assistance and outreach to local governments, and facilitating the implementation of recommendations made by the Governor's Commission.

## PRE-INCIDENT

The following case studies highlight leadership and organizational structure outlined in pre-incident recovery plans to more effectively address a wide range of recovery challenges after an incident.

### District of Columbia Recovery Plan 2014<sup>18</sup>

The *District Recovery Plan* is a framework for recovery operations following a large or catastrophic incident in the District of Columbia. The plan describes the operations that take place following an incident that requires enhanced recovery support, or support needed when the District’s requirements for recovery exceed the capabilities needed to manage FEMA Individual Assistance and Public Assistance programs. The enhanced recovery organization provides more strategic direction for recovery efforts through a Recovery Steering Committee as well as expertise in accomplishing the goals and objectives of the recovery mission through eight Recovery Support Functions.

The District currently has a Recovery Manager, a Deputy Recovery Manager and a District Hazard Mitigation Officer within the Homeland Security and Emergency Management Agency who are responsible for recovery coordination efforts. If the impact is beyond the scope of the capabilities of the Recovery Manager, the District’s Consequence Management Team will make the determination, in consultation with the Recovery Manager, to turn strategic oversight of the recovery mission to the Recovery Steering Committee. The Recovery Steering Committee will work with the Recovery Manager to determine which Recovery Support Functions (RSFs) will activate to meet the needs of the recovery mission.

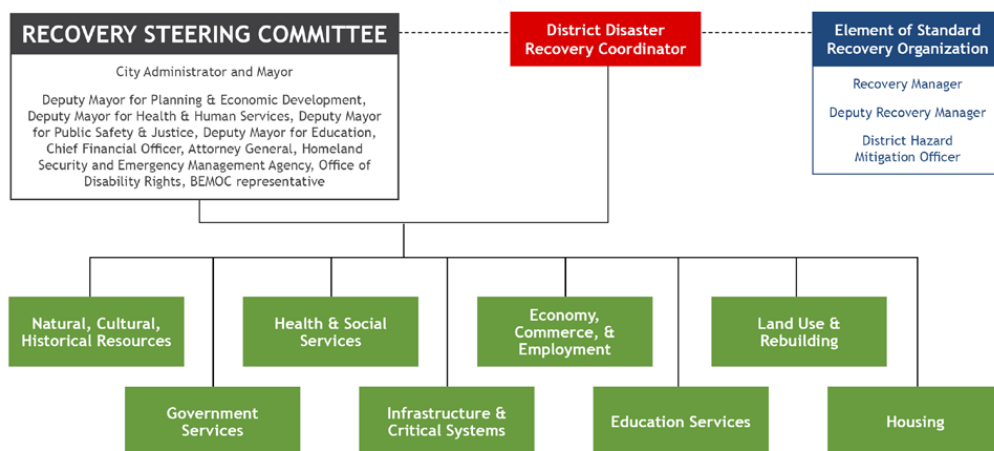


Figure 5: District of Columbia Enhanced Recovery Organization

The Recovery Steering Committee, led by the City Administrator in coordination with the Mayor, will set recovery priorities, identify timelines and monitor the progress on goals and objectives. If the recovery needs after a disaster are primarily focused on one functional area, the Mayor may appoint an agent that is best suited to lead the Steering Committee to address the specific needs. A District Disaster Recovery Coordination (DDRC) is appointed by the Mayor to provide the

<sup>18</sup>The *District Recovery Plan*, dated September 2014, will be available at <http://hsema.dc.gov/>.

leadership, in coordination with the Recovery Manager and the Steering Committee, to ensure recovery activities are well-managed while extended response and short-term recovery activities are ongoing.

The District RSFs will be activated to accomplish the goals, targets, and objectives of the recovery mission. Each RSF will be led by a District agency and will engage and coordinate with identified supporting agencies and organizations, Federal and regional partners, community stakeholders and individuals under direction of the Recovery Steering Committee and DDRC. *Figure 5: District of Columbia Enhanced Recovery Organization* illustrates the elements of the District's enhanced recovery organization.

**Maryland Disaster Recovery Operations Plan 2014<sup>19</sup>**

The state of Maryland Disaster Recovery Operations Plan (SDROP) outlines the state’s leadership and coordination structure following an incident. The SDROP describes the mechanisms used to coordinate with Federal, state and local partners, private and nonprofit organizations, neighboring states and the National Capital Region.

