NATIONAL DISASTER RECOVERY FRAMEWORK

Draft

February 5, 2010
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I. EXECUTIVE SUMMARY

The National Disaster Recovery Framework (NDRF) draft outlines how community recovery is supported on a national level. The framework builds on scalable, flexible, and adaptable coordinating structures to align key roles and responsibilities, linking local, state, tribal and federal governments, the private sector, and voluntary, faith-based and community organizations that play vital roles in recovery. It captures resources, capabilities, and best practices for recovering from disaster, recognizing that significant challenges can confront all recovery efforts, from a relatively localized event to a large-scale disaster that demands substantial resources. Once finalized, this Draft NDRF is intended to be the companion document to the National Response Framework (NRF) issued in January 2008.

In September 2009, the President charged the Department of Homeland Security (DHS) and the Department of Housing and Urban Development (HUD) to establish a Long-Term Disaster Recovery Working Group, composed of more than 20 federal departments, agencies and offices, to provide operational guidance for recovery organizations, as well as to make recommendations for improving the nation’s approach to disaster recovery.

During the fall of 2009, DHS/FEMA and HUD sponsored outreach sessions in each of FEMA’s ten regions and stakeholder forums in five cities across the nation to provide stakeholders from a wide array of organizations and backgrounds the opportunity to provide up-front input to the Working Group on ways to strengthen disaster recovery. DHS/FEMA and HUD also organized discussion roundtables with professional associations and academic experts. The Long-term Disaster Recovery Working Group also created a web portal, www.disasterrecoveryworkinggroup.gov, which enabled a large and diverse group of stakeholders to provide input. Over six hundred stakeholders representing the local, state, tribal and federal governments, as well as public and private sector organizations contributed more than six thousand responses from across the nation. The draft NDRF reflects as core principles the significant themes and recommendations that emerged from these stakeholder outreach efforts. These principles include:

- **Individual & Family Empowerment** – Recovery is not only about restoration of structures, systems, and services – although they are critical. A successful recovery is also about individuals and families being able to rebound from their losses, and sustain their physical, social, and economic well-being. The shared recovery objective should always be to empower people to recover from disasters by assisting them with compassion and providing them the opportunities and tools to meaningfully participate and contribute to the recovery effort;

- **Leadership & Local Primacy** - Local governments have primary responsibility for disaster recovery in their community and play the lead role
in planning for and managing all aspects of community recovery. This is a basic, underlying principle that should not be overlooked by federal and other disaster recovery managers in their eagerness to assist. However, the federal government is a partner and facilitator in recovery and must be prepared to manage when the disaster impacts areas of primary federal jurisdiction or national security, and assist should tribal, state, and local governments be overwhelmed by a large-scale or catastrophic event. The federal government must partner closely with tribal governments to support their plans for addressing disaster recovery and encourage tribes to forge partnerships with surrounding local and state governments as well.

- **Preparation for Recovery** - Critical to recovery preparedness is pre-disaster planning, an ongoing responsibility for all levels of governments, individuals and families, the business community, and voluntary, faith-based and community organizations;

- **Partnerships and Inclusiveness** - Partnerships and inclusiveness are vital for ensuring that all voices are heard from all parties involved in disaster recovery, and that the most innovative and relevant solutions are considered. This is especially critical at the local level, where non-governmental partners in the private and non-profit sectors (i.e., local businesses, owners and operators of critical infrastructure and key resources; and voluntary, faith-based, and community organizations) play a significant role in meeting the needs of individuals and families, children, individuals with disabilities, and others with access and functional needs.

- **Communications** – All disaster recovery managers should promote clear, consistent, culturally-sensitive, and frequent communication of critical recovery information through a process that is inclusive of and accessible to the general public and stakeholders. Stakeholders should understand their roles and responsibilities and have realistic expectations of the recovery process and goals.

- **Unity of Effort** – For successful recovery to occur, stakeholders coordinate and direct assistance resources to achieve recovery priorities developed by the affected community. Shared priorities are built upon community consensus and a transparent and inclusive planning process.

- **Timeliness & Flexibility** – For successful recovery to occur, timely recovery activities and assistance are delivered through a coordinated and sequenced process. Recovery programs and operations should be adaptable to meet unmet and evolving recovery needs.

- **Resilience & Sustainability** – For successful recovery to occur, communities should implement mitigation and resilience strategies that minimize their

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1 Note: For the purposes of this draft, the definitions in the National Response Framework apply, except as specifically noted in the text or glossary.
risk to hazards and strengthen their ability to withstand and recover from future disasters.

Built as a document to forge a common understanding of roles, responsibilities, and resources available for effective recovery, the NDRF is designed for all who are or might be involved in disaster recovery. The key concepts in the document are the need for **structure** – provided by the proposed Recovery Support Functions – **leadership** – provided locally and strengthened through support by the proposed State and Tribal Recovery Coordinators, private sector, faith-based and private non-profit leaders, and when needed, the proposed Federal Recovery Coordinator – and **planning** – importantly both pre- and post-disaster. These concepts are explained and developed in the NDRF. When combined with the full involvement of all stakeholders, along with realistic and well communicated expectations of desired outcomes, they constitute the building blocks for a successful community recovery.

The NDRF and the supporting guidance and tools that will follow its publication work toward the development of a national disaster recovery strategy. Together, the NDRF and the NRF provide the doctrine and guidance to implement the response and recovery aspects of the *National Homeland Security Strategy*. In addition, the National Infrastructure Protection Plan (NIPP) and the Critical Infrastructure and Key Resources (CIKR) Annex to the NRF provide a bridge between steady-state CIKR protection and resilience programs and incident management activities. These documents incorporate and adopt the central tenets of the National Incident Management System (NIMS) and support the primacy of local, state and tribal governments in preparing for and managing the response and recovery from natural and man-made disasters.
II. INTRODUCTION

Experience with recent disasters, such as the 2004 and 2005 hurricanes that struck the Gulf Coast states and the 2008 Midwest Floods, have highlighted the need for additional guidance, structure, and support specifically oriented to enhancing long-term recovery. This experience has resulted in a focus to better understand the obstacles to disaster recovery and the challenges faced by communities who seek disaster assistance. The National Disaster Recovery Framework (NDRF) defines an approach to preparing for, planning for, and managing disaster recoveries that addresses the complexity of long term recovery with flexibility and adaptability.

To better support communities and build a more resilient nation, the NDRF provides operational guidance to all recovery partners. It focuses on how best to restore, reconstruct and redevelop the social, natural, and economic fabrics of the community. To accommodate the special challenges inherent in all disasters, this framework is founded upon eight core and mutually supporting principles that are essential to disaster recovery. Among them are partnership and inclusiveness, and leadership and local primacy. All segments of a community need to participate as partners in the development of their recovery goals. Strong leadership throughout all levels of governments, especially at the local level, is needed to ensure an inclusive planning process and instill confidence that well-planned recovery goals can be achieved.

The NDRF defines:

- key recovery principles;
- roles and responsibilities of the recovery coordinators and other stakeholders;
- a coordinating structure that facilitates communication and collaboration among all stakeholders;
- guidance for pre- and post disaster recovery planning; and
- the overall process by which, together as a nation, we can capitalize on opportunities to rebuild stronger, smarter, and safer communities.

These elements improve recovery support and expedite recovery of disaster impacted individuals, families, businesses and communities. While the NDRF speaks to all who are impacted or otherwise involved in disaster recovery, it concentrates more fully on governmental actions.

The concepts and terms used in the NDRF are not new, with two exceptions. They are: the Federal Recovery Coordinator (FRC) and State Recovery Coordinators (SRC); and the Recovery Support Functions (RSF). The Coordinators are established to provide cohesion and focus to the recovery efforts. Their jobs are to ensure that all who have the capability to support community recoveries are actively engaged in a well coordinated way. The Recovery Support Functions are six groupings of
federal agencies designed to provide a one-stop shop for communities as they deal with infrastructure, housing, and other functional areas. Each Recovery Support Function has coordinating and primary federal agencies, and can be expanded to include tribal, state, and local government officials and private non-profit and private sector partners. Importantly, the concepts of the Federal and State Recovery Coordinators and Recovery Support Functions are fundamentally scalable, depending upon the nature and scale of the disaster.

The NDRF builds on and aligns with the National Response Framework (NRF). While the NRF anticipates the need for long-term recovery, it addresses primarily actions during disaster response. Like the NRF, the NDRF seeks to facilitate understanding and to develop a common planning framework. The NDRF incorporates and expands on the key elements of the NRF, ESF #14, Long-Term Community Recovery, adding leadership elements, organizational structure, planning guidance and other components needed to coordinate continued recovery support to individuals, businesses and community. The NDRF also aligns with the NIPP, which provides a unified national framework and establishes robust coordinating mechanisms for ensuring the resilience and protection of the nation’s critical infrastructure.

While the NDRF is built upon existing programs, authorities, and best practices, the effective implementation of the NDRF requires interagency cooperation and engagement across the federal government. This effort requires the assets and support beyond those typically deployed to support initial aspects of response and early recovery or initial restoration of essential services. As responsibilities, capabilities, policies, and resources expand or change, the Framework will be revised as needed to ensure the NDRF continues to provide a common but adaptable approach to disaster recovery.
III. PURPOSE OF THE FRAMEWORK

The NDRF establishes a scalable system that coordinates and manages disaster recovery operations to more effectively deliver recovery assistance to severely impacted communities. It provides guidance and a flexible structure for disaster recovery managers to operate in a unified, inclusive, and collaborative manner to address the complexity of the recovery process and facilitate recovery assistance and activities. The stakeholders addressed by the NDRF are the local, state, tribal, and federal governments; individuals and families; persons with disabilities and other access and functional needs; children; members of underserved communities; the business community; and voluntary, faith-based and community organizations, including advocacy groups, universities, professional associations, and philanthropic foundations.

