

DISASTER RECOVERY TOOLKIT

MODULE 1 OVERVIEW

JUNE 2008

FOR STATE COMMUNITY DEVELOPMENT AGENCIES





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MODULE 1: OVERVIEW	
TARGET AUDIENCE	<p>Target Audience</p> <ul style="list-style-type: none"> • State CD Agencies • Governor’s office <p>Other Audience</p> <ul style="list-style-type: none"> • Other State Agencies • Local Government
INTENT & ORGANIZATION OF THE TOOLKIT	<p>This section serves as an introduction and description of the Disaster Recovery Toolkit. It explains the Toolkit’s designed purpose and functions, its content and focus, and how it is organized to facilitate its comprehension and use by its target audience and users.</p>

A. BACKGROUND

Beginning after the September 11, 2001 attacks on New York and Washington D. C., emphasis at the federal level was placed on the long-term recovery of a community in addition to the more traditional immediate response and short-term recovery actions. While some long-term recovery efforts occurred prior to 9/11, a concerted effort at Long-Term Community Recovery (LTCR) for communities impacted by a major disaster took hold after 2001. From 2003 through 2007, LTCR efforts occurred in Missouri, Illinois, Nebraska, Florida, Alabama, Mississippi, Louisiana, and Kansas involving Federal, State, and Local agencies. The Federal Government established Emergency Support Function #14 (ESF#14) in December 2004, which provided a procedure for federal agencies, with FEMA usually serving as the lead agency, to cooperate in Long-Term Community Recovery efforts.

Each LTCR effort involves State cooperation and leadership, usually with the State Community Development Agency playing a significant role. These LTCR efforts have stressed the importance of State participation in LTCR, and in particular the State Community Development Agencies. Experience in these LTCR processes has also indicated that each State is different in their approach to disaster recovery and LTCR specifically. The Governor’s office plays an important role in State involvement in the LTCR process, but the day-to-day work usually is undertaken by the State Community Development Agency primarily because these agencies usually administer CDBG funds for the State. In addition to federal funding for disaster recovery, CDBG funds are usually allocated to assist LTCR in areas of housing, economic development, infrastructure and public facilities.

The Federal Government has developed several guides over the past few years aimed at providing a more consistent approach to LTCR. These guides include a [Long-Term Recovery Assessment Tool](#), [Long-Term Community Recovery Planning Process: A Self-Help Guide](#) for local communities, and a Field Guide for LTCR. It has become obvious that a gap exists in better defining the role of State Community Development Agencies and identifying the key steps they can take in support of LTCR efforts in their states following a disaster. The Council of State Community Development Agencies (COSCARDA), with the financial support of some of its key members, initiated an effort to develop a “toolkit” to address the role of State Community Development Agencies in LTCR. The material contained in this document represents that “toolkit.”

B. INTENT OF TOOLKIT

This Disaster Recovery Toolkit (Toolkit) is an initiative of the Council of State Community Development Agencies (COSCARDA), a premier national association of state community and economic development agencies founded in 1974 to advocate states’ interests, especially in the areas of community development, affordable housing, local economic development and state-local relations.

The Toolkit is conceived and developed in response to the recovery challenges faced and lessons learned by COSCARDA members in the aftermath of devastating natural and man-made disasters.

The Toolkit provides guidance to State Community Development Agencies on the issues to consider without prescribing the activities to be undertaken in disaster recovery. The Toolkit focuses on the types of assistance provided in the key areas of economic development, housing, infrastructure, and public facilities to allow COSCARDA members to better help their states and local communities to successfully coordinate, plan and implement their current or future long-term community recovery efforts.

Although developed primarily for State Community Development Agencies, the Toolkit may provide important information, and in some cases guidance, for other State Agencies and Local governments.

C. TOOLKIT ORGANIZATION

The Toolkit is comprised of five Modules. These modules are further supported by a Reference Library that contains relevant cases studies, templates, and other recovery operational tools or job aids.

While the Modules are sequentially numbered, the Toolkit is NOT a linear document that requires the user to review all Modules before fully utilizing its benefits. The Toolkit is designed for each Module to stand on its own and intended to allow target users to simply pull out the module that matters to them and their mission. Each State Community Development Agency may use a Module when applicable to the disaster situation or to provide further information to supporting agencies that may not have experience in the disaster response and recovery process.

D. TOOLKIT AUDIENCE

While State Community Development Agencies are the primary audience for this Toolkit, the Governor's office, other State agencies, and Local Governments may also benefit from the information and guidelines contained in the Toolkit.

At the beginning of each Module, the audiences are identified. These audiences may vary from state to state and will vary depending on how the recovery effort is organized in each state.

For instance, **Module 3** addresses two key audience/users. It describes the important role State Community Development Agencies (State CD Agency) often play in coordinating the numerous participants, priorities, resources, and processes to overcome obstacles and maximize disaster recovery efforts. However, **Module 3** also focuses on what the overall state government body, namely the Governor's Office and the State Legislature, may do that can further support State CD Agencies and expedite recovery, such as establishing policy or regulations that should be established pre-event or waived post event.

In any case, the audiences identified in each Module depend on the State and how it organizes for long-term recovery.

E. MODULE CONTENTS & TOOLS

On this and the next few pages is a collection of tables, from Modules 2 to 5, that highlight the focus of each Module in terms of functional area, target audience, content, and provided tools. Each table also appears in the beginning of its respective module.



MODULE 2: GENERAL DISASTER RECOVERY

TARGET AUDIENCE	<p>Target Audience</p> <ul style="list-style-type: none"> • State CD Agencies • Governor’s office <p>Other Audience</p> <ul style="list-style-type: none"> • Other State Agencies • Local Government
OBJECTIVE	<ul style="list-style-type: none"> ✓ Assist State CD Agencies in selecting and preparing for the role they may – or be entrusted upon to – play in bringing about long-term recovery in their state and their local communities after a disaster event
TOOLS	<ul style="list-style-type: none"> ▪ A “self-assessment” tool for State CD Agencies to evaluate what role they may have in leading long-term recovery efforts for their states. The self-assessment allows a State CD Agency to assess what capacity and capability (i.e., organizational, staff, financial or technical) is necessary to successfully undertake the mission.

Module 2 - Subsection Contents & Focus

A. DISASTER RECOVERY	<p>This section provides an introduction to Disasters; what they are and how they are classified. In addition, this section discusses the State and Federal Disaster Declaration process.</p>
B. PHASES OF A DISASTER	<p>This section discusses the four general phases of a disaster and provides an overview of the various activities, which take place in each phase of a disaster, and how one element leads into and impacts the next.</p>
C. THE DISASTER CYCLE	<p>Disasters are not linear. The Disaster Cycle discusses the non-linear, continuous process through all four phases of a disaster. This section also provides the general roles and activities within the disaster cycle.</p>
D. RESPONSE AND RECOVERY CONTINUUM	<p>The continuum is a generalized timeline and sequence of events for response and recovery activities. The section covers the general steps involved in the response and recovery process, but does not make a determination as to who will be responsible for these steps.</p>
E. THE ROLE OF STATE COMMUNITY DEVELOPMENT AGENCIES FOLLOWING A DISASTER	<p>Following a disaster there are many questions, issues and needs that arise. This section outlines the basic role of a State CD Agency and identifies key questions the State CD Agency should consider when determining role and structure for the community recovery.</p>

MODULE 3: STATE CD AGENCY ROLE/ POLICY & REGULATORY ISSUES	
TARGET AUDIENCE	<p>Target Audience</p> <ul style="list-style-type: none"> • State CD Agencies • Governor's office <p>Other Audience</p> <ul style="list-style-type: none"> • Other State Agencies • State Legislature • Local Governments
OBJECTIVE	<ul style="list-style-type: none"> ✓ Assist the State CD Agencies and the States' higher authorities in understanding and successfully coordinating their state recovery efforts: <ul style="list-style-type: none"> ➢ Module 3 focuses on how successful coordination can help to create opportunities for streamlining and complying with the myriad of federal and state regulatory requirements, and for capturing and leveraging recovery resources (i.e., financial and technical) from public and non-governmental sources ➢ Module 3 also discusses the various organizational and legal frameworks that their State's higher authorities may establish, and within which a State CD Agency may have to operate for recovery; Also, what policy and/or procedure should be established pre-event or quickly post event to support the State CD Agency's role in recovery and expedite the recovery process ✓ The importance of an Action Plan in the context of recovery
TOOLS	<ul style="list-style-type: none"> ▪ Action Plan Template ▪ Waiver Checklist
Module 3 - Subsection Contents & Focus	
A. INTRODUCTION	Recovery creates opportunity. The community has the opportunity to rebuild in a way that will improve the community in the long term. This opportunity can easily be lost if the State and the community do not utilize and maximize resources successfully. This section focuses on how to remove these barriers.
B. ROLE OF STATE CD AGENCIES AFTER A DISASTER	Following a disaster there are many questions, issues and needs that arise. Many agencies and organizations participate in the response and recovery process. Each agency, including State CD Agencies, should ask some basic questions of its organization and staff to ensure it is prepared to respond.
C. ROLE OF THE STATE	Each State will approach their role in recovery differently. This section provides examples of the different way States have addressed their role in previous disasters to support Community Development. In addition this section will cover the potential roles and responsibilities that Legislative, Congressional and Executive offices can play to expedite recovery.
D. KEY ISSUES AND CONCEPTS	This section discusses key questions that may assist the State CD Agency and others as to how best to approach recovery. This section includes discussions on decision-making authority, methods for setting priorities, flow of funding, prioritization and communications protocol. This section is intended to provide the starting point for State CD Agencies after a disaster.
E. UNDERSTANDING POLICY, REGULATIONS AND STATUTES	Federal/ State Regulatory, statutory and policy requirements and restrictions-modifications to enable appropriate programs may be needed. This section looks at different approaches when attempting to make changes or adjustments in modifications are applied.
F. WAIVERS AND EXCLUSIONS	This section will be based on the experience of previous State CD Agencies in dealing with waivers for specific programs. A list of common disaster waivers and exclusions, in addition to how they are applied, will be outlined here.
G. CDBG ACTION PLAN	This section addresses the importance of the Action Plan and other strategic recovery plan(s).



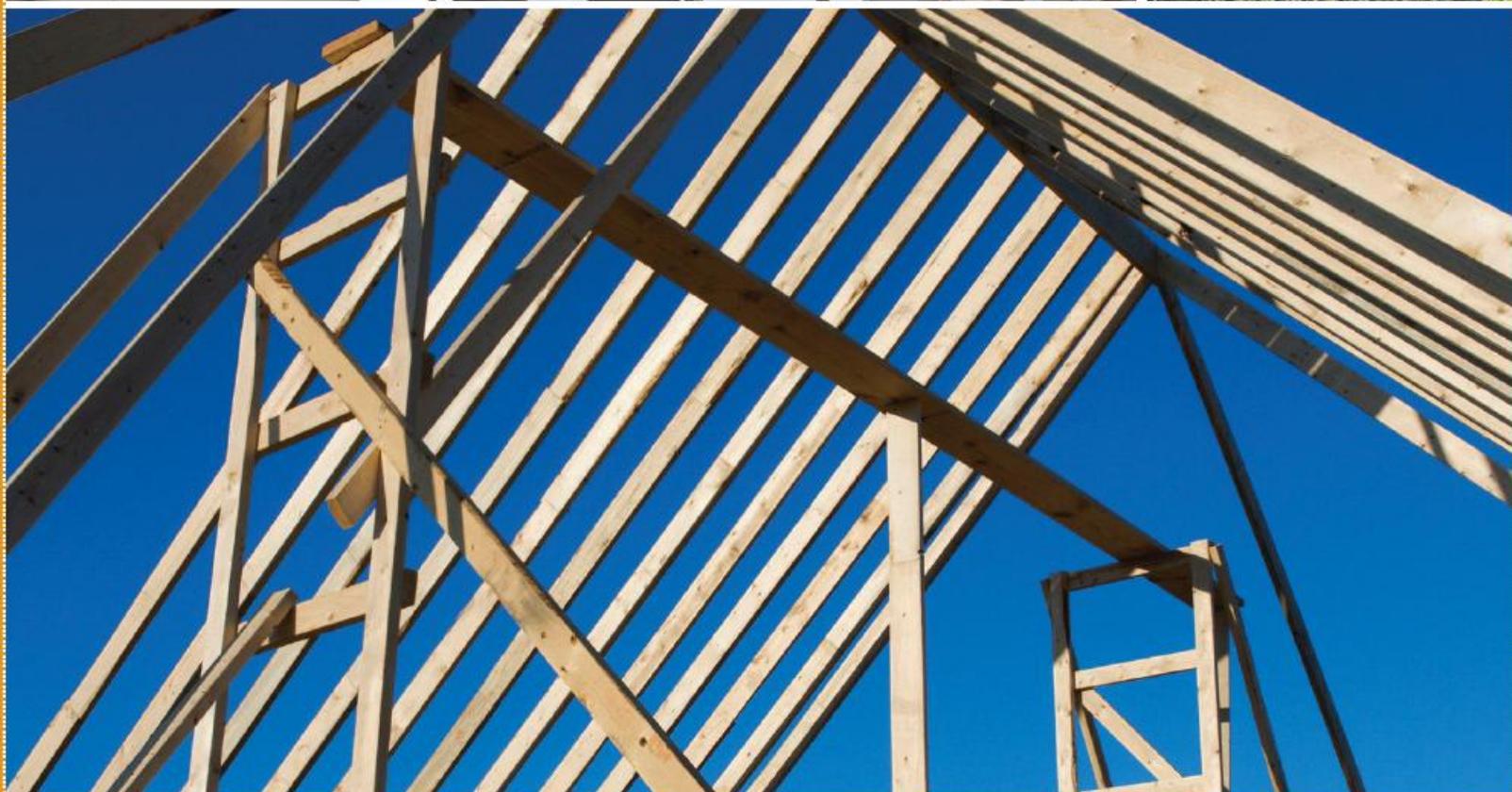
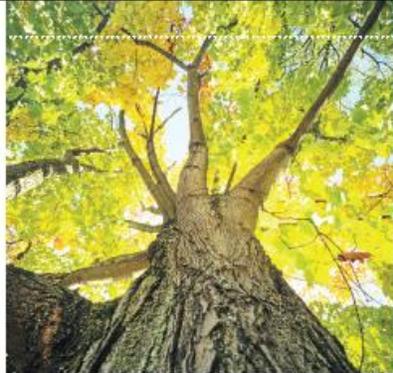
MODULE 4: LONG-TERM RECOVERY	
TARGET AUDIENCE	<p>Target Audience</p> <ul style="list-style-type: none"> • State CD Agencies • Local Governments <p>Other Audience</p> <ul style="list-style-type: none"> • Governor’s office • Other State Agencies
OBJECTIVE	<ul style="list-style-type: none"> ✓ Assist State CD Agencies and local communities to understand the key activities, tools and resources that are needed and available for disaster recovery. <ul style="list-style-type: none"> ➢ Provide State CD Agencies and local officials guidance about facilitating the long-term community recovery process to help identify and fine-tune the State and local recovery visions and priorities.
TOOLS	<ul style="list-style-type: none"> ▪ Long-Term Community Recovery Planning process and procedures ▪ Funding Resources Checklist
Module 4 - Subsection Contents & Focus	
A. INTRODUCTION	Module 4 provides State and local agencies with guidance on the recovery planning process, staffing and capacity, and leveraging funding and resources. This section emphasizes the importance of undertaking these actions prior to a disaster.
B. STRATEGIC RECOVERY	This section discusses the differences and variables associated with community recovery. This section also reviews the process and roles involved with State or Federal supported recovery initiatives, including the use and benefits of ESF#14 – Long-Term Community Recovery.
C. COMMUNITY RECOVERY PLANNING	Every disaster will have different impacts, responses and recovery needs. This section reviews the process to assess and determine the need for State or Federal support. It includes a generalized process used in federal supported initiatives.
D. RECOVERY PLANNING PROCESS	“Recovery Planning” is both a process and product. This section provides an overview of the process and how it varies from targeted technical assistance (e.g. coordination of State, Federal, Non-Profit and Private resources) to intensive planning teams that coordinate with the community to develop a Recovery Plan – a “road map” for community recovery.
E. STAFFING CAPACITY	This section provides a look at the capability, capacity, and available resources for community recovery.
F. PLANNING STRATEGIES	In the weeks and months following a disaster, there are multiple agencies and organizations gathering data to meet specific community needs. This section provides information on what data is available, how it is collected, how to access this information and highlight gaps in data collection that the CD Agency may begin collecting after a disaster.
G. PRIORITIZING RECOVERY PROJECTS	This section discusses the need for and elements involved with prioritizing projects to allow community recovery.
H. LEVERAGING FUNDING AND RESOURCES	This section assists State and communities in assessing their resources, identify funding gaps, and identifying the various types of funding often provided following a disaster.



MODULE 5: PROGRAM IMPLEMENTATION	
TARGET AUDIENCE	<p>Target Audience</p> <ul style="list-style-type: none"> • State CD Agencies • Governor's office <p>Other Audience</p> <ul style="list-style-type: none"> • Other State Agencies • Local Government
OBJECTIVE	<ul style="list-style-type: none"> ➤ Provide examples of lessons learned and best practices to assist the State CD Agencies in designing their recovery implementation approach and mechanisms, such as programs for delivering recovery resources to evaluating outcome, to mutual aid and surge staffing
TOOLS	<ul style="list-style-type: none"> ▪ Disaster Recovery Scenarios, Examples and Web links.
Module 5 - Subsection Contents & Focus	
A. INTRODUCTION	Module 5 addresses the specifics of disaster recovery and the CDBG program by providing process and procedure with scenarios and case studies in a manner that ties them to practical application.
B. DISASTER RECOVERY APPROACH	Depending upon a variety of influences, the State CD Agency may approach the use of disaster CDBG funds in a variety of ways. This section discusses those influences, identifies two major approaches to recovery from which the following sections on design and delivery will be compared.
C. PROGRAM DESIGN	Each state has a unique way of matching their program to fit the approach taken to recovery. This section identifies the elements of program design and any alternatives that states have used to accomplish their desired results.
D. CDBG ACTION PLAN	The Action Plan document serves as the "application" to HUD and the "contract" with HUD for the use of CDBG funds. This section covers key Action Plan elements for disaster recovery (also discussed in Module 3).
E. PROGRAM DELIVERY	This section covers the Method of Distribution of the Funds; staffing and human resources; building capacity at the state and local level; communication, and program evaluation.
F. STAFFING AND HUMAN RESOURCES	With the large amount of work to be done following a disaster, additional assistance will be needed. This section reviews the methods to address short- and long-term capacity.
G. CONTRACTING/ MEMORANDUMS OF UNDERSTANDING	This section reviews formal contracting methods and memorandums of understanding to develop capacity and provide adequate program delivery.
H. EVALUATING THE PROGRAM	This section discusses the establishment of disaster recovery program tailored to the disaster and the reporting requirements for such an evaluation.
I. PRE-DISASTER PREPARATION FOR THE STATE CD AGENCY	The section offers a checklist for the State CD Agency in order to prepare for disaster conditions and enable the organization to provide the highest level of service during a disaster.



REFERENCE LIBRARY	
ACRONYMS	A selected list of commonly used Acronyms that are used by emergency management professionals in disaster operations. In addition to the list FEMA publishes a book of acronyms titled FEMA Acronyms and Terminology (FAAT)
GLOSSARY	A glossary of terminology frequently used in disaster operations that are referenced in the COSCALA Disaster Recovery Toolkit
WEB LINKS	A selected list of web links to disaster recovery related sites
ELECTRONIC LIBRARY	A list of references and resource documents that are included as part of the electronic library. Contact COSCALA for information regarding access to the electronic library files



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MODULE 2 GENERAL DISASTER RECOVERY

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MODULE 2: GENERAL DISASTER RECOVERY

HOW TO USE THIS MODULE

The Toolkit is comprised of five separate Modules. The Modules are sequentially numbered for ease of identification. However, the Toolkit is NOT a linear document. Each Module is designed to stand-alone and allows target users to simply pull out the module that is appropriate to their mission.

While State Community Development Agencies are the primary audience for this Toolkit, the Governor’s office, other State agencies, and Local Government can also benefit from the information and guidelines contained in this Module and the Toolkit.

The audience for this Module may vary from State to State and will vary depending on how the recovery effort is organized in each State.

MODULE 2 General Disaster Recovery	
TARGET AUDIENCE	<p>Target Audience</p> <ul style="list-style-type: none"> State CD Agencies Governor’s office <p>Other Audience</p> <ul style="list-style-type: none"> Other State Agencies Local Government
OBJECTIVE	<ul style="list-style-type: none"> ✓ Assist State CD Agencies in selecting and preparing for the role they may – or be entrusted upon to – play in bringing about long-term recovery in their state and their local communities after a disaster event
TOOLS	<ul style="list-style-type: none"> ▪ A “self-assessment” tool for State CD Agencies to evaluate what role they may have in leading long-term recovery efforts for their states. The self-assessment also allows a State CD Agencies to assess what capacity and capability (i.e., organizational, staff, financial or technical) is necessary to successfully undertake the mission.
Module 2 - Subsection Contents & Focus	
A. DISASTER RECOVERY	This section provides an introduction to Disasters; what they are and how they are classified. In addition, this section discusses the State and Federal Disaster Declaration process.
B. PHASES OF A DISASTER	This section discusses the four general phases of a disaster and provides an overview of the various activities, which take place in each phase of a disaster, and how one element leads into and impacts the next.
C. THE DISASTER CYCLE	Disasters are not linear. The Disaster Cycle discusses the non-linear, continuous process through all four phases of a disaster. This section also provides the general roles and activities within the disaster cycle.
D. RESPONSE AND RECOVERY CONTINUUM	The continuum is a generalized timeline and sequence of events for response and recovery activities. The section covers the general steps involved in the response and recovery process, but does not make a determination as to who will be responsible for these steps.
E. THE ROLE OF STATE COMMUNITY DEVELOPMENT AGENCIES FOLLOWING A DISASTER	Following a disaster there are many questions, issues and needs that arise. This section outlines the basic role of a State CD Agency and identifies key questions the State CD agency should consider when determining role and structure for the community recovery.

A. DISASTER RECOVERY

A disaster can change everything. In an instant, possessions and personal belongings are scattered; daily routines become a distant memory, lives and communities seem to be altered forever. There is very little that may be done to fully prepare for the changes resulting from a disaster. However, there are several steps and actions that allow individuals, organizations and communities to better prepare for emergencies, and regroup to put things back together.

Module 2 focuses on the various *phases in a disaster* and the resulting actions that take place. This module also provides an overview of the basic *elements of disaster recovery* - from immediate response activities to short-term recovery actions and long-term recovery efforts. **Module 2** describes how *each element of the process connects with and impacts the next element*. Finally, this module presents an understanding of the *entities involved in the process*, the connections and interactions, and the importance of such connections.

Several variables make disaster recovery a complex, multi-layered, and unique process for each disaster. First, the type and scale of a disaster provides a significant variable. Impacts from a hurricane will be different than those from sustained flooding or an extensive wildfire. In addition, the magnitude of impacts varies with each incident and within each impacted community. Community size is another key variable in recovery - from rural towns of several hundred people to small cities or large metropolitan areas. Communities vary in terms of their capacity or scale. Some communities are vibrant, growing and well organized, while other communities are declining or have limited resources; therefore, the disaster recovery process will be different for each situation.

Most of the information in this module is intended for use prior to a disaster in determining the process and procedures to follow when responding to hazards. This tool will also serve as a quick reference guide in a post-disaster setting. Highlighted throughout the module are notes, sidebars, and checklists to identify some quick actions to assist communities along the road to recovery.

WHAT IS A DISASTER?

Disasters come in all sizes and scales. Disasters include both natural and man-made hazards, such as tornados, floods, ice storms, hurricanes mudslides, wildfires, terrorist attacks and so forth. Each type of disaster brings different hazards and impacts, including property damage, utility interruptions, infrastructure damage, air, ground or water contamination, vegetative loss, and large amounts of debris.

Another variable in the disaster equation is the community. The size, scale and geographic setting of a community are as varied as the disaster itself. Metropolitan cities, small coastal villages, rural agricultural towns, and mountain communities - each is unique. These variables contribute to the uniqueness of each disaster.

Regardless of the impacted community, emergency response and recovery efforts are related to and shaped by the:

- Type and scale of disaster
- Size, scale and geographic setting of the stricken community.

While it may be straightforward to understand the types of hazards and what constitutes a disaster, there is not the same clarity regarding the types of assistance, available resources and the roles performed by responding agencies.

In order to provide assistance, it is important to understand the differences in the way various levels of government view disasters. In addition, what may be a disaster to one community may only be an emergency to another. What it really comes down to is how

WHAT IS A DISASTER?

A disaster is the impact of natural or man-made hazards that negatively affects people, communities, and our natural or built environment.

- Emergency - limited in scope and impacts; primarily involves Local Government with support from neighboring communities and State support, as needed;
- Disaster - impacts are clearly more than Local Government can handle alone; State provides resources and coordination among state agencies
- Major Disaster - severe or catastrophic impacts; local and State resources are overwhelmed; damage assessments identify need for federal assistance and resources toward long-term recovery.

much the event impacts the community and the ability of each level of government – local, State, and Federal - to respond to the need created by the disaster.

EMERGENCY OR DISASTER – WHY DOES IT MATTER WHAT IT IS CALLED?

Assessing a disaster is like unfolding a fan. As each part of the fan unfolds the amount of assistance available to a community may also increase.

Local governments are the first to respond to an emergency situation. Neighboring communities and volunteer agencies can provide support and assistance through Mutual Aid (a formal agreement to provide assistance across jurisdictional boundaries or agencies when required). Due to the type or extent of the incident, local communities may find that they do not have the capability and/or resources to respond to the disaster.

If a Local Government becomes overwhelmed with the situation or the impacts are severe enough, it is appropriate to request assistance from the State government. The State may provide resources to assist in the emergency response activities, including performing an assessment of the disaster. If the impacts caused by the disaster are of severe magnitude, the State may determine that their resources are severely strained by the disaster and that Federal assistance is needed.

		RECOVERY SUPPORT MECHANISMS	COORDINATION AND PLANNING
DISASTER IMPACTS	EXTREME	FEMA ESF #14 LONG-TERM COMMUNITY RECOVERY (LTCR) PROGRAM	<ul style="list-style-type: none"> • Complex, Long-Duration (months and years) • Federal Coordination, Planning and Technical Assistance
	SEVERE	STATE LONG-TERM RECOVERY PROGRAM	<ul style="list-style-type: none"> • Moderate, Medium-Duration (months) • Local, State Coordination and Planning; Federal Support as Needed
	MODERATE	NORMAL LOCAL, STATE, FEDERAL, AND/OR NGO RECOVERY PROGRAMS	<ul style="list-style-type: none"> • Local, State Coordination and Planning
	MINIMAL		

In other words, the more levels of government that declare an incident a “disaster,” more resources and assistance may become available to the affected area. Thus a disaster can go from an incident handled at the local level all the way to the President signing an emergency or disaster declaration.

STATE DECLARATION

Each State has its own method for assisting communities in a disaster. Typically, a State’s Emergency Management Agency establishes an emergency response plan that describes the policies, practices, activities and roles necessary to respond to any disaster. It is recommended that each State Community Development Agency be familiar with the particular State’s emergency management plan and approach and types of assistance.

State governments may provide resources to assist in the emergency response efforts. States may also perform assessments of disaster damages and determine the losses and needs. In the past, some States have provided the following assistance in helping cities, counties, towns and parishes when the local efforts are not sufficient:

- Clearing and removing debris
- Supplementing local law enforcement
- Providing loans or grants
- Providing technical assistance

When the State determines they are unable to provide all the resources that a community may need to recover, the Governor can request a Federal Disaster Declaration through a regional office of the Federal Emergency Management Agency (FEMA). State and Federal officials conduct a preliminary damage assessment (PDA) to estimate the extent of the disaster and its impact on individuals and public facilities. This information is included in the Governor's request to show that the disaster is of such severity and magnitude that effective response is beyond the capabilities of the State and the Local Governments and that Federal assistance is necessary.

FEDERAL DECLARATION

Based on the Governor's request, a recommendation from FEMA is sent to the President for consideration of Federal assistance. The President may declare that a major disaster or emergency exists, thus activating an array of Federal programs to assist in the response and recovery effort. If there is sufficient damage, the President also may declare the area a disaster prior to the joint Federal, State and local assessment.

The Robert T. Stafford Disaster Relief and Emergency Assistance Act (PL 100-707, signed into law November 23, 1988; amended the Disaster Relief Act of 1974, PL 93-288) constitutes the statutory authority for most Federal disaster response activities especially as they pertain to FEMA and FEMA programs. The Stafford Act is the guiding principle behind disaster response and FEMA programming.

*For additional information about the Stafford Act refer to the **Reference Library**.*

When a disaster warrants the deployment of Federal resources, there are several federal agencies that may provide technical assistance or resources. These agencies are structured around Emergency Support Functions (ESF) to allow proper communication and coordination of resources and programs.

Once declared as a Federal disaster, a variety of disaster assistance programs are made available to communities. Disaster assistance is money or direct assistance that helps communities quickly respond to and recover from major disasters or emergencies. It is also meant to help individuals, families and businesses with critical expenses that cannot be covered in other ways. Some housing assistance funds for lower income residents are available through FEMA, but most disaster assistance for housing that comes from the Federal government is in the form of loans administered by the Small Business Administration and funds provided through the Department of Housing and Urban Development's (HUD) Community Development Block Grant program.

Not all Federal programs or resources are activated for every disaster. The determination of which programs are activated is based on the needs found during preliminary damage assessments and any subsequent information that may be discovered. Disaster assistance programs are available from FEMA, the Small Business Administration, and a variety of other public and private sector agencies, including not-for-profit organizations. Some examples of disaster programs include:

- Disaster Loans (SBA)
- Public Assistance (FEMA)
- Individual Assistance (FEMA)
- Mitigation / Hazard Mitigation (FEMA)
- Long-Term Community Recovery (FEMA)
- Emergency clothing, food, shelter or medical assistance (Red Cross, Salvation Army, etc.)
- Tax Assistance (IRS)

EMERGENCY SUPPORT FUNCTIONS

When a disaster warrants the deployment of Federal resources, there are several agencies that may provide technical assistance or resources. Emergency Support Functions (ESF), provide the structure for coordinating Federal agency support in cases of Federal response. These ESFs are mechanisms for grouping functions most frequently used to provide Federal support to States.

- ESF #1 – Transportation
- ESF #2 – Communications
- ESF #3 – Public Works and Engineering
- ESF #4 – Firefighting
- ESF #5 – Emergency Management
- ESF #6 – Mass Care, Emergency Assistance, Housing, and Human Services
- ESF #7 – Logistics Management and Resource Support
- ESF #8 – Public Health and Medical Services
- ESF #9 – Search and Rescue
- ESF #10 – Oil and Hazardous Materials Response
- ESF #11 – Agriculture and Natural Resources
- ESF #12 – Energy
- ESF #13 – Public Safety and Security
- ESF #14 – Long-Term Community Recovery
- ESF #15 – External Affairs

Some declarations will provide only FEMA Individual Assistance (IA) or only FEMA Public Assistance (PA) depending on the type and severity of damage and the sectors impacted by the disaster (e.g. housing, economy/business, infrastructure).

Hazard mitigation opportunities are assessed in most situations. For more information on the Federal disaster declaration process and disaster assistance programs, refer to the following links on FEMA's website:

<http://www.fema.gov/hazard/dproc.shtm>

<http://www.fema.gov/assistance/index.shtm>

B. PHASE OF A DISASTER

This section covers some of the basic information when preparing for, or during the early stages of recovery from a disaster.

There are generally four phases of a disaster that are well accepted by Emergency Management or Disaster Response and Recovery professionals. These phases include:

- Preparedness
- Response
- Recovery
- Mitigation

To provide a clear understanding of terms used, the following section provides current definitions of the terms used throughout a Disaster and its phases.

PREPAREDNESS

Preparedness is the responsibility of every level of government, every community and every individual to manage risk and reduce impacts posed by disaster events. Communities can reduce impacts from a disaster through preparedness and participating in response and recovery training activities, including:

- **Policy Development** - involves the ongoing development of a management structure for operations and preparedness
- **Planning** - provides a methodical way to think through the life cycle of a potential crisis. Good planning provides the process and framework to shorten the time required to assess an incident and provide an effective exchange of information to respond. Planning helps communities organize and allocate resources to support processes, procedures, and a strategic recovery plan.
- **Education / Training** - involves the delivery of training and exercises and performance evaluations to identify lessons learned and share best practices.
- **Assessment** - involves the evaluation of policies, activities, and training to ensure the effectiveness of a preparedness program. Assessment also involves a continuous review to ensure the levels of capability and compliance satisfy the established policies.

RESPONSE

Disaster response or emergency response establishes a plan of action for officials and agencies to respond to a situation in an organized and informed manner. This response involves the deployment, oversight and coordination of local, State or Federal resources immediately after a disaster to assist with recovery.

The initial response to a disaster is the responsibility of Local Government's emergency services, which may include help from nearby municipalities, the State and volunteer agencies. Local officials may work

POTENTIAL AGENCY AND ORGANIZATIONAL SUPPORT

County government Agencies

Metropolitan Planning Organizations

Regional Planning Commissions

State Offices and Agencies

- Agriculture
- Community Development
- Economic Development
- Emergency Management / Hazard Mitigation
- Environment
- Governor's Office
- Health
- Historic Preservation
- Housing
- Natural Resources
- Transportation

Federal Agencies

- EPA
- EDA
- DOT
- FEMA
- NOAA-OCRM
- USDA-Rural Development

Adjacent Communities / Counties

Professional Organizations

- AIA
- APA
- ASCE
- ASLA
- ICMA
- Municipal League of Cities
- NACO
- ULI

Educational Institutions

Private Sector and Non-Profits

through their local emergency management agency to organize the response efforts. As the level of disaster warrants, local officials may coordinate with the State Emergency Management agency to assemble additional State assistance such as National Guard or State Patrol resources and keep the Governor's office informed. This coordination will involve utilization of an emergency response plan that describes the policy, practices, activities and roles necessary to respond to any disaster. As part of the response actions a local command structure and emergency operations center may be established. A consistent management framework is important to effectively and efficiently manage all type of disasters across the country.

The U.S. Department of Homeland Security developed a comprehensive national approach to incident management known as the National Incident Management System (NIMS). NIMS will enable responders at all jurisdictional levels and across all disciplines to work together more effectively and efficiently.

Refer to the **Reference Library** for additional information about NIMS.

One of the most important 'best practices' that has been incorporated into the NIMS is the Incident Command System (ICS) - a standard, on-scene, all-hazards incident management system. Firefighters, hazardous materials teams, rescuers, and emergency medical teams already use the ICS. The ICS provides a common organizational structure for the immediate response to emergencies in an effective and efficient manner and involves the coordination of personnel and equipment on-site at an incident.

One of the key aspects of ICS is that it requires the people involved to step out of their traditional roles. Instead of assuming their role based upon a designation of status (or power), members of the ICS remove the "hat" that they normally wear. For example, the Mayor of a community may in fact take orders from the fire chief in his/her role as incident commander.

RECOVERY

Disaster recovery typically occurs in phases, with initial efforts (short-term) dedicated to help individuals and communities meet immediate needs for housing, food and water. Government agencies, voluntary organizations, and the private sector cooperate to provide assistance in the repair of homes and businesses and to support the cleanup and rebuilding efforts.

At the Federal level, FEMA provides Individual Assistance (IA) programs to assist many individuals in their personal recovery (e.g. temporary housing) while Public Assistance (PA) programs assist communities with damage sustained to public facilities and infrastructure (e.g. schools, utilities, streets, etc.).

*For additional information on the IA and PA programs, refer to the Fact Sheets contained in the **Reference Library**.*

In situations with severe or widespread impact, Federal resources may be provided to assist with long-term needs of the community. One FEMA program, ESF#14 Long-Term Community Recovery (ESF#14 LTCR) addresses the ongoing community needs by taking a holistic, long-term view of critical recovery needs, and coordinating the mobilization of resources at the Federal, State, and community levels.

Some individuals, families and communities that are especially hard hit by a disaster may need more time, specialized assistance, or a more formalized structure to support them. This specialized assistance may be needed to address unique needs that are not satisfied by routine disaster assistance programs. It may also be required for very complex restoration or rebuilding challenges.

Past ESF#14 LTCR efforts have provided targeted technical assistance in the form of design workshops or resource coordination. Other assistance has been provided through a community recovery planning process or preparation of a Recovery Plan that identify projects, programs and priorities necessary for community recovery. In some limited instances following severe impacts, technical assistance has been provided to support the implementation of identified recovery projects and programs.

Regardless of whether Federal involvement occurs, the process and tools utilized with ESF#14 LTCR are adaptable by both State and local agencies, including State CD Agencies to assist communities in the recovery process.

MITIGATION

Mitigation includes activities designed to reduce exposure to or potential loss from emergencies and disasters. Mitigation measures may be implemented before, during or after a disaster and are often a result of lessons learned from prior disaster events or training events. States and communities should use hazard mitigation planning to set short and long-range mitigation goals. Mitigation is a collaborative process where hazards are identified, vulnerability is assessed and consensus is reached on how to minimize or eliminate the effects of all-hazards.