Maryland’s recovery organization is led by an identified Recovery Support Function Leadership Group which includes a State Disaster Recovery Coordinator (SDRC) that coordinates with a State Coordinating Officer and the State Emergency Operations Center Commander during the transition from response to recovery operations. The SDRC is appointed during response operations by the Executive Director of the Maryland Emergency Management Agency and is subject to the approval of the Governor.

Maryland’s organizational structure is built on the Incident Command System, as outlined in Figure 6: MD Disaster Recovery Operations Organizational Chart. The recovery operation is based on the use of Recovery Support Functions (RSFs), similar to those outlined in the National Disaster Recovery Framework, as the primary coordinating mechanism for building, sustaining and delivering the capabilities of the Recovery Mission Area.

A primary agency has been designated to lead each RSF and is tasked to coordinate with Federal and local counterparts. The SDROP further details the state departments and agencies and nongovernmental agencies that support each RSF as well as the other entities that make up the recovery organization.

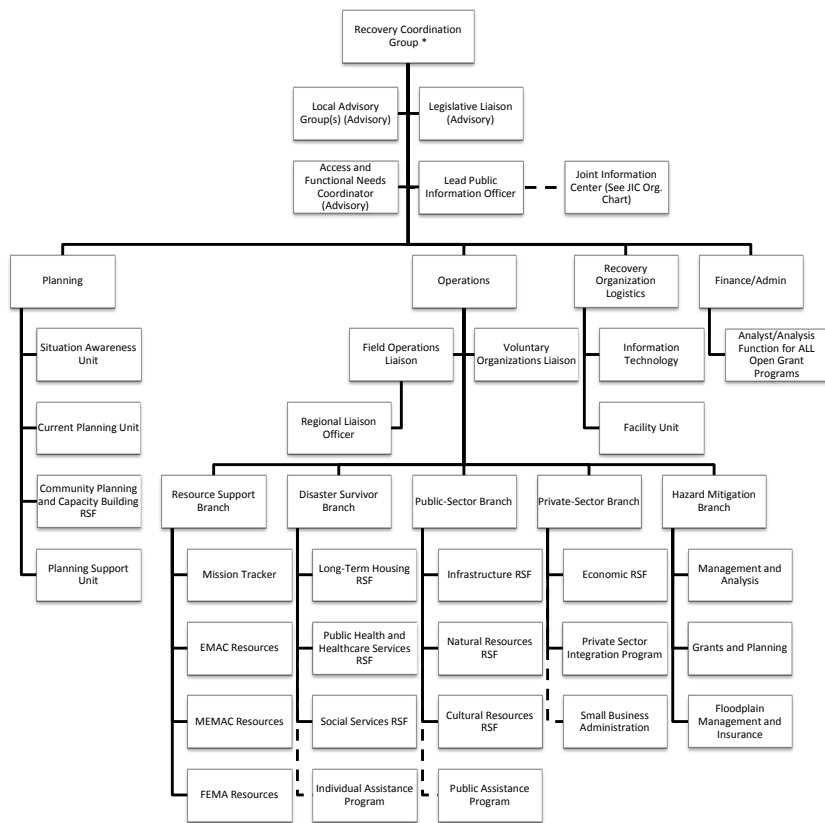


Figure 6: MD Disaster Recovery Operations Organizational Chart

Integrated into the organizational structure is also a Local Advisory Group which is responsible for advising the SPG and SDRC on overarching policy guidance and the general direction of the impacted communities.

<sup>19</sup> The State of Maryland Disaster Recovery Operations Plan, dated August 13, 2014, is available at <http://mema.maryland.gov/Documents/FINAL-SDROP.pdf>. An updated plan will be finalized in December 2014 and will be available at <http://mema.maryland.gov>.

### **North Carolina Disaster Recovery Framework 2015<sup>20</sup>**

The state of North Carolina has developed a comprehensive recovery program that includes a tiered system of available recovery assistance programs and a scalable recovery coordination structure to provide enhanced coordination to communities following an incident.