The NDRF clarifies the roles and responsibilities for stakeholders in recovery, both before and after a disaster. It recognizes that recovery is a continuum and that the ability and success of a community to accelerate the process and turn a tragedy into an opportunity begins with pre-disaster preparedness, mitigation, community capacity- and resilience-building efforts. It recognizes that when a disaster occurs, social vulnerability and initial response actions (and inactions) influence recovery; and that timely decisions can reduce the cost and time required for recovery.

The NDRF describes key principles and steps for recovery planning and implementation. It promotes a process in which the impacted community can fully engage and consider the needs of all its members, and assume the leadership in developing recovery priorities and activities that are realistic, well-planned and clearly communicated.

The NDRF advances the concept that recovery encompasses more than the restoration of the community’s physical structures to their pre-disaster conditions. It includes revitalizing and making more resilient and sustainable the economic, social, educational, environmental and cultural fabric and networks of the impacted community against future disasters.

Intended Audience

The Recovery Framework is written especially for government executives, private sector and nongovernmental (NGO) leaders, and disaster recovery management practitioners. First, it is addressed to senior leaders, such as mayors, other local officials, state governors and other state officials, tribal leaders, and federal department or agency executives—those who have authority, responsibility, and equities in disaster recovery. For the nation to be prepared for all hazards, and mitigate their impact upon communities, especially the restoration of economic and social vitality of a community or region, its leaders must approach disaster recovery through means which encourage collaboration, efficiency, transparency, and community efficacy.
Leaders in the private sector and NGOs will find guidance in the NDRF for engaging in pre-disaster planning for disaster recovery and plugging into the post-disaster recovery coordination structure to enhance the effectiveness of their own recovery and their contributions to the community-wide recovery.

At the same time, the NDRF informs disaster recovery management practitioners, explaining the concepts of partnership and conditions necessary to achieve common goals through collaborative recovery coordination.

**Scope**

The NDRF defines essential concepts for successful disaster recovery and provides guidance to all stakeholders for the following recovery-related efforts:

- Defining roles and responsibilities for all stakeholders and participants.
- Providing a consistent recovery leadership for coordination and communication.
- Establishing a scalable and flexible organizational structure for coordinating recovery assistance.
- Promoting local economic recovery by striving to direct federal disaster funds to local businesses within the declared area when warranted.
- Engaging in pre-disaster recovery planning and other recovery preparedness, mitigation, and community resilience-building work.
- Engaging the public-private partnership under the NIPP to facilitate broad coordination and information sharing among all levels of government and private sector owners and operators of critical infrastructure.
- Facilitating post-disaster recovery planning, opportunities and resources to rebuild a strong, sustainable, and resilient community.
- Developing and capturing best practices, tools, and metrics for:
  - Impacted communities to develop recovery priorities and measure recovery progress and outcomes against their agreed upon objectives.
  - Governments and voluntary, faith-based and community organizations providing assistance to track progress, ensure accountability, and make adjustments to ongoing assistance.
- Establishing guidance for the transition from recovery back to steady-state, including the shift of roles and responsibilities.

**Applicability**

The NDRF applies to all disasters, recovery partners, and recovery activities and is adaptable for different levels of recovery needs. It facilitates and leverages partnerships and collaboration among all stakeholders to ensure that recovery assistance is effectively delivered to the impacted residents and communities.
Recovery Continuum

Ideally, the recovery continuum begins before a disaster strikes, with preparedness activities such as planning, capability building, exercising, and establishing tools and metrics to evaluate progress and success; mitigation planning and actions; economic development planning, and vital partnership building, all of which contribute to the community’s and the nation’s resilience. Post disaster recovery activities begin in the early stages of the response operations and may last for years. Actions that help recovery, resilience, and sustainability should be built into the steady state operations of governments at all levels.

The NDRF focuses on intermediate and long-term recovery activities and distinguishes these from response and stabilization activities. Even though response activities often set the stage for recovery, the NDRF does not speak to response operations and other emergent activities that immediately precede or follow a disaster such as: life-saving, life-sustaining, property protection actions and other measures intended to neutralize the immediate threat to life and property. However, response activities can influence long-term recovery and be choice-limiting, and these long term recovery impacts must be considered for their potential impact prior to implementation.

As response actions wind down, stabilization activities are primary. Stabilization is the process in which the immediate impacts of an event on community systems are managed and contained, thereby creating an environment where recovery activities can begin. The various elements of a community system will stabilize on different time frames, leading to a situation in which response, stabilization, and restoration activities can occur concurrently. Stabilization includes such activities as:

- Providing essential health and safety services
- Providing congregate sheltering or other temporary sheltering solutions
- Providing food, water and other essential commodities for those displaced by the incident.
- Providing disability related assistance/functional needs support services.
- Developing impact assessments on critical infrastructure, essential services, and key resources.
- Conducting initial damage assessments.
- Conducting community wide debris removal, including clearing of primary transportation routes of debris and obstructions.
- Restarting major transportation systems and restoring interrupted utilities, communication systems, and other essential services such as education and medical care.
- Establishing temporary or interim infrastructure systems. Supporting family reunification.
- Supporting return of medical patients to appropriate facilities in the area.
- Providing basic psychological support and emergency crisis counseling.
- Providing initial individual case management assessments.
Providing security and reestablishing law enforcement functions.

Building an awareness of the potential for fraud, waste and abuse, and ways to deter such activity, such as developing Public Service Announcements and publicizing ways to report allegations of waste, fraud and abuse.

Begin assessment of natural and cultural resources.

**Intermediate recovery activities** involve returning individuals and families, critical infrastructure and essential government or commercial services back to a functional, if not pre-disaster state. Such activities are often characterized by temporary actions that provide a bridge to permanent measures. Examples of these actions are:

- Continuing to provide individual, family-centered, and culturally appropriate case management. Providing accessible interim housing (in or outside the affected area depending on suitability) and planning for long-term housing solutions.
- Returning of displaced populations and businesses if appropriate.
- Reconnecting displaced persons with essential health and social services.
- Providing supportive behavioral health education, intervention, including continuing to provide crisis, grief, and group counseling and support.
- Providing access and functional needs assistance to preserve independence and health.
- Updating hazard and risk analyses to inform recovery activities.
- Establishing a post-disaster recovery prioritization and planning process.
- Developing an initial hazard mitigation strategy responsive to needs created by the disaster.
- Ensuring that national and local critical infrastructure priorities are identified and incorporated into recovery planning.
- Developing culturally and linguistically appropriate public education campaigns to promote rebuilding to increase resilience and reduce disaster losses.
- Supporting capacity assessment of local, state, and tribal governments to plan and implement recovery.
- Complete assessments of natural and cultural resources and develop plans for long-term environmental and cultural resource recovery.

**Long-term recovery** is the phase of recovery that follows intermediate recovery and may continue for months to years. Examples include the complete redevelopment and revitalization of the damaged area. It is the process of rebuilding or relocating damaged or destroyed social, economic, natural, and built environments in a community to conditions set in a long-term recovery plan. The goal underlying long-term redevelopment is the impacted community moving forward to self-sufficiency, sustainability, and resilience. Activities may continue for years depending on the severity and extent of the disaster damages, as well as the availability of resources, and include the following:
• Identifying of risks that affect long-term community sustainment and vitality.
• Developing and implementing disaster recovery processes and plans, such as a long term recovery plan and/or reflecting recovery planning and mitigation measures in the community’s land use planning and management, comprehensive plans, master plans, and zoning regulations.
• Rebuilding to appropriate resilience standards in recognition of hazards and threats.
• Addressing recovery needs across all sectors of the economy and community, and addressing individual and family recovery activities and unmet needs.
• Rebuilding educational, social, and other human services and facilities according to standards for accessible design.
• Reestablishing medical, public health, behavioral health, and human services systems.
• Reconfiguring elements of the community in light of changed needs and opportunities for “smart planning” to increase energy efficiency, enhance business and job diversity, and promote the preservation of natural resources.
• Implementing mitigation strategies, plans, and projects.
• Implementing permanent housing strategies.
• Reconstructing and/or relocating, consolidating permanent facilities.
• Implementing economic and business revitalization strategies.
• Implementing recovery strategies that integrate holistic community needs.
• Implementing plans to address long-term environmental and cultural resource recovery.
• Ensuring there is an ongoing and coordinated effort among local, state, tribal, and federal entities to deter and detect waste, fraud and abuse.
• Identifying milestones for the conclusion of recovery for some or all non-local entities.
IV. CORE PRINCIPLES

The NDRF is guided by core principles derived from hundreds of stakeholder comments. They are:

- **Individual & Family Empowerment** – Recovery is not only about restoration of structures, systems and services – although they are critical. A successful recovery must also be about individuals and families being able to rebound from their losses, and sustain their physical, social and economic well-being. The shared recovery objective should always be to empower people to recover from disaster by assisting with compassion and respect; and by providing them the opportunities, tools and resources to meaningfully participate in the recovery process and contribute to their individual, family and overall community-wide recovery. Observing this principle may be especially important for individuals with disabilities, access and functional needs; children; the elderly; and members of underserved communities.