The Federal Emergency Management Agency (FEMA) offers several programs to State and Local Governments to manage risk and reduce impacts. A few of these programs include:

- Hazard Mitigation Grant (HMGP) Program, Section 404 (post-disaster)
- Hazard Mitigation Program - PA, Section 406 (post-disaster public facility or infrastructure projects)
- Pre-Disaster Mitigation Grant (PDM) Program, Section 203 (pre-disaster)
- Flood Mitigation Assistance (FMA) Program

Federal law requires that States and communities must have a FEMA-approved mitigation plan in place prior to receipt of HMGP project funds. A mitigation plan must identify hazards, assess community needs, and describe a community-wide strategy for reducing risks associated with natural disasters.

The preceding section includes terms – Preparedness, Response, Recovery, Mitigation - that will be used repeatedly in a disaster setting and should be incorporated into an emergency response program and State CD Agency policy and procedures.

SECTION 404 HAZARD MITIGATION (HMGP)

Authorized under Section 404 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, the Hazard Mitigation Grant Program (HMGP) administered by the Federal Emergency Management Agency (FEMA) provides grants to States and local governments to implement long-term hazard mitigation measures after a major disaster declaration. The purpose of the program is to reduce the loss of life and property due to natural disasters and to enable mitigation measures to be implemented during immediate recovery from a disaster. Applicants who have questions regarding the HMGP should contact the State Hazard Mitigation Officer.

SECTION 406 HAZARD MITIGATION

Implemented through the Public Assistance (PA) Program, Hazard Mitigation Section 406, is a funding source for cost-effective measures that would reduce or eliminate the threat of future damage to a public facility / structure damaged during the disaster. The measures must apply only to the damaged elements of a facility / structure rather than to other, undamaged parts of the facility / structures or to the entire system. Section 406 mitigation measures are considered part of the total eligible cost of repair, restoration, reconstruction, or replacement. They are limited to measures of permanent work.

It is important to note that Section 406 hazard mitigation measures consist of work that is above and beyond the work required to return a damaged facility / structure to its pre-disaster design. Upgrades that would be required to meet current codes and standards, however, are not considered hazard mitigation measures for purposes of the PA Program and have different eligibility criteria. The projects should be considered eligible, technically feasible, environmentally and historically compliant, and cost effective.

C. THE DISASTER CYCLE

The disaster phases described in the preceding section do not occur in isolation. They are integral to one another, often overlapping and varying in duration depending on the severity or complexity of the disaster.

Disaster phases also do not occur in a linear fashion, but rather in a continuous cycle. The disaster "cycle" is a cyclical process that involves the primary phases of a disaster - Preparedness, Recovery, Response - while Mitigation is woven throughout all phases.

The disaster cycle illustrates a continuous process where governments, communities and individuals prepare for the impacts of a disaster, respond immediately after a disaster, and take measures to recover from the impacts of a disaster.

This disaster cycle is in a state of constant change and refinement based upon the disaster situation, as well as new policies, previous experience, new technologies, and lesson learned from previous situations.

State CD Agencies can support communities and other State Agencies throughout the disaster cycle. Proactive measures will improve community *Preparedness*, increase the efficiency of *Response*, reinforce *Recovery* measures, and *Mitigate* the vulnerability of communities for the next disaster. Local and State Government preparation and application of mitigation measures in advance of a disaster event will reduce workload once a disaster occurs, ensure a smoother response effort, and shorten the recovery time.



ROLES AND ACTIVITIES WITHIN THE DISASTER CYCLE

As noted previously, the size and scale of a disaster will impact which organizations or levels of government will be involved and to what extent they will be involved. Ultimately the local community is responsible for recovery; however, State and Federal agencies, Private Non-Profits, and the Private Sector may be able to offer assistance and provide resources.

WHAT AM I DOING HERE?

When you arrive at a disaster, it's natural to feel overwhelmed.

The disaster will be a chaotic setting, where you feel lost while other responders and agencies understand what is occurring and what role they are playing in the response and recovery efforts.

Do not panic.

First, determine how the State CD Agency fits into the system and process. Then be sure to provide awareness to others of resources and skills that your agency brings to the table. And finally, recognize that in a matter of days - once you have reviewed the circumstances and assessed the situation, you will evolve from a "newcomer" to an expert in the process.

During the Response and Recovery phases, there will be an agency responsible for coordination. For Response, it will likely be the local or State emergency management agency depending on the scale of impacts. At times, the point of coordination may fall to a Federal or State agency. In some instances of a State-led effort, the coordination role may fall upon a State CD Agency.

Regardless of the role, all of these entities can help in the various phases of recovery.

What makes the disaster phases and elements complex is that different agencies and organizations' roles increase and decrease depending on the impacts of the disaster, the needs of the community, and the capability of the participants themselves. Regardless of the role and responsibility, each agency must cut through the chaos and find the point of coordination. This is why in a disaster **cooperation, coordination and communication** among all levels of government are critical to successful response and recovery.

Cooperative partnerships will be the key to successfully implementing community recovery.

The following chart below provides examples of some of the ways various organizations and levels of government participate in the phases of disaster recovery.

ROLES AND ACTIVITIES WITHIN THE DISASTER CYCLE				
	PREPAREDNESS	RESPONSE	RECOVERY	MITIGATION
NON-PROFITS; CIVIC ORGANIZATIONS; PROFESSIONAL ASSOCIATIONS	Volunteer Training	Coordinate Donations; Assist with Immediate Needs; Technical Assistance	Technical Assistance; LTCR Resource; Recovery Plan Stakeholder	Resources
PRIVATE SECTOR	Volunteer Training	Volunteers; Donations; Supplies	Technical Assistance; LTCR Resource; Recovery Plan Stakeholder	Resources
LOCAL GOVERNMENT	Emergency Management Plan; Training; Education; Develop Volunteers	Communication; Coordination; Mutual Aid	Develop Plan for Recovery; Stakeholder	Coordination
STATE	Emergency Management Plan; Pre-Disaster Programming	Coordination; Debris Removal; Security	LTCR Resource; Technical Assistance	Resources; Coordination; Technical Assistance
STATE CD AGENCY	Pre-Disaster Programming	PDA's; Communication	LTCR Resource; Technical Assistance; Project Development	Project Development; Coordination
FEDERAL	Training; Pre-Disaster Programming	PDA's; Coordination; Communication	Coordination Communication; Technical Assistance; Project Development; LTCR Resource	Resources; Technical Assistance

D. RESPONSE AND RECOVERY CONTINUUM

This section provides a generalized timeline of the sequence of events to move a community toward recovery. This Response and Recovery Continuum is intended to provide the steps involved in the recovery process, but does not make a determination as to who will be responsible for these steps.

RESPONSE – IMMEDIATE ACTIONS FOLLOWING A DISASTER

Based on the understanding of the general phases of disasters, let's take a closer look at the general activities following an actual disaster.

The first step is to determine the impacts of the disaster at various levels - individual, local, and regional. After understanding the general impacts, preliminary damage assessments (PDA) are performed to determine the underlying impacts within a community. A variety of local, State and Federal officials perform these PDAs, typically within a few days following the incident. Though involvement at this stage is unlikely, in some instances, a State CD Agency may be requested to participate directly or indirectly in the damage assessments. During non-disaster periods, State CD Agencies should work with State emergency Management staff to familiarize with the process and procedures.

Once completed, the assessments provide a basis for State and Federal assistance to support community needs. The determination of levels of assistance will ensure adequate resources are allocated to facilitate a community returning to a "new normal."

RECOVERY – SHORT- AND LONG-TERM ASSISTANCE

The natural reaction after a disaster is to begin to pick up the pieces and put everything back together, just as it was. But is this the best option for the community?

Short-term recovery actions address the immediate needs of individuals and the community. These short-term recovery actions may include removing debris, restoring temporary services, repairing infrastructure, providing temporary housing, and ensuring adequate security throughout the community. Beyond these short-term actions, there are also other long-term considerations that a community must consider.

The steps in long-term recovery begin with determining "community need" - those elements that will allow a community to fully recover. These "needs" also shape the types and levels of assistance provided to a community. Community "needs" may be based upon pre-disaster plans or areas previously identified for improvement. They also may be a result of opportunities presented following the disaster. In some cases, a State CD Agency may be able to assist communities in identifying the opportunities and resources that may be used to make the community better as a result of the recovery efforts.

In cases of severe or widespread devastation, FEMA has the authority to deploy resources for long-term community recovery (LCTR) under ESF#14. LCTR brings

RESPONSE STEPS

Initial Impact

- Determine what happened
- Determine what sectors were affected
- Understand the initial overview of the disaster

Damage Assessment

- Determine what was damaged
- Preliminary Damage Assessments

Assessment Findings

- Results of Assessments
- Determination of Assistance

RECOVERY STEPS

Identify Needs

- Determine how community will return to a "New Normal"
- Identify successful aspects/elements prior to the Disaster
- Identify existing Plans and/or Vision
- Identify areas for improvement

Resource Inventory

- Determine local capacity
 - Functional
 - Operational

Recovery Strategy

- Connect "Needs" with Strategy
- Community Vision - where do they want to go?

together agencies to coordinate and leverage available resources to support community needs. Regardless of participation at the Federal level, communities and supporting State agencies can utilize the concept of the long-term community recovery process to assist communities.

After identifying community need, the next step is to determine local capacity. Determining the local resources and capability will ensure sustained success, long after all the regional, State and Federal resources have departed. Planning capacity, organization leadership and management are key indicators of local capacity. Once the needs and capacity are identified, a recovery strategy can be prepared. A recovery "strategy" will identify the direction, timeline, activities and priorities of the long-term recovery process.

The two boxes above provide the generalized steps involved with long-term community recovery. The timeline for these general steps and actions will vary by disaster and how State and Federal resources are applied to an incident.

Module 4 provides further details of how to organize and implement a LTRC strategy. In addition, FEMA provides a resource that provides a better understanding of ESF#14 - Long-Term Community Recovery process. This resource is the *Long-Term Community Recovery Planning Process - A Self-Help Guide*, which is provided in the Reference Library of this Toolkit and through a link on FEMA's website - <http://www.fema.gov/pdf/rebuild/ltrc/selfhelp.pdf>.

STRATEGIC INVESTMENT

Communities are developed over long periods of time based upon incremental decisions. Our cities and towns are literally a patchwork of parts stitched together by public infrastructure and services. While citizens may look at their community and consider that it is the ideal place to live, each community does have pieces or parts that don't function as well as others.

When a disaster strikes – this "patchwork" is torn apart. It may be that a neighborhood or portion of the community is damaged. In some instances in may be that an entire section of the community has been devastated.

In the short-term, local, state and federal resources provide assistance to the immediate impacts of the disaster. The challenge to a community extends beyond the short-term response. The tragedy that occurred also creates opportunities.

A strategic investment of resources by local, state and federal agencies and organizations may allow a community to benefit from the opportunities to improve upon what existed before the disaster. Long-Term Community Recovery focuses on the broader picture and leverages resources to support a community vision to build back better, safer, and stronger.

LTRC EXAMPLE

Following the 1993 floods in Missouri, many nonprofit and faith-based organizations were eager to help communities rebuild from the impacts of the disaster. Many organizations came together in an effort to rebuild churches destroyed by the flooding. The investment of time, talent and financial assistance in this endeavor was negated in part, since the State planned to implement a Flood Zone buy-out program to relocate disaster-prone communities to higher ground, outside of the flood zones they currently occupied.

Long-term planning and strategies may help prevent these types of situations by bringing everyone to the table and establishing a cooperative, coordinated process that defines a vision, establishes goals and objectives for recovery and includes the community in the decision making process. Depending on the size and scale of the disaster, it may take someone from outside the community to provide an objective view and focus on a broader picture.



E. THE ROLE OF COMMUNITY DEVELOPMENT AGENCIES FOLLOWING A DISASTER

Following a disaster there are many questions, issues and needs that arise. Many agencies and organizations participate in the response and recovery process. Each agency, including State CD Agencies, should ask some basic questions of its organization and staff to ensure it is prepared to respond. These questions include:

CAPACITY

What roles can a State CD Agency serve during the initial hours, days, or weeks following a disaster? In some cases, a State CD Agency may be asked to provide support to another State agency leading the response and recovery efforts within the State. In another instance, the Governor may direct a State CD Agency to be at the site of the disaster and participate in the response and recovery as a State resource. Another situation may be that the Governor designates the State CD Agency as the primary State agency responsible for coordinating State resources. Regardless of the situation, the State CD Agency should be prepared to respond to these situations and acknowledge the role it is capable of performing.

READINESS

What other agencies and organizations are involved in the Response and Recovery efforts? In some instances a State CD Agency may be identified in the State Emergency Response Plan. In such instances, make sure the State CD agency role is defined and clearly understood. There may be other situations when a State CD Agency has the resources, skills, or experience to play a significant role in the response and recovery efforts. In either setting, it is important for a State CD agency to understand the process, the coordinating agency, the team of responders at the State level, and role the State CD agency will serve. It's necessary to coordinate directly with the local and State Emergency Response agencies to determine roles and expectations.

RESOURCES

What Resources can the State CD Agency bring to the table? These resources include, staffing, technical assistance and knowledge of funding programs. There are also other organizational or State-specific opportunities a State CD Agency may be able to provide. It is very important to identify these resources before a disaster occurs.

In a local, non-federally declared disaster, where the Local Government has the resources and capability to plan, a State CD Agency may provide a coordination role among other State Agencies. A State CD Agency may provide local officials information about the resources that may be available and the procedures that should be followed to apply for these resources.

At the other end of the spectrum, if the disaster affects multiple jurisdictions and planning/recovery capacity is strained locally and at the State level, the State CD Agency may work with FEMA and ESF#14 LTCR. At this point the role may be as a partner to the Federal technical assistance team providing direction on how Federal (supplemental) resources may be allocated and utilized in the recovery process and ensuring that any plans provide adequate support data for the State CD Agency's CDBG Action Plan.

LTCR IS A COMMUNITY-DRIVEN APPROACH TO RECOVERY



There are a variety of roles that a State CD Agency may assume. The following table provides a checklist of questions that a State agency can work through. Answering these questions will help a State CD Agency determine the agency's role in disaster response and recovery.

STATE COMMUNITY DEVELOPMENT AGENCY - SELF ASSESSMENT TOOL

What Role Will A State Community Development Agency Play After a Disaster?

After a disaster, each State CD Agency should assess what role it can serve in the recovery process. Use this worksheet to help determine existing capacity within a State CD Agency and what resources may be applicable to assist a community with the recovery efforts.

CAPACITY Step 1 – Does the organization (State CD Agency) have the **ability** or **capacity** to manage the recovery?

Y N

<input type="checkbox"/>	<input type="checkbox"/>	Has the Agency (or staff) managed a disaster recovery project or program in the past?
<input type="checkbox"/>	<input type="checkbox"/>	Does the Agency (or staff) have the technical knowledge to manage the recovery effort?
<input type="checkbox"/>	<input type="checkbox"/>	Is it possible for the Agency and/or your staff to undertake the additional work of managing recovery, while continuing with an everyday workload?
<input type="checkbox"/>	<input type="checkbox"/>	Could the capacity within the Agency be increased through assistance from outside sources to help establish the recovery path?
<input type="checkbox"/>	<input type="checkbox"/>	Does the Agency have the ability to oversee additional or supplemental staff?
<input type="checkbox"/>	<input type="checkbox"/>	Is the Agency well-positioned and respected within the State government organization to effectively lead or organize a recovery operation?
<input type="checkbox"/>	<input type="checkbox"/>	Does the Agency have strong, well-defined working relationships with other State Agencies or Departments, including the Governor's office?
<input type="checkbox"/>	<input type="checkbox"/>	Is there a pre-existing system for State management of a recovery operation?
<input type="checkbox"/>	<input type="checkbox"/>	Is there a clear and well-defined understanding or organizational framework of how the Agency will act/serve within their defined authority so as to effectively organize or participate in the operations?

Answering, "yes" to 4-6 of the above questions, indicates the Agency has a moderate **ability** and **capacity** to manage recovery. Therefore, move on to Step 2. If the agency does not appear to have the ability or capacity, then the Agency should identify this issue to senior State Leadership.

READINESS Step 2 – Does your CD Agency organization have the **desire** and **readiness** to organize and manage recovery?

<input type="checkbox"/>	<input type="checkbox"/>	Is the Agency committed to managing recovery? – Keep in mind this could mean additional work for an extended period, on top of your existing job responsibilities.
<input type="checkbox"/>	<input type="checkbox"/>	Is the Agency willing to work with and manage multiple other organizations, including other government entities, nonprofit organizations and private partners?
<input type="checkbox"/>	<input type="checkbox"/>	Are there other State Agencies or organizations that are expressing the desire to coordinate recovery?

Answering "yes" to 2 of the above questions indicates a moderate **ability** or **desire** to manage recovery. Then continue to Step 3.

RESOURCES Step 3 – Does the State CD Agency have and understand the **resources** to organize and manage recovery?

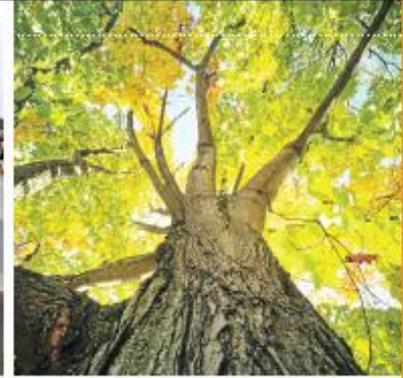
<input type="checkbox"/>	<input type="checkbox"/>	Financial Resources
<input type="checkbox"/>	<input type="checkbox"/>	Is there a means of funding and dedicated staff to develop and manage the recovery?
<input type="checkbox"/>	<input type="checkbox"/>	What funding within the Agency and within the State government may be re-appropriated to handle any additional financial increases?
<input type="checkbox"/>	<input type="checkbox"/>	What funding within the Agency and within the State government is available to finance key recovery projects?
<input type="checkbox"/>	<input type="checkbox"/>	Staffing Resources
<input type="checkbox"/>	<input type="checkbox"/>	What is the estimate of the Agency staffing needs?
<input type="checkbox"/>	<input type="checkbox"/>	Within the Agency, what roles can each person or department assume?
<input type="checkbox"/>	<input type="checkbox"/>	How will the Agency identify, recruit and secure additional staff for the recovery process?
<input type="checkbox"/>	<input type="checkbox"/>	What is the estimate of the timeframe and duration of additional staff involved in the process (Weeks, Months, Years)?
<input type="checkbox"/>	<input type="checkbox"/>	Organizational Resources
<input type="checkbox"/>	<input type="checkbox"/>	What is the position of the CD Agency in relationship to other recovery organizations?
<input type="checkbox"/>	<input type="checkbox"/>	Is the political leadership supportive of the CD Agency's role in this recovery operation?

Answering "yes" to 4-6 of the above questions indicates a moderate amount of **resources** to manage recovery.

The answers above provide an idea about the role a State CD Agency may undertake in a recovery effort. Before making a final decision on your State CD Agency's role, here are some additional questions you should consider:

- How much time can my Agency, staff and I commit to this effort?
- What other Agencies or organizations may assist?
- How can we locate additional staff?

See **Module 4** for additional information about how your State CD Agency will perform once a role has been established and defined.



DISASTER RECOVERY TOOLKIT

MODULE 3 STATE CD AGENCY ROLE/ POLICY/REGULATORY ISSUES

JUNE 2008

FOR STATE COMMUNITY DEVELOPMENT AGENCIES





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MODULE 3: STATE CD AGENCY ROLE/ POLICY & REGULATORY ISSUE

HOW TO USE THIS MODULE

The Toolkit is comprised of five separate Modules. The Modules are sequentially numbered for ease of identification. However, the Toolkit is NOT a linear document. Each Module is designed to stand-alone and allows target users to simply pull out the module that is appropriate to their mission.

While State Community Development Agencies are the primary audience for this Toolkit, the Governor's office, other State agencies, and Local Government can also benefit from the information and guidelines contained in this Module and the Toolkit.

The audience for this Module may vary from State to State and will vary depending on how the recovery effort is organized in each State.

MODULE 3 State CD Agency Role / Policy / Regulatory Issues	
TARGET AUDIENCE	<p>Target Audience</p> <ul style="list-style-type: none"> • State CD Agencies • Governor’s office <p>Other Audience</p> <ul style="list-style-type: none"> • Other State Agencies • State Legislature • Local Governments
OBJECTIVE	<ul style="list-style-type: none"> ✓ Assist the State CD Agencies and the States’ higher authorities in understanding and successfully coordinating their State recovery efforts: <ul style="list-style-type: none"> ➢ Module 3 focuses on how successful coordination can help to create opportunities for streamlining and complying with the myriad of federal and State regulatory requirements, and for capturing and leveraging recovery resources (i.e., financial and technical) from public and non-governmental sources ➢ Module 3 also discusses the various organizational and legal frameworks that their State’s higher authorities may establish, and within which a State CD Agency may have to operate for recovery; Also, what policy and/or procedure should be established pre-event or quickly post event to support the State CD Agency’s role in recovery and expedite the recovery process ✓ The importance of an Action Plan in the context of recovery
TOOLS	<ul style="list-style-type: none"> ▪ Action Plan Template ▪ Waiver Checklist
Module 3 - Subsection Contents & Focus	
A. INTRODUCTION	Recovery creates opportunity. The community has the opportunity to rebuild in a way that will improve the community in the long term. This opportunity can easily be lost if the State and the community do not utilize and maximize resources successfully. This section focuses on how to remove these barriers.
B. ROLE OF STATE CD AGENCIES AFTER A DISASTER	Following a disaster there are many questions, issues and needs that arise. Many agencies and organizations participate in the response and recovery process. Each agency, including State CD Agencies, should ask some basic questions of its organization and staff to ensure it is prepared to respond.
C. ROLE OF THE STATE	Each State will approach their role in recovery differently. This section provides examples of the different way States have addressed their role in previous disasters to support Community Development. In addition, this section covers the potential roles and responsibilities that Legislative, Congressional and Executive offices can play to expedite recovery.
D. KEY ISSUES AND CONCEPTS	This section discusses key questions that may assist the State CD Agency and others as to how best to approach recovery. This section also includes discussions on decision-making authority, methods for setting priorities, flow of funding, prioritization and communications protocol. This section is intended to provide the starting point for State CD Agencies after a disaster.
E. UNDERSTANDING POLICY, REGULATIONS AND STATUTES	Federal/ State Regulatory, statutory and policy requirements and restrictions-modifications to enable appropriate programs may be needed. This section looks at different approaches when attempting to make changes or adjustments in modifications are applied.
F. WAIVERS AND EXCLUSIONS	This section will be based on the experience of previous State CD Agencies in dealing with waivers for specific programs. A list of common disaster waivers and exclusions, in addition to how they are applied, will be outlined here.
G. CDBG ACTION PLAN	This section addresses the importance of the CDBG Action Plan and other strategic recovery plan(s).

A. INTRODUCTION

State government agencies and officials recognize that disaster recovery is not an established procedural science, but rather an art that contains policy and decision points unique to each disaster. The key to any approach is the knowledge that disasters are a tragedy. The recovery is an opportunity.

Experiencing a disaster is a tremendously powerful event. The loss of innocent lives and disruption can take a personal toll on the survivors and those who become involved in any phase of the response or recovery. Experienced individuals will agree that there is a palatable moment in the life of both a survivor and a community as a whole where the focus shifts from what has happened to what will happen in the future. That is the shift from disaster response to disaster recovery. It is also that shift in thinking, speaking and acting that allows the recovery effort to become a series of opportunities for any individual or any community.

Disaster Is A Tragedy.
Recovery Is An Opportunity.

Module 2 of the Toolkit describes the *phases of a disaster*. It explained the role of State's emergency management agency to create an emergency response plan that describes the policy and practice necessary to respond to any disaster. That response plan is consistent with the Federal Emergency Management Agency (FEMA) and the Robert T. Stafford Disaster Relief and Emergency Assistance Act.

Refer to the **Reference Library** for additional information regarding the Stafford Act.

Typically, the plan offers policy related to disaster preparation, disaster mitigation, and disaster response (emergency response and stabilization). State agencies tasked with those phases know their assigned roles and responsibilities (State Highway Patrol, National Guard, Emergency Response Teams, etc.). Regulatory agencies also work in the early phases of a disaster and they know their defined roles, as they are set and established by existing federal and State laws.

Often, however, the emergency plan does not include the policies and procedures to implement a recovery for individuals or communities. That means, the **State's Community Development Agencies** (State CD Agencies), may be expected to participate in the recovery phases of a disaster. One issue with this is that most State CD Agencies do not have an established plan or set of policies from which to work.

Where do I find a copy of my State's Emergency Management Plan?

What is my role?

The task of the State development agency faced with any disaster is to establish an effective system of recovery, relevant to the specific needs of the disaster survivors, in a manner that will sustain the community and the person. It is the recovery phase (short or long term) where the Community Development agencies

are most often involved and where their expertise is most often required.

This module of the Toolkit is designed to help State Community Development agencies understand the policies, procedures and requirements related to recovery support including considering State legislative actions as well as responding to federal requests such as the development of a CDBG Action Plan.

B. THE ROLE OF STATE COMMUNITY DEVELOPMENT AGENCIES FOLLOWING A DISASTER

Following a disaster there are many questions, issues and needs that arise. Many agencies and organizations participate in the response and recovery process. Each agency, including State CD Agencies, should ask some basic questions of its organization and staff to ensure it is prepared to respond. These questions include:

CAPACITY

What roles can a State CD Agency serve during the initial hours, days, or weeks following a disaster? In some cases, a State CD Agency may be asked to provide support to another State agency leading the response and recovery efforts within the State. In another instance, the Governor may direct a State CD Agency to be at the site of the disaster and participate in the response and recovery as a State resource. Another situation may be that the Governor designates the State CD Agency as the primary State agency responsible for coordinating State resources. Regardless of the situation, the State CD Agency should be prepared to respond to these situations and acknowledge the role it is capable of performing.

READINESS

What other agencies and organizations are involved in the Response and Recovery efforts? In some instances a State CD Agency may be identified in the State Emergency Response Plan. In such instances, make sure the State CD agency role is defined and clearly understood. There may be other situations when a State CD Agency has the resources, skills, or experience to play a significant role in the response and recovery efforts. In either setting, it is important for a State CD agency to understand the process, the coordinating agency, the team of responders at the State level, and role the State CD agency will serve. It's necessary to coordinate directly with the local and State Emergency Response agencies to determine roles and expectations.

RESOURCES

What Resources can the State CD Agency bring to the table? These resources include, staffing, technical assistance and knowledge of funding programs. There are also other organizational or State-specific opportunities a State CD Agency may be able to provide. It is very important to identify these resources before a disaster occurs.

In a local, non-federally declared disaster, where the Local Government has the resources and capability to plan, a State CD Agency may provide a coordination role among other State Agencies. A State CD Agency may provide local officials information about the resources that may be available and the procedures that should be followed to apply for these resources.

At the other end of the spectrum, if the disaster affects multiple jurisdictions and planning/recovery capacity is strained locally and at the State level, the State CD Agency may work with FEMA and ESF#14 LTCR. At this point the role may be as a partner to the Federal technical assistance team providing direction on how Federal (supplemental) resources may be allocated and utilized in the recovery process and ensuring that any plans provide adequate support data for the State CD Agency's CDBG Action Plan.

C. ROLE OF THE STATE

When a disaster occurs, the State may play a role in every phase. States also approach disaster recovery differently dependent on how they are organized, how their role is defined in relation to local agencies and the type of disaster that has occurred. Sometimes, there is just one input, from the top. Other times there are multiple layers of inputs, from which the State CD Agency will need to determine an appropriate and effective role. There may be disasters where the extent of any role may be different within the phases of the disaster.

States are organized in many different ways from one another. They create different agencies with different names, and different missions. States apply different levels of staffing, pay differently, and choose or accept different tasks as their responsibility. One major difference is the way they use State funds and develop State programs. For example, some States provide numerous State resources for community and economic development; while others provide very little as a State may not see that as a role or responsibility. States also assign the administration of federally funded programs to different agencies. For the purposes of disaster recovery, it may be helpful to view State departments as either: "regulatory" or "development" in nature. Regulatory agencies are those that are usually involved in the "response phase" of a disaster. Development agencies are those that are usually involved in the "recovery phase" of a disaster. Regardless of how the State is organized, coordination with and an inventory of the agencies and their resources will benefit a recovery program.

Consider a "development agency" in the State to lead the recovery phase of the disaster . . .

The State and local government dynamic also differs from State to State. The level of authority, level of local control, and roles and responsibilities typical to the State will play a significant role in the response and recovery from a disaster.

What other inputs and influences will determine the State's role?

1. **Size of the Disaster** – How much of the State did the disaster impact? Is it part of one community or a majority of the State? Policy established for a disaster that affects one community may likely differ from that established for a disaster that extends multiple counties and even a majority of the State.
2. **Scope of the Disaster** – What is the level of damage sustained? Did the disaster produce minimal damage or catastrophic damage? How much time will be spent in the recovery process? Weeks or years?
3. **Sectors Affected** – What sector or sectors were affected: housing; economic or business; public infrastructure and public facilities; and environmental, or a combination? To what degree were the sectors affected? Will there be necessary short-term recovery efforts to implement before long-term recovery efforts? How dependent is each sector on the other for success now? Will priority order be a necessity?
4. **Resources** – What financial resources are available to assist with the recovery? Are there federal funds, State funds, local funds, or private insurance? Is there adequate manpower at the State level to implement a recovery? Will the State have to make up for lack of local manpower?
5. **Capacity** – Does the State have the knowledge, expertise and experience to implement a recovery? Will the State have to make up for a lack of local capacity?

If disaster recovery is not already assigned and designed in the State's emergency management plan, then the recovery activities will likely fall to the development agencies, including the State CD Agency.

WHAT IS A SECTOR?

In terms of disaster response and recovery, communities are typically divided into four primary sectors:

- Housing
- Economic / Business
- Infrastructure
- Environment

GOAL SETTING, PRIORITIES AND POLICY MAKING

A necessity of any recovery is establishing goals, priorities and policies. Unfortunately, defining goals and articulating them is often lost in the midst of a disaster. Goals define the direction of the recovery. Priorities define the path. Policies define the steps along the way. A clearly established goal or set of goals allows for a point of direction or a place to aim for to the persons involved in the recovery. Having recovery goals provide the basis for establishing priorities; a clear set of priorities provide direction for policy and decision making such as directing programming, manpower, and resources. After a disaster, the Governor, the legislature (or some appointed entity), and the local governments may all establish goals. Opposing goals may present obstacles to recovery as well as difficulties for the State Community Development Agency to establish policy. Size and scope of the disaster may shape how the goals are developed and determine who is involved in the process.

An extremely large disaster that dramatically impacts one sector (such as housing) may require that the goal setting and priorities be established at the State level to ensure that policy remains consistent. On the other hand, a disaster that impacts only one community, may allow for goal setting and priorities to be developed by that community. State policy would then support those specific goals and priorities. The important point here is that there are many factors that shape the goals and priorities. There is a direct correlation between the size and scope of a disaster (the sectors affected) the resources available, and the State and local capacity. These factors also should guide who participates in the goal setting, priorities, and policymaking.

In order to set the framework for decision-making, the following questions may help:

- Will statewide policy and goals be established and applied to all local efforts?
- Will the State use its own resources to accomplish the established policy and goals?
- How will the State respond to locally developed goals and priorities and how will the State incorporate these into statewide policies and goals?
- How will program design and delivery be shaped by State and/or local priorities and goals?

- Once known, how will the State CD Agency create policies and procedures to assist in accomplishing the goals and remain consistent with the priorities?

In almost all of the above cases, it is recommended that states encourage (to the point of providing funding for technical assistance if needed) the local community to establish recovery goals, develop a recovery plan, identify recovery projects and set priorities for those projects. Why? Because the **funding** available for recovery plan implementation, through the State CD Agency and other development agencies will be limited. It will be important for the local community to seek out a wide range of funding resources to fully implement their plan. The funding agencies will also find that selection of projects in which to invest their limited resources is a much more productive event when coupled with solid planning and clear strategies.

Strategic planning is crucial to goal setting in disaster recovery. Engaging in a quick, disaster focused and inclusive planning process is time well served. It identifies direction, expresses goals, determines strategies and creates the path for everyone involved to proceed in a uniform manner. Strategic planning:

- Is the first step of guiding the community to look forward to the future instead of back to the disaster event
- Identifies specific action steps
- Incorporates participation from all sectors which creates buy-in
- Matches up the "needs" with the "goals" and ensures that there is no gap between them
- Is a living document with milestones and benchmarks from which progress may be measured
- Produces a working document intended to identify catalytic projects and activities that will lead directly to the over all goals
- One which the State, the separate State agencies, and the local governments would be well served to put into place

The planning process need not take a substantial amount of time. It is especially important to get to the point of implementation. A solid strategic plan will offer enough direction for the recovery that will serve the community well. **Modules 4** and **5** address the Long-Term Community Recovery Strategic Planning process.

What happens if the Local Government goals and priorities are in direct conflict with the State goals and priorities?

One of the political realities faced by the State CD Agency and other development agencies with financial resources is the one where opposing forces have opposing ideas. While there is no perfect solution, there are some recommended guidelines that may be useful in addressing potential conflicts, including:

- The State agencies administering funds under the control of the State have an obligation to the Governor's office and his or her assigns and the legislature. Therefore, the State CD Agency or the local governments cannot ignore policies created by those authorities.
- Local government has the responsibility to create the most effective recovery possible for their constituency and local authority cannot be ignored.
- In any type of political difference, resolution comes when each party understands the position of the other and the motivation behind that position. While voicing their position publicly may not appear to be constructive, many times that is the only way they have to show their constituency that they are fighting for them. Not all debates are absolute deadlocked standoffs. Winning isn't always everything.

Finding the compromise where each party can take credit for their role is a common solution found every day in the political process.

For the State policy decision makers:

- Knowledge and understanding of local needs, desires, and plans is a must. Most federal fund sources, passed to the State, require public input in to the decision making process. State policy decision makers must have access to and utilize accurate data.
- Communication (clear and concise) of the State's priorities and intended use of funds to the local governments and disaster survivors including the overall goals, purpose, and reasoning will help alleviate misunderstanding and discontent.
- Transparency in decision-making will assist locals in understanding.

- State and local elected officials awareness and appreciation for any federal programmatic rules and regulations that come with the funding will help avoid conflict between the policy and implementation.
- Implementation of recovery programs must be sensitive to local codes.

For the local policy and decision makers:

- There are limited funds and sometimes there are limitations applied to the use of the funds.
- The State has a different perspective. Local Governments may not recognize other needs prevalent throughout the State and therefore may not have an appreciation for the priorities established for State or Federal funds.
- Local Governments that express their needs and the requests they are making in a clear and concise manner, are more likely to convince State agencies to invest or award funding.
- Finding a way to articulate funding requests where local and State goals intersect may more readily convince funding agencies to invest.

For the State CD Agency:

- Conflicting messages may require the State CD Agency to communicate the differences between State and local goals and priorities.
- The role of the State CD Agency is to identify program restrictions that may prevent either the State or locality from using the funds for a particular purpose or in a particular manner. Equally, if not more important, is the role that requires the State CD Agency to find creative solutions to the use of the funding so that it in some way may be used in whole, or in part, to solve a problem.
- Differences left without resolution may prevent the State CD Agency from establishing effective strategies for the use of the funds.
- Not all differences are bad. Finding acceptable compromise or finding arenas where priorities intersect or overlap or may result in a niche for the use of the funds. Furthering the conversation between State and local decision makers may result in a higher and better use of the funds.

EXTENT OF STATE ROLE IN RECOVERY

What will be the extent of the role that the State plays in recovery? Certainly, any goals and priorities established by the State will dictate a part of the extent that the State plays. Will it be similar to the existing role played in individual and community development? Or will the State and its development agencies play an extended role? An extended approach by a State may include:

- Coordination of partner agencies
- Identifying flexible State resources to aid in the recovery
- Offering strategic planning services to communities
- Measuring local capacity issues and designing mechanisms to fill in the gaps
- Creating new State programs to assist the communities financially
- Adding and/or assigning staff to a particular community or region to provide on-site technical assistance

DISASTER RECOVERY . . .
WHOSE IS RESPONSIBLE?

The extent of the State's role in disaster recovery may include even more factors. There may be **specific** philosophical, political, and cultural pressures that dictate or influence an approach to disaster recovery. Just as State's differ in their approach to community development, they may easily differ in their approach to disaster recovery. The States approach to disaster recovery may be to remain consistent with how they operate in non-disaster mode, where there is a confident level of existing expertise. For example, if the State uses its development resources predominantly for public infrastructure, then that may be the sector where the State concentrates its recovery efforts. The same may be true for housing or economic and business development. On the other end of the continuum, the State may approach recovery by entering entirely new territories reacting in the most flexible manner with the intent of breaking new ground with creative policy.

A State's approach toward community development may define the role or extent of a role in disaster recovery. If the State approach to community development is one where local government and local citizenry are typically responsible for their own well being; and the State envisions its role and

responsibility as one which facilitates local choice; the State may feel that recovery is a local responsibility. Thus programs may be designed where the local jurisdiction takes on the responsibility for planning, setting priorities, applying for and administering grants through the State CD Agency. It is important to assess these policies and program decisions. There may be instances where the disaster merits a different approach. The State Community Development Agency must be prepared to respond by designing program assistance in a manner consistent with the community recovery goals, to meet community needs, and to create results.