North Carolina has a tiered system in which it characterizes incidents that receive a state of disaster as Type I, II or III. The Types address the eligibility of state recovery assistance programs, such as state Individual Assistance or Public Assistance programs. More information on the tiered system and assistance programs that have been available in the past can be found in the *North Carolina Disaster Recovery Guide*.<sup>21</sup>

The recovery guide designates the State Disaster Recovery Team (SDRT) as the lead for long-term recovery operations and outlines areas to focus recovery efforts; such as agriculture, business and workforce, finance and risk management. The SDRT is responsible for ensuring that the state delivers a cohesive and coordinated interagency effort. It serves as a parallel organization to the State Emergency Response Team (SERT) and both organizations are activated at the same time. While the SERT addresses issues of immediate and emergency health and safety measures, the SDRT addresses issues associated with the long-term recovery and rebuilding efforts of returning the affected regions and communities to their pre-incident conditions.

North Carolina recently developed the *North Carolina Disaster Recovery Framework*, which further establishes the roles and responsibilities of the SDRT and the policies, strategies and concept of operations to be used in recovery operations. The SDRT coordinates all necessary state agencies and organizations involved in recovery, and serves as a resource for all disaster recovery efforts of the governor and/or General Assembly. The framework also establishes eleven Recovery Support Functions to meet the needs of their communities; to include Agriculture, Business and Workforce, Cultural Resources, Education, Emergency Management, Environment, Health and Human Services, Housing, Intergovernmental Relations, Infrastructure, and Volunteers and Donations.

While each RSF works with its counterparts in various Federal agencies or departments and partners in the nonprofit and private sectors, the Intergovernmental Relations RSF focuses on coordination with the local government to understand the priorities and needs of the impacted communities. The North Carolina Division of Emergency Management and Office of the Governor take the lead on this coordination and collaboration. Each RSF works with its counterparts in various Federal and local agencies or departments and partners in the nonprofit and private sectors.

Depending on the severity of incident, the SDRT may be activated and call on the relevant Recovery Support Functions to convene with the intent of addressing any unmet needs. The SDRT consists of representatives from the RSF primary agencies.

North Carolina has also developed a new recovery planning template to assist communities with their local recovery planning. This template is in its final stages, and will be rolled out to local

<sup>20</sup> The *North Carolina Disaster Recovery Framework* is in draft and, when finalized, will be available at <https://www.ncdps.gov/>.

<sup>21</sup> The *North Carolina Disaster Recovery Guide* is available at <http://www.osbm.state.nc.us/disaster/DisasterRecoveryGuide.pdf>.



communities as a web-based product. It helps counties to establish procedures and activities used in their recovery efforts, and enables communities to be better prepared for short-term restoration and long-term rebuilding. The template also provides counties with the structure to develop Recovery Support Functions, identifying lead agencies and departments, roles and responsibilities and concept of operations.

**Pennsylvania Commonwealth Disaster Recovery Plan 2012<sup>22</sup>**

The Commonwealth Disaster Recovery Plan identifies policies, operational strategies, and roles and responsibilities for recovery operations following an incident. The plan identifies recovery leadership and a coordination structure to share information, convene partners and support local communities.

Within the first 72 hours following a disaster, the Pennsylvania Emergency Management Council (EMC) will convene, consisting of the Governor and members of the Governor’s cabinet. The EMC may choose to activate the State Recovery Task Force (SRTF) depending on the size, scale and geographic extent of the incident. The SRTF is composed of selected Commonwealth agencies and programs, and may be chaired by the Lt. Governor, or a Commonwealth Disaster Recovery Advisor or Commonwealth Disaster Recovery Coordinator (CDRC). The SRTF is responsible for coordination and implementation of existing plans and for development of short and long-term recovery efforts based on the realities and circumstances of the event. Once the EMC determines the need to activate the SRTF, the Recovery Resources Team (RRT) is activated and reports directly to the SRTF.

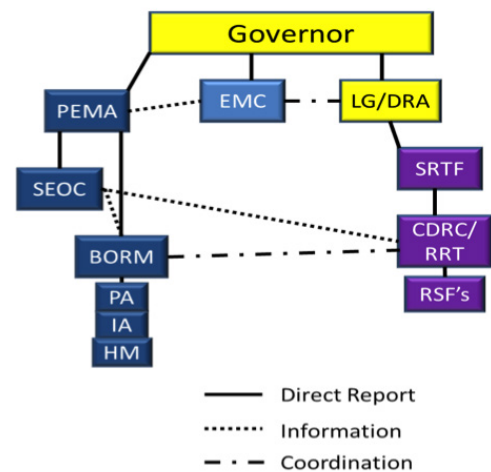


Figure 7: Commonwealth of Pennsylvania Recovery Coordination Structure depicts the big picture organization of recovery operations.