- **Leadership & Local Primacy** – Encourage informed and coordinated leadership throughout all levels of government, sectors of society, and phases of the recovery process through collaboration and communication support. Recognize that tribal, state, and local governments have primary responsibility for the recovery of their communities and play the lead role in planning and authority for managing all aspects of community recovery. This is a basic, underlying principle that should not be overlooked by federal, state, and other disaster recovery managers in their eagerness to assist. However, the federal government is a partner and facilitator in recovery and must be prepared to manage when the disaster impacts areas of primary federal jurisdiction or national security, and assist should tribal or state and local governments be overwhelmed by a large-scale or catastrophic event.

- **Preparation for Recovery** – Prepare for recovery prior to a disaster to establish a higher state of resilience and speed for recovery planning and assistance delivery. Development of recovery coordination structures and training of recovery personnel are vital to enhancing recovery preparedness. A critical component to preparedness is also pre-disaster recovery planning. Involve all stakeholders to ensure a coordinated and comprehensive planning process, appreciating that all plans evolve during execution but the relationships and understanding developed during the planning process increase the ability for collaboration and unified decision-making. Identify in advance the process and procedures that will be used to make decisions and metrics for monitoring progress.

- **Partnership & Inclusiveness** – Promote proactive partnerships and collaboration. Partnerships and inclusiveness are vital for ensuring that all voices are heard from all parties involved in disaster recovery, and that the most
innovative and relevant solutions are considered. This is especially critical at the community level, where non-governmental partners in the private and non-profit sectors (i.e., local businesses, owners and operators of critical infrastructure and key resources; and voluntary, faith-based and community organizations, foundations, philanthropic groups and academic institutions) play a significant role in meeting local needs. Collaboration can drive innovation through fostering and strengthening community relationships with multiple actors as well as multi-jurisdictional coordination. The recovery process should be facilitated through the inclusion of individuals with disabilities and others with access and functional needs, advocates of children, the elderly, and members of underserved communities. Cultural competency, diversity, and sensitivity should be addressed and respected at all levels and at all times.

- **Communications** - Promote clear, consistent, culturally-sensitive, and frequent communication of critical recovery information through a process that is inclusive of and accessible to the general public and stakeholders, including people with disabilities and with limited English proficiency; manage expectations throughout the process, and support the development of local, state, and tribal communication plans; ensure stakeholders have a clear understanding of the assistance they are eligible for and the roles and responsibilities they must be accountable for; make clear the actual pace, requirements, and time needed to achieve recovery.

- **Unity of Effort** – Coordinate and focus all available disaster recovery assistance resources toward an agreed-upon set of recovery processes and priorities developed at the community level. Support a transparent, inclusive, and accessible process through which community members, leaders, and supporters come together to examine options, debate alternatives, address conflicts, and make the decisions necessary to build community consensus and unity on their shared recovery priorities.

- **Timeliness & Flexibility** - Uphold the value of timeliness, efficiency and flexibility in coordinating and delivering recovery activities and assistance. Minimize delays and opportunity losses; sequence recovery decisions to promote coordination, avoid potential conflicts, build confidence and ownership of the recovery process among all stakeholders; and ensure recovery plans, programs, policies, and practices are adaptable to meet any unforeseen, unmet and evolving recovery needs.

- **Resilience & Sustainability** – Promote implementation of redevelopment fundamentals and practices that minimize the community’s risk to all hazards, and strengthen the community’s ability to withstand and recover from future disasters. Engage in a rigorous assessment and understanding of risks and vulnerabilities that might endanger the community or pose additional recovery challenges. Promote implementation of the NIPP risk management framework to enhance the resilience and protection of critical infrastructure against the
effects of future disasters. Incorporate mitigation strategies, critical infrastructure, environmental and cultural resource protection, and sustainability practices not only in reconstructing the built environment, such as housing and infrastructures, but also in revitalizing the economic, social and natural environments.
V. RECOVERY ROLES & RESPONSIBILITIES

Successful recovery depends on all stakeholders and every level of government being prepared to work collaboratively and effectively prior to and after a disaster. This section describes the recovery roles and responsibilities of individuals and families; businesses; voluntary, faith-based and community organizations; and local, state, tribal, and federal governments.

Individuals and Families

Individuals and families need to prepare for and manage their own recovery to the extent possible. Those who prepare not only reduce personal stress and enhance their ability to undertake their own recovery, but can also shape the future of their community by their resilience to an event and the choices they make during the recovery process. To the extent that individuals and families can adequately prepare for disasters and participate in recovery efforts, the more successful the recovery outcomes will be. Resources to help families prepare are available through websites and publications of local voluntary organizations that are active in disasters like the American Red Cross, state and local emergency management agencies, and FEMA.

The responsibilities of individuals and families in pre- and post disaster situations may include, but are not limited to:

<table>
<thead>
<tr>
<th>Individuals and Families Pre-Disaster Checklist</th>
<th>Individuals and Families Post-Disaster Checklist</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓ Learn about the natural hazards they are exposed to and measures they can take to protect themselves.</td>
<td>✓ Prioritize recovery needs and goals.</td>
</tr>
<tr>
<td>✓ Mitigate vulnerabilities of their homes, such as adding hurricane shutters, maintaining a defensible firebreak around the house, and pruning overhanging tree limbs.</td>
<td>✓ Implement individual and family recovery plans.</td>
</tr>
<tr>
<td>✓ Put together individual/family disaster preparedness and recovery plans.</td>
<td>✓ Participate in post-disaster community recovery planning if possible.</td>
</tr>
<tr>
<td>✓ Purchase and maintain appropriate and adequate level of hazard insurance.</td>
<td>✓ Make contact with recovery resource organizations and apply for assistance.</td>
</tr>
<tr>
<td>✓ Maintain cash reserves on hand since banking services are usually unavailable in the event of a disaster.</td>
<td>✓ Engage in specific recovery project activities.</td>
</tr>
<tr>
<td></td>
<td>✓ Reach out to others who may need assistance; assist them in obtaining planning guidance and tools.</td>
</tr>
</tbody>
</table>
Texas Consumers, Businesses, and Critical Infrastructure Owners and Operators

Businesses play a critical role in the stabilization and revitalization of the local economy as employers, service and goods providers, investors, developers, planners and in other economic roles needed to achieve a sustainable recovery and prosperous community. Businesses are often severely impacted by disasters and need assistance quickly to rebuild and reopen. But businesses are also partners, contributors and leaders in long term recovery and must be involved in the planning and recovery processes from the outset. Many local businesses are owned by members of the community. The owners understand a community’s needs, and their business operation is crucial in restoring the economic health of a community.

The private sector plays a critical role in establishing public confidence immediately after a disaster. If local leadership and the business community have worked together and there is a recovery plan in place, there is a greater propensity for the public to have confidence in the impacted community’s marketplace.

Additionally, the private sector owns the vast majority of the nation’s critical infrastructure and plays a major role in the recovery of a community or a region. Disruptions of critical infrastructure may have a regional or even national deleterious effect. To expedite critical infrastructure restoration, CIKR owners and operators coordinate with local organizations, as appropriate, and participate in national-level coordination in accordance with the NIPP and the processes outlined in the CIKR Support Annex to the NRF. The DHS Office of Infrastructure Protection is responsible for leading efforts and establishing priorities across the federal government and coordinating with State, local, tribal, territorial, and private sector partners to mitigate risk and enhance the resilience of critical infrastructure.

It is critical that disaster recovery officials recognize the importance of partnership and create coordination opportunities during pre-disaster planning with private sector leaders. The resources and capabilities of the private sector, including utilities, banks, and insurance companies, can play an important role in encouraging mitigation and creating greater resilience in a community. For example, local banks can create products to encourage individuals and businesses to be financially prepared for disasters and work with small businesses (to which the bank lends) to...
develop business continuity plans. Insurance companies can educate community
members on risks, reach out to underserved populations, and work with State and
local governments to find ways to provide coverage for low-income families and
small businesses.

As a major player in recovery efforts, businesses and critical infrastructure owners
and operators have an important responsibility to improve disaster resilience by
mitigating risks and increasing disaster preparedness. Small or large businesses at
risk of hazards should adopt and exercise business continuity plans to minimize
costly operation disruptions and to purchase adequate insurance policy to obtain
financial resources to rebuild damaged facilities. Businesses that do not plan for
disruption are more likely to go out of business after a disaster than those that do.

Private sector responsibilities in pre- and post disaster situations may include, but
are not limited to:

<table>
<thead>
<tr>
<th>Private Sector Pre-Disaster Checklist</th>
<th>Private Sector Post-Disaster Checklist</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓ Develop a business model that is</td>
<td>✓ Communicate status of operations,</td>
</tr>
<tr>
<td>adaptable to operate in a disaster</td>
<td>supply chain and restoration</td>
</tr>
<tr>
<td>event.</td>
<td>challenges/timelines.</td>
</tr>
<tr>
<td>✓ Identify areas beyond the physical</td>
<td>✓ Communicate needs and be informed</td>
</tr>
<tr>
<td>location of the business where</td>
<td>of overall recovery progress.</td>
</tr>
<tr>
<td>disasters can affect business</td>
<td>✓ Mobilize employees or community to</td>
</tr>
<tr>
<td>operations, including interruptions</td>
<td>utilize available resources and</td>
</tr>
<tr>
<td>in logistics and supply chains.</td>
<td>reopen for operations to continue to</td>
</tr>
<tr>
<td>✓ Develop, test, and implement</td>
<td>provide essential goods and services</td>
</tr>
<tr>
<td>business continuity and restoration</td>
<td>to the community.</td>
</tr>
<tr>
<td>plans. Plans should take into account</td>
<td>✓ Support employees impacted by the</td>
</tr>
<tr>
<td>worker safety and health and</td>
<td>disaster.</td>
</tr>
<tr>
<td>potential employee unavailability or</td>
<td>✓ Take measures to ensure worker</td>
</tr>
<tr>
<td>attrition due to disaster.</td>
<td>safety and health during recovery</td>
</tr>
<tr>
<td>✓ Educate and train employees to</td>
<td>work.</td>
</tr>
<tr>
<td>practice business mitigation and</td>
<td>✓ Form business recovery groups or</td>
</tr>
<tr>
<td>preparedness activities.</td>
<td>task forces to assist one another and</td>
</tr>
<tr>
<td>✓ Carry adequate insurance to rebuild</td>
<td>to communicate more effectively with</td>
</tr>
<tr>
<td>damaged facilities or survive a</td>
<td>government and community</td>
</tr>
<tr>
<td>disruption of work.</td>
<td>leaders.</td>
</tr>
<tr>
<td>✓ Incorporate mitigation measures in</td>
<td>✓ Research available funding sources</td>
</tr>
<tr>
<td>design and construction for place of</td>
<td>and types of funding; understand the</td>
</tr>
<tr>
<td>employment.</td>
<td>application processes of assistance</td>
</tr>
<tr>
<td>✓ Mitigate risks from disasters by</td>
<td>programs.</td>
</tr>
<tr>
<td>relocating from hazardous areas,</td>
<td>✓ Assist small and local businesses to</td>
</tr>
</tbody>
</table>