Refer to the **Module 5** and the **Reference Library** for examples of State Program Design

ADVANCING RECOVERY OPPORTUNITIES

Recovery may be either an opportunity or an opportunity lost. Effective goal setting, priorities, and policymaking can take advantage of opportunities, add value and shorten the recovery timeline.

Community Developers will appreciate the concept of the development timeline. Normal development activities that take place in any community sometimes take years to achieve. Local plans of all types serve as guides to those activities. Communities in the recovery process are implementing community development activities, as well. Instead of growth or obsolescence or market demand causing the development, the cause is the disaster. The concepts of development, however, remain. Recovery planning, can serve to guide recovery activities. Recovery planning can actually compress the recovery time period by identifying and setting into action specific projects and activities that move the community away from the disaster and closer to the recovery. And recovery planning can lead to opportunity recognition. If a planned thoughtful approach is taken, value may be added to design, construct, repair, and replace facilities during the recovery process.

Paving the way for private reinvestment is the real key to disaster recovery.

Community Development agencies that work with communities on a regular basis also recognize the existence of key projects that serve as catalysts for further development. They understand how to design the use of their public funds in a manner to spur private investment. Private investment is necessary to establish a real economic change in any community, especially following a disaster. Using public dollars in a

manner that facilitates individuals, families or businesses to re-invest their own personal money will advance the recovery. Similar to non-disaster investments by government, the elimination of barriers and the elimination of risk will pave the way for private dollars. Designing programs or activities to promote these investments is the key to success.

After a disaster, the long-term community recovery effort is an important step to open doors and opportunities for persons, businesses and communities. A State CD Agency can play an important role in helping make those opportunities happen. As previously noted, getting back to a sense of "normalcy" is a perceived priority after a disaster. This drives the initial reaction to simply "put things back as they were before the disaster." When that statement is actually analyzed, many communities would choose otherwise. They may not wish to repair or replace a piece of infrastructure that did not work to serve the needs of the community before the disaster. Seeking opportunities to "add value" are the responsibility of leadership both at the local level and at the State Community Development Agency level.

Refer to the **Reference Library** for an example of a community project adding value in recovery

Knowledge of financing programs is the first way to add value. If a community proposes to adapt a piece of damaged infrastructure, to meet current community needs, they may present a plan to FEMA's Public Assistance program, and receive permission to do so. FEMA may lower the percentage they will pay for but if the community can use its own resources, or if the State provides additional resources, then it is possible for the project to proceed.

TYPICAL AREAS OF POLICY MAKING

FUNDING

Many disasters result in supplemental funding appropriated from the federal government to aid in the recovery. In the case of Community Development agencies, the typical fund source is the Community

NECESSITY IS THE MOTHER OF INVENTION

Recovery includes business, housing, and community development. Necessity compresses the activities into a much shorter time creating the need for new ways of operating and cooperating to be deployed.

Development Block Grant (CDBG) Program. If the State receives supplemental, discretionary funding for disaster recovery from HUD or other (non-FEMA) funding, one policy decision will include choosing the administering agency. Likely, the administering agency will be that agency already responsible for the State CDBG program.

States must make policy decisions regarding State funds in a variety of areas after a disaster:

- Is there a State “rainy day fund” that will be used to aid in recovery or specifically, to match any FEMA Public Assistance funds that are provided to the State after a declaration?
- If a supplemental CDBG appropriation is provided, how will the federal match requirement be met? (See **Module 4** for explanation of “match.”)
- Will the State require local financial match for any recovery funds offered to local governments?
- Will any use of funds require a legislative action?
- How will the funds be disbursed? Will funds be provided directly to beneficiaries or to local governments?
- Will maximums be established?

The needs presented by a disaster will always outweigh the available resources. Policy will be necessary to establish priorities for the use of any of the State funds or federal pass-through funds. Since there will never be enough funding to meet all of the needs after any disaster, in what areas will the State focus the resources? How will they match long-term goals to strategies to meet those goals and effectively meet the needs?

Refer to the **Reference Library** for a sample of a supplemental appropriation bill.

MANAGING RESOURCES

When a State receives federal funding, and even when the non-profit and volunteer organizations initiate their activities, the State finds itself with an enormous amount of resources to manage. Successful management falls into the following primary areas:

- Internal Coordination:
 - What role will the State CD Agency play in the recovery?
 - How will the Agency be best organized to achieve maximum effectiveness for the people served?
 - How will duplication of services or elimination of gaps be addressed?
 - How will the mission of the Agency remain consistent with its capacity?
 - Where can the Agency seek professional resources and assistance/
 - Does the authority and decision making power to achieve the mission exist within the Agency?
 - How will the Agency communicate with partner agencies, local governments, and others involved in the recovery effort?
 - What will the program delivery system involve?
- Coordinating Priorities and Goals:
 - What strategies will the State CD Agency create to accomplish goals and priorities?
 - How will the Agency manage and administer its funding to meet those goals and priorities?
 - What types of activities would best lead to the goals?
 - Are there conflicting goals between the State and locals? How will those conflicts be resolved?
 - Are there conflicting goals between or among State agencies?
- Coordinating with Partner Agencies
 - Who are the other State and Federal agencies relevant to the State CD Agency’s mission?
 - How can the Agency partner with the non-profit agencies?
 - How can the Agency partner with the private sector?
 - How can Agencies avoid a duplication of effort or a duplication of benefits?

- How can partner Agencies work together to add value and take advantage of opportunities in the recovery process?
- Coordinating with Communities
 - How does the State CD Agency reach the local government? Will creative ways of communication be required? Has the leadership and population been displaced?
 - How will the Agency gain input and feedback from the community?
 - Are there capacity issues to be addressed at the local level?
 - Are there existing networks or organizations that can serve to assist? (Regional planning commissions, etc.)
 - Are there professional organizations that may assist or participate? (American Planners Association, International City/County Management Association, American Society of Landscape Architects, American Institute of Architects, etc.)
- Coordinating with HUD
 - What are the requirements for the existing CDBG Action Plan or supplemental appropriations?
 - What waivers are needed by the State and locals in order to use the funds for their recovery needs, what waivers are available, and what is the process for gaining them?
 - What is the timing to gain an approved CDBG Action Plan and how is that incorporated into the overall process?
 - Where can the State CD Agency gain technical assistance using CDBG for disaster recovery?
- Coordinating Finances
 - How can CDBG funds be used to leverage more funds?
 - What are the sources and uses of FEMA funding and what gaps are left?
 - What is the most timely fund delivery mechanism?
 - How can the program design create methods for the CDBG funds to stimulate private investment?
 - What local dollars will be required to assist in financing recovery projects?
 - How is accountability assured?
 - Will a new recordkeeping system be required?
 - What other State funded development programs may be available to the recovery efforts?
 - What other federal agencies are potential funding sources?
- Coordinating Rules and Procedures
 - What Federal rules do agencies share that can be streamlined?
 - What Federal rules apply differently to Federal funding sources that may require coordination?
 - Do the different disaster response agencies have experience with CDBG?
 - Would a course taught by the State CD Agency on CDBG rules and regulations be beneficial for other agencies?
 - How does the Agency teach the opportunities for CDBG recovery funding to the potential applicants?

ORGANIZING RESOURCES

There is nothing more valuable in a disaster recovery than a person or group of persons who know and understand the variety of resources available. This person or group is a rare commodity so most of the time the State must organize their resources using a number of groups and people. The organization of resources allows for the identification of funding gaps for recovery projects. It allows for systems and processes to be established for delivery of resources, where there are none, and it allows for finding and adapting resources to fit prevalent needs not filled. Often, the organization of resources occurs in the “silos” within State agencies, but a successful recovery program will create a forum where that information can be shared. The Incident Command Structure (ICS), previously described in Module 2, is the framework that FEMA, and Federal, State and local agencies use in responding to a disaster. One of

the key aspects of ICS is that the Mayor of the city may take orders from the fire chief. ICS requires the personnel involved to remove the "hat" that they wear, and their designation of status or power, in favor of establishing a structure that responds to the incident in an effective and efficient manner. This same concept should be utilized in recovery planning and implementation - break down the "silos" and collaboratively work toward resolving key issues for recovery implementation.

Refer to the **Reference Library** for examples of Best Practices for the above-mentioned Rules or Procedures.

INTEGRATING STATE AGENCIES INTO RESPONSE

Part of organizing resources for the State is integrating various agencies into the response. The State Emergency Response Plan will define many agencies roles. States practice emergency response and key individuals are assigned positions at the Emergency Operations Center. What is not often defined is the role of the State CD Agencies in long-term community recovery. They may be working from little or no formal processes or direction. An effective long-term community recovery may be left merely to the personalities of those in the positions of authority.

Define the State CD Agency role in the Emergency Response Plan and make sure you are a known quantity and valued partner at the Emergency Operations Center conference table.

COMMUNICATION

Disaster recovery is also a function of good communication. The communication system is not only federal to State, or State-to-State, or State to partners, or State to local, but is all of those simultaneously. Communication must be quick, concise, current and all-inclusive. Communication systems range from email list serves, to daily or weekly meetings, or teleconferences. The media may be used as well to serve to provide communication to a desired sector. The key to effective communication is feedback. Is the message getting across to the intended targets? Is it understood and is it having the desired result?

Often, after a disaster, the normal modes of communicating from the State level to the local level are disrupted. If the normal channels of communication are disrupted, finding the audience and using creative means to send the information may be necessary.

Even if they are still intact, the local governments are facing information overload so the task of the State CD Agency is to determine how to best send the message. Trusted intermediaries that represent the local government may be one way to effectively communicate with many municipalities at once. Or, the State CD Agency may need to place personnel at the regional level so that face-to-face communication may be used.

There is one method of communication that everyone will agree may be time well spent or a dismal failure. That method is a meeting. There is nothing more frustrating in the time of a disaster, when schedules are full, than to have to spend time in an ineffective meeting. Meetings must be efficient, informative and timely. Each meeting must have a stated purpose, a written agenda, and must include the correct participants. Most importantly, meetings must begin promptly and conclude within the designated time schedule.

It is the State's responsibility to set up the formal means of communication within the State. This communication goes beyond the communication plan enacted by the emergency responders. This is a formal means of communication between the development agencies involved in disaster recovery; the local governments; and, the Governor's office and the Federal government. The State CD Agency may create new means of communication (regular meetings, memos, bulletins, reports) with their partner agencies in order to accomplish an efficient recovery. All states with disaster recovery experience rate having an effective communication strategy and effective implementation of it, as among the highest priority items leading to successful disaster recovery.

COMPROMISE

Successful recovery efforts include the art of compromise. Any action by one agency that slows the recovery effort runs the risk of stopping it altogether. Staff has to keep the goals and outcomes in focus; be empowered to make decisions; be willing to play the role of troubleshooter and facilitator; and keep the efforts moving forward. There is normally no one person or authority to assume this role. It is up to all of the participants in the recovery effort.

INFORMATION SHARING

Unfortunately, much of the relevant information collected regarding disaster survivors, is held closely by the collecting agency. While privacy laws and regulations are enforced in disasters, these sometimes limit a State CD Agency's ability to create programming to match the completed assessments. This is particularly true in the housing sector. Often, development agencies are left to create a response based on limited information regarding the sector in need (single family, multi-family, affordable, market rate, etc.). Specific sector information sharing opportunities may include the following:

- **Public Infrastructure/Public Facilities:**
 - There is a fairly standard opportunity for sharing information about public facilities and public infrastructure. For disasters not declared by the federal government, the local government, regional planning commissions, economic development organizations, municipal leagues or other existing venue may serve to gather relevant information regarding the extent of damage.
 - For declared disasters with FEMA Public Assistance funding in place, one important resource is FEMA Project Worksheets (PW). These PWs may be requested by the development agencies. *Refer to the **Reference Library** for a sample FEMA Project Worksheet (PW).*
- **Business/Employees:**
 - A resource for understanding the affected business sector may be through a combination of local chambers of commerce and the State workforce development agencies and local career centers. In large disasters, the U.S. Department of Commerce may perform and economic impact analysis, however that information may not be as detailed as necessary from which to design a program for response.
- **Housing:**
 - Although aggregate numbers of damaged residences may be gained from FEMA and the Red Cross, the source that provides more detailed information about the homeowners, and their personal situations, is lacking.

GIS mapping overlays are sophisticated enough to assist recovery planning efforts now by overlaying the path of the disaster with local data. Satellite mapping, such as *Google Earth* can assist an agency with gaining a necessary perspective when depicted with other disaster maps. The aerial view adds a dimension and scale not readily recognized by touring disaster sites.

*Refer to the **Reference Library** for a recovery planning Mapping Example (e.g. Google Earth).*

INPUT AND DATA COLLECTION CENTERS

One way a State may gather its own detailed information about disaster survivors is to arrange for a collection system itself, or through the local governments. This may take the form of creating damage assessment teams, or opening up input and data collection centers. Setting up data collection centers along with other agencies is not only convenient for the agencies, but it is convenient for the survivors as well. A one-stop center works well to not only serve the information needs of the State, but may also serve the local government, private sector, and general public, as well.

Direct data collection by development agency personnel is not a typical activity with which they may be familiar. The key is to define succinctly the purpose for the data collection, creating a specific questionnaire, providing legal assurance of the protection of information gathered, and tabulating and interpreting it correctly. All of this must be arranged and completed in a timely manner so that the "programs" may be created and delivered to meet specific needs.

RECORDKEEPING

Recordkeeping is the last, but certainly not the least, component of managing resources. There is a tremendous value that accompanies recordkeeping. Setting up an automated system is necessary. Requiring, obtaining, and keeping source documentation is a must. Unfortunately, in the midst of a disaster, recordkeeping is often an activity pushed to the backburner.

Recordkeeping systems are another factor of size and scope of the disaster. For many of the activities, utilizing existing methods of recordkeeping will be satisfactory. For others, new structures and processes may need to be established.

There are private consulting agencies that will promote the sale of their record tracking software. If the State Information Technology department has capacity, it may express the opportunity to design the system. Whatever method is chosen, it is necessary to assure timeliness, accuracy, capacity, and confidence, before the data is loaded into the system. Local governments will demand efficient systems since their time and resources will be stretched. Federal agencies and the Governor's office will require accountability.

Assuring compliance, tracking funds, especially benefits provided to homeowners and businesses, will be subject to scrutiny by the press, the auditor's office and others. Poor recordkeeping systems will subject the development agency to non-compliance and embarrassment. It will stall progress and innocent disaster survivors will suffer needlessly.

State CDBG recordkeeping requirements are found in the **Code of Federal Regulations** (24CFR 570.490). The types of records important to keep include:

- Sub grantee reviews
- Evidence of eligibility
- Evidence of project is consistent with application
- Evidence of national objective
- Financial management
- Compliance areas

LET THE BUYER BEWARE

Disasters also represent opportunities for less than scrupulous businesses and "entrepreneurial" persons selling their expertise to State and Local government in a time of need. Thus, it is inherent that both State and Local government review qualifications, determine procurement processes to assure broad solicitation and competition, and hire firms only with direct, qualified and demonstrated experience to provide the required services.

Interview any bidders and request that the interview include not just the person representing the company in the bidding process, but the ones that will actually be performing the work.

TIMING

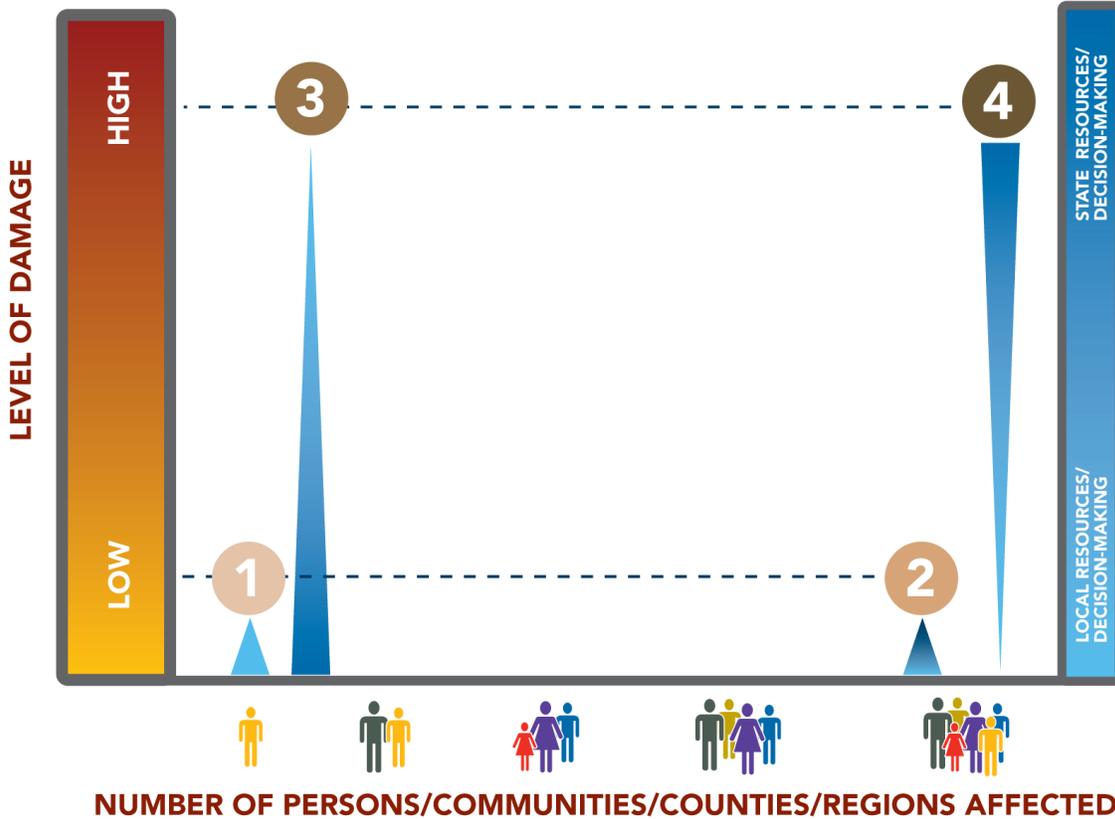
Module 2 presents an overview of the recovery continuum and **Module 4** covers the recovery planning process. The continuum shows that the predominant role of the State Community Development Agency may be found in recovery (toward the end of the continuum). So it is important to resist the temptation to participate in the emergency response and early recovery phases. It is this time when emotions are high and the desire is strong to meet individual survivor needs. Taking too prominent a role at this early stage of recovery a State CD Agency may find that programs and funding are pushed and pulled in a variety of directions; particularly if the community does not have a vision or goals and objectives. This could lead to funds being quickly depleted on activities that may not create sustainable community recovery. Instead, the State CD Agencies should attend early planning meetings related to disaster response and tour communities to garner information and progress. The information gathering in the early days after the disaster event will help create their programs and program delivery systems.

This time, during early response and short term recovery may be spent meeting the partner agencies, learning the resources being made available to communities, tracking progress, determining gaps, collecting data, watching for trends, recognizing opportunities (especially actions they can take to add value) and assessing the timeline for when the stages of the continuum will move to the phase of recovery.

The State CD Agency can use the information gained by participating in early recovery meetings to build and leverage relationships, develop programs and maximize their efficiency so that, when the community focus shifts to long-term recovery, the Agency is ready.



**SIZE AND SCOPE OF DISASTER IMPACTS
INDEPENDENTLY AND TOGETHER HAVE A RELATIONSHIP WITH
STATE AND LOCAL PARTICIPATION IN RECOVERY**



▲ Local Decision-Making ▼ State Decision-Making

- 1 Low damage and low numbers of people affected have minimal roles for the state in recovery. Low damage and low persons generally means bottom up decision making and local resources.
- 2 Low damage but high numbers of people/communities, etc. affected may have more of a role for the state in recovery. Low damage but high numbers of people is likely bottom up but adds state resources.
- 3 High damage and low numbers of people affected has a minimal role for the state in recovery.
- 4 High damage and high numbers will have more of a role for the state in recovery. High damage with high numbers of persons is more likely top down with state resources.

STATE GOVERNOR EXECUTIVE ORDERS – REQUEST FOR FEDERAL DECLARATION

When a disaster occurs, the Governor enacts the resources of the State to respond. State law typically affords the Governor authority, through Executive Order, to extend and expend the resources of the State in the manner necessary to respond. When the disaster exceeds the resources of the State, the Governor may appeal to the federal government for assistance. A federal disaster declaration has the effect of implementing federal manpower and resources to respond. The level and degree of the response by the federal government is primarily based upon the size and scope of the disaster, the extent of damage and the estimated cost of that damage. Disasters may be declared for FEMA assistance by county within the State.

When a federal declaration is made on a disaster, the funding is applied to the State and local eligible entities on a cost-share basis. The cost-share may change and State's often appeal for a smaller cost burden for the State and Local governments.

FEDERAL LEGISLATIVE DELEGATION

The State's Congressional delegation may be engaged to propose supplemental appropriations bills to obtain additional federal funding. The State's Congressional Delegation will lead any efforts to introduce bills in the respective Chambers related to long-term recovery for their State. It is important to engage with the Congressional staff, using the appropriate communication system in the State, to lend assistance in drafting the legislation, suggesting waivers, and requesting amounts backed by data for applicable programs. No two supplemental appropriation bills for disaster recovery are the same. Both the Governor's office and the Congressional delegation can play a huge role in the direction, purpose, use and flexibility of the appropriation. And, they can design it to directly meet the circumstances in their State. It is important, to maintain communication with the communities to gain an understanding of the needs so that the relevant information may be reflected in the bill.

STATE LEGISLATIVE ACTIONS

Local members of the State legislative body may also be engaged in disaster response and recovery. The legislators may pass legislation, pre-disaster, that establishes the processes for engagement of State resources in the event of a disaster. Knowledge of how any required State legislative action may fit into the recovery process, particularly in the distribution of funds, will allow for adequate planning and timing. As an example, if the receipt of additional federal funds requires State legislative appropriations actions for spending authority, the process necessary to achieve that spending authority will need to be incorporated in to the distribution of funds timeline. By the way, it is possible that some State legislators were directly impacted by the disaster. It would be very important to know this before going to the field or to a committee meeting. Many states immediately inventory State employees who have been affected by any disaster so that they may specifically address their employee needs as a part of the response and recovery. And finally, the State CD Agency must realize that many of the members of the Local government may have sustained personal losses as a result of the disaster. There is a tremendous amount of pressure on local decision-makers.

Pre-disaster legislation may include:

- Set-asides and use of any "rainy day funds" or emergency funds in certain defined events
- Enabling legislation that allows the Governor expanded executive powers or public safety officials the flexibility needed to adequately address a disaster recovery
- Emergency procurement processes to engage assistance within the purchasing requirements established by State law
- Legislation that allows State statutory development programs expanded authority or eligibility and rule flexibility to be used in long term disaster recovery projects

Post-disaster legislation may include:

- Appropriation authority, if necessary, to expend Federal funding
- Appropriation authority to expend additional State funds outside the existing budget
- Legislation defining the priority use of any recovery dollars

The degree to which the State and federal government can react with appropriate legislation will directly affect the timing of the recovery.

Refer to the **Reference Library** for examples of State Legislation.

MODELS FOR DISASTER POLICY MAKING

Governor's who hold office while a large disaster strikes have created a number of leadership models for dealing with the scope of the disaster. The models include a range of engaging assistance from using existing State employees, Cabinet members and agency heads to enlisting the assistance of personnel outside the State system. Leadership models include:

- Public Task Force – this model uses State, local and federal agency members in a manner that will most accurately represent the experience and expertise needed to address the event.
- Private Recovery Authority – this model uses members of all facets of the private sector that may lend their expertise to the efforts.
- Public/Private Task Force – this model uses a mix of the public and private models as described above.

TASKS FOR POLICY MAKERS

The task force or membership may be tasked with a number of recovery process components. They may be asked to do everything from setting priorities, to making funding decisions. They may be involved in setting policy, or to developing State programs for delivery to disaster survivors. Their role may be at a conceptual level or at a very detailed level. In either case, you must understand what this role is and be prepared to take on a role as it relates to the task force.

Mission and Purpose – when any task force is implemented for use in disaster recovery it is important that the mission and purpose be clearly defined. Any areas where confusion may occur will create gaps in the recovery and cause delays. Here is another excellent opportunity for the State CD Agency to assist by facilitating (or bringing in someone to facilitate) the development of their mission and purpose. Make it happen quickly. If a third party or contractor is needed, make sure that the structure is in place to do this prior to a disaster occurring.

In addition to a clear mission and purpose, the task force has to have their authority defined specifically. If not, there will be tension and territory issues between those entities currently holding that authority and the task force, which will also cause inefficiencies and delays in the recovery. If the task force is given the authority for making funding decisions, they must also be provided with an understanding of any rules that accompany fund sources. A process of recommendation from the professional staff to the task force for any funding decision may be the most efficient method to adopt. Once again, taking a role in facilitating communication, coordination and cooperation between competing interests will go a very long way toward keeping the focus on the disaster affected community and long-term recovery.

Key participants from the State focusing on long-term recovery include:

- A representative from the Governor's office
- Representatives from State Agencies / Departments:
 - Agriculture
 - Commerce
 - Economic Development
 - Energy
 - Historic Preservation
 - Housing
 - Natural Resources / Environmental Protection
 - Transportation
 - Other development agencies

Balance the policy with any existing rules attached to the funding. And balance both rules and funding with the implementation.

Build a Recovery Team that includes at least:

- A liaison with the Governor's office, and the Legislature
- A press person or communications person who knows the details and can control the message
- Finance professionals who can track the funds and create reliable accounting systems
- Development finance professionals who understand how to fund projects with multiple sources
- Field staff who are knowledgeable, patient, and who will problem solve and trouble shoot
- Audit and monitoring staff who are seen and heard

D. KEY ISSUES AND CONCEPTS

DECISION MAKING AUTHORITY

The hierarchy in existence before and after a disaster plays a huge role in defining an efficient response. If existing decision making authority remains, individuals will understand their responsibilities, reporting, and chain of command. If any changes are made to the hierarchy after the disaster (Governor's task force; appointees) clarity must be established so that individuals understand not only what information needs to run up the chain of command, but in what form; what amount of detail; and how often, in order that actions and activities are not delayed. Clarity is not only essential at the State level, but it is equally important to have the local partners understand the authority regarding decision making and the expectations of the same, as well. A hierarchy is necessary to maintain perspective and to assure results are consistent with the goals.

ESTABLISHING THE PROCESS FOR MAKING A DECISION

Timing and timeliness are cornerstones for any disaster recovery. Often, whole series of local decisions are dependent upon each decision made at the State level. Delayed decision making not only stalls the progress, but it makes it continually harder to regain the momentum needed to generate the recovery. A process for decision-making is a task done either in the preparedness stage or very early in the response phase. Establishing a process while the community and survivors are moving into the recovery phase will be detrimental and will impede progress.

Understanding the hierarchy and the process established for making a decision is critical. A State CD Agency should be able to answer the following questions:

- How far removed is the State CD Agency from the point of authority?
- Can the State CD Agency make critical decisions?
- How many levels must a State CD Agency go through to obtain a decision?
- Is the state CD Agency in a position to get things done?

The State CD Agency must clearly understand how and where they fit into the overall process. That knowledge and understanding allows for the planning necessary to provide an effective role. Knowing and understanding personal authority and the authority provided to others in the chain of command will allow for decisions that are:

- Timely
- Consistent
- Relevant

The lack of a hierarchy and process for decision-making will result in poor decisions. Poor decisions not only impede progress but they often result in conflicting issues at the local level that frustrate recovery. Decisions that result in competing actions create problems that require more decisions. A clear hierarchy and defined process for decision making will provide the best chance for consistency. Consistent decisions keep the recovery effort focused on the goals, provide a foundation for security and stability, and avoid problems. Relevant decisions are ones that are aimed directly and specifically at addressing an issue and for which little gray area, or room for confusion exists.

Remember, a decision by a State CD Agency affects decisions made in the chain of command below your organization. State decision-making affects local decision-making. Be concise, be timely, be consistent, and be relevant.

ORGANIZATIONAL MANAGEMENT

Organization management in disaster recovery requires a cooperative effort among typical and non-typical partners. Existing Memorandums of Agreement (MOA) among agencies may be in place, or there may be existing points of contact and an operations system established. If this is the first disaster, however, or the first disaster where the State CD Agency is expected to play a role, the organizational structure may be foreign, or nonexistent.

State CD Agencies bring with them a series of networks to local government, local planning commissions, local economic and community development organizations, local non-profits and networks among many other State development agencies. How the State CD Agency can bring this network into the recovery system and mimic the existing structure is important to the success. How the "development network" that

will ultimately lead the disaster recovery relates to the emergency response network is a function of the overall organization effort.

Memorandums of Understanding (MOU) and Agreements (MOA), letters, or contracts may all serve to put in place a necessary piece of the organizational structure that does not exist currently. In addition, educational forums, seminars, and training opportunities established specifically for the non-typical partners will allow understanding and appreciation for roles and responsibilities. The State CD Agency may consider teaching other agencies about the Community Development Block Grant Program, who the contacts are, who may provide answers, how the funds are to be delivered, what the priorities are and any other relevant information in order to encourage the flow of correct information and avoid misunderstandings and misperceptions.

Refer to the **Reference Library** for examples of Memorandums of Understanding

PARTNERSHIPS

The State CD Agency will find the disaster makes them an instant partner with the federal government; specifically the U.S. Department of Housing and Urban Development, and including, but not limited to: the Federal Emergency Management Agency, the Environmental Protection Agency, the U.S. Army Corps of Engineers, the Natural Resource Conservation Service, the National Trust for Historic Preservation, U.S. Fish and Wildlife, and more. When working with any Federal agency understand their chain of command, understand the laws, regulations and executive orders that they work under, and understand and learn who is able to provide, and will provide, valuable technical assistance to you throughout the recovery period.

The State CD Agency will also partner with the Local governments in both municipalities and counties/parishes. If the State CD Agency creates a program delivery system that is direct to the disaster survivor, then they will find themselves in partnership with the homeowners, business owners and any other party affected by the disaster. Usually, the existing system established for communication, paperwork flow, education and technical assistance and fund flow may be applied to a disaster recovery effectively. Depending upon the size and scale, however, new modes of operation may need to be established.

Partnering with the private sector is a necessity. Investment by the private sector is the true evidence of recovery. If the hazards have been eliminated and the barriers to redevelopment minimized, and if a demand and a desire exists, then the private sector will likely respond. Individuals rebuilding their homes and businesses re-opening are all signs of the private sector investing. When that happens, there is a viable local economic impact. Private dollars are unlike the expenditure of public dollars. Private dollars add to the tax base, they create stability and they signal a long-term future. The State CD Agency may wish to design the use of the public recovery dollars in a manner that stimulates private investment. That way, the public dollars will assure the best recovery effort.

There are ways to use public dollars to stimulate private investment. These may include designing a program that includes: cost share or match requirements; using public funds to eliminate barriers such as permitting or paying hard costs such as land acquisition or debris removal. Additionally, the program may use public funds to pay for soft costs such as design. Using public funds to pay for public improvements and adding an "incentive" to the private sector will also encourage private investment. The "incentive" may be easy access to capital, reduced interest rates, grants, land swaps, or any other value based item.

The State CD Agency will find national non-profits at work after a disaster. Non-profits such as Red Cross and the Salvation Army among many others typically work in disaster response, but extend their services into disaster recovery. The coordination with these agencies is imperative so that there is no duplication of services and so that the services provided are cohesive, related, and helpful to attaining the goals. The non-profits serve a valuable role in disaster recovery, but they must work in tandem with the community and the State. There is nothing worse than working in opposition to a non-profit after a disaster. Note that when working with non-profits as partners, any volunteer work that they are performing in the community must be consistent with local codes and ordinances.

LEADERSHIP

A proven element in the success of any disaster recovery effort is leadership. Clear and concise direction in a time when peoples focus is elsewhere and when emotions are in full swing, is a necessity. Some recovery efforts are given clear direction and priorities from the top. The Governor may set the priority

areas of focus and establish clear goals, which allow each agency to adapt and organize in a way to participate effectively. Leadership, however, happens at all levels. When applied effectively, it can move a community through a recovery process in a smoother and faster timeframe.

Often, the analysis of the difference between a successful disaster recovery and an unsuccessful one may be reduced to whether or not there was leadership present. There are many types of leadership, and there is no one type that has proven more effective than the other, but what has been proven is that when leadership is absent, so is the recovery. Leadership takes place in many levels, both State and local and at many levels within those two. It takes leadership at every level to affect a disaster recovery.

Effective leaders show their leadership. They understand and appreciate their role and they apply it in every setting. Among other attributes, successful and effective leaders:

- **Participate and Listen.** Leaders perform site visits. Regardless of the time it takes, one of the most important attributes of a successful leader is their willingness to tour the disaster site and listen to the people affected.
- **Follow-up.** Leaders make sure that what they say they will get done. They follow up regardless of whether it is an item that impacts one person or many. If a request is made, leaders assure a response. Leaders understand that the answer may not always be “yes”, but that the power of their leadership lies in their effort and their reply.
- **Create processes to assure timely decision-making.** They create feedback loops and communications systems so that issues come to them from reliable sources. They put reliable people close to the activities. They assess the situation and they respond. Leaders do not wait for the problem to go away. Effective leaders understand consistency and fairness may sometimes be more important than being right. Wrong decisions made on good information still occur and may be corrected later. Not making decisions impedes progress and grinds the recovery to a halt.
- **Understand the appropriate use of their authority.** Leadership is a balance of power, not an abuse of power.
- **Recognize the importance of keeping momentum.** The energy of a recovery takes on a life of its own. It will perpetuate and grow when fed with good information, decisions and actions. Stopping that momentum may be worse than the disaster. The energy that it takes to start the momentum again will be exponentially larger each time.

If a State plans to use CDBG funding to assist in the disaster recovery, detail will be required as a part of the Action Plan document!

Knowledge of this during the planning phase will ease the creation of the Action Plan document.

Refer to the **Reference Library** for Leadership examples and best practices.

SETTING PRIORITIES

In an earlier section of this Module, under “Role of the State” the concept of planning and goal setting and prioritization was introduced. Here, the subject is further broken down by how the program delivery may mimic the specific goals and whether those goals are the result of goals and priorities set by the Governor or goals and priorities set by local government and/or disaster survivors. The size and scope of a disaster may affect:

- Who sets the goals and priorities
- How limited funds are distributed (direct to the survivor, or to the local government)
- What specific activities are funded
- What levels and amounts of recovery dollars are made available
- What sectors (housing, commercial/business, infrastructure and environment) are assisted
- What activities within each of those sectors are prioritized for funds
- What “categories” of persons may receive assistance (income requirements, insured versus uninsured)
- What level of damage may constitute assistance
- Whether access to different categories of funds is a decision made on individual cases or on whole regions of the State
- How quickly the funding is needed at the local level to effectively address the desired result
- How timely the activity can be completed
- How closely an activity can be both tied to a need and a desired result

The delivery of recovery program funds:

- May cover only one category and one activity, or many
- May focus on only one sector, or all sectors
- May be simple activities by design, or complex by design
- May be specifically designed or open to applicants and applicant ideas
- May require consulting contracts or specialized services
- May require a new application and guidelines
- May use the existing network and processes established in the non-disaster program
- May be managed by existing staff or all new staff or a combination of both
- May use the specialists (such as Environmental Review and Labor Standards) from the existing staff and use new staff for the field
- May be "stepped" or phased as necessary to meet a need and accomplish a desired result
- May require buy-in or acceptance at the local level to ensure ownership of the activity

Matching program delivery with the priorities and goals is creating a cause and effect relationship. If the program offers financial assistance to a project, will that project move the person or the community closer to the ultimate defined goal? The link has to be direct in order to establish the cause and effect. Indirect links may be used but understood to be a gamble. Sometimes determining the actions of people under certain circumstances, given the right opportunities, is an easy bet. Other times not. There are influences in disaster recovery, just as there are under normal community development and redevelopment, which are beyond the control of the State CD Agency or the Local government. Personal choice and the freedom of personal decision making can result in unexpected outcomes. Program design and program delivery are important, and when created with experience and foresight can accomplish the desired results.

NEED

Disaster recovery is not only dependent upon individual recovery but it is dependent upon successful community recovery. Program design should address that notion, as well. It is at this point where recovery activities in the program delivery, may be broken down even further, to short term, immediate recovery activities, and long-term recovery activities.

The State CD Agency may conclude that the correct strategy to accomplishing the overall plan may be to design the program in a phased process. Housing is a good example of this issue. Often the disaster results in a need for permanent single family and multi-family housing. FEMA housing assistance may provide the needed relief for a period of time if adequate replacement housing or temporary housing is available, however, there is typically a longer time period required to restore permanent housing in large scale disasters. The interim period needed to stabilize persons and families while permanent housing is completed creates an immediate or short-term recovery strategy. There is no single larger issue of disconnect in disaster recovery than in the housing sector. It is here, where personal choice will cause failure in long term desired results. The need for housing outweighs almost anything. If a disaster survivor cannot see a resolution or a solution to that need, they will move. Planning for the viability of a community, maintaining its population, and sustaining its future, lies in the strategies derived for permanent housing.