Initial short term recovery operations remain with the Pennsylvania Emergency Management Agency (PEMA). The Bureau of Recovery and Mitigation (BORM) within PEMA utilizes Public Assistance, Individual Assistance and Hazard Mitigation programs to initiate the Recovery process. The plan indicates that coordination of long-term recovery begins with the transition of coordination from PEMA BORM to the Recovery Resources Team during the intermediate phase of recovery.

Coordination of long-term recovery efforts is the responsibility of the Recovery Resources Team, led by the CDRC. The CDRC leads long-term disaster recovery planning and post-disaster long-term recovery activities at the state level, coordinating the efforts of disaster-impacted communities and recovery partners for a more sustainable recovery and more resilient communities.

<sup>22</sup>The *Pennsylvania Commonwealth Disaster Recovery Plan* is in draft. More information about disaster recovery coordination in the Commonwealth of Pennsylvania is available at <http://www.newpa.com/community/disaster-recovery>.

The SRTF can also activate the Commonwealth's Recovery Support Functions (RSFs). The Commonwealth has six RSFs; to include Community Planning and Capacity Building, Economic, Health and Social Services, Housing, Infrastructure Systems and Natural and Cultural Resources. The Commonwealth has identified a lead department or agency for each RSF. The RSFs provide a connection between the RRT and Federal agencies that can provide expertise and financial assistance in those functional areas.

*Figure 7: Commonwealth of Pennsylvania Recovery Coordination Structure* depicts the big picture organization of recovery operations.

**Recovery Support Function Model: Example Mission Statements and Department/Agencies**

STATE RSFs	MISSION	PARTICIPATING AGENCIES OR EQUIVALENTS
 <p>Community Planning &amp; Capacity Building</p>	<p>Supports capacity building and planning initiatives for communities and regions within the state.</p>	<p><b>Coordinating Agencies:</b> Department of Community Development, State Planning Agency</p> <p><b>Primary Agencies:</b> State Department of Community Development, State Emergency Management Agency</p> <p><b>Supporting Agencies:</b> Governor's Office, Regional Planning Organizations, State Budget Office</p>
 <p>Economic</p>	<p>Supports the recovery and enhancement of businesses and other economic assets in communities impacted by a disaster.</p>	<p><b>Coordinating Agency:</b> Economic Development Agency</p> <p><b>Primary Agencies:</b> Economic Development Agency, Department of Tourism, State Agriculture Department</p> <p><b>Supporting Agencies:</b> State Chamber of Commerce, State Employment Office, Economic Development Districts</p>
 <p>Health &amp; Social Services</p>	<p>Assists in the restoration of health and social service needs of communities impacted by a disaster.</p>	<p><b>Coordinating Agency:</b> State Department of Health</p> <p><b>Primary Agency:</b> State Department of Health</p> <p><b>Supporting Agencies:</b> State Agency on Aging, State Office of Mental Health Services, State Department of Behavioral Health, State Board of People with Disabilities</p>
 <p>Housing</p>	<p>Supports the development or redevelopment of housing, including affordable and accessible housing, in communities impacted by a disaster.</p>	<p><b>Coordinating Agency:</b> State Department of Housing</p> <p><b>Primary Agencies:</b> State Department of Housing, State Affordable Housing Advisory Board</p> <p><b>Supporting Agencies:</b> State Housing Financing Agency, State Fair Housing Board, State Real Estate Board</p>
 <p>Infrastructure Systems</p>	<p>Supports localities in the redevelopment of critical infrastructure damaged or destroyed during a disaster.</p>	<p><b>Coordinating Agency:</b> Department of Public Utilities</p> <p><b>Primary Agencies:</b> State Department of Public Utilities, State Department of Transportation</p> <p><b>Supporting Agencies:</b> State Public Utility Commission, State Airport Authority, State Emergency Communications Board</p>
 <p>Natural &amp; Cultural Resources</p>	<p>Assists in the protection and restoration of natural and cultural resources impacted by a disaster and subsequent recovery efforts, including environmentally sensitive areas and historically significant places.</p>	<p><b>Coordinating Agency:</b> State Department of Environmental Protection</p> <p><b>Primary Agencies:</b> State Department of Environmental Protection, State Historic Preservation Office, Tribal Historic Preservation Offices, Tribal Natural and Environmental Offices</p> <p><b>Supporting Agencies:</b> State Department of Fish and Wildlife, State universities, State cultural agencies</p>

This Page Intentionally Left Blank

**ASSESSMENT TOOLS**

The following checklist is a data collection tool based on the recovery core capabilities that may be useful to state, tribal, territorial or locals in conducting a post-incident assessment.