Private Sector Pre-Disaster Checklist
- Develop a business model that is adaptable to operate in a disaster event.
- Identify areas beyond the physical location of the business where disasters can affect business operations, including interruptions in logistics and supply chains.
- Develop, test, and implement business continuity and restoration plans. Plans should take into account worker safety and health and potential employee unavailability or attrition due to disaster.
- Educate and train employees to practice business mitigation and preparedness activities.
- Carry adequate insurance to rebuild damaged facilities or survive a disruption of work.
- Incorporate mitigation measures in design and construction for place of employment.
- Mitigate risks from disasters by relocating from hazardous areas.

Private Sector Post-Disaster Checklist
- Communicate status of operations, supply chain and restoration challenges/timelines.
- Communicate needs and be informed of overall recovery progress.
- Mobilize employees or community to utilize available resources and reopen for operations to continue to provide essential goods and services to the community.
- Support employees impacted by the disaster.
- Take measures to ensure worker safety and health during recovery work.
- Form business recovery groups or task forces to assist one another and to communicate more effectively with government and community leaders.
- Research available funding sources and types of funding; understand the application processes of assistance programs.
- Assist small and local businesses to
hardening facilities, and elevating critical infrastructure.

- Participate and assume a leadership role in local recovery planning; articulating anticipated needs in a disaster, as well as resources available to support recovery.
- Develop network to strengthen coordination between businesses, government entities and community organizations.
- Provide training for business leaders in the community to assist with the business recovery process.
- Acquire assistance.
  - Donate goods and services, such as funneling resources through nonprofit organizations and providing direct services.
  - Provide technical assistance for the implementation of temporary distribution system of essential goods and services.
  - Provide facilities, i.e. office space, bathrooms, and sleeping accommodations, to local governments or groups.

### Non-Profit Sector

The non-profit sector plays a vital role in the recovery of impacted communities. Non-profits include voluntary, faith-based and community organizations, charities, foundations, philanthropic groups, as well as professional associations and academic institutions. Members of these organizations are often stakeholders themselves, in addition to acting as advocates for or as assistance providers to other members of the community. The formidable value of the work of volunteers and these organizations’ expertise reside in recovery planning, case management services, volunteer coordination, technical and financial support, and project implementation.

Non-profit sector support is provided by a range of organizations, from small locally based non-profits to organizations with national reach that have extensive experience with disaster recovery. Non-profits can directly supplement and “fill gaps” where government authority and resources cannot be applied. As resourceful fundraisers, grantors, and investors, they can inject needed financial resource to meet recovery needs and obligations that otherwise cannot be funded by a federal program due to legal limitations.

Many organizations originate from or stay behind in the impacted community to continue to mobilize support and provide services. As such, particularly in a large scale disaster, they play a critical role in the implementation of an inclusive, locally-led recovery organization and process during the transition as federal recovery support recedes and local leadership and community recovery organizations complete the mission.
Non-profit organizations are critical for ensuring participation and inclusion of all members of the impacted community. Many non-profits act as advocates for or as assistance providers to a wide range of members in the community, such as individuals with disabilities and others with access and functional needs, children, elderly, and underserved populations. It is crucial that these individuals and families receive timely recovery information, participate in the recovery process, and understand and have access to resources to achieve recovery.

Non-profit sector responsibilities in pre- and post disaster situations may include, but are not limited to:

<table>
<thead>
<tr>
<th>Non-Profit Sector Pre-Disaster Checklist</th>
<th>Non-Profit Sector Post-Disaster Checklist</th>
</tr>
</thead>
<tbody>
<tr>
<td>✔ Build relationships with the emergency managers and other recovery officials in their communities to have an active voice in the recovery process.</td>
<td>✔ Provide specific relief aid, recovery resources, and support services to vulnerable and underserved groups of individuals and communities, as necessary.</td>
</tr>
<tr>
<td>✔ Identify leaders and other representatives from organizations representing individuals with disabilities and others with access and functional needs, children, elderly, and underserved populations to participate in the local long-term recovery committees (LTRCs).</td>
<td>✔ Provide functional need support services/disability related assistance to maintain independence.</td>
</tr>
<tr>
<td>✔ Co-host stakeholder workshops in various accessible locations in the community to determine priority issues for recovery from the neighborhoods that make up the community.</td>
<td>✔ Provide emotional and spiritual care post-disaster including training for care-givers.</td>
</tr>
<tr>
<td>✔ Incorporate mitigation in design and construction for place of employment, and promoting mitigation to employees.</td>
<td>✔ Provide case management expertise including training to support individuals’ implementation of their disaster recovery plans.</td>
</tr>
<tr>
<td>✔ Build the lessons learned from disaster efforts into the planning process for the State Voluntary Organizations Active in Disaster (VOAD).</td>
<td>✔ Provide housing repair and reconstruction services that comply with applicable architectural standards.</td>
</tr>
<tr>
<td>✔ Actively participate in local pre-disaster recovery planning, articulating resources and</td>
<td>✔ Communicate needs and capabilities to state and local authorities.</td>
</tr>
<tr>
<td></td>
<td>✔ Coordinate with the federal and state Voluntary Agency Liaison (VAL).</td>
</tr>
<tr>
<td></td>
<td>✔ Participate in post-disaster community planning process.</td>
</tr>
<tr>
<td></td>
<td>✔ Provide advocacy services for disaster-affected communities to help with the complexities of governmental and other recovery programs.</td>
</tr>
<tr>
<td>Ensure operations comply with federal civil rights laws, including meeting architectural standards for sheltering operations, and implementing nondiscrimination provisions in funding usage and dissemination.</td>
<td></td>
</tr>
<tr>
<td>Promote partnership among all NGOs conducting disaster recovery work.</td>
<td></td>
</tr>
<tr>
<td>Provide leadership in the incorporation of Long Term Recovery Committees into other NDRF coordinating elements to address unmet needs of families and individuals.</td>
<td></td>
</tr>
<tr>
<td>Communicate with state agencies regarding state program information for recovery.</td>
<td></td>
</tr>
<tr>
<td>Serve as subject matter experts on the subject of unsolicited donated goods and unaffiliated volunteers throughout the post-disaster operation.</td>
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**Local Government**

The local government has the primary role in planning for and managing all aspects of its community’s recovery. State and federal officials look to local governments to clearly articulate their recovery priorities and develop plans in order to optimally support local communities.

The majority of mitigation and resilience measures are adopted and codified at the local level. While there are federal and state standards, it is sometimes the prerogative of the local government to adopt and enforce them. Examples include adopting the National Flood Insurance Program (NFIP) and enforcing appropriate building codes.

Local governments can also lead the community in preparing mitigation and recovery plans, raising hazard awareness, and educating the public of available tools and resources to enhance future resilience (e.g. Chapter 7 of the ADA Best Practices Tool Kit, concerning emergency preparedness and people with disabilities).

Government agencies should remember they also play a role as an employer and need to have their own disaster plan to protect and assist their employees.

Local government responsibilities in pre- and post disaster situations may include, but are not limited to:
### Local Governments Pre-Disaster Checklist

- Lead local preparedness and pre-disaster recovery planning.
- Facilitate preparation of pre-event disaster recovery plans commensurate with local risk and vulnerability for public organizations, private entities and individual households.
- Lead a pre-disaster recovery planning process that is inclusive and accessible and facilitates emergency management practices that comply with all applicable laws, including civil rights laws.
- Articulate recovery needs and priorities to facilitate support and collaboration with the state and federal governments, private and non-profit sector organizations.
- Establish a process for reviewing, validating, and setting planning priorities.
- Pre-identify a structure for managing recovery, including a local recovery coordinator or lead for managing recovery.
- Establish agreements and mechanisms to address surge capacity needs.
- Ensure plans, agreements, and mechanisms address the provision of disability related assistance & functional needs support services,
- Ensure recovery-related dialogue includes and is accessible to all community groups.
- Ensure plans incorporate worker safety and health.