Just as in every development circumstance, there are real needs and there are perceived needs. Real needs are derived through good data inputs. Perceived needs are sometimes the result of poor information or false conclusions, but they are not always negative. The Introduction section of this Module, discussed the shift in the response phase of a disaster, to the recovery phase. Often, that shift can be accomplished in part, by finding a solution to a perceived need. There is no opportunity gained by chasing bad ideas or using precious resources on problems that don't exist, but if a perceived need represents a barrier or if it represents an opportunity, then it may be worth the effort to address it. Correcting the perception is one solution but so may be addressing the perceived need. It may be an easy way to facilitate moving the recovery forward.

FLOW OF FUNDING (EXAMPLES)

The typical funding used in the "response phase" of a disaster is FEMA, State emergency responders, National Guard, local funds, volunteer and non-profit organizations, and social service providers. FEMA funds used in response include FEMA Public Assistance and Individual Assistance programs. The funds used in response are typically those necessary to address the emergency and stabilize the community. These funds are designed to be specific and temporary in nature.

The typical funding used in the “recovery phase” of a disaster includes:

- FEMA Public Assistance
- FEMA Hazard Mitigation
- USDA Rural Development
- Natural Resource Conservation Service
- U.S. Army Corps of Engineers
- EPA or State Energy Assistance funding
- State discretionary general revenue funding
- Other public and private funding

Probably the largest pool of recovery funding comes from the Community Development Block Grant and the HOME Investment Partnership, both part of the U.S. Department of Housing and Urban Development’s Consolidated Plan programs. CDBG Disaster Recovery funding is typically structured as an offshoot of a regular development program. These funds are typically more flexible than response funds, and have a broader list of eligible uses. They are typically designed from permanent fund sources.

The CDBG and HOME program statutes allow for the use of existing State and local “formula based, annual appropriations” to be “re-designed” and used for recovery. In some cases Congress will authorize and fund a Supplemental Appropriation administered through HUD, specifically tailored to meet disaster needs and accomplish disaster plans and desired recovery. The supplemental CDBG funds may come proscribed with their statutory and regulatory rules or may address waivers within the Appropriations bill. The Secretary of HUD may also grant waivers, upon request from the State or HUD entitlement community to address disaster needs.

The flow of recovery funding typically mimics that of the non-disaster programming. This is the case with most all of the funds used in disaster recovery. The agency assigned to administer the State or local “regular” CDBG program is also the one likely to administer any disaster funding or any “supplemental” funds. As mentioned in the Role of the State section, earlier, the decision-making authority may change in the event of a disaster, but administration and fund flow is likely to be housed with the State CD Agency.

It is important to note that States differ tremendously in their organizational structures. State departments differ, and the programs housed within those departments differ. In the case of HUD’s Consolidated Plan programs (CDBG, HOME Investment Partnership Funds, Housing Opportunities for Persons with AIDS funds, and Emergency Shelter Grant funds) they may be housed in separate agencies throughout State government. This obviously not only complicates the flow of funds, but it also complicates coordination among the agencies in any disaster recovery.

Depending upon the size and scale of the disaster and the amount of funds, the administering agency may desire to establish a different fund delivery system than the one they currently employ. This may mean creating a new application and guidelines; contracting with another agency to perform some or all of the tasks associated with program delivery; or changing the grant management system to directly fund disaster survivors rather than implement the program through local government. It is a function of need and desired outcomes that should dictate the both the program design and the program delivery system.

COMPARISON OF TWO STATES

Any two states may differ in agency structure and placement of programs. Collaboration occurs more naturally among programs housed in the same agency. For example, neighboring States, Missouri and Iowa are each organized differently:

	HOME FUNDS	CDBG FUNDS
Iowa	Department of Economic Development	Department of Economic Development
Missouri	Housing Development Commission	Department of Economic Development

DUPLICATION OF BENEFITS

It is up to the administrators of disaster recovery funds, to establish a system to avoid the duplication of benefits (double funding from two or more government agencies of the same costs, or duplication of payments for losses paid by private insurance). Section 312 (a) of the *Stafford Act* (as amended), states that no entity will receive assistance for any loss for which financial assistance has already been received from any other program, from insurance, or from any other source. The use of Federal and/or State funds granted for the same purpose clearly constitutes a duplication of benefits. Grant or cash donations provided by a third party also **may** constitute a duplication of benefits.

Refer to the **Reference Library** for FEMA Disaster Assistance Policy 9525.3 describes the Duplication of Benefits policy associated with Non-Government Funds. The policy may also be found at: http://www.fema.gov/government/grant/pa/9525_3.shtm.

TRACKING THE DOLLARS

Regardless of whether the State uses CDBG funds from its existing pool to assist with disaster recovery or they receive millions of dollars in a Supplemental appropriation, the tracking of those dollars is not just a federal government concern. It is rightfully a State concern. And the State should enforce it as a local concern, as well. The use of a tracking system not only tells how much money has been obligated and expended, but also to whom, and for what purpose. The system should integrate financial information, project progress, and project results into one. If the State designs its recovery around goals with specific priorities and those goals and priorities are met through strategic investments in certain activities, then the expenditure should be able to track the result.

When large sums of money are obligated to a particular activity, results are expected. Reporting must be accurate and timely. Data must be entered into the system daily. The database may be something that the State management information may provide or it may be software purchased from a private company. If the latter is used, call for references. Call other State's that have used the software and determine directly, their experience.

MONITORING AND COMPLIANCE

Disaster recovery funding is scrutinized by Federal funding agencies in a much closer manner than any regular formula appropriation. Establishing a timely monitoring process where corrective action may be taken is an important feature built into any recovery program. Compliance activities, expectations, and actions should be clearly represented to each grantee. The program delivery system should be constructed in a manner to eliminate opportunities for fraud.

Fraud prevention and enforcement is necessary especially in today's world of identity theft. The proof of person, proof of ownership, and proof of survivor status are difficult after a disaster but are still a necessary part of the due diligence required by those administering federal funding. The monitoring of projects should be made on a regular basis using an established system, which is provided in writing to each grantee. Record review, site visits, and regular communication will aid with success. Mistake proof the program system. Create written guidance for staff and for local government or beneficiaries:

- Monitoring checklists are a good tool for field staff to use
- File maintenance procedures, including files by subject title, document content lists, and organization

Finally, it may be necessary to publicize any prosecution and enforcement of compliance as a manner to mitigate any potential abuse of program dollars.

Refer to the **Reference Library** for a sample File Maintenance Checklist.

REMOVING THE BARRIERS TO RECOVERY

The State CD Agency has a multi-dimensional set of actions it must undertake in order to respond effectively to a disaster and be an integral part of the recovery. As previously discussed, the State CD Agency may be involved in:

- Goal setting and policy making
- Opportunity identification
- Role identification

- Securing funding
- Managing and organizing resources
- Coordinating and participating in recovery efforts
- Creating communication systems
- Information sharing and information gathering
- Establishing a recordkeeping process
- Designing a program
- Delivering a program
- Tracking funds
- Reporting results
- Problem solving and trouble shooting along the way

With the tremendous workload, the State CD Agency must look for ways to eliminate barriers to the recovery process. This extends from barriers that may exist to accomplishing the first bullet listed above, to the barriers that may exist to accomplishing the last.

One way to accomplish the elimination of a barrier to CDBG program design and program delivery may be through the process of requesting waivers. There are certain regulatory waivers that the Secretary of HUD may offer, as well as waivers that may be accomplished through the language of the appropriations bill that provides the supplemental funding. The next section will address CDBG policy, regulations and statutes.

Before proceeding, review the tasks that the State CD Agency may be faced with above and determine how to eliminate unnecessary steps, or streamline the actions necessary to accomplish the task. Where can you go to the State to make each of those steps as simple, yet strategic and effective, as possible?

E. UNDERSTANDING POLICY, REGULATIONS AND STATUTES

THE PROCESS OF MAKING FEDERAL LAW

Understanding the process of how Supplemental Appropriations for disaster recovery are made, and the implications of those funds, will assist the State Community Development Agency to understand how they may access those funds, what the funds may be used for and what the funds may not be used for, and other relevant information needed in the development and implementation of a recovery program.

KEY TERMS TO UNDERSTAND:

- **Authorization** - A statutory provision that obligates funding for a program or agency. An authorization may be effective for one year, a fixed number of years, or an indefinite period. An authorization may be for a definite amount of money or for "such sums as may be necessary." The formal federal spending process consists of two sequential steps: authorization and then appropriation.
- **Appropriation** - The provision of funds, through an annual appropriations act or a permanent law, for federal agencies to make payments out of the Treasury for specified purposes. The formal federal spending process consists of two sequential steps: authorization and then appropriation.

Every disaster is different. No two Supplemental Appropriations for Disaster Recovery funds are the same. Therefore, no standard disaster recovery program may be written. It is up to the State to develop a program from the unique Public Law passed as a result of the disaster.

SUPPLEMENTAL APPROPRIATIONS

Supplemental appropriations are budget authority provided in an appropriations act in addition to regular or continuing appropriations already provided. Supplemental appropriations generally are made to cover emergencies, such as disaster relief, or other needs deemed too urgent to be postponed until the enactment of next year's regular appropriations act."

Typically, the appropriations act will provide guidance regarding the terms and conditions for how the funds operate and the conditions for their intended use.

The history of supplemental appropriations of CDBG funds for disaster recovery may be found in a report from the **Congressional Research Service** (CRS) for Congress: **Community Development Block Grant Funds in Disaster Relief and Recovery April 25, 2006.**

This report may be found in the **Reference Library** in this Toolkit and at the following web link: http://cipp.gmu.edu/archive/DisasterRecovery_CDBG.pdf

Once the Public Law is passed regarding a Supplemental Appropriation, the applicable federal agency (the U.S. Department of Housing and Urban Development in the case of appropriated Community Development Block Grant dollars) publishes a notice in the **Federal Register**. The **Federal Register** is the daily supplement to the *Code of Federal Regulations*. It serves as the centralized publication to provide official notification to the public about Federal documents or proposals having general applicability. These may include Presidential proclamations and Executive Orders, and Federal agency rules, regulations, and notices.

The *Federal Register* adds process, procedure and requirements to the Public Law. It serves as guidance to the State to which the supplemental appropriation is applicable. The Register will cite waivers found in the law and offer processes for waivers that may be requested by the State to the HUD Secretary. The Federal Register will also provide guidance to the State on how to access the supplemental funds.

TYPICAL DEVELOPMENT AGENCIES AND PROGRAMS IN DISASTER RECOVERY

Overview of CDBG

The Community Development Block Grant (CDBG) program is a flexible program that provides communities with resources to address a wide range of unique community development needs. Beginning in 1974, the CDBG program provides annual grants on a formula basis to 1180 general units of local government and States.

HUD provides funding to States and Entitlement communities. Entitlement communities are principal cities of Metropolitan Statistical Areas (MSAs); other metropolitan cities with populations of at least 50,000; and qualified urban counties with populations of at least 200,000 (excluding the population of entitled cities). These communities are entitled to receive annual grants.

The State programs administer assistance to the "non-entitlement" areas of the State. State CDBG programs are typically found in the Department of Economic Development, Community Development, Commerce, Housing or Rural Affairs within State government.

Regular annual allocations of the CDBG funds are made to both States and entitlements based upon a formula, which is applied to the annual CDBG appropriation. The funds are provided to the entities based upon the successful completion, submission and approval of an annual CDBG Action Plan, which is tied to a 3 or 5 year Consolidated Plan. The Consolidated Plan represents the needs in the State and provides the overall objectives in the areas of economic and community development, and housing. The annual action plan provides more specifics on strategies to address the needs including program delivery and program design details. An Action Plan is always required for the use of CDBG funds. In a disaster, if there is a separate disaster supplemental appropriation, there must be a separate Action Plan. If the State uses its regular appropriation of CDBG for disaster recovery, the State must amend their existing Action Plan.

Refer to the **Reference Library** for the Department of Housing and Urban Development (HUD) "[Guide to National Objectives and Eligible Activities](#)"

CDBG Law and Regulation

Congress makes laws (authorizations and appropriations) and regulations are promulgated by federal agencies. In the case of CDBG the law is the Housing and Community Development Act (HCDA) and the agency (HUD) has promulgated regulations for the State program that may be found at 24 Code of Federal Regulations Part 570.480.

The CDBG program has 3 national objectives. Eligible activities must meet at least one of the following objectives:

1. Benefit persons of low and moderate income,
2. Aid in the prevention or elimination of slums or blight, or

3. Meet other urgent community development needs because existing conditions pose a serious and immediate threat to the health and welfare of the community where other financial resources are not available.

Generally, a declared disaster area will meet the third national objective related to urgent need. However, the CDBG program statutes also require that 70% of the funds be used to benefit persons of low and moderate income (defined as below 80% of area median income). Unless this requirement is waived, the State may have to address the disaster within the confines of these requirements.

Typical uses of CDBG funds in disaster recovery include:

- Buying damaged properties in a flood plain and relocating residents to safer areas
- Relocation payments for people and businesses displaced by the disaster
- Debris removal not covered by FEMA
- Rehabilitation of homes and buildings damaged by the disaster
- Buying, constructing, or rehabilitating public facilities such as streets, neighborhood centers, and water, sewer and drainage systems
- Code enforcement
- Homeownership activities such as down payment assistance, interest rate subsidies and loan guarantees for disaster victims
- Public services (generally limited to no more than 15 percent of the grant)
- Business retention or job creation in disaster impacted areas
- Planning and administration costs (limited to no more than 20 percent of the grant)

Refer to the **Reference Library** for HUD guidance on the use of CDBG funds for disaster recovery. Information is also found on their website at:

<http://www.hud.gov/offices/cpd/communitydevelopment/programs/drsi/>

STREAMLINING PROGRAMS

In order to effectively serve communities and individuals following a disaster, the multiple programs involved in the recovery must find ways to operate together and minimize the duplicative or conflicting work that they require of the local governments, households or businesses. Many times, disaster survivors will supply the same information many times over to agencies simply because privacy laws do not allow the sharing of that detail. There exist however, within the programs and agencies currently at work in disaster recovery, plenty of opportunities to find solutions where there are no legal barriers (such as privacy laws).

Remember, if the State and Federal funding agencies do not know how two programs work together to fund one project, then the localities are never going to know. No one else is going to find the solutions. State Community Development Agency officials may find the best solution is to learn the FEMA and other federal agency programs in order to understand how CDBG will work and where it will not work.

If multiple funding agencies are providing resources to the same "project", those agencies must search to provide ways to share information. Some examples include:

- Sharing the environmental review record (agencies may have separate publication requirements but the content of the record: the assessments, the findings, and any related documentation may be shared);
- Sharing of procurement processes such as bidding;
- Sharing contract content (the stricter may apply);
- Integrating State law into the federal process where applicable;
- Providing written guidance to localities of how the programs work together:
 - Frequently asked Q and A sheets;
 - Provide lists of contact names and phone numbers to locals.
 - Offer joint training seminars for locals
- Requiring separate financial reporting systems but in similar formatting to allow "total project financial analysis";
- Providing separate reporting systems but in similar formatting to allow "total project results".

If multiple agencies provide the same service, then those agency contacts should form a partnership and create joint decision-making and information flow.

Recovery agencies that provide funding may create seminars and trainings specifically designed to teach the other agencies with which they are sharing responsibilities.

Agencies sharing responsibilities may also perform their operations under programmatic agreements, which serve to streamline processes. A great example of this may occur with the State Historic Preservation Office where activities are declared exempt from review and where streamlined processes for review by the SHPO may be established under the agreement. Programmatic agreements also serve to divide duties when possible, so that one agency becomes the lead for addressing any particular issue. A programmatic agreement may work between the HOME and CDBG programs if they are administered separately, to define which agency addresses which housing need.

STAFFORD ACT

The Robert T. Stafford Disaster Relief and Emergency Assistance Act, (PL 100-707, signed into law November 23, 1988; amended the Disaster Relief Act of 1974, PL 93-288) constitutes the statutory authority for most Federal disaster response activities especially as they pertain to FEMA and FEMA programs. The Stafford Act is the guiding principle behind all federal disaster response and FEMA programming.

For additional information and specific Congressional Findings and Declarations about the Stafford Act, refer to the **Reference Library**.

Robert T. Stafford Disaster Relief & Emergency Assistance Act

"Sec. 101. Congressional Findings and Declarations (42 U.S.C. 5121)

- a The Congress hereby finds and declares that -
 - 1) because disasters often cause loss of life, human suffering, loss of income, and property loss and damage; and
 - 2) because disasters often disrupt the normal functioning of governments and communities, and adversely affect individuals and families with great severity; special measures, designed to assist the efforts of the affected States in expediting the rendering of aid, assistance, and emergency services, and the reconstruction and rehabilitation of devastated areas, are necessary.
- b It is the intent of the Congress, by this Act, to provide an orderly and continuing means of assistance by the Federal Government to State and local governments in carrying out their responsibilities to alleviate the suffering and damage which result from such disasters by -
 - 1) revising and broadening the scope of existing disaster relief programs;
 - 2) encouraging the development of comprehensive disaster preparedness and assistance plans, programs, capabilities, and organizations by the States and by local governments;
 - 3) achieving greater coordination and responsiveness of disaster preparedness and relief programs;
 - 4) encouraging individuals, States, and local governments to protect themselves by obtaining insurance coverage to supplement or replace governmental assistance;
 - 5) encouraging hazard mitigation measures to reduce losses from disasters, including development of land use and construction regulations; and
 - 6) providing Federal assistance programs for both public and private losses sustained in disasters"

FEMA PUBLIC ASSISTANCE

The objective of the Federal Emergency Management Agency's (FEMA) Public Assistance (PA) Grant Program is to provide assistance to State, Tribal and Local governments, and certain types of Private Nonprofit organizations so that communities can quickly respond to and recover from major disasters or emergencies declared by the President.

Through the PA Program, FEMA provides supplemental Federal disaster grant assistance for debris removal, emergency protective measures, and the repair, replacement, or restoration of disaster-damaged, publicly owned facilities and the facilities of certain Private Non-Profit (PNP) organizations. The PA Program also encourages protection of these damaged facilities from future events by providing assistance for hazard mitigation measures during the recovery process.

The Federal share of assistance is not less than 75% of the eligible cost for emergency measures and permanent restoration. The grantee (usually the State) determines how the non-Federal share (up to 25%) is split with the sub grantees (eligible applicants - such as cities, counties, school boards, library boards, etc.).

Please refer to the **Reference Library** and the following web link for additional details regarding FEMA's PA program: <http://www.fema.gov/government/grant/pa/index.shtm>

FEMA HAZARD MITIGATION

Mitigation includes activities designed to reduce exposure to or potential loss from disaster incidents. Mitigation measures may be implemented before, during or after a disaster and are often a result of lessons learned from prior events or training events. States and communities use hazard mitigation planning to set short and long-range mitigation goals. Mitigation is a collaborative process where hazards are identified, vulnerability is assessed and consensus is reached on how to minimize or eliminate the effects of all-hazards.

The Federal Emergency Management Agency (FEMA) offers several programs to State and local governments to manage risk and reduce impacts. These programs include:

- Hazard Mitigation Grant Program (HMGP), Section 404 (post-disaster)
- Hazard Mitigation Program - PA, Section 406 (post-disaster public facility or infrastructure projects)
- Pre-Disaster Mitigation Grant Program (PDM), Section 203 (pre-disaster)

Hazard Mitigation Grant Program (HMGP) funds are available following a Presidential disaster declaration. Eligible applicants include States, local governments, Indian Tribal governments, and some Private Non-Profit organizations. Communities may apply for HMGP assistance on behalf of affected individuals and businesses, and all funds must be used to reduce or eliminate losses from future disasters. Examples of projects include:

- Elevating flood-prone homes or businesses
- Acquiring (and either demolishing or relocating) flood-prone homes from willing owners and returning the property to open space
- Retrofitting buildings to minimize damage from high winds, flooding, earthquakes, and other hazards
- Implementing minor flood control projects to protect critical facilities
- Constructing safe rooms inside schools or other buildings in tornado-prone areas

HMGP funding is allocated using a "sliding scale" formula based on the percentage of the funds spent on Public and Individual Assistance programs for each Presidential disaster declaration. For States with a standard State Mitigation Plan, the formula provides 15 percent of the first \$2 billion of estimated aggregate amounts of disaster assistance; 10 percent for the next portion of amounts between \$2 billion and \$10 billion; and 7.5 percent for the next portion of amounts between \$10 billion and \$35.333 billion.

Grant applications are submitted to the State, which sets mitigation priorities and awards grants based on available funding and State criteria. FEMA conducts the final eligibility review to ensure that all projects are compliant with Federal regulations, including the Federal law that requires States and communities to have FEMA-approved mitigation plans in place prior to receipt of HMGP project funds. A mitigation plan must identify hazards, assess community needs, and describe a community-wide strategy for reducing risks associated with natural disasters."

Please refer to the **Reference Library** and the following web link for additional details regarding FEMA's Hazard Mitigation program: www.fema.gov/government/grant/hmcp/index

SMALL BUSINESS ADMINISTRATION

The Small Business Administration (SBA) provides low interest disaster loans to homeowners, renters, businesses of all sizes and private, non-profit organizations to repair or replace real estate, personal property, machinery & equipment, inventory and business assets that have been damaged or destroyed in a declared disaster." The SBA's website - <http://www.sba.gov/services/disasterassistance/index.html> - provides a disaster recovery plan, a tutorial on disaster recovery programming available and access to applications for assistance.

ECONOMIC DEVELOPMENT ADMINISTRATION

The agency has responded to disasters by providing economic impact analyses for areas where the business sector is particularly hard hit. In addition to the analysis, EDA is a development fund source and those dollars may be prioritized to meet economically disadvantaged areas, particularly those areas with sudden economic change. <http://www.eda.gov/>

U.S. DEPARTMENT OF AGRICULTURE

USDA has development funding in a variety of oversight, technical assistance and financial assistance in a number of areas. When a disaster strikes, the agency may have any number of applicable resources that may assist local government, homeowners, and businesses, including farmers. The agency operates in the following areas: agriculture; education and outreach; food and nutrition; natural resources and rural and community development. USDA has regional and area offices in every State. Their website lists each office and their contact information. <http://www.usda.gov/>

OTHER STATE PROGRAMS

Many states may have flexible resources that can be used for different phases of the disaster response and recovery. Community Development Agencies may inventory their State programs to determine which may have the capacity to aid in a particular sector recovery. They may also determine if the State programs can be altered or amended (waivers applied) in order that they better serve the needs of the different sectors affected by the disaster.

LOCAL NON-PROFITS

Local non-profits are an excellent resource for use in disaster recovery. Often, their mission is broad enough and their funds flexible enough to respond. They also are readily established organizations with the capacity to administer disaster funds and disaster recovery programs.

PRIVATE BUSINESS

Private business is often an untapped resource in recovery. Both businesses within the disaster area and outside the disaster area have a vested interest in the recovery. It may mean re-establishing a customer base, or profit center for them, or it may be an opportunity for a philanthropic gesture. Local banks are especially interested in community recovery and the recovery of the business and housing sectors. When approached, they will often respond. Regardless of the motive, the State and local governments should incorporate the private sector into the recovery from the decision-making, to the implementation.

TYPICAL NON-PROFITS RESPONDING TO DISASTERS

The following non-profits have a national presence and will respond to disasters. They are primarily a part of the early response, but may assist, when integrated and coordinated, with the short and long term recovery of individuals and communities.

- **Red Cross**

The mission of the American Red Cross is "...a humanitarian organization led by volunteers and guided by its Congressional Charter and the Fundamental Principles of the International Red Cross Movement, will provide relief to victims of disaster and help people prevent, prepare for, and respond to emergencies." The Red Cross assists with housing damage assessments and responds to emergency needs. www.redcross.org

- **Salvation Army**

The Salvation Army responds to emergency needs by collecting and providing the basic essentials to disaster survivors: food, clothing, household items and other tools used in the stabilization of

the community and residents. The Salvation Army has also worked with State agencies to assist in the relocation and recovery of homeowners after a disaster. www.salvationarmy.org

- **AmeriCorps**

AmeriCorps is a program of the Corporation for National and Community Service, an independent Federal agency whose mission is to improve lives, strengthen communities, and foster civic engagement through service and volunteering. The local AmeriCorps volunteer groups often assist with disaster cleanup. State AmeriCorps has also sponsored or deployed local groups to disaster areas. <http://www.nationalservice.gov/>

F. WAIVERS AND EXCLUSIONS

There are three ways by which communities and States may achieve further flexibility in the use of CDBG funds for disaster recovery. First, Congress, through public law may suspend a statutory requirement. The Housing and Community Development Act also allows the Secretary of HUD to suspend certain statutory requirements. Finally, the Secretary HUD may grant waivers of regulatory requirements at the request of the States.

Generally, HUD and Congress have not considered waivers under the following categories:

- Nondiscrimination
- Environmental review
- Labor standards
- Fair housing

Because each disaster is unique and each supplemental appropriation contains unique language; a central document or guidebook that lists all of the waiver options available under the CDBG program for disaster recovery does not exist. Beneficial information may be found by within a few publications, however.

*The full publications may be found in the **Reference Library** section of this Toolkit. Portions of those publications and documents are described in the section.*

EMERGING POLICY ISSUE IN REGARD TO WAIVERS

Recently, states have suggested that limited waivers be allowed in the environmental and labor standards requirements. This consultation should occur both with HUD and the State's Congressional delegation, as waivers placed directly in the legislative language both save time and act as direct guidance to federal oversight agencies.

WAIVER LANGUAGE

The best resource for waiver language related to disaster appropriations is found in the appropriations laws and the corresponding Federal Register Notices that relate to the Public Law. The following represents a list of the latest appropriations related to disasters and CDBG funding.

*Summaries of the appropriations law may be found in the **Reference Library** section of this Toolkit.*

HUD has issued a Notice titled "Relocation and Real Property Acquisition Requirements– Suspensions and Waivers Available for Community Planning and Development Programs To Assist with Recovery and Relief for Presidentially Declared Disaster Areas." This Notice is provided in the Reference Library of this Toolkit and may be found at the following website:

<http://www.hud.gov/offices/adm/hudclips/notices/cpd/08-02CPDN.doc>

Another resource for waivers is to review copies of letters sent by State's requesting waivers including the response from HUD. These letters of request are normally sent to the regional HUD office.

*Examples of State letters and responses may be found in the **Reference Library**.*

THE CRS REPORT FOR CONGRESS: COMMUNITY DEVELOPMENT BLOCK GRANT FUNDS IN DISASTER RELIEF AND RECOVERY APRIL 25, 2006 PROVIDES:

"In addition to providing CDBG funding assistance, Congress has included a number of other provisions in past disaster relief appropriations to facilitate relief and recovery efforts and to ensure accountability. These have included the use of waivers, funding transfers, matching funds, and reporting requirements.

Authority to Waive Program Requirements

Previous disaster relief appropriations have granted the Secretary of Housing and Urban Development significant authority to waive program requirements but have generally prohibited waivers in four areas: nondiscrimination, environmental review, labor standards, and fair housing. This is consistent with the program's authorizing legislation, which states that:

For funds designated under this title by a recipient to address the damage in an area for which the President has declared a disaster under title IV of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, the Secretary may Suspend all requirements for purposes of assistance under section 106 for that area, except for those related to public notice of funding availability, nondiscrimination, fair housing, labor standards, environmental standards, and requirements that activities benefit persons of low- and moderate-income.

Congress, on a few occasions, has waived or modified the CDBG program's income targeting provisions, which require grantees to allocate at least 70% of their funds to activities that benefit low- and moderate-income persons. For instance, in response to the Midwest floods of 1998 and the Florida hurricanes of 2004, the income-targeting requirement was lowered to 50%. In response to the 1992 Los Angeles riots, Congress increased the ceiling on the use of the CDBG funds for public service activities in Los Angeles from 15% to 25%.

In addition to waivers, affected grantees in presidentially declared disaster areas may request the suspension of certain statutory or regulatory provisions. This may include extension of the deadline for submitting annual performance reports, and changes in the time frame for measuring whether the community met the CDBG program's income-targeting requirement (that 70% of CDBG expenditures benefited low- and moderate-income persons). Grantees may also seek a suspension or removal of statutory provisions prohibiting the use of CDBG funds for new housing construction or for repair or reconstruction of buildings used for the general conduct of local government. Several past disaster relief acts included language requiring HUD to publish in the *Federal Register*, five days in advance of the effective date, any waivers or suspensions of any statute or regulation governing the use of CDBG funds for disaster relief.

Funding Transfers. Congress has included language in previous disaster relief appropriations allowing communities to transfer CDBG funds to other programs. For instance, disaster relief assistance legislation in response to the Northridge, California earthquake of 1994 included a provision allowing HUD to transfer \$75 million in CDBG assistance to the HOME Investment Partnership program (a housing block grant administered by HUD). In addition, Congress included language in appropriations dealing with the 1998 Midwest floods that transferred administrative authority over CDBG funds for land buyouts from HUD to FEMA as a part of a disaster mitigation strategy.

Matching Funds. Congress has also included language in disaster relief appropriations requiring communities to meet a financial match requirement as a condition for receipt of CDBG-funded disaster relief assistance. For instance, disaster relief assistance in response to the Florida hurricanes of 2004 required each state to "provide not less than 10 percent in non-Federal public matching funds or its equivalent value (other than administrative costs) for any funds allocated to the state under this heading." CDBGs awarded to states following the 1998 Midwest floods were conditioned on each state providing 25% in non-federal public matching funds.

Reporting Requirements. Several past appropriations acts have included provisions requiring quarterly reports on the expenditure of funds in order to provide oversight and ensure accountability in the allocation of disaster relief funds. Legislation providing CDBG disaster relief assistance to communities affected by the 1997 and 1998 Midwest floods included provisions that required HUD and FEMA to jointly submit quarterly reports to the House and Senate Appropriations Committees on the use of CDBG funds for land acquisition and buyouts."

Appropriations Related to Disaster & CDBG Funding

P.L. 109-148. Department of Defense, Emergency Supplemental Appropriations to Address Hurricanes in the Gulf of Mexico, and Pandemic Influenza Act, 2006

Federal Register 06-8978

Federal Register 06-6589 Texas

Federal Register 06-5383 Louisiana

Federal Register 06-5382 Mississippi

Federal Register 06-5381 Alabama

Federal Register 06-1357 Common Application and Reporting

P.L. 108-324. Military Construction Appropriations and Emergency Hurricane Supplemental Appropriations Act, 2005

P.L. 107-206. 2002 Supplemental Appropriations Act For Further Recovery from and Response to Terrorist Attacks on the United States \$783,000,000 Assistance to rebuild Lower Manhattan following Terrorist Attacks of 9/11/2001.

P.L. 107-117. Department of Defense and Emergency Supplemental Appropriations for Recovery from and Response to Terrorist Attacks on the United States Act, 2002

P.L. 107-73. Departments of Veterans Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act, 2002

P.L. 105-277. Omnibus Consolidated and Emergency Supplemental Appropriations Act, 1999

P.L. 105-277. Omnibus Consolidated and Emergency Supplemental Appropriations Act, 1999

P.L. 105-276. Department of Veteran Affairs and Housing and Urban Development and Independent Agencies Appropriations Act, 1999

P.L. 105-174. 1998 Supplemental Appropriations and Rescissions

P.L. 105-18. 1997 Emergency Supplemental Appropriations for Recovery from Natural Disasters and for Overseas Peacekeeping Efforts, Including those in Bosnia

P.L. 104-134. Omnibus Consolidated Rescissions and Appropriations Act of 1996

P.L. 104-19. Emergency Supplemental Appropriations for Additional Disaster Assistance, for Anti-Terrorism Initiative, for Assistance in the Recovery from the Tragedy that Occurred at Oklahoma City, Rescissions Act, 1995

P.L. 103-327 Department of Veteran Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act, 1995

P.L. 103-327 Department of Veteran Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act, 1995

P.L. 103-211. Emergency Supplemental Appropriations Act of 1994

P.L. 103-75. Emergency Supplemental Appropriations for Relief from the Major Widespread Flooding of the Midwest Act of 1993

P.L. 103-50. Supplemental Appropriations Act of 1993

P.L. 103-50. Supplemental Appropriations Act of 1993

What/When/How/Who/Why of CDBG Waivers

There are a few actions HUD may take to assist States with disaster recovery, including allowing previously awarded grant dollars to focus on disaster recovery activities (amending the State CDBG Action Plan for those program dollars); expediting grant awards for State's with grant years starting in the near future following the disaster; allowing the State to change their program start date to earlier in the year; and waiving both regulatory and statutory program requirements.

The purpose of granting waivers (and for States to request waivers) is to directly impact the ability of the funds to accomplish a desired result related directly to a persons or communities recovery.

Examples of Waivers

Waivers have been offered in the following areas:

- Overall benefit
- Consistency with Consolidated Plan
- Citizen participation
- Consultation with local governments

- Action plan components
- Pre-agreement costs reimbursable
- Duplication of benefits
- Distribution to urban counties and entitlements
- Administration amount limitations
- Reporting
- Use of sub-recipients
- Recordkeeping
- Control of real property
- State-run activities
- Certifications
- Program income alternatives
- Housing eligibility
- Compensation for loss of housing
- Planning requirements
- Activities to support tourism
- Anti-pirating
- One for one replacement of units
- Uniform Relocation Act
- Public Benefit in Economic Development
- Timely distribution of funds
- Buildings for the conduct of local government
- Flood buyout activities
- Non-federal share
- Resettlement incentives
- Operating subsidies for affordable rental housing
- National objective documentation – economic development activities
- Rental/utility payment assistance
- Voluntary acquisition

Several examples of Waivers may be found in the **Reference Library**.

G. THE CDBG ACTION PLAN

This section will concentrate on planning and timing as it relates to the State CD Agency. Previous sections of this Module discussed participation in the recovery process. This section attempts to connect the State's goals and its role into one of the major fund sources for community and individual recovery - CDBG.

CDBG ACTION PLAN

In order to use or receive CDBG funds for disaster recovery, the State must complete and submit for approval either, 1) an amended CDBG Action Plan for their existing regular CDBG allocation or 2) a new Action Plan related to the any supplemental CDBG funds received for disaster recovery, or both.

In order to address any amendments to an existing plan so that the State may use all or a part of its existing CDBG allocation for disaster recovery, the State must look to 24 CFR Part 91 for guidance. This regulation describes the Consolidated Plan requirements and the requirements of the annual CDBG Action Plan. It also describes any amendments to that CDBG Action Plan.

The **Reference Library** contains 24 CFR Part 91, which describes the Consolidated Plan requirements and the requirements of the annual CDBG Action Plan.

Amendments:

The State has to specify in the Consolidated Plan what will constitute a substantive change that would require a formal amendment to their existing plan. To adopt an amendment, the State is required to submit it to HUD after public hearing and public comment.

The content of the CDBG Action Plan is listed on the HUD website as follows:

- Executive Summary
- Sources of Funds
- Statement of Specific Annual Objectives

- Outcome Measures
- Method of Distribution
- Allocation Priorities and Geographic Distribution
- Annual Affordable Housing Goals
- Homeless and other Special Needs
- Other Actions
- Citizen Participation
- Monitoring

A CDBG Action Plan is also required for any supplemental appropriations for disaster recovery. Often, the Public Law will waive 24 CFR Part 91 and outline the parameters of the content of an Action Plan specifically for the use of the Supplemental Appropriation. The accompanying Federal Register Notice that is published in relation to the Supplemental Appropriation (Public Law) outlines further the specific content and requirements of that Action Plan.

CDBG Action Plans for Disaster Recovery may be submitted, in part, via HUD's web-based Disaster Recovery Grant Reporting (DRGR) system. HUD provides access to the DRGR system when a State, city or county receives Congressionally-appropriated CDBG funds. In addition, quarterly performance reports must be submitted via the DRGR system.

The Federal Register notice related to the Public Law or Supplemental Appropriations will provide guidance and requirements to the State on the required content of the Action Plan. That content may alter or eliminate some of the typical requirements applicable to a State's regular CDBG allocation.

If the State has created goals and desired outcomes, it should be expressed in the same manner in the CDBG Action Plan. The Method of Distribution and the Allocation Priorities and Geographic Distribution sections require a great deal of detail. If that is understood prior to the disaster, (see Section on Setting Priorities) or at least during the early information gathering and planning phases, the State CD Agency may have an easier time compiling the document for submission and approval.

One element of the document, as described in the Method of Distribution may be the use of waivers requested and granted for use with CDBG funds. This requirement represents a challenge to most states facing disaster recovery:

- Requesting waivers requires that the State express how they are going to be used
- Understanding the need for a waiver requires the State to have decided how to use a particular recovery dollar
- Having decided how to use CDBG funds requires the State to have assessed the needs and determine goals and priorities, and established strategies that will address the need and accomplish the goal
- Action plans require a specific method of distribution of funds: to whom and for what purpose and may require explanation of the use of the waivers
- But...
 - Requesting waivers and achieving approval takes time
 - Drafting and submitting the CDBG Action Plan also takes time
 - Assessing the needs, creating goals and priorities, and establishing strategies that will address the need and accomplish the goal also takes time
 - It takes a much longer time if the communities are allowed a bottom up approach to recovery and where communities may have differing needs and plans and goals
- So...
 - How is the State CD Agency supposed to organize themselves in a manner to successfully achieve it all?