<b>PLANNING</b>	
<b>Y/N</b>	<p>Do the impacted communities have the capacity to self-organize and conduct a systematic process that may develop an initial recovery plan that provides an overall strategy and timeline? Other contributing factors may include:</p> <ul style="list-style-type: none"> <li>• Overwhelmed communities;</li> <li>• Communities with widespread/multi-sector damages; and</li> <li>• Communities with limited expertise and staff capacity to address the recovery needs in terms of project management, communication, plan development, etc.</li> </ul>
<b>PUBLIC INFORMATION</b>	
<b>Y/N</b>	<p>Do the impacted communities have the capacity to effectively deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to relay information regarding the recovery actions being taken, the recovery assistance being made available, and recommended self-help measures for individuals, families, and businesses?</p>
<b>OPERATIONAL COORDINATION</b>	
<b>Y/N</b>	<p>Do the impacted communities have the capacity to establish and maintain a coordination structure and process that integrates the critical stakeholders and supports the execution of the other recovery core capabilities?</p>
<b>ECONOMIC RECOVERY</b>	
<b>Y/N</b>	<p>Do the impacted communities have the capacity to effectively stabilize, sustain, and revitalize the economy due to:</p> <ul style="list-style-type: none"> <li>• Significant damage to a major employer, economic driver, or major business resumption issues that have emerged e.g. businesses considering leaving the area?</li> <li>• Industry-wide impacts—e.g. tourism, oil and gas, manufacturing, natural resources, healthcare, etc.?</li> <li>• Significant loss to small businesses in the affected community, which often collectively provide critical character for or support to the key industry?</li> </ul>

<b>HEALTH &amp; SOCIAL SERVICES</b>	
<b>Y/N</b>	Do the impacted communities have damages that will interrupt the function and/or delivery of services within health care systems (including behavioral health), public health, social service systems (including daycare centers), or school facilities (including Head Start schools, colleges etc.)?
<b>HOUSING</b>	
<b>Y/N</b>	Do the impacted communities have the capacity to provide and/or plan for long-term accessible and affordable housing to displaced households?
<b>INFRASTRUCTURE SYSTEMS</b>	
<b>Y/N</b>	Do the impacted communities have the capacity to provide critical and essential services or maintain community functions due to the large numbers of major facilities or infrastructure systems impacted (flood management, water and wastewater, transportation, and electrical systems)?
<b>NATURAL &amp; CULTURAL RESOURCES</b>	
<b>Y/N</b>	Do the impacted communities have the capacity to implement measures to protect and stabilize records and culturally significant documents, objects, and structures, and preserve natural and cultural resources due to: <ul style="list-style-type: none"> <li>• Long-term issues associated with natural resource impacts or environmental challenges?</li> <li>• Major impacts to cultural and/or historic resources?</li> </ul>

### Arizona Disaster Recovery Framework - Recovery Assessment Template

The State of Arizona’s Disaster Recovery Framework (ADRF) outlines the role of the State Recovery Coordinator (SRC) and a coordination structure that includes six State Recovery Support Functions (SRSFs). Following an incident of any size or scale, the Arizona Department of Emergency Management, SRC and the SRSF coordinating and relevant primary agencies will complete a recovery assessment to determine the need to further engage SRSF partners.

The SRSFs will need to collect and analyze information to illustrate the impacts and begin quantifying the scale of the recovery efforts needed. The recovery assessment will provide decision-makers the information needed to determine if an RSF will need to be engaged as part of the recovery phase.

Arizona has developed a recovery assessment template unique to each SRSF. Each assessment compares a pre-incident baseline, identifies impacted areas of the community pertaining to that SRSF, summarizes recovery needs, determines significant recovery challenges and ultimately decides if the SRSF will be activated. The template allows for the recovery coordination process to be more standardized.

Figure 8: Arizona Recovery Assessment Template provides examples of the types of questions required for analysis.