### Local Governments Post-Disaster Checklist

- Organize, implement, modify and develop recovery plans as needed.
- Ensure integrated efforts across government offices, the private sector, and nongovernmental organizations during the implementation phase of recovery projects and activities.
- Lead effort in restoring local critical infrastructure and essential services, retaining businesses, and redeveloping housing that have been damaged, disrupted or destroyed by the disaster.
- Lead outreach effort to all its constituents to support an inclusive post-disaster recovery planning process.
- Manage recovery rebuilding in a manner which optimizes risk reduction opportunities and complies with standards for accessible design.
- Lead local recovery planning effort to establish recovery vision and priorities.
- Establish metrics to evaluate recovery progress and achievement of local disaster recovery objectives.
- Communicate and coordinate with other levels of government involved in the recovery.
- Receive and manage private, state, and federal grant resources; ensure effective and nondiscriminatory use of funds; and enforce accountability and compliance.
- Ensure the safety and health of workers.
**State Government**

States manage and drive the overall recovery process and play a key role in coordinating recovery activities within the state and with other levels of government. As the basis for all legal authority within a state, state governments wield influence over many tools to enable disaster recovery through legislation, regulation, and management of state and some federal resources.

States act as a conduit for some key federal recovery assistance programs to the local governments. In addition to managing federal resources, state governments may develop programs or raise money (i.e. issue bonds) to finance recovery projects. Where there are additional needs to be met, they can reassign existing internal resources to streamline and expedite recovery, such as forming a new or ad hoc state recovery agency.

State government responsibilities in pre- and post disaster situations may include, but are not limited to:

<table>
<thead>
<tr>
<th>State Governments Pre-disaster Checklist</th>
<th>State Governments Post-Disaster Checklist</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓ Lead state-wide pre-disaster recovery and mitigation planning efforts.</td>
<td>✓ Coordinate with local, regional, tribal, and federal governments and agencies, private businesses and non-profit organizations to coordinate recovery planning and assistance to impacted communities.</td>
</tr>
<tr>
<td>✓ Establish and manage requirements and incentives for pre-event disaster recovery preparedness and planning as well as hazard mitigation actions.</td>
<td>✓ Receive, record, and manage federal grant resources; ensure efficient, nondiscriminatory and effective use of the funds; and enforce accountability and legal compliance.</td>
</tr>
<tr>
<td>✓ Identify recovery activities that are either primarily the responsibilities of state government or beyond the capabilities and authorities of local governments.</td>
<td>✓ Oversee volunteer and donation management and coordinate with federal Voluntary Agency Liaison.</td>
</tr>
<tr>
<td>✓ Provide technical assistance and training to local governments and NGOs on state plans, programs, and other resources for disaster recovery.</td>
<td>✓ Facilitate and oversee a case management process that is accessible and inclusive.</td>
</tr>
<tr>
<td>✓ Implement and enforce applicable laws and regulations to protect the rights of citizens to ensure physical, programmatic and communications access to preparedness activities and services.</td>
<td>✓ Assist local governments and communities with indentifying recovery resources.</td>
</tr>
<tr>
<td>✓ Establish and aid enforcement of building and accessibility codes and</td>
<td>✓ Establish metrics in coordination with the impacted communities to evaluate recovery progress and achievement of statewide disaster</td>
</tr>
<tr>
<td>land use standards, which can reduce vulnerability to future disasters.</td>
<td>recovery objectives.</td>
</tr>
<tr>
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</tr>
<tr>
<td>✓ Ensure safety and health of state workers.</td>
<td>✓ Develop and implement strategies for raising and leveraging recovery funds through private investments, charitable donations, and state sources such as emergency funds, tax, fees and bonds that are within the state’s authority to seek.</td>
</tr>
<tr>
<td>✓ Provide advice to employers and workers on worker safety and health.</td>
<td>✓ Communicate timely information to the public and manage expectations, in coordination with local, tribal and federal stakeholders.</td>
</tr>
<tr>
<td></td>
<td>✓ Enact new or exemptions to existing state laws and/or regulations to promote recovery activities such as home reconstruction.</td>
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<tr>
<td></td>
<td>✓ Coordinate with federal law enforcement to prosecute disaster-related fraud, waste, discrimination, and abuse, and recover lost funds.</td>
</tr>
<tr>
<td></td>
<td>✓ Ensure safety and health of state workers.</td>
</tr>
<tr>
<td></td>
<td>✓ Monitor oversight of worker safety and health.</td>
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</tbody>
</table>

### Tribal Nations

Tribal governments, as sovereign nations, govern and manage the safety and security of their lands and citizens. Many tribal nation borders cross multiple counties and states presenting a unique challenge in planning, response, and recovery efforts. While resources in other communities and governments may be available and easily accessible, such is not the case in many tribal nation communities. Understanding these basic facts assists federal, state, and local governments when working with the sovereign tribal nations to develop their long-term community recovery plans and implement their recovery.

The federal government is required, to the extent practicable, to engage in meaningful consultation with tribal nations prior to the finalization of policy or program implementation. State and local governments are encouraged to engage with tribal governments as well. ([See Executive Order 13175, Consultation and Coordination with Indian Tribal Governments.](#)) The NDRF supports tribal leadership in preparedness and recovery planning.
For pre- and post disaster situations, tribal governments may seek to:

**Tribal Government Pre-Disaster Checklist**

- Pass tribal legislation that protects tribal sovereignty and provides for cooperation and partnership with other governments.
- Preserve and protect cultural resources, sacred sites, and traditional lands.
- Develop an acceptable tribal mitigation plan.
- Facilitate communication between the tribes and local governments by informing the latter of cultural differences, tribal distinctions, and best means for communicating within the tribal hierarchy.
- Prepare a pre-disaster plan that outlines responsibilities and allows for the creation of a Tribal Recovery Coordinator position or equivalent and an organizational structure to manage recovery assistance application and allocation.

**Tribal Government Post-Disaster Checklist**

- Define the tribal community’s recovery goals in a culturally and acceptable way.
- Partner and cooperate with local, state, regional, and federal agencies to assess needs, resources, and recovery capabilities.
- Appointing a tribal recovery coordinator or equivalent, and establishing an organizational structure to manage recovery assistance application and allocation.
- Establish metrics to evaluate recovery progress and achievement of tribal disaster recovery objectives.
- Partner with other governments to provide timely information and manage expectations.
- Participate in long-term recovery planning committees with local, state, and federal partners.
- Coordinate with federal, state, and local governments to ensure and expedite assistance.
- Update and implement pre-disaster recovery and mitigation plans.
- Establish a system to apply, receive, and manage recovery grant resources unique to tribes.

**Federal Government**

The primary role of the federal government is to support state and tribal governments with their responsibilities to manage and lead the disaster recovery. When a disaster occurs which exceeds the capacity for local or state resources – or impacts federal property or other areas of primary federal jurisdiction or national security interests – the federal government uses the NDRF to engage all necessary resources.
department and agency capabilities to support local recovery efforts. The federal
government’s supporting role is especially important during the early weeks after a
large-scale or catastrophic disaster, when many state and local governments are
overwhelmed with response and relief efforts. The duration and extent of federal
support will be commensurate to the scale and enduring impacts of the disaster.
The federal government’s disaster recovery management and support systems
should be scalable and adaptable so changes can be made quickly and effectively to
meet the needs of the specific disaster.

Federal agencies may be requested to provide federal-to-federal support or other
support. Federal agencies without long-term recovery missions may directly or
indirectly contribute to meeting long-term recovery needs of affected communities
by delivering assistance provided under their steady state authority. The federal
government coordinates its activities to facilitate adaptations and adjustments
consistent with other competing requirements, including other disaster response
and recovery needs.

Prior to disaster, the federal government also has a responsibility to assist state and
local governments to prepare for recovery by providing guidance and tools for
planning and preparedness activities. Although disasters and localities vary so
widely that most recovery planning must transpire at the local level, some
centralized planning and federal guidance or standards are necessary to ensure
coordination of outside resources and assistance. Large-scale and catastrophic
events (e.g. the Midwest floods of 1993 and 2008 or a potential New Madrid
earthquake) often cross several municipal, county, tribal, or even state jurisdictions,
and national coordination is necessary to ensure that government agencies are
working together to the optimal benefit of those impacted. The federal government
can also use its national outlook to promote regional planning.

From the federal perspective, a successful recovery introduces an additional
responsibility concerning the “return” on federal investment. The federal
government is responsible for ensuring that federal tax dollars invested to assist a
community’s recovery is done, to the extent practicable, in a manner that reduces or
eliminates future risk from hazards, increases resilience, and is consistent with
national laws and policies. Government agencies should remember they also play a
role as an employer and need to have their own disaster plan to protect and assist
their employees.

Federal government responsibilities in pre- and post disaster situations may
include, but are not limited to:

<table>
<thead>
<tr>
<th>Federal Government Pre-Disaster Checklist</th>
<th>Federal Government Post-Disaster Checklist</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓ Promote recovery preparedness by providing guidance to tribal, state</td>
<td>✓ Deploy a Federal Recovery Coordinator when appropriate and</td>
</tr>
</tbody>
</table>

N a t i o n a l  D i s a s t e r  R e c o v e r y  F r a m e w o r k  P a g e  2 5
D r a f t - 0 2 / 0 5 / 1 0
and local governments and NGOs for pre-disaster recovery planning.