The best solution is to:

- Understand ahead of time what may be required of the organization / staff
- Gain and keep the perspective needed to have an eye on all of the moving parts at once
- See the problem from the global view and the microscope - not one or the other
- Make sure decision makers understand the timing and the requirements
- Ask for solutions from the local HUD office

- Ask other State CD Agency officials how they approached the same issues
- Use this Toolkit to your advantage

Wrapping it all Together

- Gather Information
- Assess the need
- Determine a role and an authority
- Create statewide goals from which program goals may be established
- Define the program mission
- Establish statewide priorities from which program priorities may be established
- Adopt policy that drive the priorities
- Design programming consistent with policy
- Request waivers to complement programming
- Design a method of distribution to complement program design
- Incorporate public input and feedback
- Write and submit an Action Plan*

* Write the plan even if the waivers are not approved at that point. The plan content will assist HUD in making the connection between the need and the strategies and the ultimate purpose for the waiver. If the waiver or waivers are not approved, a second option must be considered. That option should still maintain the policy, priorities and goals.

* Write a partial Action Plan and submit to HUD. The partial action plan may be one that outlines the categories of funding and intended uses in a skeleton manner, but does not provide the detail dollar amounts at the time. States have written partial action plans in order to gain access to the administration money in order that they may gear up (staff up, buy equipment, travel, etc.) and gain the proper capacity to administer the program, the funding and respond to the disaster effectively.

OTHER LOCAL PLANNING FOR RECOVERY

The State CD Agency may use local planning for recovery to their advantage. Projects identified from the completion of local plans may provide great guidance for project funding, award decisions, and even CDBG program design. Many states involved in disaster recovery using CDBG have given advantage or preferential access to CDBG funds that are requested for projects that came from local short or long term community recovery planning.

POLICY AND REGULATORY ISSUES STATE CD AGENCIES AND THE COORDINATION OF STATE RECOVERY EFFORTS	
1) Role of the State	
<input type="checkbox"/>	Coordinate with, and conduct an inventory of, the agencies that will be involved in the disaster and the resources of the development agencies
<input type="checkbox"/>	Size of the Disaster <input type="checkbox"/> What is the level of damage sustained?
<input type="checkbox"/>	Scope of the Disaster <input type="checkbox"/> How broad is the disaster? How many people, communities, counties, regions are affected? <input type="checkbox"/> How much time will be spent in the recovery process? Weeks? Years?
<input type="checkbox"/>	Sectors Affected – What sector or Sectors were affected? <input type="checkbox"/> Housing <input type="checkbox"/> Economic or business, <input type="checkbox"/> Public infrastructure/public facilities, <input type="checkbox"/> Environment
<input type="checkbox"/>	Sectors Affected <input type="checkbox"/> To what degree were the sectors affected? <input type="checkbox"/> Will short-term recovery efforts be necessary to implement before long-term recovery efforts? <input type="checkbox"/> Will priority order be a necessity?
<input type="checkbox"/>	Establish goals for recovery...Determine who/what agencies, etc. should participate in goal setting, priorities, and policymaking. (Approach should be from a Strategic Planning process as opposed to a comprehensive planning process) <input type="checkbox"/> Coordinate with community or communities <input type="checkbox"/> Coordinate with Governor’s office <input type="checkbox"/> Coordinate with other State agencies
<input type="checkbox"/>	Establish recovery priorities based on goals
<input type="checkbox"/>	Determine policies needed to address priorities and goals
<input type="checkbox"/>	Framework for Decision-Making <input type="checkbox"/> Will the approach to recovery be “top-down, bottom up” or a combination of the two? <input type="checkbox"/> Will the state set the goals and priorities and use its resources to accomplish those? <input type="checkbox"/> Will the State respond to goals and priorities driven by each community and use its resources to accomplish those? <input type="checkbox"/> How will each affect program design and program delivery? <input type="checkbox"/> Once known, how will the State CD Agency create policies and procedures to assist in accomplishing the goals and remain consistent with the priorities?
<input type="checkbox"/>	Encourage local community to establish recovery goals, identify recovery projects, and set priorities for projects.
<input type="checkbox"/>	Are local government goals and priorities in harmony with State’s? If not, determine action, compromise, etc.
<input type="checkbox"/>	Funding: <input type="checkbox"/> Is there a state rainy day fund that will be used to aid in recovery or specifically, to match any FEMA Public Assistance funds that are provided to the state after a declaration? <input type="checkbox"/> If a supplemental CDBG appropriation is provided, how will the federal match requirement be met? <input type="checkbox"/> Will the state require local financial match for any recovery funds offered to local governments? <input type="checkbox"/> Will any use of funds require a legislative action? <input type="checkbox"/> What is the method of distribution?

<p align="center">POLICY AND REGULATORY ISSUES</p> <p align="center">STATE CD AGENCIES AND THE COORDINATION OF STATE RECOVERY EFFORTS</p>	
<input type="checkbox"/>	<p>Managing Resources:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Coordination and Cooperation <ul style="list-style-type: none"> <input type="checkbox"/> Internal Coordination: Defining the State CD Agency Mission <input type="checkbox"/> Coordinating Priorities and Goals: <input type="checkbox"/> Coordinating with Partner Agencies <input type="checkbox"/> Coordinating with Communities <input type="checkbox"/> Coordinating with HUD <input type="checkbox"/> Coordinating Finances <input type="checkbox"/> Coordinating Rules and Procedures <input type="checkbox"/> Communication <input type="checkbox"/> Compromise <input type="checkbox"/> Information Sharing <ul style="list-style-type: none"> <input type="checkbox"/> Public Infrastructure/Public Facilities <input type="checkbox"/> Business/Employees <input type="checkbox"/> Housing <input type="checkbox"/> Recordkeeping
<input type="checkbox"/>	Define your role in recovery
<input type="checkbox"/>	Coordinate with Governor’s Office on Federal Declaration
<input type="checkbox"/>	Communicate and Coordinate with Federal Legislative Delegation
<input type="checkbox"/>	<p>Communicate and Coordinate with State Legislative Delegation</p> <ul style="list-style-type: none"> <input type="checkbox"/> Pre-disaster legislation <input type="checkbox"/> Post-disaster legislation
<input type="checkbox"/>	<p>Key participants from the State focusing on long-term recovery:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Representative from Governor’s Office <input type="checkbox"/> Departments of <ul style="list-style-type: none"> <input type="checkbox"/> Agriculture <input type="checkbox"/> Commerce <input type="checkbox"/> Economic development <input type="checkbox"/> Energy <input type="checkbox"/> Historic preservation <input type="checkbox"/> Housing <input type="checkbox"/> Natural resources or environmental protection <input type="checkbox"/> Transportation <input type="checkbox"/> Other development agencies
2) Key Issues and Concepts	
<input type="checkbox"/>	<p>Decision making authority</p> <ul style="list-style-type: none"> <input type="checkbox"/> Establish process for making decisions <input type="checkbox"/> How far removed is the Agency or staff from the authority?
<input type="checkbox"/>	<p>Organizational management</p> <ul style="list-style-type: none"> <input type="checkbox"/> Memorandums of Agreement (MOA) with other agencies and organizations <input type="checkbox"/> Educational forums <input type="checkbox"/> Seminars <input type="checkbox"/> Other training opportunities
<input type="checkbox"/>	<p>Partnerships</p> <ul style="list-style-type: none"> <input type="checkbox"/> Federal <ul style="list-style-type: none"> <input type="checkbox"/> HUD <input type="checkbox"/> FEMA <input type="checkbox"/> USACE <input type="checkbox"/> Local Government <input type="checkbox"/> Community <input type="checkbox"/> County <input type="checkbox"/> Regional Planning Agency (RPA) <input type="checkbox"/> Private Sector
<input type="checkbox"/>	Establish Clear Leadership

POLICY AND REGULATORY ISSUES STATE CD AGENCIES AND THE COORDINATION OF STATE RECOVERY EFFORTS	
<input type="checkbox"/>	Set up a Communication System
<input type="checkbox"/>	Set priorities for Program Delivery and Address Needs
<input type="checkbox"/>	Flow of Funding (examples) <ul style="list-style-type: none"> <input type="checkbox"/> HUD CDBG <input type="checkbox"/> HUD HOME Program <input type="checkbox"/> FEMA Public Assistance <input type="checkbox"/> FEMA Hazard Mitigation <input type="checkbox"/> USDA Rural Development <input type="checkbox"/> Natural Resource Conservation Service <input type="checkbox"/> U.S. Army Corps of Engineers <input type="checkbox"/> EPA or State Energy Assistance funding <input type="checkbox"/> State discretionary general revenue funding <input type="checkbox"/> Others
<input type="checkbox"/>	Set up Tracking System for Projects and Funds
3) Understanding Policy, Regulations, and Statutes	
<input type="checkbox"/>	Are there Supplemental Appropriations for this Disaster? If so, what are they? <ul style="list-style-type: none"> <input type="checkbox"/> HUD <input type="checkbox"/> FEMA <input type="checkbox"/> EDA <input type="checkbox"/> Etc.
<input type="checkbox"/>	Are all players familiar with HUD CDBG Law and Regulations? If not, establish education program/briefings
<input type="checkbox"/>	Are all players familiar with FEMA Assistance and Regulations? If not, establish education program/briefings
<input type="checkbox"/>	Are all players familiar with SBA, EDA etc.? If not, establish education program/briefings
<input type="checkbox"/>	Are all players familiar with Local nonprofits, private sector, etc.? If not, establish education program/briefings
4) Waivers and Exclusions	
<input type="checkbox"/>	Identify and document needed waivers and exclusions based on this disaster <ul style="list-style-type: none"> <input type="checkbox"/> Overall benefit <input type="checkbox"/> Consistency with Consolidated Plan <input type="checkbox"/> Citizen participation <input type="checkbox"/> Consultation with local governments <input type="checkbox"/> Action plan components <input type="checkbox"/> Pre-agreement costs reimbursable <input type="checkbox"/> Duplication of benefits <input type="checkbox"/> Distribution to urban counties and entitlements <input type="checkbox"/> Administration amount limitations <input type="checkbox"/> Reporting <input type="checkbox"/> Use of sub-recipients <input type="checkbox"/> Recordkeeping <input type="checkbox"/> Control of real property <input type="checkbox"/> State-run activities <input type="checkbox"/> Certifications <input type="checkbox"/> Program income alternatives <input type="checkbox"/> Housing eligibility <input type="checkbox"/> Compensation for loss of housing <input type="checkbox"/> Planning requirements <input type="checkbox"/> Activities to support tourism <input type="checkbox"/> Anti-pirating <input type="checkbox"/> One for one replacement of units <input type="checkbox"/> Uniform Relocation Act <input type="checkbox"/> Public Benefit in Economic Development <input type="checkbox"/> Timely distribution of funds

<p align="center">POLICY AND REGULATORY ISSUES</p> <p align="center">STATE CD AGENCIES AND THE COORDINATION OF STATE RECOVERY EFFORTS</p>	
	<ul style="list-style-type: none"> <input type="checkbox"/> Buildings for the conduct of local government <input type="checkbox"/> Flood buyout activities <input type="checkbox"/> Non-federal share <input type="checkbox"/> Resettlement incentives <input type="checkbox"/> Operating subsidies for affordable rental housing <input type="checkbox"/> National objective documentation – economic development activities <input type="checkbox"/> Rental/utility payment assistance <input type="checkbox"/> Voluntary acquisition
Coordinate appropriate waiver language	
5) The CDBG Action Plan	
<input type="checkbox"/>	<p>Amend existing Action Plan, if appropriate based on goals, priorities, projects for this disaster</p> <ul style="list-style-type: none"> <input type="checkbox"/> Executive Summary <input type="checkbox"/> Sources of Funds <input type="checkbox"/> Statement of Specific Annual Objectives <input type="checkbox"/> Outcome Measures <input type="checkbox"/> Method of Distribution <input type="checkbox"/> Allocation Priorities and Geographic Distribution <input type="checkbox"/> Annual Affordable Housing Goals <input type="checkbox"/> Homeless and other Special Needs <input type="checkbox"/> Other Actions <input type="checkbox"/> Citizen Participation <input type="checkbox"/> Monitoring
<input type="checkbox"/>	Publish notice related to amended Action Plan
<input type="checkbox"/>	Create Action Plan for any Supplemental Appropriation using guidance provided in applicable Federal Register Notice.
<input type="checkbox"/>	Submit partial Action Plan (framework of goals and method of distribution, without funds committed to category, if needed) language
6) Assure Action Plan is consistent with need and goals and employs strategies to achieve them.	



DISASTER RECOVERY TOOLKIT

MODULE 4 LONG-TERM RECOVERY

JUNE 2008

FOR STATE COMMUNITY DEVELOPMENT AGENCIES





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MODULE 4: LONG-TERM RECOVERY

HOW TO USE THIS MODULE

The Toolkit is comprised of five separate Modules. The Modules are sequentially numbered for ease of identification. However, the Toolkit is NOT a linear document. Each Module is designed to stand-alone and allows target users to simply pull out the module that is appropriate to their mission.

While State Community Development Agencies are the primary audience for this Toolkit, the Governor's office, other State agencies, and Local Government can also benefit from the information and guidelines contained in this Module and the Toolkit.

The audience for this Module may vary from State to State and will vary depending on how the recovery effort is organized in each State.



MODULE 4 Long-Term Recovery	
TARGET AUDIENCE	<p>Target Audience</p> <ul style="list-style-type: none"> • State CD Agencies • Local Governments <p>Other Audience</p> <ul style="list-style-type: none"> • Governor’s office • Other State Agencies
OBJECTIVE	<ul style="list-style-type: none"> ✓ Assist State CD Agencies and local communities to understand the key activities, tools and resources that are needed and available for disaster recovery. <ul style="list-style-type: none"> ➢ Provide State CD Agencies and local officials guidance about facilitating the long-term community recovery process to help identify and fine-tune the State and local recovery visions and priorities.
TOOLS	<ul style="list-style-type: none"> ▪ Long-Term Community Recovery Planning process and procedures ▪ Funding Resources Checklist
Module 4 - Subsection Contents & Focus	
A. INTRODUCTION	Module 4 provides State and local agencies with guidance on the recovery planning process, staffing and capacity, and leveraging funding and resources. This section emphasizes the importance of undertaking these actions prior to a disaster.
B. STRATEGIC RECOVERY	This section discusses the differences and variables associated with community recovery. This section also reviews the process and roles involved with State or Federal supported recovery initiatives, including the use and benefits of ESF#14 – Long-Term Community Recovery.
C. COMMUNITY RECOVERY PLANNING	Every disaster will have different impacts, responses and recovery needs. This section reviews the process to assess and determine the need for State or Federal support. It includes a generalized process used in federal supported initiatives.
D. RECOVERY PLANNING PROCESS	“Recovery Planning” is both a process and product. This section provides an overview of the process and how it varies from targeted technical assistance (e.g. coordination of State, Federal, Non-Profit and Private resources) to intensive planning teams that coordinate with the community to develop a Recovery Plan – a “road map” for community recovery.
E. STAFFING CAPACITY	This section provides a look at the capability, capacity, and available resources for community recovery.
F. PLANNING STRATEGIES	In the weeks and months following a disaster, there are multiple agencies and organizations gathering data to meet specific community needs. This section provides information on what data is available, how it is collected, how to access this information and highlight gaps in data collection that the State CD Agency may begin collecting after a disaster.
G. PRIORITIZING RECOVERY PROJECTS	This section discusses the need for and elements involved with prioritizing projects to allow community recovery.
H. LEVERAGING FUNDING AND RESOURCES	This section assists State and communities in assessing their resources, identify funding gaps, and identifying the various types of funding often provided following a disaster.

A. Introduction

Module 4 identifies the considerations that determine a long-term recovery process, the needs for community Recovery Planning, and the process and type of post-disaster data that will be critical to the role of State CD Agencies, and State and Local agencies in the recovery process. This Module also provides State and Local agencies with guidance on recovery planning, staffing and capacity, leveraging funding, and demonstrates that many of these actions can and should be undertaken prior to a disaster.

Previously, **Module 2** describes the wide range of disasters - in both scope and magnitude - and provides an overview of what takes place to prepare for and respond to disasters. For State CD Agency's involved in disaster recovery for the first time or infrequently, it may be helpful to review some of the basic framework outlined in **Module 2**; for example working with your State Emergency Response Agency to define your agency role in the Emergency Response Plan.

B. Strategic Recovery

One way or another, a community (county, area, etc.) recovers from a disaster. A community will either be the same as or better or worse than they were prior to the disaster. How recovery occurs and the nature or end result of that recovery depends on the recovery process undertaken; and the recovery process employed depends on the disaster and the extent of damage received. Simply stated, the recovery process depends on whether the disaster impacts are minimal, moderate, severe, or extreme.

In most cases, all disasters that have minimal impact and many disasters with moderate impact rely on local and State coordination. These types of disasters are routine, and the recovery process is relatively short and usually measured in weeks. There is usually some federal agency coordination dependent on the type of damage received. FEMA is the primary recovery coordinating federal agency in these instances because of the FEMA programs that can be related to community recovery; i.e. Public Assistance (PA), Hazard Mitigation, etc. Although federal agency coordination may be needed in minimal and moderate disaster impact instances, the recovery process, if any, is normally led by a local and/or State agency. It is important that the agency understand its role (See **Modules 2 and 3**) and determines early on in the process as to who will benefit from the recovery.

Some disasters with moderate or severe impacts will require federal and State/local coordination for community recovery. Depending on the amount of damage, Emergency Support Function #14 – Long-Term Community Recovery (ESF#14 LTRC) may be implemented, which would mean a set of formal Federal guidelines and coordination led by a federal agency – usually FEMA. Although a Federal agency would play an important role in disaster recovery, involvement in community recovery will still require strong input from at least one State agency, usually the State Community Development Agency. The duration of recovery efforts is measured in months and could include a long-term recovery planning team supported by FEMA. Community recovery for these types of disasters could focus on targeted recovery planning (for example, the disaster may have only impacted housing, but the damage impact was significant). In this case, long-term recovery planning would focus on housing.

A disaster classified as having an extreme disaster impact will require implementation of ESF#14 LTRC. The recovery effort will be complex, will be of long duration (months and years), and will include Federal coordination of planning and technical assistance. Extreme disaster recovery planning will address multiple community elements (e.g. housing, economic development/downtown revitalization or restoration and environment). Since States vary in how they are organized to deal with some of the key community elements and how funding is addressed, it is extremely important that the State is closely involved with the Federal agencies and the local government in the recovery planning process. In all cases, the local community must be involved in the recovery process, and their input should be reflected in developing a recovery vision and goals.

		RECOVERY SUPPORT MECHANISMS	COORDINATION AND PLANNING
DISASTER IMPACTS	EXTREME	FEMA ESF #14 LONG-TERM COMMUNITY RECOVERY (LTRC) PROGRAM	<ul style="list-style-type: none"> • Complex, Long-Duration (months and years) • Federal Coordination, Planning and Technical Assistance
	SEVERE	STATE LONG-TERM RECOVERY PROGRAM	<ul style="list-style-type: none"> • Moderate, Medium-Duration (months) • Local, State Coordination and Planning; Federal Support as Needed
	MINIMAL	NORMAL LOCAL, STATE, FEDERAL, AND/OR NGO RECOVERY PROGRAMS	<ul style="list-style-type: none"> • Local, State Coordination and Planning

DETERMINING A PROCESS

What recovery process is utilized following a disaster? What role does local, State, and federal agencies play in the recovery process? Answers to these questions depend on the disaster impact and this can be determined by the preliminary findings of the Preliminary Damage Assessment (PDA) and the more extensive analysis and findings of the disaster impact assessment. A minimal disaster impact and in some cases a moderate disaster impact will require State and local government to play a more prominent role in disaster recovery. More federal involvement in the disaster recovery process will occur as the disaster impact is more severe and FEMA and possibly other federal agencies have a more significant investment in the disaster and overall recovery.

STATE SUPPORTED RECOVERY INITIATIVE

The State, and primarily the State Community Development Agency (State CD Agency), through leadership of the Governor's Office must work with the local community impacted by the disaster to jointly determine the long-term recovery process that will be initiated. The State will normally take on more of a coordination role if the community has the resources to address the recovery process. A document entitled **Long-Term Community Recovery Planning Process: A Self-Help Guide** provides guidance on whether a community has the resources to lead a long-term recovery effort.

Refer to the **Reference Library** for a copy of the **Self-Help Guide**.

If a local government has the resources to lead a recovery effort, the key State agency (again...presumably the State CD Agency) should sit down with the local community to map out a process that includes local public input and to coordinate the goal setting, establishing priorities, and identifying projects. The primary role of the State in this instance is to serve as a primary funding source for implementing community recovery. As such, it is important that there are no serious differences between the goals and priorities of the local community and the State. That is best assured by early coordination between the local community and the key State agency and/or Governor's office.

In situations where the local community does not have the resources to lead and undertake long-term recovery, the State may need to play a more significant leadership role in the recovery process, if there is to be a formal recovery process. In these situations it is again important that the State and Local community coordinate the recovery process to be implemented while assuring local public input into the process. The State continues to serve as the primary funding resource for community recovery, but it also takes on leadership of the recovery process.

FEDERAL SUPPORTED RECOVERY INITIATIVE

In instances where the disaster impact is severe and extreme, Federal agencies will play a more significant role in overall disaster management and especially in providing long-term recovery support mechanisms, overall coordination, and planning. Usually the federal government will implement ESF#14 LTRC and involve pertinent federal agencies in the recovery process. It is important that the State understands the ESF#14 LTRC concept (described below and in **Module 2**) and is positioned as such to participate in the long-term recovery process. While the Federal government usually provides long-term recovery leadership, the State and Local community must be part of the process early on. The key State agency (again...probably the State CD Agency) should sit down with the key federal agencies and make sure the local community is involved in the process, local public input is utilized, and no major differences arise among the Federal and State agencies or local community while goals, priorities, and projects are developed.

EMERGENCY SUPPORT FUNCTION #14 - LONG-TERM COMMUNITY RECOVERY

Emergency Support Function (ESF) #14 – Long-Term Community Recovery provides a mechanism for coordinating Federal support to State, tribal, regional, and local governments, nongovernmental organizations (NGOs), and the private sector to enable community recovery from the long-term consequences of extraordinary disasters.

ESF #14 may be activated for incidents that require a coordinated Federal response to address significant long-term impacts (e.g., impacts on housing, government operations, agriculture, businesses, employment, community infrastructure, the environment, human health, and social services) to foster sustainable recovery.

ESF #14 support will vary depending on the magnitude and type of incident.

<http://www.fema.gov/emergency/nrf/>

ESF#14 - LONG-TERM COMMUNITY RECOVERY

When a disaster warrants the deployment of Federal resources, there are several agencies that may provide technical assistance or resources. Emergency Support Functions provide the structure for coordinating Federal agency support to States through technical expertise and resources. ESF#14 – Long-Term Community Recovery (ESF#14 LTCR) is one of the resources available to communities and States under federally declared disasters.

ESF#14 LTCR is designed for situations with severe or widespread impacts, federal resources may be provided to address the ongoing community needs by taking a holistic, long-term view of critical recovery needs, and coordinating the mobilization of resources at federal, State, and community levels.

Some individuals, families and communities that are especially hard hit by a disaster may need more time, specialized assistance, or a more formalized structure to support their recovery efforts. ESF#14 LTCR is organized to address unique needs that are not satisfied by routine disaster assistance programs. It may also be required for very complex restoration or rebuilding challenges.

Examples of the special assistance provided through ESF#14 LTCR efforts, include targeted technical assistance in the form of design workshops, planning charrettes, or resource coordination. Technical assistance has also included the use of a community recovery planning process and preparation of a community Recovery Plan that identify projects, programs and priorities necessary for community recovery. In limited situations, technical assistance has also been provided to support the community with the implementation of identified recovery projects and programs.

It is important for a State CD Agency to be prepared prior to a disaster and familiar with the process, procedures and tools available under ESF #14 LTCR. By preparing ahead of time and understanding the Federal processes, procedures and terminology, a State CD Agency and local community leaders can work together with federal agencies as necessary as partners to shape Long-Term Community Recovery process.

Regardless of whether Federal involvement occurs, the process and tools utilized with ESF#14 LTCR are adaptable by both State and Local agencies, including State CD Agencies to assist communities in the recovery process.

C. Community Recovery Planning

Every disaster will have different impacts, responses and recovery needs. In addition each State will have different programs and procedures and agencies to support recovery efforts. Response and recovery actions to a disaster are not a one size fits all approach; there is not one correct approach.

Community Recovery Planning establishes a process to address the impacts of the disaster and meet the needs of the community.

State CD Agency Involvement ESF #14 LTCR

If ESF#14 LTCR has been established following a disaster, a State CD Agency, as well as other State and Local officials should become involved in the process.

State CD agencies may participate with the technical assistance team to develop the scope and schedule for the recovery planning process and establish reasonable recovery priorities and maximizes fund leveraging between federal, State and private sources. A State CD Agency may also provide information and insight on State processes and procedures for CDBG funding (Action Plan development); project development and resource / program funding identification.

In most instances the overall planning process satisfies the requirements related to public involvement and will also provide documentation for many other elements that can populate a CDBG Action Plan and develop a successful CDBG disaster recovery program.

PRELIMINARY DAMAGE ASSESSMENTS (PDAs)

The FEMA PDA is a joint state and federal damage assessment used to determine the magnitude and impact of an event's damage. The results of the PDA would be used to determine if the situation is beyond the combined capabilities of the State and local resources and to verify the need for supplemental Federal assistance.

ASSESSING THE NEED FOR RECOVERY PLANNING

One of the first response actions following a disaster is to assess the situation. Emergency response professionals generally use a Preliminary Damage Assessment (PDA) to determine the scale and impacts of damage. The State uses the results of the PDA to determine recovery actions and activities. A PDA may also be used to identify or verify the need for supplemental Federal assistance.

In addition to the PDA, an ESF#14 LTR Assessment will be conducted to determine the need for Long-Term Community Recovery planning assistance. The assessments occur in conjunction with coordination meetings with State and Local officials.

These "needs" look beyond the impacts identified in the PDA. *The Long-Term Recovery (LTR) Assessment Tool* is used by FEMA to assess impacts from damages, local baseline conditions and community needs. The Assessment Tool guides decisions toward federal resource deployment of ESF#14 LTR. While State and local officials may not utilize this Tool often, it is important to be familiar with the concepts.

It is important for the State CD Agency to meet with and participate in ESF #14 LTR activities.

The *Long-Term Recovery Assessment Tool*:

- Is intended to help authorities analyze the impacts of a disaster on a community, while taking into consideration the local government's capacity to assist in promoting its own long-term recovery.
- Takes a holistic approach to community recovery by looking at how damages can result in impacts greater than the material scope of a disaster, and by identifying gaps in recovery assistance.
- Assists Federal and multi-level decision makers identify the type and level of supplemental long-term community recovery assistance that may be needed for full recovery from a disaster, though it is not tied to any specific funding sources.

A copy of *The Long-Term Recovery (LTR) Assessment Tool* is included in the **Reference Library** of the Toolkit.

PERFORMING A LTR ASSESSMENT

The extent of damage from a disaster differs for each event, and in each disaster, the affected region, State, county and community has varying degrees of resources (e.g., full-time employees, funding, etc.) and capabilities available to address recovery needs. The *Assessment Tool* accounts for these variables, along with a sliding scale of recovery services to support policy decisions to determine appropriate levels of assistance.

The *Assessment Tool* analyzes a disaster's impact upon the community and specifically within three sectors:

- Housing
- Economy (including Agriculture)
- Infrastructure/Environment.

This feature facilitates the tailoring of a long-term community recovery service level and sector strategy to the area's needs.

The *Assessment Tool* also includes two levels of Assessment:

- Preliminary Screening
- Sector Analysis.

Preliminary Screening. The Preliminary Screening consists of a review of Disaster-Related Damages and community-wide Local Baseline Conditions. The *Assessment Tool* analyzes the preliminary damage assessment data, pre-disaster economic and population data, and the leadership capacity within the community. The Preliminary Screening will assist in determining if disaster impacts warrant a more in-depth analysis of sectors and to determine the possible need for ESF #14 LTR support.

Sector Analysis. The analysis of each Sector (Housing, Infrastructure/Environment, and Economy (including Agriculture)) are addressed in three general categories:

- **Disaster-Related Damages** – Identify the extent (geographic and magnitude) of damage for each Sector.
- **Local Resiliency Indicators** – Utilize baseline community data (e.g., demographics) to establish the baseline condition of the Sector prior to the disaster.
- **Resources/Local Capacity** – Determine the community/governmental resources that are available to address the disaster-related needs of each Sector and assess whether the community has the organizational and/or administrative capacity to address the needs of each Sector.

Typically, FEMA personnel conduct the Assessment within a few days or weeks following the disaster. However, it is very important for State or local agencies to be familiar with the *Assessment Tool* and understand the benefits of the analysis and add local insight and context to the assessment. In situations where federal support is not provided, there may be opportunities where State or State CD Agencies may use the *Assessment Tool* (or applicable portion thereof) to assist a community with recovery planning.

D. Recovery Planning Process

ESF#14 - Long-Term Community Recovery (ESF#14 LTCR) is a strategic planning process undertaken by recovery professionals - planners, architects, and engineers as well as other professionals depending on disaster impacts and community needs.

“Recovery Planning” is both a process and product. The process varies from targeted technical assistance (e.g. coordination of State, Federal, Non-Profit and Private resources) to intensive planning teams that coordinate with the community to develop a Recovery Plan – a “road map” for community recovery. In situations where “recovery planning” is fully deployed, it is a very focused, intense, community-driven, process completed in a short period of time (typically 6-12 weeks) and tailored specifically for the disaster and community.

FEMA also published a “self-help” tool to assist communities and local and State agencies with a recovery planning process following a disaster. The *Long-Term Community Recovery Planning Process - A Self-Help Guide* provides step-by-step guidance on the process for implementing a Long-Term Community Recovery (LTCR) planning program – the same guidance and process as used by Technical Assistance teams under ESF#14 LTCR. The *Self-Help Guide*:

- Provides a method for developing a LTCR Plan that is a flexible and usable blueprint for community recovery.
- Incorporates case studies for each of the steps in a LTCR program.
- Offers guidance and suggestions for involving the public in the recovery program

The *Self-Help Guide* is based on the experiences gained and lessons learned by communities that developed and implemented long-term community recovery programs.

Developing a Long-Term Community Recovery (LTCR) Plan is different than developing a traditional community master plan or comprehensive plan. While a county comprehensive plan or city master plan addresses community issues as a whole, a LTCR Plan is specifically targeted toward “Recovery” programs, projects, and activities and in many cases does not address the complete spectrum of non-disaster related community needs.

Whenever possible, communities and recovery planning teams should use existing master plans, comprehensive plans or mitigation plans as a foundation in preparing a LTCR Plan or identifying recovery projects and programs. As a continuation of the cycle, the LTCR Plan will become the basis or springboard for developing or updating community comprehensive, master and/or mitigation plans.

Since the LTCR Plan provides detailed strategies and priority projects, a State CD Agency may use the Plan to provide leading data for the creation of the CDBG Action Plan.

State CD Agencies have the opportunity to play an active, supportive role in developing or implementing LTCR Plans. This role is extremely critical, as State CD Agencies have an understanding of State policies, regional nuances, and the political climate.

CHECKLIST FOR INITIATING RECOVERY PLANNING

- ✓ Arrive on-site soon after the disaster
- ✓ Be organized
- ✓ Be flexible
- ✓ Get to know the FEMA ESF#14 LTRC Team
- ✓ Know local leaders (elected and private)
- ✓ Know representatives from other State agencies
- ✓ Get to know representatives from Federal agencies
- ✓ Get to know Non-Profit agencies and volunteers

E. Staffing Capacity

Staffing capacity and capability varies from State to State for Community Development Agencies and the level and intensity of planning varies significantly from State to State. No agency should expect to have personnel on-hand to handle the recovery planning activities resulting from a major disaster. The needs for personnel for long-term community recovery include, leadership, communication, public involvement, cost estimating, etc. It will be important to assess existing technical capacity and identify agency needs.

What if the federal resources are not available? First, never be afraid to ask. But, if the federal assistance is not warranted or does not materialize as hoped, and planning support is still necessary, there are several options available. Once again, preparing ahead of time, by setting up relationships and cooperative agreements will go a long way toward success.

HOW TO INCREASE TECHNICAL CAPACITY

There are five strategies for increasing technical capacity for disaster recovery efforts:

1. **Procurement** – The traditional procurement process is one way a State or Local agency can undertake to hire temporary or contractual employees to assist with program administration. This can range from a single task effort all the way to planning, designing and implementing the program under a contract or series of contracts. The Toolkit includes sample RFP language in the reference section to help put the appropriate proposal together. Considerations to keep in mind. First, check your State legislation related to procurement. Make sure that this legislation addresses procurement procedures related to disaster conditions including sole source contracting. Second, make sure that all programs, software, and related documentation become the property of the State at the conclusion of the project and include a transition element so that proper training can occur prior to the close out of the contract. Third, CDBG knowledge and experience is important for program administration but, so are other skills such as customer service, public relations and accounting to name a few. Make sure the team has the diverse skill set to accomplish all elements of the proposal.
2. **Emergency Management Assistance Compact (EMAC)** - a congressionally ratified organization that provides form and structure to interstate mutual aid. Through EMAC, a disaster-impacted State may request and receive assistance from other member States quickly and efficiently, resolving two key issues upfront: liability and reimbursement.
3. **Mutual Aid** – EMAC is a broad form mutual aid; but it does not preclude your agency from entering into agreements with other State agencies and neighboring jurisdictions to provide assistance during the disaster recovery phase.
4. **Volunteer** – Volunteers are the double edge sword of disaster response and recovery. There is nothing better than a well-intentioned person helping out during the time of the crisis; these volunteers can literally be lifesavers! At the same time a disorganized volunteer effort can create turmoil and conflict in the recovery process. It is impossible to say who or where volunteers will come from during and after a disaster. The fact is they are going to be there. So the best strategy is to prepare for volunteer coordination before the disaster occurs. This might be designating a person and/or agency with the task of volunteer coordination. This position is responsible for documenting the individuals, agencies and organizations that come to volunteer services. They will document the hours and type of services provided (for future match purposes) and will assist with matching the skills and services being volunteered with the community need.
5. **Increasing Capacity** – Increasing capacity in your agency at either the management level or technician level is another challenge. Funding may be available through administrative components of the grant (supplemental funding) to cover the costs of additional staffing. The challenge is getting adequate staffing in a timely manner. One suggestion is to bring a State human resources person into your organization so that day-to-day personnel issues and needs can be quickly addressed. Another

recommendation is to work with your human resources staff ahead of the disaster and prepare policies like they have in California where a management level position in one agency can temporarily transfer into your agency to manage a short-term project. This person maintains their tenure and salary from the donating agency and is guaranteed their position when the project is complete. This may or may not be the right solution for your State; the importance of the point is to establish the relationships and policies that will help increase disaster recovery capacity ahead of a disaster.

The key to success in LTCR is to use the knowledge, experience and skills and apply them under extreme circumstances and in new ways. When organizing to undertake Long-Term Community Recovery, it may require the staff, team or entire State CD Agency to set aside traditional roles and responsibilities, in order to more effectively serve the needs of the impacted communities.

Designing and implementing disaster recovery programs related to the HUD CDBG funds is covered in **Module 5**. Details related to other fund sources can be found through references listed in the reference section of the Toolkit.

F. Planning Strategies

Some disasters will require only local or limited State support. At the other end of the spectrum, a major disaster that crosses jurisdictional boundaries and/or impacts multiple sectors of a community may require the deployment of extensive State and Federal resources to the community. The strategy for recovery will vary based on the spectrum of variables.

The following matrix identifies and allows a comparison of several planning strategy scenarios that may be applicable in a given situation.

SCENARIO	RESOURCES AVAILABLE	CDBG ACTION PLAN / LTCR PLAN	PROCESS COORDINATION	PURPOSE AND OUTCOMES
FEDERALLY DECLARED MAJOR DISASTER	<ul style="list-style-type: none"> Widest Range Available, including Supplemental CDBG 	<ul style="list-style-type: none"> Will Require an CDBG Action Plan and Long-Term Community Recovery (LTCR) Plan 	<ul style="list-style-type: none"> LTCR may Start earlier than the Action Plan and Provide Base Information to the Action Plan 	<ul style="list-style-type: none"> CDBG Action Plan and LTCR Plan LTCR Plan Provides Vision, Goals, Objectives and Prioritized Recovery Projects
FEDERALLY DECLARED DISASTER - NO SUPPLEMENTAL FUNDING	<ul style="list-style-type: none"> Federal FEMA State (CDBG) Local Private Non-Profit 	<ul style="list-style-type: none"> Develop a Plan for Long-Term Community Recovery 	<ul style="list-style-type: none"> Process may Focus on one or more Affected Sectors of the Community State CD Agency may Facilitate or Fund the Process; FEMA May Provide Planning Resources for LTCR Development 	<ul style="list-style-type: none"> Long-Term Recovery Plan Provides Vision, Goals, Strategic Recovery Projects Local, State, Federal and Other Agencies Coordinate to Leverage Implementation Funding
STATE DECLARED DISASTER	<ul style="list-style-type: none"> State Local Private Non-Profit (PNP) 	<ul style="list-style-type: none"> Develop a Plan for Long-Term Community Recovery 	<ul style="list-style-type: none"> Local Community may Lead Recovery Planning Process Focus May Be on Alternative Funding Sources Such As PNP 	<ul style="list-style-type: none"> Vision, Goals And Objectives with a Focus on Identifying and Leveraging Funding Sources
STATE DECLARED DISASTER	<ul style="list-style-type: none"> State Local Private Non-Profit 	<ul style="list-style-type: none"> Develop a Plan For Long-Term Community Recovery 	<ul style="list-style-type: none"> Local Jurisdiction Lacks Planning Capacity State May Lead or Fund Planning Process 	<ul style="list-style-type: none"> Vision, Goals and Objectives with a Focus on Identifying and Leveraging Funding Sources

The matrix provides guidance related to how a State CD Agency or local government may approach a given scenario or how information or support may be provided to regional and local agencies to guide their efforts toward recovery planning.