**Economic RSF  
Recovery  
Assessment**

The following recovery assessment should be completed with the most up to date information as possible. This information will be used by the RSF Coordinating Agency and State Disaster Recovery Coordinator to determine the need to engage RSF partners. For each criteria, select the most appropriate impact level and provide a brief description of impacts and recovery issues and needs.

**Incident Name:**

**Pre-Disaster Economic Baseline**

- Demographics
  - Estimated number of businesses impacted
  - Primary industries
  - Local business groups (Chamber of Commerce, ect)
  - Unemployment rate

**Economic Impacts**

- Describe

**Summary of Impacts and Long Term Recovery Needs:**

**Significant Recovery Challenges:**

**Engagement of RSF structure necessary?**  Yes  No

Economic Recovery Assessment April 2014

**Health and  
Human Services RSF  
Recovery Assessment**

The following recovery assessment should be completed with the most up to date information as possible. This information will be used by the RSF Coordinating Agency and State Disaster Recovery Coordinator to determine the need to engage RSF partners. For each criteria, select the most appropriate impact level and provide a brief description of impacts and recovery issues and needs.

**Incident Name:**

**Pre-Disaster Health and Social Services Baseline**

- Demographics
  - Average age (and below 18 & above 65):
  - Race/Ethnicity
  - Primary language other than English
  - Average income ( and below poverty)
  - Unemployment rate
  - Disabilities and access and functional needs
  - Other pre-disaster factors impacting recovery

**Impacted Health Care System Facilities**

- Describe impacts to:
  - Hospitals  None  Minor  Substantial
  - Emergency Medical Services (EMS)  None  Minor  Substantial
  - Long term care facilities  None  Minor  Substantial
  - Assisted living facilities  None  Minor  Substantial

Health and Human Services Recovery Assessment May 2014

This Page Intentionally Left Blank



## ADDITIONAL RESOURCES

- Americans with Disabilities Act at: <http://www.ada.gov>
- Catalogue of Federal Domestic Assistance at: <https://www.cfda.gov/>
- City Resilience Framework at: <http://www.rockefellerfoundation.org/blog/framework-articulating-city-resilience>
- Community Development Block Grant Program (Department of Housing and Urban Development) at: [http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/comm\\_planning/communitydevelopment](http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/communitydevelopment)
- Community Recovery Management Toolkit at: <http://www.fema.gov/national-disaster-recovery-framework/community-recovery-management-toolkit>
- Comprehensive Preparedness Guide 101, Developing and Maintaining Emergency Operations Plans, Version 2 at: <https://www.fema.gov/media-library/assets/documents/25975>
- Council of State Community Development Agencies Disaster Recovery Toolkit at: <http://coscda.org/disaster/>
- Corporation for National and Community Service at: <http://www.nationalservice.gov>
- Disaster Assistance at: <http://www.disasterassistance.gov/>
- Disaster Impact and Unmet Needs Assessment Kit at: <https://www.hudexchange.info/resource/2870/disaster-impact-and-unmet-needs-assessment-kit/>
- Disaster Recovery Staffing Framework at: [http://www.lmi.org/en/About-LMI/LMI-Research-Institute-\(1\)/Reports-Articles/Disaster-Recovery-Staffing-Framework/Disaster-Recovery-Staffing-Framework](http://www.lmi.org/en/About-LMI/LMI-Research-Institute-(1)/Reports-Articles/Disaster-Recovery-Staffing-Framework/Disaster-Recovery-Staffing-Framework)
- Disaster Resilience: A Guide to the Literature at: [http://www.nist.gov/manuscript-publication-search.cfm?pub\\_id=906887](http://www.nist.gov/manuscript-publication-search.cfm?pub_id=906887)
- Disaster Resilience: A National Imperative at: <http://www.nap.edu/catalog/13457/disaster-resilience-a-national-imperative>
- Grants.gov at: <http://www.grants.gov/web/grants/home.html>
- Guide to Developing Disaster Recovery Frameworks: World Reconstruction Conference Version, September 2014 at: [https://www.gfdrr.org/sites/gfdrr/files/publication/DRF-Guide\\_FINAL\\_small\\_REVISIED\\_FULL-disclaimer.pdf](https://www.gfdrr.org/sites/gfdrr/files/publication/DRF-Guide_FINAL_small_REVISIED_FULL-disclaimer.pdf)