- Encourage use of steady state grant programs for pre-disaster recovery planning and preparedness activities.
- Conduct recovery preparedness planning, training, and exercises based on federal agency roles and responsibilities in disaster recovery.
- Provide incentives to grant recipients to incorporate disaster risk reduction, sustainability and natural and cultural resource protection techniques in any land use, structural or infrastructure projects.
- Provide leadership for national catastrophic disaster recovery planning with basic parameters and minimum standards for recovery planning initiatives.
- Facilitate sharing of planning best practices and recovery plans adopted by various states and local jurisdictions.
- Develop national metrics for evaluating pre-disaster preparedness of physical infrastructures and facilitate local jurisdictions, corporations, building owners, and major institutions to develop their recovery preparedness plans accordingly.
- Conduct education and outreach for disaster recovery programs and resources to potential recipients and other stakeholders.
- Foster a culture of open government by incorporating the values of transparency, participation, and collaboration into programs, planning, and daily operations.
- Ensure continuous improvement by establish recovery coordination structure in close collaboration with affected state, tribal, and Local governments.
- Provide technical and financial assistance with clarity and efficiency, consistent with existing authorities, to tribes, local and state governments, and the private sector.
- Adhere to the principle that the federal government is to support and supplement, not substitute or supplant local and state leadership.
- Communicate timely information to the public and manage expectations in coordination with local, tribal, and other stakeholders.
- Monitor and make necessary adjustments to federal assistance programs and their delivery to more appropriately and timely address recovery needs of the affected states and local communities.
- Ensure transparency and accountability of federal expenditures which aid disaster recovery.
- Participate in and support state and local recovery planning efforts as requested and needed.
- Coordinate federal recovery efforts with private and non-profits organizations in cooperation with state and local officials.
- Facilitate collaboration and partnerships in disaster recovery management.
- Ensure safety and health of workers.
| **evaluating program effectiveness; regulatory or statutory barriers; incorporating lessons learned and best practices; leveraging innovative technologies to increase efficiency, and proposing and enacting reform changes as necessary.** | 
| ✓ Ensure safety and health of workers. |
VI. ACHIEVING DISASTER RECOVERY

Each community will define successful recovery outcome differently based on its circumstances, challenges, recovery visions and priorities. One community may characterize success as the return of its economy to pre-disaster conditions; while another may see success as the opening of new economic opportunities. Although no single definition of a successful recovery can fit all situations, successful recoveries do share a common condition in which:

- The community successfully meets its priorities to overcome the impacts of the disaster, reestablishes an economic and social base that instills confidence in the local citizens and businesses regarding the community viability, and rebuilds the community to be more resilient from future disasters.

Recovery cannot be defined simply by the community’s return to pre-disaster circumstances when these circumstances are no longer sustainable, competitive, or functional to the post-disaster community. In this light, the impacted community should be informed and evaluate all alternatives and options, and avoid simple restoration of an area that may not be sustainable.

Success Factors

Factors likely to stimulate a successful recovery are effective:

1. Citizen engagement, public participation, and public communications
2. Decision-making and coordination
3. Coordination and integration of community recovery planning processes
4. Recovery management
5. Financial/Acquisition management
6. Organizational flexibility

Citizen Engagement, Public Participation, and Public Communications

- All stakeholders have collaborated to maximize the use of available resources to rebuild housing, infrastructure, schools, businesses, access and functional support services, and the social-cultural fabric of the impacted community in a resilient manner.
- All voices within the community have had an opportunity to participate, and there is clear evidence of transparency and accountability.
- Communities have created clear, implementable and timely post-disaster recovery plans that incorporate local opinions in order to meet the needs of communities in a more holistic fashion and to maximize the provision and utilization of recovery resources.
- Public confidence has been increased by early and continuous communication to citizens on various recovery programs, the commitment to short, intermediate, and long-term recovery as well as the overall recovery progress.
Decision-Making and Coordination

- All organizations providing leadership or assistance for recovery have established realistic metrics (preferably during pre-disaster planning and updated as soon as possible post-disaster) for tracking progress, ensuring accountability, and reinforcing realistic expectations among stakeholders.
- Governments, businesses, non-profits and individual community members - especially the local community and local leadership - have examined recovery alternatives, addressed conflicts, and made informed and timely decisions on how best to bring forth the recovery of the impacted community.

Coordination and Integration of Community Recovery Planning Processes

- Pre-existing recovery plans have been developed to improve the speed and quality of post-disaster recovery decisions.
- A community has a process and criteria for transparently identifying and prioritizing key recovery actions and projects.

Recovery Management

- Well-established, pre-disaster partnerships at the local, state, tribal and federal levels help to drive a successful recovery.
- Leverage and coordinate disaster and steady-state public and private assistance programs to accelerate the recovery process and avoid duplicative efforts.
- The ability to seek out, interface, and coordinate successfully with outside sources of help, such as surrounding governments, foundations, universities, corporations, and non-profits, is a key element in the rapid recovery of communities.
- Surge staffing is readily available to support the increased workload of long-term recovery areas, such as planning, communications, grant writing, and management.

Financial/Acquisition Management

- Access to broad and diverse funding sources is critical to financing recovery efforts.
- Knowledge of external programs and the administration thereof will greatly aid recovery progress.
- Flexibility of program funds and resources is critical to finance planning, recovery management, program administration, and implementation in a post-disaster environment.
- Recovery management programs must have the capability to develop and maintain adequate financial monitoring and accounting systems for new/large levels of investment, to include systems that detect and deter fraud, waste, and abuse.
- Maximize the use of local businesses in federal recovery expenditures to promote local economic development and by contracting with firms located in the declared area.
Organizational Flexibility

- Recovery structures at all government levels should evolve, adapt, and develop new skills and capacities to address the changing landscape of post-disaster environments.
- Functional and effective intergovernmental relations can influence the efficiency of recovery process.
- The ability to change laws, regulations, and policies can enhance government's adaptability to govern in unforeseen events.
- Flexible staffing and management structure can enhance the adaptability of the governmental structure.
- Increased pre-disaster partnerships can help reduce or avoid the challenges of establishing new partnerships in a post-disaster environment.
- Organizational flexibility should not reduce or limit the integrity and accountability of taxpayer-funded programs.

Tools/Metrics

Measuring and communicating the progress of recovery can: increase public confidence in the recovery process by promoting transparency, accountability, and efficiency; allow local leadership to identify on-going recovery needs and engage partners that can provide assistance and resolve problems; and serve as a feedback mechanism for how to improve and adjust recovery strategies and activities.

In considering metrics, each community is encouraged to:

- Recognize that overall recovery success depends upon interaction of a wide range of public/private programs and initiatives, good planning, local capacity and leadership, effective decision-making, and building of public confidence. Therefore, metrics can have variables not attributable to any one program or one government agency.
- Establish metrics that track overall recovery of individuals, as well as the reconstruction and redevelopment of infrastructure, economy, essential health/social/community services, and government functions.
- Recognize that metrics are needed to measure the recovery process holistically, not just per a singular activity such as dollars spent or assistance delivered on a program-by-program basis.
- Leverage pre-disaster recovery preparation to establish recovery assumptions and community “baseline” that can help launch post-disaster recovery planning, support implementation, and measure recovery progress.
- Ensure that pre-disaster recovery planning is integrated with the community’s hazard mitigation planning to capitalize on opportunities to minimize the community’s risk to all hazards, and strengthen the community’s ability to withstand and recover from future disasters.
Select metrics that reflect the core principles outlined in Chapter IV of this framework; apply to recovery priorities and resource needs; and set realistic expectations and milestones for its community members, stakeholders, and supporting agencies.

Develop the metrics in coordination with local, state, tribal and federal partners. To ensure full citizen participation, include persons with disabilities and others with access and functional needs, members of underserved populations, and advocates representing the unique needs of children.

Leverage technology and systems innovation to achieve goals to create greater information sharing, accountability, and transparency to the extent possible.

Ensure continuous improvement by evaluating effectiveness; incorporating lessons learned and best practices; and restructuring as necessary.

Government agencies and private organizations that provide assistance should also have metrics of their own for tracking their coordination and assistance efforts, ensuring accountability, and enabling prompt adjustments to meet ongoing and changing needs. The suggested considerations listed above may also be applied for developing these metrics.
VII. RECOVERY COORDINATORS

Federal Recovery Coordinator

When activated, the Federal Recovery Coordinator (FRC) facilitates federal assistance coordination and collaboration with the local/state/tribal governments, private sector, and voluntary, faith-based and community organizations. The FRC partners with and supports the State/Tribal Recovery Coordinator (see next page) to facilitate disaster recovery in the impacted state or tribal nation.

The FRC’s responsibilities in a post-disaster situation may include, but are not limited to:

- Developing a strategic approach for coordinating federal assistance and policies. The intent is to provide timely, sufficient, and effective federal assistance to the impacted state or tribal nation to support its disaster recovery.

- Coordinating federal assistance to support community recovery planning. The goal is to supplement local capacity with needed expertise to conduct a successful planning process and develop a recovery plan for federal support that is publicly supported and actionable.

- Managing the Recovery Support Function (RSF) deployments, operations, and activities. The objective is to focus federal resources on the most pertinent recovery needs and to promote partnerships between the federal government and stakeholders at the local, state and tribal levels.

- Facilitating federal funding streams and solutions to assistance gaps and overlaps. The intent is to maximize the benefit from and ensure timely distribution of federal funds that an impacted community is qualified to receive, to help prevent recovery delays and possible duplication of assistance.

- Working with the impacted community to establish relevant recovery measures. The aim is to support the community in meeting its recovery goals in terms of outcome, milestones, and budget; and to make timely adjustments to the recovery effort if needed.

- Working with the impacted community to incorporate mitigation and resilience-building measures into recovery implementation. The desired end state is the recovered community becomes safer, stronger, sustainable, and more resilient from any man-made or natural threats.

- Facilitating the development of a unified communication strategy. The objective is to have all stakeholders working in concert to manage expectations and to communicate a clear consistent message to the public, and ensure a communication outreach strategy that is comprehensive, and culturally and linguistically appropriate.

- Promoting inclusiveness in recovery. The goal is to increase participation of all people and stakeholders to ensure innovations and solutions that can support
recovery are considered, and all voices from the community are heard in the recovery process, including individuals with disabilities, members of underserved populations, and advocates for children so that their needs and contributions are an integral part of the recovery process and outcome.