The recovery process is multi-dimensional and multi-layered. One objective of the LTCR Plan is to identify and set priorities on a series of projects that will help jump start recovery with funding and technical resources provided through a variety of sources. Community Development Block Grant funds and State CD Agencies may be an important resource for recovery; but they don't need to be the only resource.

DATA COLLECTION

Much of the data and resources normally used to guide community decisions may be damaged, destroyed, or no longer relevant due to changes to the community following a disaster. Regardless of status or availability, certain data is necessary to perform assessments and understand needs. This section focuses on the importance of procuring data, measuring capabilities, cataloging resources, and coordinating with public and private agencies to archive or restore information. The recovery process will require data related to housing, the economy, the environment and infrastructure. The following is a list of sources that may be used to collect this data.

▪ **Housing**

After a disaster, finding good sources of housing data is a significant challenge. The sources for post disaster housing data related to the make-up of housing type in a community and/or measuring the demand for housing is typically limited or non-existent. Collecting data to quantify housing need should include:

- Pre-disaster Community Development or Comprehensive Plan documents
- Census data
- Field or windshield survey of post-disaster housing conditions
- Public Health Analysis Report (post-disaster)
- Surveys taken by other agencies (such as USDA)
- SBA and FEMA Individual Assistance (IA) data (due to confidentiality issues, some or all of this data may not be available)

• **Economy/Business**

Pre-disaster economic conditions are an important measuring tool. The economic measurements should include:

- Amount and type of existing businesses
- Location(s) of existing businesses or services;
- Number of employees
- Property values and capital investments
- Local and State tax revenues

The best source, in terms of direct disaster impacts to business, will be the local businesses and the Small Business Administration (SBA). To gather SBA data, coordinate with the State Coordinating Officer (SCO). Other business / economic data may be obtained from the following sources:

- State Agencies (Economic Development; Community Development, etc.)
- GIS data related to pre-disaster business locations (FEMA, USACOE, etc.)
- USDA-Rural Development, NRCS, or FSA
- Economic Development Administration
- Local and State Chamber of Commerce
- Local economic or community development agency, or planning department
- Local post-disaster survey data, etc.

▪ **Infrastructure**

Preliminary damage assessments may provide some limited source data for infrastructure or other community sectors. Ultimately, the best source for this data will come from the local public works director, local and State highway departments, Fire and Police Departments, Emergency Operations staff, or other local officials. Infrastructure data should include:

- Utilities (water, sewer, electric, gas, stormwater)
- Streets and Transportation
- Critical Facilities (hospitals, emergency services),
- Key governmental offices

Additional information may be obtained from FEMA Project Worksheets (PWs) developed by FEMA Public Assistance (PA) staff. Again, work with the State Coordinating Officer to obtain this data.

▪ **Environment**

Data related to the environment can also be a challenge to collect after a disaster. Pre-disaster data can be compiled from a variety of State and federal sources and on-line databases. Environmental data should include:

- Lakes, streams, wetlands and other waterways or features
- Land Use and development pattern
- Sensitive or historic properties or features

To understand the environmental impacts from the disaster it is important to meet with State and Federal agencies, as well as the specific agency personnel deployed to the disaster. These agencies include, U.S. EPA, Departments of Energy, Interior (USFS, NPS), and Agriculture (NRCS), and State Environmental and Natural Resources personnel. There may be other agencies related to coastal and waterway issues (including the U.S. Army Corps of Engineers, NOAA, Coast Guard, etc.) that can provide assessment information.

WHAT IS THE PRODUCT?

The product of the LTCR process is a strategic recovery plan with a series of projects, programs or processes that have been ranked as high, moderate, low or community interest projects. The Long-Term Community Recovery Plan is not like any other planning document. It is, by design intended to be a grant application document for community recovery.

How does a community benefit from LTCR?

- It brings the community together after the disaster
- It provides common ground for discussing issues and developing ideas to bring the community back safer, stronger and more sustainable
- It creates and prioritizes catalytic projects
- It identifies funding and fund leveraging opportunities for plan implementation

The LTCR Plan is a process that produces projects at the local level worth State investment.

WHAT IS A RECOVERY PROJECT?

A recovery project is one that supports the re-establishment a healthy, functioning community that will sustain itself over time.

Recovery projects should be identified as part of the community involvement process, including community meetings, discussions with community leaders, organizations, and agencies, and from existing plans for the community. Collectively, the projects identified should accomplish the vision and goals identified during the LTCR process. In addition, the LTCR team may formulate and assess projects that were overlooked during the community involvement process, but that could address important post-disaster community needs.

In addition to the projects identified through the community involvement process, it is important to work with the FEMA Public Assistance (PA) staff to understand what community projects might be eligible for Public Assistance.

Communities should consider the value of grouping projects that are related and/or that create greater community benefit and value combined than when viewed separately. Grouping projects in this manner may open up opportunities for funding that may not have been considered if each project is assessed on its own.

G. Prioritizing Recovery Projects

Community recovery planning results in a variety of projects and programs. The process also identifies a wide range of resources and funding sources. Which project should begin first? Which resources should a community target for support? Prioritization of community projects and programs provides guidance for the allocation of Private, Local, State, and Federal resources.

Identifying a project that can serve as a catalyst for recovery begins with an understanding of the difference between such things as competing priorities and implementation time limits between projects that are all warranted; such as, a hospital, a fire station, or school. It is important to focus on unifying the community; therefore every project, large or small must be evaluated and prioritized for implementation.

Each project must satisfy two guiding principles: **Does the project address the Vision and Goals of the Community** and **does the project focus on overall community recovery?**

In an example where a downtown business district has been destroyed in a disaster, the goal might be to “rebuild downtown,” and this may seem like the beginnings of a project. For community recovery, it is not considered a project (it may be an overall strategy / goal, but it is not a project). Rebuilding downtown requires a large group of public and private stakeholders to make independent business decisions and act in a coordinated manner.

After a disaster everyone is in the same condition, trying to figure out who wants to be first to take the risk. A recovery project might be *to establish a public private partnership to develop an incubator building downtown* that enables a group of businesses to share the risk and rewards of being the first to rebuild. This project supports the strategy / goal of rebuilding downtown. The success of this building can be a highly visible “sign” of recovery in the community, creates a place where the community can gather, provides employment and provides the spark for other businesses to rebuild their buildings downtown.

PROJECT PRIORITIES

Making decisions about setting project priorities is difficult, even more so after a disaster when it seems that everything is critical and everything has to be addressed. It is this sense of urgency, to get lives back to a sense of normalcy that creates the need for establishing priorities because all issues can’t be addressed at once. Thus the planning process needs to have a method for setting priorities. One that has been used successfully in the past by Long-Term Community Recovery Teams for recovery plan development is called “Recovery Value,” and it is a designation assigned to a project that indicates its ability to help jump-start (serve as a catalyst to) community recovery. The objective here is to provide a model that can be adapted to a variety of circumstances. The intent of any method for setting priorities after a disaster should be based on:

- Addressing a broad range of issues
- Promoting a functioning and healthy economy
- Supporting infrastructure optimization
- Encouraging provision of a full range of housing opportunities

In the Long-Term Community Recovery “Value” process, each project is assessed based on the degree to which it assists the community in its recovery from a disaster. A high recovery value project:

- **Meets a Post-Disaster Community Need:** Post-Disaster Community Need varies depending upon the magnitude of the event and the impact of damages affecting your community. Community Need projects are those that satisfy a previously identified need, leverage other projects or funding sources, or have broad community support.
- **Project Feasibility:** Can the project actually be achieved with available resources, within regulatory and logistical constraints, and within a realistic time frame? Does it have sufficient community support to get off the ground?
- **Project Sustainability:** Sustainable development projects are those that can help prevent acts of nature from becoming disasters. Sustainable development implies not only disaster-resistance, such as relocating a structure or restricting new construction in particularly vulnerable areas, but also resource efficiency, or the prudent use of energy, water, and natural resources to ensure healthy communities for future generations to come.

- **Cross Cutting Benefits:**

- Projects that create jobs, reestablish critical infrastructure that allow the economy to function, and provide new economic opportunities for future generations.
- Projects that are highly visible and have a significant impact on personal courage and community spirit during a time of extreme stress and uncertainty.
- Projects that promote linkages throughout the community and leverage other projects and funding.
- Projects that improve the quality of life and have a direct impact on the decision that businesses and people make regarding relocation or returning to the community.

WHAT IS "CROSS CUTTING?"

A crosscut saw cuts as it's pushed it against the wood and as it is pulled back toward you. Thus it has twice the cutting power of a saw with teeth pointed in one direction. The same can be said for a cross cutting recovery project. It will have benefits in more than one sector of the community.

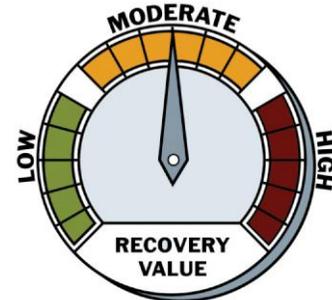
Projects in the Long-Range Community Recovery Plan are assigned one of four Recovery Values:

- High
- Moderate
- Low
- Community Interest

A fourth category, "Community Interest" is used to designate projects that have significant local support, but either cannot be implemented in a time frame that will substantively affect recovery or do not clearly promote any key disaster recovery goals.

As an example, a **High Recovery Value** (high recovery priority) project will:

- Fill a post-disaster community need
- Provide leveraging and create linkages for other projects and funding
- Be related to the physical damage from the disaster
- Encourage private investment
- Have strong community support
- Have access to the resources needed to carry out the project
- Be realistic in its outcome - is achievable
- Avert future losses
- Use resources efficiently
- Have community-wide impact



The **Reference Library** of this Toolkit provides a worksheet related to the criteria for setting recovery value for LTRC projects.

The recovery value process has been developed through FEMA LTRC Teams and their experience in undertaking recovery planning. It is a guide based on this experience and can be tailored to fit your community vision, goals and objectives. The important part is to identify projects that the entire community can get behind and whose implementation will foster a positive reaction, increasing the pace of community recovery.

NOW WHAT?

Some high value recovery projects and programs have been identified; the next step is to identify the funding needed to implement the project/program. An important role of the State is to respect the community-based plan and strategic priorities that have been established.

In a situation where CDBG funding is to be used for project implementation the plan can be used to fulfill the HUD Planning requirements and CDBG funding programs can be designed to implement high priority recovery projects. Seriously, it is that simple.

For local communities, the next step is to have each of the local jurisdictions take action to adopt the Plan; this includes the Chamber of Commerce or other local business organizations. Next, seek letters of support for the plan from State and federal legislators.

For both Local and State planners, remember one important element. The plan is not complete; it will evolve over time. It is important that the “founders of the plan” continue to meet regularly to review progress and discuss issues and changes that may need to take place.

H. Leveraging Funding and Resources

While the immediate objective of leveraging funding and resources is to bring together such support from a variety of sources and stretch limited funding, the long-term objective is to grow and enhance the number and commitment of the pool of financial supporters, so that the risk and impact of funding loss can be mitigated against, and steady streams of high quality financial and other support can be secured for long-term recovery efforts that typically extend years beyond the initial funding.

Establishing early on a good system to know your potential and expected funding support, i.e., understanding each fund’s and its originator’s purpose and mission, support capacity and coverage, limitations, restrictions, and requirements would be key to successful leveraging. To assist with this effort, a *Checklist for Coordinating Multiple Funds for Recovery*, has been created and included at the end of this section.

This section also includes brief descriptions under *FEMA: A Key Resource for Long-Term Recovery*, on funding support from FEMA, which is an important resource for disaster recovery. Though different from HUD and the CDBG program, funds from both federal agencies have been jointly utilized in places such as Louisiana post Katrina (Examples are included in the Checklist at the end of this Section). This section describes what constitutes eligible activities under FEMA Public Assistance and Hazard Mitigation Grant Programs, as well as two important subjects of Local Match Requirements and Duplication of Benefits with case studies.

This section concludes with a reminder that successful leveraging is a key to any good financial strategy to support long-term recovery. However, a good financial strategy requires more than just leveraging, it also requires a good systematic process in knowing the needs (part of overall recovery planning effort) and funding gaps (part of financial strategy development), along with knowing your funds and how best to sequence their use.



FEMA: A KEY RESOURCE FOR LONG-TERM RECOVERY

Among the many federal agencies and programs that can offer disaster financial and technical assistance, FEMA is a key player with funds specifically designed for both individual and community recovery. Along with HUD’s CDBG funds, some impacted communities have utilized both funds to finance post-disaster rebuilding projects. Following diagram illustrates how both CDBG and FEMA funds have been jointly used to rebuild schools in New Orleans area. Note how FEMA PA funds provide in some cases a significant share of the total project cost.

FEMA PUBLIC ASSISTANCE (PA) PROGRAM - INFRASTRUCTURE FUNDING

FEMA Public Assistance funds play the role of restoring public infrastructure to pre-disaster conditions. Something that often happens, in particularly after a major disaster, is restoring things to “pre-disaster” conditions. There is a desire to improve so that the community is safer, stronger and sustainable. Thus FEMA Public Assistance funds are typically the first line of funding for many Long-Term Community Recovery projects. Each State CD Agency should have a copy of the latest version of the *Stafford Act* and *Public Assistance Guidebook*. When a federal disaster declaration is made these documents will become essential. Know them as well as your own program funding. The key is to package funding sources in a manner that does not cause duplication of benefits that will reduce funding from one source when using a second source. Work closely with your FEMA Public Assistance Coordinator to ensure positive results.

For public buildings, FEMA Public Assistance will be the first funding available for restoring the facility to pre-disaster conditions.

The key to remember in disaster recovery is that FEMA PA funds do not have a ceiling for eligible work. In other words, use the funding resource that has no limits, before using any other funding. There are a couple of restrictions with the FEMA PA program funds. The first is that program will only restore a facility to pre-disaster conditions. Therefore, if the project was previously placed in a poor location, or lacked capacity for future community development, these issues will not be resolved through the application of FEMA PA funding.

If the “poor location” is based on a floodplain, then HMGP 404 funds can leverage the PA funds to relocate the facility. These funds should work together seamlessly, but assume nothing and make sure coordination is occurring. In a disaster, everyone has their heart in the right place, but just like anything else little things, including program interpretation, can delays or roadblocks.

In a case where the facility lacks the capacity to meet the community needs, the FEMA PA funding will continue as the first source in a sequence of funding resources. In FEMA terms, this is considered an Alternate Project. This situation means that:

Occasionally an applicant may determine that the public welfare would not be best served by restoring a damaged facility or its function to the pre-disaster design. This usually occurs when the service provided by the facility is no longer needed, although the facility was still in use at the time of the disaster. Under these circumstances, the applicant may apply to FEMA to use the eligible funds for an Alternate Project. The alternate project option may be proposed for permanent restoration projects located within the declared disaster area. All requests for Alternate Projects must be made within 12 months of the kickoff meeting and approved by FEMA prior to construction.

CAPITAL IMPROVEMENT PROGRAM FUNDING SOURCES: EXAMPLE SCHOOLS



	Cohen	Crossman	Gentilly Terrace	MLK	Marshall	McDonogh 28	Schaumburg
FEMA	\$3,488,664	\$198,724	\$1,822,475	\$2,519,989	\$528,452	\$191,460	\$4,043,133
CDBG	\$1,089,541	\$2,779,024	\$2,647,553	\$3,884,732	\$0	\$0	\$682,764
Funding TBD	\$0	\$384,727	\$0	\$55,729	\$7,497,365	\$1,546,611	\$966,825

FEMA HAZARD MITIGATION GRANT PROGRAM – 404 AND 406 ELIGIBLE ACTIVITIES

Hazard Mitigation Grant Program funds (HMGP 404 and 406) are federal funds administered by the State (similar to the CDBG program). The 404 funds are disaster related mitigation grants and enable the State to fund improvements to public facilities that will reduce the impact of future disasters. Hazard Mitigation Grant funds provided through the 406 program are pre-disaster mitigation resources operating independently of disaster relief and recovery funds and is administered through the State for reducing hazards prior to a disaster.

Examples of projects can be found on the FEMA website at:

<http://www.fema.gov/mitigationbp/bestPracticeDetail.do?mitsId=4306>

HMGP funding is tied to a FEMA approved County Mitigation Plan and is typically administered through the emergency management agency at the State and local level. A State CD Agency, with a responsibility for disaster recovery, should understand the plans and personnel involved with State and Local emergency management agencies. The plans will help a State CD Agency identify areas of high-risk in the State and are an important source of funding, should a disaster occur. Keep in mind, if there is not a HMGP Plan in place it will impact eligibility for 404 funds. This will reduce opportunities for leveraging and place additional pressure on local funding.

The costs of restoring damaged facilities are eligible for public assistance funding, but only on the basis of the facility's Pre-Disaster Design. Pre-disaster design is defined as the size and capacity of a facility as it existed immediately prior to the disaster. *Source FEMA PA Digest.*

CORE SHARES/MATCH REQUIREMENTS

FEMA Public Assistance grants have a 25% match requirement. In a perfect world, each local government jurisdiction has set aside a rainy day fund to handle disaster recovery matching funds. Aside from the challenges of maintaining a balanced budget from fiscal year to fiscal year, a disaster brings out issues and challenges that could not be foreseen. Putting together matching resources is a challenge that State, local and non-profit agency officials must coordinate. To identify and document match sources such as "in-kind" match for volunteer hours. In-Kind matching can literally save millions of dollars; but these hours must be documented. The strategic use of matching funds is the first step toward maximizing resources for recovery.

DUPLICATION OF BENEFITS

In most cases federal funds being used for disaster recovery cannot be "duplicated" with other federal or non-federal funds. Essentially this means that if an insurance settlement will provide adequate funding for damage restoration the project will not be eligible to receive federal funds.

FEMA disaster assistance funding does not allow for duplication of benefits between its own programs and insurance recoveries and between its own programs and assistance provided by other Federal agencies. If an Applicant can obtain assistance for a project from another Federal agency, then FEMA cannot provide funds for that project.

GOOD FINANCIAL STRATEGY: A KEY TO SUCCESSFUL RECOVERY

As stated in the introduction, successful leveraging is a key to any good financial strategy to support long-term recovery. However, a good financial strategy requires more than just leveraging, it also requires a good systematic process in knowing the needs (part of overall recovery planning effort) and funding gaps (part of financial strategy development), and knowing both your funds and how best to sequence the use of them.

Grants and cash donations received from non-Federal sources designated for the same purpose as public assistance funds are considered a duplication of benefits. However, these funds may be applied towards the non-Federal cost share. Grants and cash donations that are received for unspecified purposes or ineligible work do not constitute a duplication of benefits.

KNOWING YOUR NEEDS & FUNDING GAPS

An important task of a sound financial strategy for community recovery is to identify funding needs early and as accurately as possible. The Long-Term Community Recovery planning process includes the services of a cost estimator to develop conceptual cost estimates for recovery projects in the plan. In addition it is

important to identify the funding gaps for project implementation and then to combine and sequence funds in a logical, timely fashion.

FEMA ESF#14 – Long-Term Community Recovery, an essential technical assistance provided by FEMA can and has helped impacted communities in identifying funding needs, gaps and opportunities as a part of the needs assessment process, recovery planning and resource coordination support.

SEQUENCE OF FUNDING

There was a discussion about insurance proceeds earlier; insurance proceeds are the first line funds in the sequence of disaster recovery. Responsible leadership should maintain reasonable and adequate insurance against unforeseen circumstances. This may be through the National Flood Insurance Program (NFIP) or through private insurance companies, or both. This applies to homeowners, businesses, all the way to elected officials leading parish, county or municipal government. The challenge comes from the unforeseen; such was the case in Mississippi when Hurricane Katrina generated record storm surge causing catastrophic flooding in areas outside the mapped floodplain. Public and private structures may have had adequate insurance; but they did not carry flood insurance. Therefore damage from the surge-generated flood was not covered. This is where federal and State funding comes into play.

The funds typically used for disaster recovery include:

- Insurance
- FEMA Public Assistance
- Hazard Mitigation Grant Program
- FEMA Community Disaster Loans
- USDA Rural Development
- HUD CDBG / Supplemental
- State funding
- Local governing agency funds (tax revenue and bonds)
- Grants, Donations via private non profit agencies and foundations
- Volunteer labor and Volunteer Technical Assistance

Case Study – Greensburg, KS

A water tower was destroyed in a tornado. The water tower had a 50,000-gallon capacity and had an estimated replacement cost (pre-disaster conditions) of \$750,000 per the FEMA Project Work Sheet. The community wanted to triple the capacity of the water tower in order to provide adequate water for future community development. This would require \$2.25 million to accomplish. This was a significant increase over the cost of the FEMA project and the city did not have the resources to accomplish the project. Another federal agency stepped in and stated that they were going to partner with a local agency and community foundation to fund the project. The local agency had collected \$100,000 in donations from sister agencies and the local foundation had \$150,000 dedicated to disaster recovery for the community and the "other" federal agency would use this money and add \$1 million from their disaster recovery funds to complete the project. What happened is that the \$750,000 FEMA PA grant disappeared because another federal agency was taking the lead in the project. This invoked the duplication of benefits clause in the grant and the community would lose three quarter of a million dollars. What was required was a re-working of the agreements between the agencies. The local community foundation used it's resources to match the 750,000 FEMA PA grant (\$75,000) and the federal agency and contributions from the local agencies were used to fund the "improved" portion of the project. Which amounted to 750,000 donated funds and \$1 Million from the "other" Federal agency.

Not only is this a lesson in coordinating and sequencing funds; it also demonstrates strategic fund leveraging. Donated and foundation funding was leveraged in a manner that enabled these organizations to undertake other projects with the money; thus, a win for community recovery. By taking a forward looking approach and working through the issues, the community was able to provide an adequate water supply for businesses rebuilding and future growth and relocations to the community.

Disaster is both a tragedy and an opportunity.



CHECKLIST FOR COORDINATING MULTIPLE FUNDS FOR RECOVERY

The following table serves as a checklist to help coordinate multiple funding sources for LTRC. The checklist contains 10 categories of questions that can be used to capture critical information for any one funding source. Information collected from various funding sources can help to coordinate how multiple funding sources can be co-mingled and leveraged, while understanding the application and allocation process.

CHECKLIST FOR COORDINATING MULTIPLE FUNDS FOR RECOVERY

#	CATEGORY	KEY QUESTIONS	EXAMPLE
<input type="checkbox"/>	Fund Program	<ul style="list-style-type: none"> Name of the funding program 	FEMA Public Assistance (PA)
<input type="checkbox"/>	Funding Entity & Authority	<ul style="list-style-type: none"> Is the funding source a public, private, non-profit entity, individual citizens, or a combination of any of the above? If public, is it a federal, state or local government? Under which legal authority is the fund permitted? 	Public source: FEMA (federal), Stafford Act
<input type="checkbox"/>	Fund's Purpose or Focus; Fund Types & Sources	<ul style="list-style-type: none"> What type of needs, functions, services or sectors is the fund designed or restricted to support? Examples: <ul style="list-style-type: none"> Economic revitalization Infrastructure restoration Housing redevelopment Human Services Direct payment to individuals, community grants, or loans and loan guarantees Local City's rainy day fund, bonds, taxes, fees, donations/gifts, congressional appropriations 	Restoring public facility/ infrastructure damaged by disaster; Grants to state or qualified organizations; Congressional Appropriations
<input type="checkbox"/>	\$ Amount	<ul style="list-style-type: none"> Is there a funding cap? What is the maximum allowable per funding cycle, incident, or recipient? Or is the fund cap expandable, based on the funding entity's discretion, and/or limited by applicant's eligibility 	Potentially unlimited \$ and Recipients; based on eligible projects
<input type="checkbox"/>	Application, Eligibility & Approval	<ul style="list-style-type: none"> Who or what can apply? When can the application be made? Is there an intermediary between the final recipient and the primary funder? What are the eligibility criteria? What may disqualify an application? 	Qualified public or non-profit entities thru state; Post disaster & Pres. Declaration...
<input type="checkbox"/>	Fund Flow & Leveraging	<ul style="list-style-type: none"> Does the fund require an intermediary or partner to flow or receive the funds? Can the fund be blended or braided with other funds? Can the fund be used to leverage, or be leveraged by other funds? 	State Emergency Management...
<input type="checkbox"/>	Matching, Cost Share	<ul style="list-style-type: none"> Does the fund require cost share, local match, etc? If yes, what is the share ratio between the recipient and the funding entity? 	Typically 75% fed & 25% State & Local
<input type="checkbox"/>	Waivers	<ul style="list-style-type: none"> Are there requirements for eligibility, fund usage, or compliance that can be waived? And under what conditions would that occur? 	Local 25% cost share may be reduced if...
<input type="checkbox"/>	Reliability, Risks & Other Costs	<ul style="list-style-type: none"> How reliable is the fund: i.e., in terms of getting it approved, authorized and allocated in the proper amount and within the necessary timeframe? What risks may there be associated with the fund: i.e., in terms of it being reauthorized under the next fiscal year appropriation? And how good is the "firewall" set up against potential budgetary and legislative changes? Is there other associated costs such as interest expenses and compliance and enforcement 	Application (i.e., PW write-ups) can be time intensive; Fund for approved project is generally unaffected by budget deficits on the federal level...
<input type="checkbox"/>	Important Dates & Timing	<ul style="list-style-type: none"> What is the fund's deadline dates for application, award, use-by/lose-by, compliance, etc? And how are these dates coordinated with those of other funds? And very importantly, how is the timing of the fund's use coordinated with the local/state long-term recovery plan, process and priorities, and how is the timing of the fund's use maximized to best leverage other funds? For example: <ul style="list-style-type: none"> Is the timing of the local's LTRC process and actions dictated by the fund's deadline dates, or by its LTRC plan and priorities? Is a less restrictive fund being put to use based solely on its various important dates or availability before other more restrictive funds is first considered? 	Addressing the 2 nd bullet: While PA has definite dates for items in 1 st bullet, timing of PA funds are not automatically in sync with local and state recovery priorities and timeframe.



DISASTER RECOVERY TOOLKIT

MODULE 5 PROGRAM IMPLEMENTATION

JUNE 2008

FOR STATE COMMUNITY DEVELOPMENT AGENCIES





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MODULE 5

HOW TO USE THIS MODULE

The Toolkit is comprised of five separate Modules. The Modules are sequentially numbered for ease of identification. However, the Toolkit is NOT a linear document. Each Module is designed to stand-alone and allows target users to simply pull out the module that is appropriate to their mission.

While State Community Development Agencies are the primary audience for this Toolkit, the Governor's office, other State agencies, and Local Government can also benefit from the information and guidelines contained in this Module and the Toolkit.

The audience for this Module may vary from State to State and will vary depending on how the recovery effort is organized in each State.

MODULE 5 Program Implementation	
TARGET AUDIENCE	<p>Target Audience</p> <ul style="list-style-type: none"> • State CD Agencies • Governor’s office <p>Other Audience</p> <ul style="list-style-type: none"> • Other State Agencies • Local Government
OBJECTIVE	<ul style="list-style-type: none"> ➤ Provide examples of lessons learned and best practices to assist the State CD Agencies in designing their recovery implementation approach and mechanisms, such as programs for delivering recovery resources to evaluating outcome, to mutual aid and surge staffing
TOOLS	<ul style="list-style-type: none"> ▪ Disaster Recovery Scenarios, Examples and Web links.
Module 5 - Subsection Contents & Focus	
A. INTRODUCTION	Module 5 addresses the specifics of disaster recovery and the CDBG program by providing process and procedure with scenarios and case studies in a manner that ties them to practical application.
B. DISASTER RECOVERY APPROACH	Depending upon a variety of influences, the State CD Agency may approach the use of disaster CDBG funds in a variety of ways. This section discusses those influences, identifies two major approaches to recovery from which the following sections on design and delivery will be compared.
C. PROGRAM DESIGN	Each State has a unique way of matching their program to fit the approach taken to recovery. This section identifies the elements of program design and any alternatives that states have used to accomplish their desired results.
D. CDBG ACTION PLAN	The Action Plan document serves as the “application” to HUD and the “contract” with HUD for the use of CDBG funds. This section covers key Action Plan elements for disaster recovery (also discussed in Module 3).
E. PROGRAM DELIVERY	This section covers the Method of Distribution of the Funds; staffing and human resources; building capacity at the state and local level; communication, and program evaluation.
F. STAFFING AND HUMAN RESOURCES	With the large amount of work to be done following a disaster, additional assistance will be needed. This section reviews the methods to address short- and long-term capacity.
G. CONTRACTING / MEMORANDUMS OF UNDERSTANDING	This section reviews formal contracting methods and memorandums of understanding to develop capacity and provide adequate program delivery.
H. EVALUATING THE PROGRAM	This section discusses the establishment of disaster recovery program tailored to the disaster and the reporting requirements for such an evaluation.
I. PRE-DISASTER PREPARATION FOR THE STATE CD AGENCY	This section offers a checklist for the State CD Agency in order to prepare for disaster conditions and enable the organization to provide the highest level of service during a disaster.

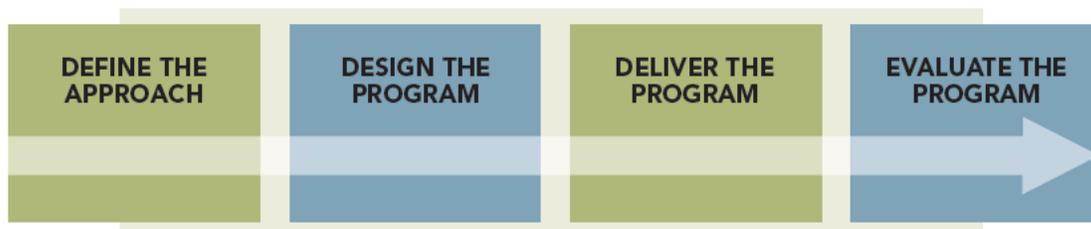
A. INTRODUCTION

Every disaster is unique and every response by a State Community Development Agency may be just as unique. Although the use of Community Development Block Grant funds are a typical part of disaster recovery for communities, the application or use of those funds does not fit into a single method or practice. CDBG funds by definition are flexible and just as no two State CDBG regular programs are identical, neither will any two-recovery programs. When a supplemental appropriation is provided in response to a disaster, the legislation is often drafted with unique guidance, focus, requirements and uses language with specifics directed at the unique disaster. This factor alone requires that the program design and delivery be specific to the circumstance. The CD Agency may become familiar with the process, but the art of creating the recovery program will be theirs alone.

Module 5 addresses two distinct approaches to disaster recovery by State Community Development Agencies: a Recovery Approach and a Community Enhancement Approach. Often, both of the approaches are used in any disaster recovery process. Program design and program delivery are presented, the components of which include the action plan, method of distribution, waivers, and program evaluation. Program design and delivery should be developed in a way to meet the recovery approach and the desired outcomes. Examples and scenarios are interspersed through the Module to add practical application to the processes described.

Finally, the Module concludes with a section on pre-disaster planning as it relates to the State Community Development Agency.

THE RECOVERY PROGRAM PROCESS



B. DISASTER RECOVERY APPROACH

A major disaster will disrupt every aspect of normal life for a community, region or in extreme cases over multi-state areas. Approaching recovery from a disaster must consider the fact that in many ways the affected area has much in common with less developed countries where basic needs, individual physiological needs and community safety needs are not being met. After a disaster, affected residents may find that they cannot drink the water; they must receive food from others, are sleep deprived, or may lack medical services. During early response phases Local, State and Federal agencies are striving to meet these “present needs.”

There are three items to consider as a State CD Agency develops a disaster recovery approach to transition from immediate needs in early response to long-term recovery needs. The first relates to the size and scope of the disaster, the second relates to what the affected community can handle and the third relates to the political and cultural organization and operations within your State.

SIZE AND SCOPE OF THE DISASTER

If a major disaster affects a densely populated metropolitan area and significantly impacts housing and/or the economy, then the State CD Agency approach should consider assisting with both immediate needs and the community recovery goals. Similarly, if a disaster impacts a large percentage of the population over a wide geographic area (both urban and rural), then the impact to local capacity may necessitate a State led approach to recovery.

If the disaster has a significant impact on a small rural community there may or may not be Federal supplemental funding available. Local elected officials may develop their own vision, goals and objectives and a plan to implement these elements. In this setting, this plan may drive how the State CD Agency approaches program design.

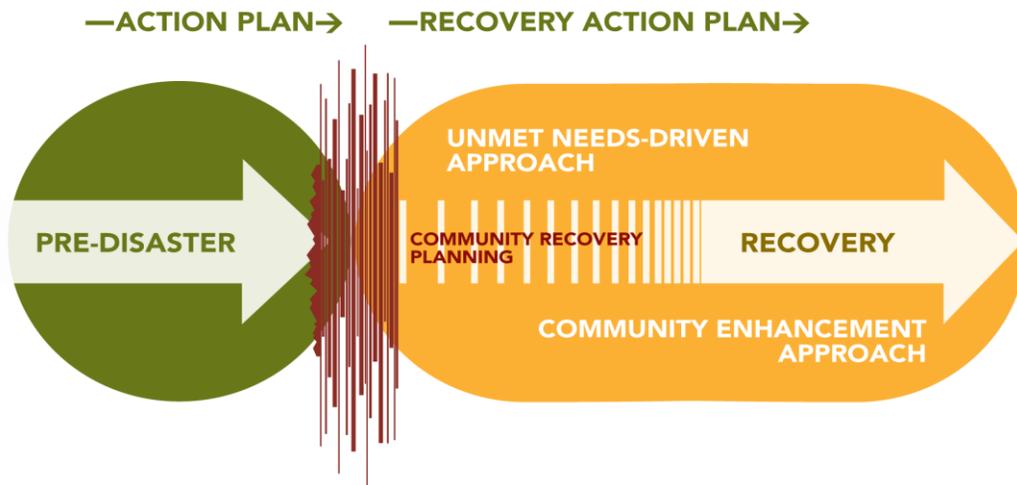
WHAT THE COMMUNITY CAN HANDLE

State CD Agency may participate in short term recovery where “need” is driving funding decision. This approach to recovery attempts to address some of the immediate funding gaps for individuals, businesses, and key infrastructure facilities in the community; often these programs focus on “restoring pre-disaster conditions.” This approach is depicted in the Disaster Recovery graphic by the brown circle.

Over a period of time, the community transitions from short-term to long-term recovery community. Residents and community leaders begin to focus less on the emotional and individual needs and place more emphasis on rebuilding the social fabric of the community. There is not a specific point in time where this will occur. Each individual re-establishes balance and is ready to take on broader issues at his or her own pace. Once a critical mass of the community has reached this point, the program approach can be driven by goals that define what is needed.

While the community is still focused on the individual needs, the community recovery planning effort (as described in **Module 4**) may begin. The community recovery planning process ends when the community begins moving forward to a new vision, has set strategic goals and objectives and identified, and prioritized projects that will foster recovery. One of the most important benefits of the community recovery planning process is that it assists communities in the shift from a focus on individual needs into a mode where they can envision a future and set goals as a collective community.

APPROACHES TO A STATE DISASTER RECOVERY PROGRAM



POLITICS & CULTURE

The political structure and cultural that your State has will also influence your approach to disaster recovery. Politics can and will play a major role. In fact, it is possible that strong State leadership might define the program and your agency takes on the role of putting the details into the delivery program. Another option is that the Governor gives your agency the task of determining the approach, designing and delivering the program. Or something in between might occur. What is important is that you know the political landscape and prepare your agency to be responsive in supporting State and Local recovery objectives.

Remember that there is not a single best approach; it might be that the program will need to address present needs in the early stages of recovery and shift to a “goal” approach as the community becomes stronger. It might be that the political structure defines your approach to fit specific State goals or it could be that the size and scope of the disaster have other agencies stepping in and addressing the needs driven aspect of recovery. Having a solid assessment of the situation and the players will enable you to take an approach that will meet the affected community’s needs. Additional discussion on State politics and culture may be found in **Module 3**.

C. PROGRAM DESIGN

Thoughtful evaluation to the approach that is proposed for disaster recovery will help the State CD Agency design a program that implements the approach. It is important to recognize that people and communities will not progress from “response” to the next level of need until their current needs are addressed. It also becomes a matter of State choice about how to use the resources of the CDBG program in a disaster recovery. Which level of need is covered; individual needs or community needs? Can your Agency cover work to cover needs in more than one level at a time?