- Federal Interagency Operational Plans at: <http://www.fema.gov/federal-interagency-operational-plans>
- Federal Register at: <https://www.federalregister.gov/>
- Financial Planning for Disasters: A Workbook for Local Governments and Regions at: <http://www.nado.org/financial-resiliency-in-the-face-of-disasters-webinar-now-available-for-download/>
- The Hurricane Sandy Rebuilding Task Force’s Infrastructure Resilience Guidelines at: [http://www.rand.org/pubs/research\\_reports/RR841.html](http://www.rand.org/pubs/research_reports/RR841.html)
- Lessons from the Storm: Case Studies on Economic Recovery and Resilience at: <http://www.nado.org/lessons-from-the-storm-case-studies-on-economic-recovery-and-resilience/#casestudies>
- Long-Term Community Recovery Planning Process: A Self-Help Guide at: <http://www.fema.gov/media-library/assets/documents/6337>
- National Association of Counties Grants Clearinghouse at: <http://www.naco.org/programs/grants/Pages/default.aspx>
- National Disaster Recovery Program Database at: <http://www.fema.gov/national-disaster-recovery-program-database>
- National Institute of Standards and Technology (NIST) Community Disaster Resilience at: [http://www.nist.gov/el/building\\_materials/resilience/index.cfm](http://www.nist.gov/el/building_materials/resilience/index.cfm)
- Non-Stafford Act Recovery Guide: Developing and Coordinating Resources, FEMA Region V at: [http://www.fema.gov/media-library-data/20130726-1910-25045-8797/non\\_stafford\\_act\\_recovery\\_guide.pdf](http://www.fema.gov/media-library-data/20130726-1910-25045-8797/non_stafford_act_recovery_guide.pdf)
- Planning for Post-Disaster Recovery: Next Generation (PAS Report 576) at: <https://www.planning.org/research/postdisaster/>
- Post-Disaster Redevelopment Planning: A Guide for Florida Communities at: <http://www.floridadisaster.org/recovery/documents/Post%20Disaster%20Redevelopment%20Planning%20Guidebook%20Lo.pdf>
- Post-Katrina Emergency Management Reform Act at: <http://www.gpo.gov/fdsys/pkg/PLAW-109publ295/pdf/PLAW-109publ295.pdf>
- Private Capital, Public Good: Drivers of Successful Infrastructure Public-Private Partnerships at: <http://www.brookings.edu/research/reports2/2014/12/17-infrastructure-public-private-partnerships-sabol-puentes>

- Rehabilitation Act at: <http://www.access-board.gov/the-board/laws/rehabilitation-act-of-1973>
- Resilience: A Literature Review at: <http://www.rockefellerfoundation.org/blog/resilience-literature-review>
- Restore Your Economy at: <http://restoreyoureconomy.org/>
- The Road to Resilience: Bridging Relief and Development for a More Sustainable Future at: [http://www.ifrc.org/PageFiles/96178/1224500-Road%20to%20resilience-EN-LowRes%20\(2\).pdf](http://www.ifrc.org/PageFiles/96178/1224500-Road%20to%20resilience-EN-LowRes%20(2).pdf)
- Sandy Recovery Improvement Act at: <https://www.fema.gov/sandy-recovery-improvement-act-2013>
- The Stafford Act at: [http://www.fema.gov/media-library-data/1383153669955-21f970b19e8eaa67087b7da9f4af706e/stafford\\_act\\_booklet\\_042213\\_508e.pdf](http://www.fema.gov/media-library-data/1383153669955-21f970b19e8eaa67087b7da9f4af706e/stafford_act_booklet_042213_508e.pdf)
- Unified Federal Review at: <https://www.fema.gov/unified-federal-environmental-and-historic-preservation-review-presidentially-declared-disasters>
- U.S. Climate Resilience Toolkit at: <http://toolkit.climate.gov/>
- U.S. Department of Homeland Security Centers of Excellence at: <http://www.dhs.gov/science-and-technology/centers-excellence>
- U.S. Environmental Protection Agency Smart Growth Index at: <http://www.epa.gov/smartgrowth/index.htm>
- A Whole Community Approach to Emergency Management: Principles, Themes, and Pathways for Action, FDOC 104-008-1, December 2011 at: [http://www.fema.gov/media-library-data/20130726-1813-25045-0649/whole\\_community\\_dec2011\\_\\_2\\_.pdf](http://www.fema.gov/media-library-data/20130726-1813-25045-0649/whole_community_dec2011__2_.pdf)