**Local Recovery Managers & Tribal/State Recovery Coordinators**

Tribal leaders and state governors are encouraged, as part of their recovery plans, to be prepared to appoint recovery coordinators to coordinate recovery activities. When needed, impacted communities are also encouraged to appoint local recovery coordinators or managers to manage their community recovery activities and work closely with the tribal, state and federal recovery coordinators.

The key responsibilities for the tribal/state and local recovery managers in a post-disaster environment may include, but is not limited to:

- Leading and coordinating the establishment and activities of local, state or tribal recovery-dedicated organizations and initiatives.
- Working with recovery coordinators/leads at the federal and other levels to facilitate the development of a unified communication strategy.
- Determining and communicating recovery priorities to state, federal and other recovery stakeholders and supporters.
- Organizing recovery planning processes to fully engage constituents' input and leading the development of the community's recovery visions, priorities, resources, capability, and capacity.
- Leading the development of their community's recovery plans and ensuring that they are publicly-supported, actionable, and feasible based on available funding and capacity.
- Incorporating critical mitigation, resilience, and accessibility building measures into the community’s recovery plans and efforts.
- Ensuring inclusiveness in the community recovery process, including protected classes (e.g., persons with disabilities, limited English proficiency, etc.).
- Collaborating with federal and other stakeholders and supporters, such as the business and non-profit communities, to raise financial support (including long term capital investment in local businesses) for their community’s recovery and to resolve potential duplication of assistance.
- Coordinating federal and other funding streams for recovery efforts and communicating issues and solutions to recovery assistance gaps and overlaps.
- Developing and implementing relevant recovery progress measures and communicating needed adjustments and improvements to applicable stakeholders and authorities.
• Working closely with the FRC and recovery leadership at all levels to ensure a well-coordinated and well-executed recovery.
VIII. RECOVERY SUPPORT FUNCTIONS

The Recovery Support Functions (RSFs) bring together federal departments and agencies – including those not active in emergency response – to collaborate and focus on recovery needs. By organizing long-term recovery into these six manageable components both during steady state planning and when activated post-disaster, relevant stakeholders and experts can effectively be brought together to identify and resolve recovery challenges.

Additionally, this organizational framework provides a model coordinating structure for stakeholders, such as local governments, businesses, and voluntary, faith-based and community organizations - to organize and request assistance and/or contribute resources and solutions. Together, these RSFs help facilitate local stakeholder participation and promote inter-governmental and public-private partnerships.

The RSF structure coexists and complements the Emergency Support Functions (ESFs) under the National Response Framework. However, the RSFs are different from the ESFs in that:

- **Different Players are involved:** federal staff in the RSFs may have different skill sets than their colleagues from the same agencies working in the ESFs: for example, the EPA staff active in the RSFs come not from HAZMAT, but smart growth and watershed planning. In addition, there is no ESF for economic development, or for rebuilding the workforce for schools, hospitals, and other essential service providers.

- **Different Partners are needed:** the RSFs also involve partners in the local, state and tribal governments, private and non-profit sectors that are not typically involved in emergency support functions, but are critically needed in disaster recovery. These new partners may include public and private organizations that deal with permanent housing financing, economic development, and long-term community planning.

- **Different Approach is used:** the process used for facilitating recovery needs to be more exploratory and collaborative in approach, rather than the direct and task approach under the ICS-based ESF system.

- **Different Time Span:** whereas the ESFs typically operate within a time span of weeks, the RSFs are likely to remain active for months to provide disaster recovery support. In the early weeks after a large-scale or catastrophic disaster, both ESFs and RSFs will be activated. As the response resources demobilize, ESFs will demobilize at varying points; whereas the RSFs will ramp up and transition from impact assessment and operational planning activities to more direct support.
The RSFs primarily coordinate resources – both technical and financial – and work
directly with communities through the states at their request. As the level of
response activities decline and recovery activities accelerate, the RSFs assume a
greater responsibility to organize and coordinate federal assistance.

This section outlines the key characteristics, goals, tasks, and organizational
structure for the RSFs. As with the ESFs, each RSF will develop more detailed
supporting guidance and tools for members. It is essential to the success of the
Framework that federal partners are able to address their responsibilities across
the recovery continuum, including preparedness, mitigation, and development
activities as well as post-event stabilization and recovery actions. The development
of these RSFs will be an iterative process that may include addressing gaps in
authorities and resources.

**Goal & Tasks**

The goal of the RSFs is to facilitate the identification, coordination, and delivery of
federal assistance needed to supplement recovery resources and efforts by tribal,
state, and local governments; and to encourage investments and contributions by
the business community and individuals, as well as voluntary, faith-based, and
community organizations.

Some primary tasks of the federal agency partners in the RSF during a post-disaster
period include:

- Strengthening partnerships between federal, tribal, state and local
governments and communities with the emphasis on promoting recovery
leadership at the community level.
- Coordinating and supporting community level disaster impact and recovery
needs assessments.
- Identifying federal funding and technical assistance to match community
recovery needs and maximize effectiveness of federal assistance through
proper sequencing and leveraging.
- Advising communities of applicable government assistance, eligibility
requirements, compliance requirements, and known limitations due to
funding gaps or regulatory restrictions.
- Providing federal contact(s) for tribal, state and local governments to submit
high-level issues and ideas for improving federal recovery assistance.
- Maintaining good communication throughout the entire recovery process
between the federal government and all other partners.
- Providing technical assistance for setting up state and local recovery
organizations.
• Informing federal department and/or disaster organization leadership of operational challenges or performance shortfalls and facilitate their resolutions.
• Advising federal agency leadership of recovery obstacles stemming from federal policies, programs and processes, including authority and funding overlaps and gaps that may require additional resources, exemptions, or Congressional or Executive actions.

These RSF activities assist communities with accelerating the process of recovery, redevelopment, and renewal.

Organization

The following six Recovery Support Functions would report to the designated FRC when activated, and enable the federal government to enhance its support to community recovery:

- Community Planning & Capacity Building
- Economic Development
- Health, Social & Community Services
- Housing
- Infrastructure Systems
- Natural & Cultural Resources

RSF Roles and Responsibilities

Each RSF has a designated coordinator and primary and support agencies pertinent to the functional area. RSFs with multiple primary agencies designate an RSF coordinator for the purposes of pre-disaster planning and coordination of primary and supporting agency efforts post-disaster. The RSF coordinator is the entity with management oversight for that particular RSF. The coordinator has ongoing responsibilities throughout the preparedness, response, and recovery phases to ensure ongoing communication and coordination between primary and support agencies and to coordinate efforts with corresponding tribal, state, NGO, and private-sector organizations. An RSF primary agency is a Federal agency with significant authorities, roles, resources, or capabilities for a particular function within an RSF. Primary agencies orchestrate federal support within their functional area for an affected State and may lead interagency field assessment or support teams as necessary. Support agencies are those entities with specific capabilities or resources that support the primary agency in executing the mission of the RSF. Providing support when requested by the FRC or the designated RSF coordinator, consistent with their own authority and resources, except as directed otherwise pursuant to sections 402, 403, and 502 of the Stafford Act.
Community Planning & Capacity Building

Mission: Unify capacity-building expertise and support programs from across the federal government to support local and state governments in restoring and improving their ability to provide governmental services and organize, plan, manage and implement long term recovery activities and initiatives.

Outcome: Support community planning and governmental functions that are critical to recovery but become stressed following large disasters. This includes community operations (building codes, planning, city management), education systems, public safety, taxation and governmental financing, judicial system and other programs that provide support to state, local government and community systems to develop their recovery capacity.

Proposed Coordinating Agency: DHS/FEMA or HUD
Primary Agencies: DHS/FEMA, HUD, and USDA
Supporting Agencies: HHS, EPA, SBA, DOL, Treasury, CNCS, DOC, DOJ, and DOI

Economic Development

Mission: Integrate the expertise of federal departments and agencies to help states and jurisdictions rebuild businesses and develop new economic opportunities, with the goal of creating sustainable, economically-viable communities.

Outcome: Departments and agencies cooperate on workforce development, job creation and retention, entrepreneurial and business development, equal opportunity, and other programs that support a community-wide approach to economic development. These actions will encourage re-investment and facilitate the private sector lending and borrowing necessary for recovery.

Proposed Coordinating Agency: DOC
Primary Agencies: DOC, DHS, HUD, USDA, DOL, Treasury, and SBA
Supporting Agencies: DOE, DOI, HHS, and EPA

Health, Social & Community Services

Mission: Support the state/tribe/community for a more resilient re-establishment of essential health/social/community services, in order to restore the health and well-being of affected people and communities – with particular attention to children, the elderly, families, people living with disabilities, people with accessibility and functional needs, and underserved populations.

Outcome: Departments, agencies, nonprofit organizations, and private sector entities with expertise and/or a role in service delivery, service providers, facilities, and infrastructure for medical, public health, human/social/community services, and behavioral health (including mental health and substance abuse) services
collaborate to improve community recovery. Some essential elements of this recovery include:

- Re-establishing the capacity of public and private health care delivery and essential services
- Continuity of care for affected individuals
- Continuity of essential services -- health, human/social/community services, schools, behavioral health, child/elder care, disability related assistance, and other services
- Reconnection to essential services for displaced populations
- Restoring a sense of community and civic engagement
- Protecting the health of the population and responders from the longer-term affects of a post-disaster environment.

Proposed Coordinating Agency: HHS
Primary Agencies: USDA, DOC, Dept. of Education, DHS (FEMA & IP), HUD, DOI, DOJ, DOL, EPA, DVA, CNCS,
Supporting Agencies: DOD, DOE, Treasury, DOT, SBA, and NVOAD,

**Housing**

Mission: Coordinate federal resources and activities to assist in restoration of destroyed and damaged housing and development of other new accessible, permanent housing options, if necessary.