DISASTER RECOVERY AND MARKET DEMAND

In addition to determining the approach used for recovery, a community’s pre-disaster condition and post-disaster market must be analyzed. Public assistance and public incentives can only go so far to create a vibrant economy where nature has struck a harsh blow, especially if all of the sectors were heavily affected. If the community was struggling prior to the disaster, in any sector, the disaster may represent an opportunity. But in order to take advantage of that opportunity, close attention has to be paid to personal reactions of people and businesses. Signs of private investment (people rebuilding homes and businesses cleaning up and reopening) are excellent indicators that the market demand is still there. It is the private dollars that will drive the recovery.

Public dollars are typically used to stage the opportunity for private investment to take place. Timing is important since the longer people have to wait for a good or service, the more likely they will seek that good or service somewhere else. The private sector is risk averse. Using public dollars in a manner that alleviates that risk, may aid in restoring the market and advancing the recovery.

Even in non-disaster times, the economic well being and the balance of the community is dependent upon the health in the job and business sector, available and suitable housing, solid dependable infrastructure, and a favorable environment in which to live, work and play. Communities address those issues daily and may neglect one for the other with little consequence, but when a disaster hits and if they are all affected the game changes. The sectors are inter-related and dependent upon one another.

Program design will be driven by the sectors affected and the strategies developed to create the opportunities for each to gain their vibrancy and health.

RECOVERY SECTORS



State CD agencies will be asked by localities for assistance with a variety of recovery needs. In many cases, the assistance will be driven by unmet needs from other resources or programs. In other cases,

desire for community enhancements will shape the approach and design for community development disaster recovery programs. A combination of the two approaches is also quite common.

UNMET NEEDS-DRIVEN APPROACH

If the approach is “needs driven” it is influenced heavily by the existing circumstances in any of the four main sectors: economic, housing, infrastructure, and environment. Deciding how to apply the CDBG resources to alleviate an unmet need for the short- or long-term will be the first step in program design.

Characteristics of program design that focuses on an “Unmet Needs Driven” approach often include:

- Speed
- Efficiency
- Capacity to deliver funding to a broad audience in a short time period
- Clear and concise eligibility standards
- Narrower field of categories or classifications
- Minimal award levels
- No discretionary evaluation or point scoring systems

The outcomes of “Unmet Needs-Driven” approach are measured by whether or not the immediate need was alleviated. The approach does not purport to obtain any further outcomes. Success is measured simply by addressing the immediate need and is not held to any future goals or expectations.

EXAMPLES OF CDBG USED IN A “UNMET NEEDS-DRIVEN” APPROACH

- Compensation for loss of housing where a single award amount is provided as an entitlement to all eligible parties
- Participating in levee repair
- Participating in utility restoration or temporary infrastructure for temporary housing

COMMUNITY ENHANCEMENT APPROACH

While an “Unmet Needs Driven” approach is influenced by a present circumstance, a “Community Enhancement” approach is influenced by a desire to create a different set of future circumstances at the community level.

Characteristics of a program design that focus on a “Community Enhancement” approach include:

- Grant distribution - process to design, receive and evaluate applications, but still timely enough to get the funding to the local community
- State and Local coordination on planning to identify priorities and outcomes
- Different categories of funding
- Funding minimums and maximums to meet detailed needs
- More discretionary decisions
- Prioritization of resources
- “Investment Approach”
- Assure maximum leveraging of funds
- Designed to promote private investment

The outcomes of a “Community Enhancement” approach are defined by the goal itself and measures for success may be more complex. The questions for evaluation may require an analysis of whether the cause and effect relationship that was designed into the program actually worked and whether the outcome was actually what was proposed.

EXAMPLES OF CDBG USED IN A “COMMUNITY ENHANCEMENT” APPROACH

- Filling the gap on a community project using FEMA Public Assistance “Improved or Alternate” funds in order to better meet the current and future needs of the community
- Creating a local revolving loan fund for small business with participating local banks
- Flood buyout and relocation
- Incentive programs for property owners to rebuild and relocate

HUD NATIONAL OBJECTIVE

The Community Development Block Grant funds are some of the most flexible funds provided to States and localities for development needs. By design and by statute, the funds work particularly well when used to fund disaster recovery activities. The *Housing and Community Development Act*, the law that

established the CDBG program, cites the use of the funds to “meet an urgent threat to health and safety” as one of the programs three overarching national objectives (the other two national objectives are: benefiting low and moderate income and elimination of slum and blight).

The “urgent threat to health and safety” national objective may be used by a State for CDBG funding in order address an urgent need in the community. A need is considered urgent if it:

- Poses a serious and immediate threat to the health or welfare of the community
- Has arisen in the past 18 months
- Cannot be addressed by the local community
- There are no other sources of funds to address the need

The HUD [Guide to National Objectives and Eligible Activities](#) offers the following related to records necessary to establish the use of the national objective:

- A description of the nature and degree of seriousness of the conditions requiring assistance
- Evidence that the State grant recipient certified that the CDBG activity was designed to address the urgent need
- Information on the timing of the development of the serious condition
- Evidence confirming that other financial resources to alleviate the need were not available.

LEGISLATION

Applicable legislative language and any program waivers sought or offered may affect how a disaster program is developed and designed. Supplemental CDBG language may direct the State to offer disaster assistance in some arenas that will require program design to capture that directive. Waivers may allow different eligible uses of the funds that then also dictate program design.

The [HUD Guide National Objectives and Eligible Activities](#) is located in the **Reference Library**.

This Guide offers the following commentary:

HUD may waive any provision of the regulations covering the CDBG program that is not required by the statute. The statute itself also provides that HUD may waive certain statutory provisions in the case of the use of CDBG funds to respond to a federally designated disaster (Section 122 of the Housing and Community Development Act of 1974, as amended). If a grant recipient wants to determine if a particular provision of the regulation can be waived, it should contact its local HUD field office to discuss the matter. Under the General HUD Program Requirements regulation at 24 CFR 5.110, HUD may waive a requirement for good cause if the grant recipient can show that applying the provision in the particular situation would result in “undue hardship” and “adversely affect” the purposes of the HCD Act. The applicability of the Part 5 waiver thresholds to the State program is cross-referenced at 24 CFR 570.480(b). Again, the local HUD field office can help the grant recipient with determining whether the test can be met. Waivers may only be granted by the Assistant Secretary for Community Planning and Development and must be published in the Federal Register describing the basis upon which the waiver was granted. Since rulemaking involves public participation, waiving any provision can have serious implications for the proper administration of the program. HUD therefore uses its waiver authority judiciously.

Some of the more commonly used regulatory waivers and suspended statutory requirements related to the CDBG program include ones to:

- Allow repair/replacement of buildings used to conduct the business of local government (which allows for repair or replacement of city halls and county courthouses destroyed by a disaster when local resources are not available)
- Achieve the required threshold of 70% of funds used to benefit low and moderate income over a 3-year aggregate period, instead of one year
- Minimize the requirements (timing, number of hearings) related to the Citizen Participation plans
- Eliminate or reduce certain Action Plan requirements such as certifications, level of narrative detail, certain content required in method of distribution
- Allow the change of the States program year (in order to gain quicker access to the regular allocation of CDBG funds)
- Eliminate certain Uniform Relocation requirements such as the 60-month tenant assistance in favor of 42 months

- Eliminate the one for one replacement requirements
- Eliminate the 50% limitation of costs related to down payment assistance for direct homeownership for LMI
- Remove the retention documentation requirement related to economic development programs
- Eliminate the match requirements for administration dollars that come as a result of the appropriation.

"DECLARED" DISASTERS

The description of the nature and degree of serious criteria listed above may be established through a "Presidential disaster declaration." A declaration occurs when the extent and cost of the damage achieves thresholds defined by Federal statute. The State makes an appeal to the Federal government when needs exceed resources and when damages meet or exceed the thresholds. The documentation associated with that type of a declared disaster would satisfy the CBDG criteria necessary to prove the "urgent threat" requirements.

There are circumstances where a State or Local disaster may not qualify for a "Presidential" declaration. CDBG funds may still be used in these circumstances. State CD Agencies must compile the records to assure the documentation listed above is met for disasters occurring without a Federal declaration. That may include a Governor's declaration or local government declaration in addition to the other evidence required.

An example of a Presidential disaster declaration may be found at:

<http://www.fema.gov/news/dfrn.fema?id=10516>

An example of a Governor's Executive Order may be found at:

http://governor.mo.gov/eo/2005/eo05_028.htm

PROGRAM DESIGN AS A STRATEGY

Many States design their regular CBDG programs with an "Emergency" category, where they assign an allocation intended to meet emergencies and disasters that may occur on an annual basis. Normally, the amount of money prescribed to this category is small and is based on historical amounts needed.

When a larger disaster strikes, the State CD Agency is faced with either amending the existing CDBG Plan or drafting a new plan specific to any supplemental appropriation provided.

Once a determination is used to place CDBG funds into disaster recovery, the State CD Agency will have to design a program. The program design should be considered one of the strategies to accomplishing the outcomes identified. Regardless of the "approach" (need driven or goal driven) there are outcomes desired. The design of the program will play a large part in accomplishing those outcomes in a timely and efficient manner. Using the design as a strategy means the State will ask what, when, where, and who the funding may be directed to in order to most directly accomplish the result:

- What use of funds best reflects the ultimate goal?
- At what point (when) would the investment of the funds offer the best result?
- Where should the funds be directed in order to accomplish the best result?
- Who should the funds go to in order to accomplish the result?

Samples of program design found within Action Plans for all active CDBG programs may be found at:

<http://www.hud.gov/offices/cpd/communitydevelopment/programs/drsl/activegrantee.cfm>

EXTERNAL INFLUENCES ON PROGRAM DESIGN

As discussed under the Approach section, there are external factors that may guide which approach is to be taken. That is also true for program design. External factors that impact program design include:

- The size and scope may dictate and necessitate more simplicity since the funding will likely reach a broader audience
- The State/Local capacity may allow for more or less personalized or packaged uses of the funds. Lack of capacity may mean program design is limited to existing areas of expertise
- The availability of other resources or the unavailability of other resources will play a larger part in any restrictions, match requirements, or other strategies implemented in design to maximize leveraging and other investments

- The amount of CDBG funds as they relate to disaster needs may drive a narrow program design in order to spread the funds further or one that "raises the bar" on the proposals submitted for consideration
- Politics can dictate program design by dictating the priorities or restricting the use of funds
- Environmental factors such as the capacity within the community to absorb displaced businesses and housing may dictate the use of the funds for particular activities
- Redevelopment timing and regulations (permitting Local/State/Federal) may impact design in order to have fund sources available at the right time
- A dispersed population may impact program design by requiring new mechanisms for communication, input and feedback, training, and access to applications

PROGRAM DESIGN INFLUENCES

Scenario A

After a major disaster where the Governor assumes a strong role in recovery, a State CD Agency may find that the recovery program is pre-determined and the role involves working with the local jurisdictions to administer a supplemental funding program.

Scenario B

The local community may have strong planning capacity and frequently utilizes Community Development or CDBG resources. A State CD Agency may only be responsible for allocating existing (or reallocated) CDBG program dollars to the disaster recovery effort because the community is familiar with the process and procedures and has adequate resources and capacity.

Scenario C

A community that has not utilized CDBG funds previously or only utilizes CDBG funds infrequently and is not familiar with the process and procedures. In this case, a State CD Agency may need to provide some additional technical assistance (either directly or through a contractor) to support the community in the utilization of Community Development resources.

PROGRAM DESIGN AS A STRATEGY SCENARIO

If the approach is to address an immediate human need, the state may request that HUD allow a direct allocation of funds from the State to the beneficiary, without granting an allocation to the local government. The immediate human need may also imply or call for a direct compensation payment in order to accomplish that goal. In contrast, if the approach is goal driven, the community development agency may create appropriate categories to reflect the goals, establish a priority point scoring system for evaluating the application and use discretion to choose those which will accomplish the desired result.

D. CDBG ACTION PLAN

Depending upon the appropriations law and subsequent Federal register guidance, the State may have a limited amount of required information to compile for the Action Plan. HUD has not eliminated the requirement altogether, but may streamline components in order to facilitate a timely access to funds for recovery.

HUD notifies eligible governments that must then develop and submit an Action Plan for Disaster Recovery before receiving CDBG Disaster Recovery grants. The Action Plan must describe the needs, strategies, and projected uses of the Disaster Recovery funds.

Samples of disaster Action Plans for all active CDBG programs may be found at:

<http://www.hud.gov/offices/cpd/communitydevelopment/programs/drsl/activegrantee.cfm>

Sample Action Plans for NYC Lower Manhattan and Louisiana may be found at the following web links:

<http://www.renewnyc.com/FundingInitiatives/HUD.aspx>

<http://www.doa.louisiana.gov/cdbg/dractionplans.htm>

At a minimum, the CDBG Action Plan content related to program design contains:

- A description of the State's plan
- A description of the need
- Identification of funding sources
- A list of proposed activities
 - A description of those activities
 - Applicable national objectives identified for each activity
 - A location description for the proposed activity
- Applicable dates
- Accomplishments and beneficiaries

Many supplemental appropriations require the Action Plan to also address how the State CD Agency will address and avoid any duplication of benefits. It is up to the administrators of disaster recovery funds, to establish a system to avoid the duplication of benefits (double funding from two or more government agencies of the same costs, or duplication of payments for losses paid by private insurance). Section 312 (a) of the Stafford Act, as amended States that no entity will receive assistance for any loss for which financial assistance has already been received from any other program, from insurance, or from any other source. The use of Federal and/or State funds granted for the same purpose clearly constitutes a duplication of benefits. Grant or cash donations provided by a third party also **may** constitute a duplication of benefits.

FEMA Disaster Assistance Policy 9525.3 describes the Duplication of Benefits policy associated with Non-Government Funds. The policy may be found at:

http://www.fema.gov/government/grant/pa/9525_3.shtm.

DUPLICATION OF BENEFITS

The effect of Duplication of Benefits (DOB) will vary dependent on how the state designs the program.

Mississippi and Louisiana designed programs as compensation grants, allowing the applicant unrestricted use of the grant funds received. Because the compensation payments were made to the households, the amount had to be reduced by the Duplication of Benefit amount. For example, if an individual household was eligible for \$150,000 in State disaster CDBG funds through the compensation program, and the household received a \$10,000 SBA loan, then the compensation grant was simply reduced by the amount of the SBA loan, and a check would be issued to the household for \$140,000 (\$150,000 less the \$10,000 SBA loan).

The Texas program design for single-family homeowners awarded funds for the reconstruction or rehabilitation of qualified applicant homes. This program distributes funds to contractors performing the work, but the DOB provisions caused significant delay in getting the money dispersed. For example, if the cost to rehab a home is \$30,000, and the household received a \$10,000 SBA loan, the state can only award \$20,000 toward the rehabilitation costs (\$30,000 less the \$10,000 SBA loan). The SBA loan is awarded to the household and the CDBG rehab/restore grant is awarded to a contractor. The applicant must find the necessary financing to cover the \$10,000 funding "gap." Funding these "gaps" has proven very difficult for households.

A New York program design included an interpretation that Duplication of Benefits equals the amount of interest savings from SBA's below market interest rates. Therefore the SBA loan amount is NOT deducted dollar-for-dollar from the CDBG program design.

Another issue occurs when households receive FEMA funds for costs associated with home repair, reconstruction, replacement housing, etc. (all considered Duplication of Benefits). These same households also faced daunting financial issues to sustain their day-to-day lives. In many cases the FEMA funds were not used for their intended purposes resulting funding gap issues.

E. PROGRAM DELIVERY

When the State CD Agency is developing the program design, they must also be thinking of how it will be delivered. The capability to deliver any portion of the program may also be listed as a factor influencing the design. No matter how well designed, a program cannot be successful without a manner to deliver it.

METHOD OF DISTRIBUTION

The strategy used to implement the program delivery is commonly called a method of distribution. The regulation that prescribes a CDBG Method of Distribution may be found at: 24 CFR 91.320(k)(1)(i) and 24 CFR 570.490(a)(2). HUD provides guidance on the subject through a Notice published in 2006. The website for that notice, titled **Notice CPD-06-11 - SUBJECT: Guidance on Preparation of the State CDBG Method of Distribution in Accordance with the Final Consolidated Plan Rule dated February 9, 2006** may be found at: <http://www.hud.gov/offices/cpd/lawsregs/notices/2006/06-11.doc>

The following represents specific excerpts from that Notice. The notice may be used as guidance even if a waiver for certain detail has been provided for a supplemental CDBG appropriation.

- The final rule clearly States that the Method of Distribution (MOD) must provide sufficient information so that units of general local government (UGLG's) will be able to prepare responsive applications. The regulation says that the MOD **shall** contain a description of **all** criteria used to select applications from local governments for funding including relative importance of the criteria. The MOD must include a description of how all CDBG resources will be allocated among funding categories and the threshold factors and grant size limits that are to be applied. The final rules also States in 24 CFR 91.320(k)(1)(i) that HUD may monitor the MOD as part of its audit and review responsibilities in order to determine compliance with program requirements.
- A major change in the February 9, 2006 Consolidated Plan regulations permits States to provide a summary of their selection criteria in the MOD as long as each of the criteria is summarized and the details are promulgated in application manuals or other official State publications that are widely disseminated to eligible applicants. The selection criteria summary must include a summary of the State's funding thresholds, number of applications allowed per grantee, as well as any grant limits that the State has imposed on the CDBG program.
- Section 570.490(a)(2) provides that the State shall keep records to document its funding decisions reached under its MOD including all the criteria used to select applications from local governments for funding and the relative importance of the criteria (if applicable), regardless of the organizational level (e.g. career staff or political-level officials) at which the final funding decision is made, so they can be reviewed by HUD, the Inspector General, the Government Accountability Office, and citizens.

ADDITIONAL METHOD OF DISTRIBUTION DETAIL

The method of distribution also refers to the national objectives for each activity, the criteria for application, the priorities established for the use of the funds, the amounts both allocated to a particular category, any maximums and minimum amounts allowed for any applicant, and the selection criteria used to award CDBG funds. It also includes any thresholds for participation such as damage thresholds; dollars per job created or per job retained, local match requirements and private investment requirements as a result of the use of public dollars. The goal of the detail of the method of distribution is to be such that the applicant understands how to respond, how to prepare their application, and what it takes to be successful.

The method of distribution of the recovery program may range from using the existing structure of the State CDBG program as it is established for the State's regular program and simply incorporating the disaster recovery activities into the recovery program; designing a completely new and separate disaster recovery program with new categories, different activities, different priorities, and different maximums and minimums.

DUPLICATION OF BENEFITS – CALCULATION EXAMPLES

It is up to the administrators of disaster recovery funds, to establish a system to avoid the duplication of benefits (double funding from two or more government agencies of the same costs, or duplication of payments for losses paid by private insurance).

Section 312 (a) of the Stafford Act, as amended states that no entity will receive assistance for any loss for which financial assistance has already been received from any other program, from insurance, or from

any other source. The use of Federal and/or State funds granted for the same purpose clearly constitutes a duplication of benefits. Grant or cash donations provided by a third party also **may** constitute a duplication of benefits.

Refer to the **Reference Library** for FEMA Disaster Assistance Policy 9525.3 describes the Duplication of Benefits policy associated with Non-Government Funds. The policy may also be found at: http://www.fema.gov/government/grant/pa/9525_3.shtm

DUPLICATION OF BENEFITS – CALCULATION SCENARIOS

Mississippi Homeowner's Grant Program Phase I is designed to provide financial assistance to those homeowners outside the flood plain whose homeowner's insurance did not cover structural flood damage. Single-family homes, owner-occupied duplexes and manufactured housing including mobile homes are eligible for grants under this program.

Under Hurricane Katrina Homeowner's Grant Program, the Mississippi Development Authority (MDA) did damage assessments. Eligible homeowners may receive up to \$150,000 or the insured value of their home multiplied by the percentage of damage the home received (whichever is less), less any insurance or FEMA payments for structural damage. If homeowners have a SBA disaster loan, SBA performed a duplication of benefit analysis to determine if the grant proceeds would be used to repay the loan. In addition, if homeowners must elevate their houses when rebuilding to reduce the risk of damage from future storms, they may be eligible for up to \$30,000 to cover the higher cost of construction. The calculation:

\$145,000 damage assessment
 (\$50,000) insurance proceeds
 (\$35,000) FEMA
 (\$20,000) SBA Loan
 \$40,000 MS Development Authority grant
 \$30,000 Home Elevation Grant (if eligible)
 \$110,000 Eligible Benefits from CDBG Supplemental program

Missouri Buy-out program with relocation (duplication of benefits calculation):

Acquisition Payment = Post flood value of the land and building
 Relocation Payment = Cost of a comparable relocation home outside the floodplain; less the acquisition value paid; less any insurance proceeds; less any FEMA Real Property IA payments; less any SBA proceeds
 = Relocation Payment not to exceed \$22,500.

PROGRAM STRUCTURE

A large part of any method of distribution is the structure of the program. Structure refers to the categories and activities decided upon to deliver the funds. In order to remain in line with the approach selected (needs driven or goals driven, or both, and the program design, the method of distribution must reflect that approach and design in a manner that drives applications and projects in that direction.

How will the funds be delivered?

- Via the usual process using units of local government?
- Using an approved direct method from the State to the beneficiary?
- Using an approved intermediary organization designed to add capacity (regional planning commission, entitlement community, contracted national non-profit community development organization)

What type of funding will be promoted?

- **Compensation for Loss**
 - Implies a flat amount entitled to a qualified disaster victim

- **Incentive Funding**
 - Implies a prescribed amount intended to gain a consequence or action
- **Repair, replace, restore**
 - Fills a gap, fulfills a local match requirement, or funds any ineligible FEMA or other agency funding meant to restore the loss to its pre-disaster condition
- **Redevelopment Funding**
 - Offers an opportunity for “improved” projects to meet current community need and current community plan for recovery
- **Other Funding**
 - Allows for a strategic investment (more on this concept can be found in **Module 4**) of discretionary funds in to projects that represent both a high priority for the community, but also represent a high probability for stimulating other recovery activities, including leveraging other funds and promoting private investment.

Which sectors may be addressed with funds and how?

- **Economic Development** (including, but not limited to):
 - Bridge Loans – Louisiana established a \$45 million program to assist businesses with working capital loan guarantees (small business only)
 - Business Recovery Grant – Louisiana grant for businesses with 50 or fewer employees to help them overcome the disaster’s impact. Objective was to create jobs.
 - Small Firm Attraction & Retention Grant – New York distributed \$29 million to small business that employed fewer than ten people. The program intended to help retain and create 65,000 jobs
- **Infrastructure** (including, but not limited to):
 - Local Match for FEMA Public Assistance Funding
 - Gap Financing For “Improved” Projects Using FEMA Public Assistance
 - Demolition And Debris Removal Not Eligible For FEMA
 - Public Facilities
- **Housing** (including, but not limited to):
 - Down Payment Assistance For Homeownership
 - Housing Rehabilitation
 - Tenant Rental Assistance
 - Buyout Including Acquisition And Relocation
- **Environment** (including, but not limited to):
 - Remediation
 - Water Quality
 - Wetland Restoration

COMPENSATION PROGRAMS

In a major disaster where significant upheaval in the population occurs, the State CD Agency may need to design the program to address immediate human needs. Examples of this include the incentive program in New York and the compensation programs in Mississippi and Louisiana. In these cases, there was an immediate need to stabilize the community by either attracting people back, or getting a commitment for them to stay in a disaster affected area. This program may have its basis in political interests, public outcry and the desire to stabilize the market within the disaster affected area.

This tool kit has shown that a disaster is a tragedy and an opportunity. The opportunity begins at the point where citizens, business representatives and local leaders come together to develop a vision for recovery; develop measurable goals and objectives that will help them attain the vision and then develop and prioritize recovery projects. These are the actions that enable the State CD Agency to design a program that facilitates implementation of a community recovery plan. This may include funding the gap for FEMA Public Assistance grants for improved or alternate projects. It may also include a business incubator project as a catalyst to restore the downtown.

It is important for the State CD Agency to be aware of the immediate needs related to the disaster as well as be a participant in the community's effort to develop a recovery plan. These activities will enable the design of a program or programs that will be of greatest benefit to the recovering community.

Louisiana

Provided direct compensation from the State to homeowners through the Road Home Program.

Mississippi

Offered compensation for households that had flood damage outside of the floodplain. Program covered the gap that homeowners insurance would not cover (wind only).

Missouri

Civic buildings, like city hall, are not typically eligible for CDBG funding. Under disaster circumstances this requirement can be waived. After a tornado in Missouri, this waiver enabled the State to rehabilitate a community service center that was also a historic structure using CDBG funds to fill the gap between the FEMA Public Assistance grant and local share. FEMA considered the project an "improved project" because it combined and expanded the types of community services provided out of the public facility (beyond pre-disaster conditions). Leveraging FEMA Public Assistance grant funds with CDBG funds allowed the community to meet a recovery priority.

New York

Lower Manhattan Development Corporation provided a monetary incentive to businesses within the disaster-affected area

- The program was intended to provide compensation for economic losses to affected firms
- Objective was to retain 225,000 jobs at assisted businesses and up to an additional 150,000 jobs at businesses indirectly affected by the activities of assisted businesses
- Compensation was calculated based on days of lost gross revenue, with the maximum number of days and amounts determined by business location

Texas

Allocated funding to Council of Governments to distribute within their region under the program.

Texas and Florida

Both Florida and Texas turned post-disaster recovery housing rehabilitation programs into an opportunity to improve housing stock for low and moderate income households victimized by the hurricane disasters that hit their communities.

In Florida, the State ensured that all units damaged by the disaster rehabbed by CDBG funds were repaired beyond their damage to meet the Housing Quality Standards (HQS) established by the Federal Section 8 program, which is a code with higher standards than many local housing codes. In Texas, the State CDBG funds were used to rehabilitate the entire damaged unit while the storm damage was being repaired, improving the housing stock in many communities.

F. STAFFING AND HUMAN RESOURCES

Program delivery, in whole or in part, takes place in the hands of the State CD Agency staff. Obviously, the size and scope of the disaster and the amount of Federal CDBG assistance provided to address the disaster recovery would indicate the need for changes in staffing. The complexity of the sectors affected and the need for expertise in certain areas will also indicate the need. Finally, the program delivery will also dictate any changes in CDBG program staffing including any consultant contracting necessary, or cooperative agreements with local or regional agencies who may take on part of the administrative activities related to the disaster recovery funds.

CDBG personnel typically come in a few classifications. They may be generalists, who understand program rules and regulations and may serve a particular field area while providing services "A to Z" for to local governments undertaking all types of projects.

They may be specialists either in a compliance area (fair housing and equal opportunity, environmental review, labor standards, financial management, contracting) or specialists in a development sector (business, housing, infrastructure, environment).

CDBG staff may work directly with the grantees and the public, or they may serve to administer the program in-house; such as accounting, data entry and reporting, or support services.

EXAMPLES FOR STAFFING A DISASTER RECOVERY PROGRAM

There are a couple of options and models that States have used for staffing a disaster recovery:

- Use existing staff and integrate into regular program duties – Alabama utilized existing staff for program administration.
- Hire separate new staff and create separate independent program – Louisiana hired new contract employees to administer the disaster recovery program. New York City set up the Lower Manhattan Development Authority for administering all aspects of the recovery process.
- Use a blend of existing (specialists) and new (field) staff
- Add new jobs not typically used in regular programming:
 - Communications / Public Relations
 - Governor / Legislative Liaison
 - Attorneys
 - Certified Public Accountants and Auditors
 - Development Finance professionals

In each State where major disaster recovery activities were undertaken a common lesson learned was that communications and public relations is an essential element that should be in place at the earliest stage of program design.

CAPACITY

State and Local capacity will often dictate a particular staffing or delivery mechanism chosen by the State CD Agency. Capacity is also a function of decision-making and the degree of complexity created in the program design. If States are allocating funding to regions for their award and distribution, the capacity for project decision-making is diminished beyond creating the program parameters in the Action Plan.

Likewise, if State's are making decisions but leaving the delivery to a regional organization, then capacity in the decision-making arena increases, but capacity needed to deliver the funds decreases.

Increasing Capacity

Increasing capacity in your agency at either the management level or technician level is another challenge. Funding may be available through administrative components of the grant (supplemental funding) to cover the costs of additional staffing. The challenge is getting adequate staffing in a timely manner. One suggestion is to bring a State human resources person into your organization so that day-to-

day personnel issues and needs can be quickly addressed. Another recommendation is to work with your human resources staff ahead of the disaster and prepare policies like they have in California where a management level position in one agency can temporarily transfer into your agency to manage a short-term project. This person maintains their tenure and salary from the donating agency and is guaranteed their position when the project is complete. This may or may not be the right solution for your State; the importance of the point is to establish the relationships and policies that will help increase disaster recovery capacity ahead of a disaster.

Expertise also defines capacity. If the recovery activities require housing finance professionals, housing rehabilitation professionals, real estate professionals, engineers, architects, or other professional service providers, the State CD Agency must respond by either hiring internally or contracting externally.

Volume will also define capacity. There are circumstances where the disaster recovery dwarfs the regular CDBG program in amount of funds and numbers of projects. Staffing for adequate local representation for technical assistance and project management will cause one increase in staff numbers. Fund management, budgeting, accounting and auditing may cause another increase in staffing.

Local capacity after a disaster is a concern that must be addressed. Typically, all of the human resources at the local level are expended dealing with disaster response and other disaster resources. The State should be prepared to provide a lot of training, technical assistance and perhaps to build capacity by using the Public Service and Technical Assistance categories of CDBG funding.

G. CONTRACTING / MEMORANDUMS OF UNDERSTANDING

Capacity and program delivery may be accomplished through formal contracting and memorandums of understanding (MOU) or agreement (MOA).

Procurement – Is the process that a State or Local agency can undertake to hire contractual assistance for program administration. This can range from a single task effort all the way to planning, designing and implementing the program under a contract or series of contracts.

*Sample MOU / MOA RFP language is included in the **Reference Library***

To help put the appropriate proposal together, there are a couple of things to keep in mind. First, check your State legislation related to procurement. Make sure that this legislation addresses procurement procedures related to disaster conditions including sole source contracting. Second, make sure that all programs, software, and related documentation become the property of the State at the conclusion of the project and include a transition element so that proper training can occur prior to the close out of the contract. Third, CDBG knowledge and experience is important for program administration but, so are other skills such as customer service, public relations and accounting to name a few. Make sure the team being hired has the diverse skill set to accomplish all elements of the proposal.

Contracting with national organizations or professional service providers requires a detailed scope of services, a contract written by an attorney, and a request for proposals or request for qualifications (depending upon State procurement law) that is designed in a manner to capture the most qualified candidate to do the job. Passing the responsibility of any part of the program delivery to a contracted agent should be a decision made to accomplish a task in a manner that adds value to the process. If the Scope is not clearly defined, or the candidates are not qualified, the State will lose value. Disaster recovery is so widely viewed by the audience that it is intended to assist, as well as by the rest of the nation and, in some cases, the rest of the world, the State CD Agency cannot afford to lose value.

H. EVALUATING THE PROGRAM

Recovery takes many years, a major disaster could take 20 or more years and it is possible that the affected community never completely recovers from every aspect of the disaster. Evaluating a disaster recovery program should be tailored to the size and scope of the disaster. Establishing and maintaining an evaluation program for the recovery process is an important step in program evaluation. There will be reporting requirements related to the supplemental funding and the recovery plan / program should establish benchmarks for measuring progress. These reporting requirements are the starting point for Evaluation.

The evaluation process for disasters will vary based on the intensity of the recovery effort and the funding used to implement recovery. At the end of this section is an evaluation process checklist that may be used toward developing an evaluation process that fits the disaster.

Compiling an evaluation process based on this listing of criteria will help your agency go beyond the simply closing out projects and grants. This type of evaluation process can provide a reporting mechanism that will satisfy Federal, State and Local needs. It will also provide solid information to develop press releases and newsletters that communicate recovery progress. Some additional Evaluation Program Considerations include interviewing key community leaders and recovery committee members and documenting recovery plan amendments that have occurred.

One of the most important uses of the data collected in the evaluation process is to determine if recovery programs and strategies are working and to refine the recovery planning process and programs for future efforts. This is why the evaluation process might occur over a period of several years.

I. PRE-DISASTER PREPARATION FOR THE STATE CD AGENCY

This Toolkit provides a **process** for States and communities to identify policies, activities and tools to implement a recovery program after a disaster. This process has four key steps:

- Organizing resources
- Assessing risks
- Developing an approach or plan
- Implementing the plan and monitoring progress

Being prepared for a disaster is not left solely to the communities or the State Emergency Management Agency; disaster preparedness is applicable to the State CD Agency as well. At the end of this section is a checklist of actions and activities that a State CD Agency should undertake during periods of non-disaster.

The checklist will enable the State CD Agency to plan and prepare for future disaster recovery activities.

WORDS OF WISDOM

"To be prepared is half the victory . . ." Miguel De Cervantes

"The best preparation for tomorrow is doing your best today . . ." H. Jackson Brown Jr.

"Before everything else, getting ready is the secret to success . . ." Henry Ford

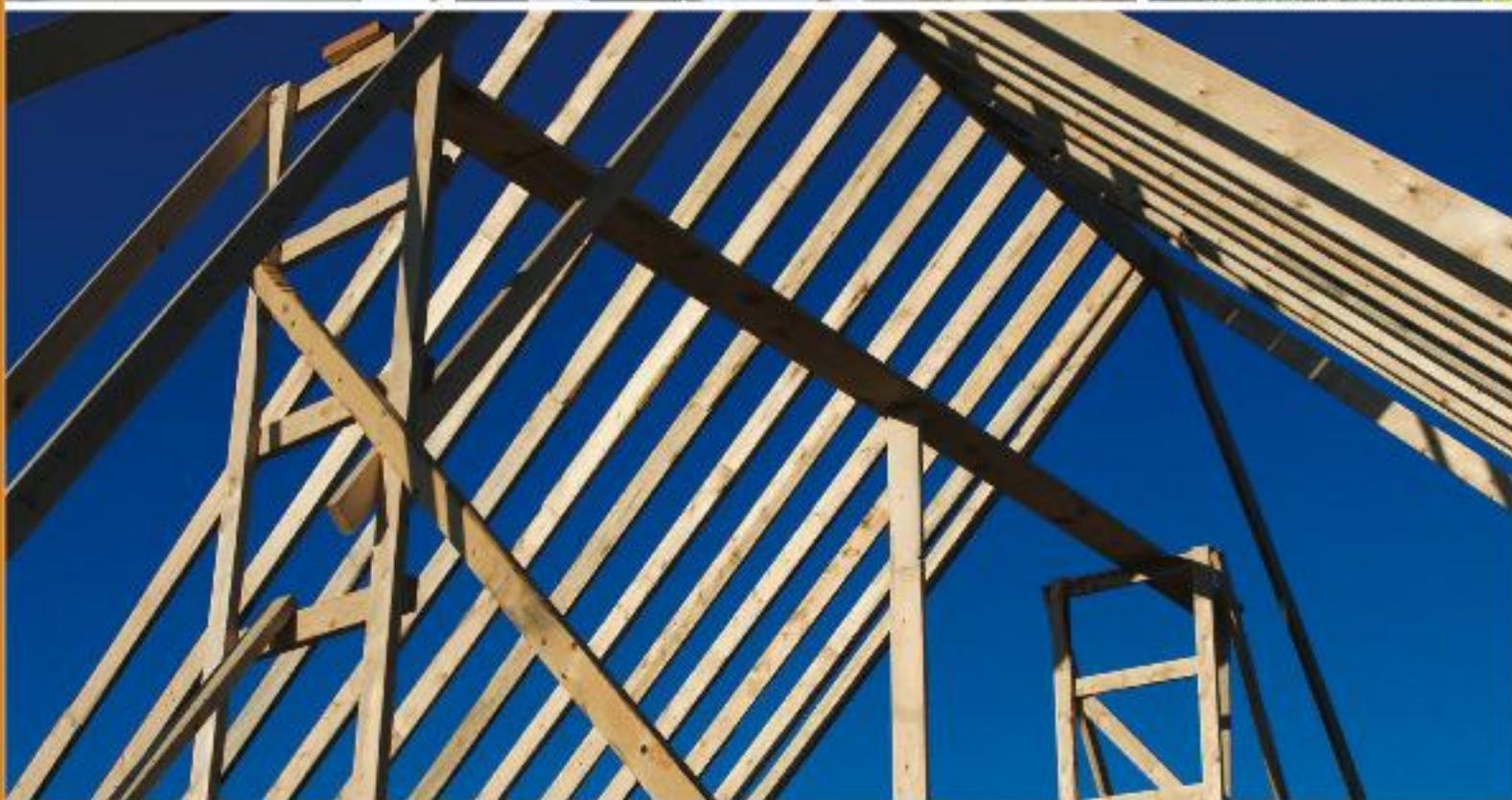
"The time to repair the roof is when the sun is shining . . ." John F. Kennedy

EVALUATION PROCESS

✓	<p>Have HUD CDBG Supplemental funds been used in the disaster recovery?</p> <ul style="list-style-type: none"> a. If yes, describe how they have been used in terms of partnering with other agencies and leveraging with other sources b. If no, describe the CDBG funding source used
✓	<p>Have State CDBG (set-aside or re-programmed) funds been used in the disaster recovery?</p>
✓	<p>Who is the lead agency for the recovery project?</p>
✓	<p>Who are the partners related to recovery projects</p>
✓	<p>Project Information</p> <ul style="list-style-type: none"> a. Number of projects approved through the program <ul style="list-style-type: none"> i. By jurisdiction ii. By Sector (housing, economic, infrastructure and environment)
✓	<p>Community statistics:</p> <ul style="list-style-type: none"> a. Population (households) pre-disaster b. Current population estimate for the community (at time of report)
✓	<p>Relate the recovery project(s) being implemented to the community vision, goals and objectives.</p> <ul style="list-style-type: none"> a. Housing b. Economic Development c. Infrastructure d. Environment
✓	<p>Housing Sector Project success:</p> <ul style="list-style-type: none"> a. Number of units destroyed and/or households displaced b. Number of units restored, rehabilitated, reconstructed and/or constructed under the program. <ul style="list-style-type: none"> i. Number that qualify as low/moderate housing units c. Number of displaced households that have returned home (from FEMA trailers or other temporary housing options) d. Number of new households attracted to the community
✓	<p>Economic Sector Project success</p> <ul style="list-style-type: none"> a. Percent unemployed pre-disaster b. Number of jobs lost and/or businesses closed or relocated due to the disaster. c. Current estimated unemployment rate. d. Number of businesses restored due to the program e. Number of businesses attracted due to the program f. Number of jobs restored due to the program g. Estimated unemployment rate (at time of report)
✓	<p>Infrastructure Sector Project Success</p> <ul style="list-style-type: none"> a. List the community infrastructure that was destroyed in the disaster b. List the community infrastructure that was damaged in the disaster c. Identify infrastructure facilities that received program funding for restoration or repair d. Identify the status of the infrastructure projects (program funding) by percent complete
✓	<p>Environmental Sector Project Success (mitigation)</p> <ul style="list-style-type: none"> a. Number of homes and/or businesses in the floodplain prior to the disaster b. Number of homes and/or businesses relocated out of the flood plain through the program c. Number of homes and/or businesses elevated through the program d. Disposition of land acquired through a buy-out program (that used program funds) <ul style="list-style-type: none"> i. Wetland restoration ii. Park land development iii. Natural protective barriers installed
✓	<p>Can documentation be provided to substantiate "spin-off" impacts related to project implementation?</p> <ul style="list-style-type: none"> a. Housing b. Economic Development c. Infrastructure d. Environment
✓	<p>Has the recovery planning advanced into an updated comprehensive or master plan for the community?</p>
✓	<p>Has the local committee structure, developed for recovery planning continued as an effective community voice for recovery?</p>

DISASTER PRE-PLANNING CHECKLIST

- ✓ **Coordinate with, and conduct an inventory of, the agencies that will be involved in the disaster and the resources of the development agencies.**
- ✓ **Sectors Affected – Identify professional expertise to assist with affected sectors:**
 - Housing
 - Economic or business
 - Public infrastructure/public facilities
 - Environment
- ✓ **Establish a liaison for disaster coordination with the gov office legislature state agencies and other agencies involved in disaster recovery.**
- ✓ **Establish the frame work for decision making within the State CD Agency.**
- ✓ **Reward communities for completed hazard mitigation plans.**
- ✓ **Suggest state legislation that will make other fund sources applicable to disaster recovery.**
- ✓ **Identify other community development fund sources that may be used in disaster recovery such as tax credits.**
- ✓ **Establish a communications organization with a media and communications person.**
- ✓ **Determine what information in the HUD system is eligible for sharing with other disaster recovery agencies.**
- ✓ **Establish a relationship with your federal legislative delegation to be identified as a resource for them for CDBG to assist with crafting bill / statutory language.**
- ✓ **Identify all of the state development agencies as potential partners to participate in long term recovery.**
- ✓ **Suggest emergency procurement language to allow for contracting for professional services enabling you to “surge” your staffing capacity.**
- ✓ **Establish a relationship with the state and local emergency management agency.**
- ✓ **Participate in disaster preparation exercises in your state.**
- ✓ **Complete FEMA training courses on the National Response Plan, Incident Management, Public Assistance and Individual Assistance.**
- ✓ **Attend the FEMA ESF-14 Conference.**
- ✓ **Get a copy of your state emergency management plan.**
- ✓ **Suggest a long-term recovery strategy or section in that plan if it does not exist. Define your agency role in this plan.**
- ✓ **Communicate or interview other state CD Agencies regarding their response to disaster recovery.**
- ✓ **Familiarize yourself with the waiver process.**
- ✓ **Review any state disaster recovery action plans.**



DISASTER RECOVERY TOOLKIT

REFERENCE LIBRARY

RESOURCES & TOOLS FOR
DISASTER RECOVERY

JUNE 2008

FOR STATE COMMUNITY DEVELOPMENT AGENCIES





Council of State Community Development Agencies
1825 K Street NW
Suite 515
Washington, DC 20006

Tel: (202) 293-5820
Fax: (202) 293-2820

<http://www.coscda.org>



REFERENCE LIBRARY

The Reference Library contains relevant references, templates, and other recovery operational tools or job aids that support the Toolkit.

This Section includes a list of **Acronyms** and a **Glossary** of terminology frequently used in disaster operations. The Reference citations for **Web Links** included in the Toolkit are included below.

In addition, there are over 100 electronic document files that are included as a part of this Reference Library. The document titles for the **Electronic Library** are included in this section. Contact COSCAR regarding access to the electronic library files.

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Acronyms

Below is a selected list of commonly used Acronyms that are used by emergency management professionals in disaster operations. In addition to the list FEMA publishes a book of acronyms titled **FEMA Acronyms and Terminology** (FAAT)

AIA	American Institute of Architects
APA	American Planning Association
ARC	American Red Cross
ASLA	American Society of Landscape Architects
ASTHO	Association of State and Territorial Health Organization
CDBG	Community Development Block Grant
CDC	Community Development Corporation
CFR	Code of Federal Regulations
CNCS	Corporation for National and Community Service
COG	Council of Governments
DAE	Disaster Assistance Employees
DFO	Disaster Field Office
DHHS	U.S. Department of Health and Human Services
DHS	U.S. Department of Homeland Security
DOC	U.S. Department of Commerce
DOD	U.S. Department of Defense
DOE	U.S. Department of Energy
DOI	U.S. Department of Interior
DOL	U.S. Department of Labor
DOT	U.S. Department of Transportation
DRA	Delta Regional Authority
DRC	Disaster Recovery Center
EDA	Economic Development Administration
EOC	Emergency Operations Center
EPA	Environmental Protection Agency
ESF	Emergency Support Functions
FCO	Federal Coordinating Office
FEMA	Federal Emergency Management Agency
FRG	Field Reference Guide
FSTF	Federal-State Task Force
GIS	Geographic Information System
HMGP	Hazard Mitigation Grant Program
HOME	Home Investment Partnership
HUD	U.S. Department of Housing & Urban Development
IA	Individual Assistance
IAP	Incident Action Plan
ICMA	International City Manager's Association
ICS	Incident Command System
IST	Incident Support Team
JFO	Joint Field Office
LTCR	Long-Term Community Recovery
LTR	Long-Term Recovery

MA	Mission Assignment
MOA	Memorandum of Agreement
MOD	Method of Distribution
MOU	Memorandum of Understanding
MPO	Metropolitan Planning Organization
MSTF	Missouri State Task Force
NACCHO	National Association of City and County Health Officials
NACO	National Association of Counties
NAT	Needs Assessment Tool
NGO	Non-Government Organization
NIMS	National Incident Management System
NOAA	National Oceanic & Atmospheric Administration
NRCC	National Response Coordination Center
NRCS	Natural Resources Conservation Service
NRP	National Response Plan
NWG	National Working Group
OCRM	Ocean and Coastal Resource Management
OFA	Other Federal Agencies
PA	Public Assistance
PDA	Preliminary Damage Assessment
PFO	Principal Federal Officer
PFT	Permanent Full Time
POC	Point of Contact
PW	Project Worksheet
RAMP	Remedial Action Management Program
RFI	Request for Information
RFP	Request for Proposals
RFQ	Request for Qualifications
RPC	Regional Planning Commission
RPT	Recovery Planning Tool
RRCC	Regional Response Coordination Center
SBA	Small Business Administration
SCO	State Coordinating Officer
SHMO	State Hazard Mitigation Officer
SME	Subject Matter Expert
SOP	Standard Operating Procedure
TA	Technical Assistance
TACs	Technical Assistance Contractors
TFT	Temporary Full Time
TRES	U.S. Department of the Treasury
TRO	Transitional Recovery Office
TVA	Tennessee Valley Authority
ULI	Urban Land Institute
USACE	U.S. Army Corps of Engineers
USDA	U.S. Department of Agriculture
VOAD	National Voluntary Organizations Active in Disasters

Glossary

Agency Representative. A person assigned by a primary, assisting, or cooperating Federal, State, local, or tribal government agency or private entity that has been delegated authority to make decisions affecting that agency's or organization's participation in incident management activities following appropriate consultation with the leadership of that agency.

Appropriation - The provision of funds, through an annual appropriations act or a permanent law, for federal agencies to make payments out of the Treasury for specified purposes. The formal federal spending process consists of two sequential steps: authorization and then appropriation.

Authorization - A statutory provision that obligates funding for a program or agency. An authorization may be effective for one year, a fixed number of years, or an indefinite period. An authorization may be for a definite amount of money or for "such sums as may be necessary." The formal federal spending process consists of two sequential steps: authorization and then appropriation.

Awareness. The continual process of collecting, analyzing, and disseminating intelligence, information, and knowledge to allow organizations and individuals to anticipate requirements and to react effectively.

Catastrophic Incident. Any natural or manmade incident, including terrorism that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions. A catastrophic event could result in sustained national impacts over a prolonged period of time; almost immediately exceeds resources normally available to State, local, tribal, and private-sector authorities in the impacted area; and significantly interrupts governmental operations and emergency services to such an extent that national security could be threatened. All catastrophic events are Incidents of National Significance.

Common Operating Picture (COP). A broad view of the overall situation as reflected by situation reports, aerial photography, and other information or intelligence.

Community. An incorporated city, town, township, borough, or village or an unincorporated area of a county or parish. Some states do have statutory authority that varies from this description.

Community Development Block Grant (CDBG). Administered by the Department of Housing and Urban Development (HUD); CDBGs are intended to develop viable urban communities by providing decent housing and a suitable living environment and by expanding economic opportunities, principally for low to moderate-income people. Disaster-related assistance can be eligible under this program depending on State priorities; mitigation activities have been funded under this program.

Community Recovery. In the context of the NRP and its annexes, the process of assessing the effects of an Incident of National Significance, defining resources, and developing and implementing a course of action to restore and revitalize the socioeconomic and physical structure of a community.

Critical Infrastructures. Systems and assets, whether physical or virtual, so vital to the United States that the incapacity or destruction of such systems and assets would have a debilitating impact on security, national economic security, national public health or safety, or any combination of those matters.

Cultural Resources. Cultural resources include historic and prehistoric structures, archeological sites, cultural landscapes, and museum collections.

Deputy. A fully qualified individual who, in the absence of a superior, could be delegated the authority to manage a functional operation or perform a specific task. In some cases, a deputy could act as relief for a superior and therefore must be fully qualified in the position. Deputies can be assigned to the Incident Commander, General Staff, and Branch Directors.

Disaster Declaration. A disaster declaration is a Presidential determination that a jurisdiction of the United States may receive Federal aid as a result of damages from a major disaster or emergency.

Disaster Housing. Disaster Housing (formerly called Temporary Housing) is temporary housing supplied by emergency management officials to disaster victims whose homes are no longer inhabitable due to damages sustained in a declared disaster.

Disaster Recovery Center (DRC). The DRC is a location within or near the disaster site, at which disaster assistance clients can obtain information about assistance programs and check on the status of their tele-registration for assistance.

Disaster Recovery Manager (DRM). The DRM is the FEMA official (normally the FCO) who has the delegated authority from the Regional Director to manage authorities under the Stafford Act, including incurring financial obligations.

Duplication of Benefits. Section 312 (a) of the *Stafford Act* (as amended), states that no entity will receive assistance for any loss for which financial assistance has already been received from any other program, from insurance, or from any other source. The use of Federal and/or State funds granted for the same purpose clearly constitutes a duplication of benefits. Grant or cash donations provided by a third party also **may** constitute a duplication of benefits. It is up to the administrators of disaster recovery funds, to establish a system to avoid the duplication of benefits (double funding from two or more government agencies of the same costs, or duplication of payments for losses paid by private insurance).

Economic Development Administration (EDA). The EDA, part of the Department of Commerce, is the Federal agency that assists communities with grants and technical assistance for economic development.

Emergency. As defined by the Stafford Act, an emergency is "any occasion or instance for which, in the determination of the President, Federal assistance is needed to supplement State and local efforts and capabilities to save lives and to protect property and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States.

Emergency Support Function (ESF). A grouping of government and certain private-sector capabilities into an organizational structure to provide the support, resources, program implementation, and services that are most likely to be needed to save lives, protect property and the environment, restore essential services and critical infrastructure, and help victims and communities return to normal, when feasible, following domestic incidents. The ESFs serve as the primary operational-level mechanism to provide assistance to State, local, and tribal governments or to Federal departments and agencies conducting missions of primary Federal responsibility.

Environment. Natural and cultural resources and historic properties as those terms are defined in this glossary and in relevant laws.

Federal Coordinating Officer (FCO). The Federal officer who is appointed to manage Federal resource support activities related to Stafford Act disasters and emergencies. The FCO is responsible for coordinating the timely delivery of Federal disaster assistance resources and programs to the affected State and local governments, individual victims, and the private sector.

Federal Register. The *Federal Register* is the daily supplement to the *Code of Federal Regulations*. It serves as the centralized publication to provide official notification to the public about Federal documents or proposals having general applicability. These may include Presidential proclamations and Executive Orders, and Federal agency rules, regulations, and notices. The *Federal Register* adds process, procedure and requirements to the Public Law.

Federal Resource Coordinator (FRC). The Federal official appointed to manage Federal resource support activities related to non-Stafford Act incidents. The FRC is responsible for coordinating support from other Federal departments and agencies using interagency agreements and MOUs.

FEMA-State Agreement. A FEMA-State Agreement is a binding statement of the understandings, commitments, assurances, and conditions under which FEMA disaster assistance shall be provided to states. This Agreement imposes binding obligations on FEMA, States, and their local governments in the form of conditions for assistance, which are legally enforceable.

Flood Mitigation Assistance (FMA) Program. The FMA Program provides competitive grant funding for states and local governments that are planning or taking action to reduce or eliminate the long-term risk of flood damage to buildings, manufactured homes, and other insured structures. Grants may be awarded for planning assistance, implementation of mitigation strategies, and technical assistance.

Geographic Information System (GIS). Computer software that links geographic information (where things are) with descriptive information (what things are like). A wide array of data associated with a geographic area can be displayed on maps and different categories of data (“layers”) can be overlain. For example, a GIS can take the map of a town and overlay the location of streets, the 100-year floodplain, landslides, and seismic faults to find out areas susceptible to multiple hazards.

Hazard Mitigation. Any cost-effective measure which will reduce the potential for damage to a facility from a disaster event.

Hazard Mitigation Grant Program. Authorized under Section 404 of the Stafford Act, this program provides funding for cost-effective hazard mitigation projects in conformance with the post-disaster mitigation plan required under Section 322 of DMA 2000. Section 404 authorizes the President to contribute up to 75 percent of the cost of mitigation measures that are determined to be cost effective and substantially reduce the risk of future damage or loss in States affected by a major disaster. The remaining 25 percent of the cost may be a combination of State, local, and other non-Federal contributions.

Hazards United States (HAZUS). HAZUS is a PC-based GIS software that implements a standardized, nationally applicable earthquake loss estimation methodology (computer model). Flood and hurricane loss estimation models (HAZUS-MH) were released in fall 2003.

Historic Property. Any prehistoric or historic district, site, building, structure, or object included in or eligible for inclusion in the National Register of Historic Places, including artifacts, records, and remains, which are related to such district, site, building, structure, or object.

HOME Investment Partnerships Program. This program is sponsored by HUD and provides permanent housing for low income homeowners or renters in large cities and urban counties. Funds can be used for acquisition, new construction, and rehabilitation.

Human Services (HS) (Formerly Individual Assistance, IA). HS, formerly known as IA, provides supplementary Federal assistance (under the Stafford Act (Section 408)) to individuals and families adversely affected by a major disaster or emergency.

Incident Action Plan. An oral or written plan containing general objectives reflecting the overall strategy for managing an incident. It may include the identification of operational resources and assignments. It may also include attachments that provide direction and important information for management of the incident during one or more operational periods.

Incident Advisory Council (IAC). The IAC is a tailored group of senior Federal interagency representatives that adjudicates matters that cannot be resolved by the NOC-NRCC and provides strategic advice to the Secretary of Homeland Security during an actual or potential incident requiring Federal coordination. Activated at the discretion of the Secretary of Homeland Security, or his representative, the core group of the IAC includes representatives from Federal departments and agencies, DHS components, and other organizations as required. Affected States may be represented on the IAC either through the DHS Office of State and Local Government Coordination (OSLGC) or, if needed, through a State liaison to the IAC.

Incident Support Team. The ESF #14 Coordinator and Primary Agency Representatives assigned to an incident.

Infrastructure. The manmade physical system, assets, projects, and structures, publicly and/or privately owned, that are used by or provide benefit to the public. Examples of infrastructure include utilities, bridges, levees, drinking water systems, electrical systems, communications systems, dams, sewage systems, and roads.

Infrastructure Support (IS). IS (also known as Public Assistance, PA) is Federal financial assistance provided by FEMA under the Stafford Act (Section 406) to State and local governments or to eligible private non-profit organizations for disaster-related requirements.

Joint Field Office (JFO). A temporary Federal facility established locally to provide a central point for Federal, State, local, and tribal executives with responsibility for incident oversight, direction, and/or assistance to effectively coordinate protection, prevention, preparedness, response, and recovery actions.

The JFO will combine the traditional functions of the Joint Operations Center, the FEMA Disaster Field Office, and the Joint Information Center within a single Federal facility.

Local Government. A county, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of governments (regardless of whether the council of governments is incorporated as a nonprofit corporation under State law), regional or interstate government entity, or agency or instrumentality of a local government; an Indian tribe or authorized tribal organization, or, in Alaska, a Native Village or Alaska Regional Native Corporation; or a rural community; unincorporated town or village, or other public entity (As defined in section 2 (10) of the Homeland Security Act of 2002, Public Law 107-296, 116 Stat. 2135, et seq. (2002).)

Long-Term Community Recovery. In the context of the NRP and its annexes, the process of assessing the effects of an Incident of National Significance, defining resources, and developing and implementing a course of action to restore and revitalize the socioeconomic and physical structure of a community.

Major Disaster. As defined by the Stafford Act, any natural catastrophe (including any hurricane, tornado, storm, high water, wind-driven water, tidal wave, tsunami, earthquake, volcanic eruption, landslide, mudslide, snowstorm, or drought), or, regardless of cause, any fire, flood, or explosion, in any part of the United States, which in the determination of the President causes damage of sufficient severity and magnitude to warrant major disaster assistance under this act to supplement the efforts and available resources of States, local governments, and disaster relief organizations in alleviating the damage, loss, hardship, or suffering caused thereby.

Mission Assignment. The vehicle used by DHS/EPR/FEMA to support Federal operations in a Stafford Act major disaster or emergency declaration. It orders immediate, short-term assistance when an applicable State or local government is overwhelmed by the event and lacks the capability to perform, or contract for, the necessary work.

Mitigation. Activities designed to reduce or eliminate risks to persons or property or to lessen the actual or potential effects or consequences of an incident. Mitigation measures may be implemented prior to, during, or after an incident. Mitigation measures are often developed in accordance with lessons learned from prior incidents. Mitigation involves ongoing actions to reduce exposure to, probability of, or potential loss from hazards. Measures may include zoning and building codes, floodplain buyouts, and analysis of hazard-related data to determine where it is safe to build or locate temporary facilities. Mitigation can include efforts to educate governments, businesses, and the public on measures they can take to reduce loss and injury.

Multiagency Coordination Entity. Functions within a broader multi-agency coordination system. It may establish priorities among incidents and associated resource allocations, remove conflicts between agency policies, and provide strategic guidance and direction to support incident management activities.

National Incident Management System (NIMS). A system mandated by NSPD-5 that provides a consistent, nationwide approach for Federal, State, local, and tribal governments; the private sector; and NGOs to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity. To provide for interoperability and compatibility among Federal, State, local, and tribal capabilities, the NIMS includes a core set of concepts, principles, and terminology.

National Infrastructure Coordination Center (NOC-NICC). The NOC-NICC monitors the Nation's critical infrastructure and key resources (CI/KR) on an ongoing basis. During an incident, the NOC-NICC provides a coordinating forum to share information across infrastructure and key resources sectors through appropriate information-sharing entities such as the Information Sharing & Analysis Centers and the Sector Coordinating Councils. To foster information sharing and coordination, private sector representatives from the CI/KR may provide information to the NOC-NICC.

National Operations Center (NOC). Linking key headquarters components, including the former Homeland Security Operations Center (HSOC), the NOC is comprised of five sub-elements: Interagency Watch, National Response Coordination Center, Information and Analysis Component, National Infrastructure Coordination Center, and Operational Planning Element.

National Response Coordination Center (NOC-NRCC). The NOC-NRCC monitors potential or developing incidents and supports the efforts of regional and field components, including coordinating the

preparedness of national-level emergency response teams and resources; in coordination with Regional Response Coordination Centers (RRCCs), initiating mission assignments or reimbursable agreements to activate other Federal departments and agencies; and activating and deploying national-level specialized teams. In addition, the NOC-NRCC resolves Federal resource support conflicts and other implementation issues forwarded by the JFO. Those issues that cannot be resolved by the NOC-NRCC are referred to the IAC. During an incident, the NOC-NRCC operates on a 24/7 basis or as required in coordination with other elements of the NOC.

Nongovernmental Organization (NGO). A nonprofit entity that is based on interests of its members, individuals, or institutions and that is not created by a government, but may work cooperatively with government. Such organizations serve a public purpose, not a private benefit. Examples of NGOs include faith-based charity organizations and the American Red Cross.

Preliminary Damage Assessment (PDA). It is a joint FEMA/State verification of actual damages and an estimate of additional resources that will be needed because of a disaster. The PDA is the basis for a State's request for a Presidential disaster declaration.

Preparedness. The range of deliberate, critical tasks and activities necessary to build, sustain, and improve the operational capability to prevent, protect against, respond to, and recover from domestic incidents. Preparedness is a continuous process involving efforts at all levels of government and between government and private-sector and nongovernmental organizations to identify threats, determine vulnerabilities, and identify required resources.

Principal Federal Official (PFO). The Federal official designated by the Secretary of Homeland Security to act as his/her representative locally to oversee, coordinate, and execute the Secretary's incident management responsibilities under HSPD-5 for Incidents of National Significance.

Private Sector. Organizations and entities that are not part of any governmental structure. Includes for-profit and not-for-profit organizations, formal and informal structures, commerce and industry, private emergency response organizations, and private voluntary organizations (PVOs).

Public Assistance Program (also known as Infrastructure Support). The program administered by FEMA that provides supplemental Federal disaster grant assistance for debris removal and disposal, emergency protective measures, and the repair, replacement, or restoration of disaster-damaged publicly owned facilities and the facilities of certain private nonprofit organizations.

Recovery. The development, coordination, and execution of service- and site-restoration plans for impacted communities and the reconstitution of governmental operations and services through individual, private-sector, nongovernmental, and public assistance programs that: identify needs and define resources; provide housing and promote restoration; address long-term care and treatment of affected persons; implement additional measures for community restoration; incorporate mitigation measures and techniques, as feasible; evaluate the incident to identify lessons learned; and develop initiatives to mitigate the effects of future incidents.

Regional Response Coordination Center (RRCC). The RRCC is a standing facility operated by DHS/FEMA that coordinates regional response efforts, establishes Federal priorities, and implements local Federal program support until a JFO is established in the field and/or other key DHS incident management officials can assume their NRP coordination responsibilities. The RRCC establishes communications with the affected State Emergency Operations Center (EOC) and the NOC-NRCC, coordinates deployment of the Emergency Response Team-Advance Element (ERT-A) to field locations, assesses damage information, develops situation reports, and issues initial mission assignments.

Situation Assessment. The evaluation and interpretation of information gathered from a variety of sources (including weather information and forecasts, computerized models, GIS data mapping, remote sensing sources, ground surveys, etc.) that, when communicated to emergency managers and decision makers, can provide a basis for incident management decision-making.

Situation Report (SITREP). Daily or weekly summaries of the disaster situation, status of operations, and identification of future priorities for response and recovery operations.

Stafford Act. The Robert T. Stafford Disaster Relief and Emergency Assistance Act, PL 100-107 was signed into law November 23, 1988 and amended the Disaster Relief Act of 1974, PL 93-288. The Stafford

Act is the statutory authority for most Federal disaster response activities, especially as they pertain to FEMA and its programs. The Stafford Act was most recently amended to further strengthen hazard mitigation planning requirements by DMA 2000.

State. Any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States.

State Coordinating Officer (SCO). The SCO is appointed by the Governor to act in cooperation with the FCO.

Strategic. Strategic elements of incident management are characterized by continuous, long-term, high-level planning by organizations headed by elected or other senior officials. These elements involve the adoption of long-range goals and objectives, the setting of priorities, the establishment of budgets and other fiscal decisions, policy development, and the application of measures of performance or effectiveness.

Strategic Plan. A plan that addresses long-term issues such as impact of weather forecasts, time-phased resource requirements, and problems such as permanent housing for displaced disaster victims, environmental pollution, and infrastructure restoration.

Subject-Matter Expert (SME). An individual who is a technical expert in a specific area or in performing a specialized job, task, or skill.

Sustainability/Sustainable Development. Sustainable development maintains or enhances economic opportunity and community well-being while respecting, protecting and restoring the natural environment upon which people and economies depend. It serves the present population without diminishing the prospects of future generations. Disaster resistance should be considered an important element of sustainability.

Sustainable Redevelopment. Sustainable redevelopment incorporates the concepts and practices of sustainable development into the disaster recovery process.

Voluntary Agency (VOLAG). A VOLAG is any chartered or otherwise duly recognized tax-exempt local, State, or national organization or group that provides needed services to the States, local government, or individuals in coping with a disaster.

Web Links

Action Plans

- Notice for Action Plan guidance - <http://edocket.access.gpo.gov/2006/06-1357.htm>
- Program Design example - <http://www.hud.gov/offices/cpd/communitydevelopment/programs/drsi/activegrantee.cfm>
- Action Plan examples
 - NYC Lower Manhattan - <http://www.renewnyc.com/FundingInitiatives/HUD.aspx>
 - Louisiana - <http://www.doa.louisiana.gov/cdbq/dractionplans.htm>

American Red Cross – www.redcross.org

Appropriation - http://www.senate.gov/reference/glossary_term/authorization.htm

Authorization - http://www.senate.gov/reference/glossary_term/appropriation.htm

Consolidated Plan Requirements, 24 CFR Part 91; www.gpoaccess.gov/CFR/index.html

Corporation for National and Community Service www.nationalservice.org

Disaster Declaration example (Presidential disaster declaration) - <http://www.fema.gov/news/dfrn.fema?id=10516>

Duplication of Benefits Policy (*FEMA Disaster Assistance Policy 9525.3*) - http://www.fema.gov/government/grant/pa/9525_3.shtm.

Economic Development Administration (EDA) www.eda.gov

ESF#14 Long-Term Community Recovery Annex (pdf); <http://www.fema.gov/rebuild/ltrc/index.shtm>

Federal Register

- 06-1357 Common Application and Reporting; <http://edocket.access.gpo.gov/2006/06-1357>
- 06-5381 Alabama <http://edocket.access.gpo.gov/2006/06-5381>
- 06-5382 Mississippi <http://edocket.access.gpo.gov/2006/06-5382>
- 06-5383 Louisiana; <http://edocket.access.gpo.gov/2006/06-5383>
- 06-6589 Texas; <http://edocket.access.gpo.gov/2006/06-6589>
- 06-8978; <http://edocket.access.gpo.gov/2006/06-8978>

FEMA Disaster Assistance FAQ - <http://www.fema.gov/assistance/dafaq.shtm>

FEMA Hazard Mitigation program: www.fema.gov/government/grant/hmcp/index

FEMA Individual Assistance (IA)- <http://www.fema.gov/assistance/index.shtm>

FEMA *LTR Assessment Tool*; http://www.fema.gov/rebuild/ltrc/assessment_tool.shtm

FEMA *LTRC Planning Process: A Self-Help Guide*; <http://www.fema.gov/pdf/rebuild/ltrc/selfhelp.pdf>

FEMA Mitigation Programs – www.fema.gov/government/grant/hmcp/index (fact sheet)

FEMA Mitigation Project Examples <http://www.fema.gov/mitigationbp/bestPracticeDetail.do?mitssId=4306>

FEMA PA web link - <http://www.fema.gov/government/grant/pa/reference.shtm>

FEMA PDM Fact Sheet (pdf) <http://www.fema.gov/government/grant/pdm/index.shtm>

FEMA Public Assistance – <http://www.fema.gov/government/grant/pa/index.shtm> (fact sheet)

FEMA Public Assistance Digest <http://www.fema.gov/pdf/government/grant/pa/321print.pdf>

FEMA Public Assistance Guide http://www.fema.gov/government/grant/pa/pag07_t.shtm;

HUD Guidance for the use of CDBG Funds for disaster recovery:
<http://www.hud.gov/offices/cpd/communitydevelopment/programs/drsi/>

HUD - *Guide to National Objectives and Eligible Activities* -

www.hud.gov/offices/cpd/communitydevelopment/library/stateguide

HUD Notice – Relocation and Real Property Acquisition Requirements – Suspensions and Waivers Available for Community Planning and Development Programs To Assist with Recovery and Relief for Presidentially Declared Disaster Areas - www.hud.gov/offices/adm/hudclips/notices/cpd/08-02CPDN.doc

Method of Distribution – (*Notice CPD-06-11 - SUBJECT: Guidance on Preparation of the State CDBG Method of Distribution in Accordance with the Final Consolidated Plan Rule dated February 9, 2006*) - <http://www.hud.gov/offices/cpd/lawsregs/notices/2006/06-11.doc>

Public Laws (text references) examples - www.archives.gov/federal-register/laws/past/index.html

Reference Mapping example - <http://earth.google.com/>; <http://earth.google.com/tour.html>;

Robert T. Stafford Disaster Relief and Emergency Assistance Act (Public Law 93-288) as amended: <http://www.fema.gov/about/stafact.shtm>

Salvation Army – www.salvationarmy.org

Small Business Administration; www.sba.gov/services/disasterassistance/index.html

State Governor’s Executive Order - http://governor.mo.gov/eo/2005/eo05_028.htm

United States Department of Agriculture (USDA), www.usda.gov

Electronic Library – References and Resources

The following references and resource documents are included as part of the electronic library. Contact COSCDA for information regarding access to the electronic library files.

ACTION PLANS

1. Action Plan Amendment-2006-AL.pdf
2. Action Plan-2006-AL.pdf
3. Action Plan-2008-FL.pdf
4. Action Plan-DR2006-FL.pdf
5. Action Plan-Supplemental-2006-TX.pdf
6. Adoption 2003- LMDC, MTA, NYSDOT, PANYNJ.pdf
7. Amendment to Action Plan.pdf
8. Determining Service Areas.pdf
9. Incorporation Documents.pdf
10. CDBG Administration File Structure.doc
11. Disaster Action Plan Amendment-Final.doc
12. Disaster Action Plan update.doc
13. Disaster Action Plan-Mar 8.doc

DISASTER RESOURCES

1. DHS NIMS_implementation_Plan_Template.doc
2. DHS.NRF-ESF-Intro.pdf
3. DHS.NRF-ESF14.pdf
4. Federal Register-Example.pdf
5. Federal Register Notice-Feb 06.pdf
6. Federal Register-Notice.pdf
7. Federal Register
8. FEMA 404 hmgp_fact_sheet.pdf
9. FEMA 406 hm_policy_9526.1.pdf
10. FEMA Duplication of Benefits 1994.pdf
11. FEMA Hazard Mitigation Procedures-2007-FL.pdf
12. FEMA LTR Planing-Self-Help-Guide.pdf
13. FEMA LTR Assessment Tool- June 2005-FINAL.pdf
14. FEMA PDM_fact_sheet.pdf
15. FEMA Project Worksheet sample FF90-91.xls
16. Guide1-1994 Comparison of Funds FY1993 Funds vs FY1994 Funds Flood Recovery 1.pdf
17. Guide2-1994 Comparison of Funds FY1993 Funds vs FY1994 Funds Flood Recovery 2.pdf
18. Guide3-1994 Compliance Checklist.pdf
19. Guide4-1994 Definitions.pdf
20. Guide5-1994 Demolition.pdf
21. Guide6-1994 Duplication of Benefits.pdf
22. Guide7-1994 FEMA Temporary Housing.pdf
23. Guide8-1994 Procurement.pdf
24. Guide9-1994 Publications.pdf
25. Guide10-1994 Rental Assistance under the URA.pdf
26. Guide11-1994 Sample Documents.pdf
27. Guide12-1994 Sample Documents 2.pdf
28. Guide13-1994 Sample Documents 3.pdf
29. Guide14-1994 The Act.pdf
30. Guide15-1994 The IRS.pdf
31. Minnesota Pre-Disaster Recovery Plan.pdf
32. NIMS Basic_Guidance_for_PIOs FEMA_12_06_07.pdf
33. Robert-T-Stafford-Act.pdf

LEGISLATION

1. Proclamation Sample-CA.070915.pdf
2. Proclamations Guide for Local Governments-CA.pdf
3. Sample Federal Register on Disaster Relief.pdf

MISCELLANEOUS

1. FEMA Flood Advisory Map – example.pdf
2. Map Katrina_100m_New Orleans BLS.pdf
3. Map Businesses Along Path BLS.pdf
4. Section 106 WTC Letter January 2004.pdf

MOU – MOA

1. Cooperation Agreement-May 2002.pdf
2. MOU-June 2002.pdf
3. MOU-June 2003.pdf
4. MOU-SBA.pdf
5. MOU Sharing of Data Protocol Template.doc

PROGRAM DESIGN

1. Application and Guidelines 1993.pdf
2. Application and Guidelines 1994.pdf
3. Application Disaster Funding-Mar 8.doc
4. Application-2006-AL.pdf
5. Application-Supplemental-2007-AL.pdf
6. April 2006 Letter.pdf
7. Best Practice Communication with Locals.pdf
8. Best Practice Coordinating Rules and Procedures.pdf
9. Disaster Procedures-2005.doc
10. Disaster Recovery Grant Reporting Instructions.doc
11. Disaster Recovery Initiative Application June 20, 2006.doc
12. DRI 04 Application Review Process.doc
13. DRI emergency rule round 2-final 2005.doc
14. Explanation of Scores.doc
15. FAQs.pdf
16. Final 2005 DRI emergency rule.pdf
17. Final application checklist.doc
18. Final Emergency Rule - 2004 Disasters.pdf
19. Final Revised PHA Project Proposal Information.doc
20. Job Creation and Retention Program.LMDC-WTC.pdf
21. Mitigation Program for Public Housing Authorities.doc
22. Project Proposal Information.doc
23. Project Proposal Information-Final Revised PHA.doc
24. Public Hearing Coordination of Finances.pdf
25. QSR_and_Projection_of_Contract_Payments.xls
26. Reg Program rule handout.doc
27. Residential Grant Program.LMDC.pdf
28. Sample Disaster Public Notice.doc
29. Sample Disaster Recovery Application.pdf
30. Small Firm Assistance Program.LMDC.pdf
31. Small Firm Attraction and Retention Grant.LMDC.pdf
32. Use of Funds for DR-2007-CA.pdf
33. Workshop Follow-Up Questions.pdf

WAIVERS

1. HUD waivers to LA on float loans.pdf
2. HUD waiver of 25 CFR 91 115 c 2 for LA citizen participation.pdf
3. HUD waivers to LA on Home program.pdf
4. Waiver Request HUD Response-VA.pdf
5. Waiver - LA initial regular CDBG program waivers requests.pdf
6. Waiver - LA initial regular CDBG program waivers.pdf
7. Waiver - LA request CDBG for emergency housing payments re homelessness.pdf
8. Waiver - LA supplemental approp waiver requests.pdf
9. Waiver Letter-HUD- MO.pdf
10. Waiver Letter-Midwest Floods 1994.pdf
11. Waiver Request for Everything in Action Plan for CDBG Supplemental.LA.pdf
12. Waiver Request on float loans.LA.pdf

13. Waiver Request small rental and higher ed Secton 414 Stafford.LA.pdf
14. Waiver Temp - Letter - LMDC, MTA, NYSDEC, NYSDOT, PANYNJ, re temporary waiver.pdf
15. Waiver-Request-HUD appeal-VA.pdf
16. Waivers-HUD letter.LA.pdf
17. Waivers Additional.LA.pdf