Outcome: Departments and agencies with expertise in long-term housing solutions work in conjunction with the National Disaster Housing Task Force, as well as the State-led Housing Task Forces, to assist in bringing together stakeholders with a focus on reconstructing permanent, including accessible, housing.

Proposed Coordinating Agency: HUD
Primary Agencies: HUD, USDA, DHS/FEMA, Access Board, DOJ
Supporting Agencies: DOC, DVA, SBA, NVOAD, EPA, and HHS

**Infrastructure Systems**

Mission: Integrate the capability of the federal government to support states and communities, and other infrastructure owners and operators, to permanently restore, enhance, mitigate, and ensure the resilience and protection of infrastructure systems impacted by major and catastrophic disasters.

Outcome: Responsible departments and agencies at all levels of government, and private sector partners work together to promote a forward looking and holistic approach that focuses on the relationship of the community with their built and virtual environment. These efforts will involve government and private sector partners with expertise in physical and virtual infrastructure systems across all the
infrastructure sectors established in accordance with Presidential directives and the NIPP. Relevant agencies and partners are those with expertise and programs related to critical and non-critical infrastructure, including but not limited to: energy; water; dams; communications; transportation systems; government facilities; utilities; sanitation; engineering; flood control; and other systems that directly support the physical infrastructure of communities; as well as facilities that support community services such as education, emergency services, emergency medical care, libraries, and public parks.

**Proposed Coordinating Agency:** TBD

**Primary Agencies:** USACE, DHS (FEMA & NPPD), DOT, DOE

**Supporting Agencies:** USDA, DOC, DOD, HUD, HHS, DHS, EPA, DOI, FCC, TVA, GSA, NRC, Treasury, and Department of Education

### Natural & Cultural Resources

**Mission Focus:** Integrate federal resources and capabilities to help tribal nations, states, and communities address long-term environmental and cultural resource recovery needs after major and catastrophic disasters.

**Outcome:** Departments and agencies work together to provide information and assistance to communities seeking to preserve or grow natural and cultural resources. Interdependencies between short-term recovery decisions and long-term environmental impacts are taken into account. Opportunities inherent in recovery are leveraged to mitigate environmentally or culturally deleterious practices and development patterns. A systematic, interdisciplinary approach is used to understand the interdependencies and complex relationships of the natural and cultural environments.

**Proposed Coordinating Agency:** DOI

**Primary Agencies:** DOC, DOI, EPA, and USDA

**Supporting Agencies:** HUD and DHS/FEMA

### Scalability & Adaptability

The RSF coordinating structure is designed to be scalable and adaptable to meet specific disaster recovery requirements. Each of the six RSFs has a pre-designated coordinating agency that works with the FRC to promote communication and collaboration among its federal agency members. This tiered leadership structure helps to accommodate rapid surge of federal resources that may be needed to assist in large-scale or catastrophic incidents. Furthermore through these RSFs, federal resources can be organized into a number of field teams led by the most appropriate primary agencies to cover multiple localities, and each team can be adapted to comprise only the RSF functions (or the federal department or agency) that have the authority, expertise and resources appropriate to the locality assigned.
The RSF is also designed to promote federal coordination with tribal and state
governments. The focus, however, will be on higher level program and policy issues
that may affect the overall tribal and statewide recovery efforts. For instance, the
Infrastructure RSF can easily reorganize its agency members based on the specific
systems and services, such as transportation and communication, to mirror the
organizational and coordinating structures that the state and local governments
may set up for recovery. Although in most situations, the RSF can simply coordinate
and organize its federal agency members to participate in whatever local/state
recovery organizations may be established, such as recovery task forces, while
maintaining the six recovery support function structure.

**Inclusiveness**

In engaging with disaster-affected communities, the RSFs seek to be inclusive, and
to specifically include and address the needs of individuals with disabilities, those
with access and functional needs, children, the elderly, and members of under-
served populations.

The RSFs work closely with local, state, and tribal governments to identify
underserved populations. The RSFs also coordinate with FEMA Tribal Liaisons,
Voluntary Agency Liaisons, Disability Issue Advisors, and other federal offices,
bureaus and programs when necessary. Local NGOs and community groups also
often have excellent relationships with the underserved populations. The FRCs
collaborate with these organizations to ensure that programs are culturally
appropriate and that at risk populations and their needs are identified.

In all actions, FRCs and RSFs seek to ensure that all people have a voice, that
services reach those who need them most, that federal resources are distributed
equitably, and that recovery programs are culturally appropriate.

**Resource Information**

Each of the RSF member agencies brings a wealth of expertise and programmatic
authorities and resources to the table. An important information source about
various forms of assistance that may be available post-disaster is the Disaster
Assistance.gov online portal. The DisasterAssistance.gov online portal is a tool
available since December 2008 to streamline and otherwise improve the delivery of
Federal disaster assistance. After a disaster, individuals register at the portal. This
provides access to all disaster assistance programs from multiple Federal, State,
local and non-governmental participating agencies as well as program and contact
information for pertinent non-Federal programs. The portal consolidates
information about federally funded forms of assistance, application intake, and
status information into a unified system. The portal continues to be expanded to
include more information and programs.
IX. PLANNING FOR A SUCCESSFUL DISASTER RECOVERY

With proper planning, a proactive and well-orchestrated recovery process can be implemented. Preparedness initiatives help guide the recovery process to effectively and efficiently reach a community’s disaster recovery goals. Both pre- and post-disaster recovery planning are critical for communities to develop resilience and to recover from disasters in a successful and timely manner.

Pre-disaster Planning

Pre-disaster recovery planning enables tribal nations, states, regions, and local jurisdictions to effectively direct recovery activities and expedite a unified recovery effort. Pre-disaster plans provide a common platform to guide recovery decisions and activities. Furthermore, pre-disaster planning done in conjunction with community development planning helps to lay out recovery priorities, incorporate mitigation strategies in the wake of a disaster, and identify options and changes that need to be considered or implemented after a disaster. In addition, implementing the NIPP risk management framework, as a key element of the recovery planning process, enhances the resilience and protective posture of critical infrastructure.

Key Elements of Pre-Disaster Planning

The key elements in overall pre-disaster planning include:

- Establishing clear leadership, coordination and decision-making structures at the tribal, state, and local levels.
- Developing pre-disaster partnerships to ensure engagement of all potential resources through the following methods:
  - Identifying and engaging stakeholders, including the general public, community leaders, and private sector.
  - Organizing connections to and interface with tribal, state, local, and federal governments.
  - Ensuring community participation of populations that have historically been underserved during the recovery process, including individuals with disabilities and others with access and functional needs, children, and the elderly.

- Testing and evaluating pre-disaster plans through seminars, workshops and exercises.
- Integrating pre-disaster recovery planning with other appropriate community planning, such as land use, hazard mitigation, accessibility for people with disabilities, and capital improvement planning.
- Identifying limitations in community recovery capacity and means to supplement.
- Incorporating sustainability and accessibility throughout all phases of recovery into overall planning guidance.
- Developing communication tools that address an array of possible scenarios.
- Preparing pre-disaster Memoranda of Understanding as way to establish early partnership, planning, and expectations.
- Developing and implementing long-term training and education as a tool for building recovery capacity and making it available to all other stakeholders.

In addition to the general elements of the pre-disaster planning process outlined above, there are also elements that are specific to the various participants in the process. Initially the responsibility of preparing for disaster recovery begins with the individual and builds to the larger responsibility of the community and local government. Local planning efforts are supported by voluntary, faith-based and community organizations, businesses, state, tribal, and the federal government.

**Individual and Families**

Individuals who prepare for their own recovery help their community’s recovery as well. Preparations at the individual/family level include:
- Having an individual or family plan for disaster recovery.
- Being able to self-assess risk exposure.
- Purchasing and maintaining appropriate and adequate levels of insurance for potential hazards in their area.
- Working with others to prepare and reach out to those who may need assistance.

**Private sector/Businesses**

Pre-disaster planning for private sector and businesses also integrates with the community and includes:
- Developing, testing and implementing business continuity and restoration plans.
- Providing training for business leaders in the community to assist with the business recovery process.
- Participating in local pre-disaster planning.
- Incorporating mitigation in design and construction for places of employment and promoting mitigation to employees.

**Nonprofit Sectors**

Nonprofits play a valuable role in communities and their relationship with the community factors into their pre-disaster planning. This includes:
- Building relationships with the emergency managers in their communities to have an active voice in the recovery process.
- Identifying leaders and others to participate in local long-term recovery committees.
- Incorporating mitigation in design and construction of place of employment and promoting mitigation to employees.
- Identifying resources to provide services in a nondiscriminatory manner.
Local Government

Local governments examine community-wide issues as part of pre-disaster planning. This includes:

- Understanding key risks and vulnerabilities that cause systemic and major disruptions and challenges for disaster recovery, reconstruction and revitalization.
- Effectively communicating these risks and vulnerabilities to the exposed community.
- Incorporating mitigation in design and construction; promoting mitigation to citizens.
- Pre-identifying local recovery functions, roles and structure for post-disaster recovery effort in order to expedite the recovery process.
- Identifying critical infrastructure and key services that must be restored immediately post-disaster.
- Maintaining capability to timely address recovery challenges, such as building moratoriums, damage assessments, and waivers and variances necessary to assist early recovery.
- Planning for the needs of individuals with disabilities and others with access and functional needs, children, and the elderly as a fundamental aspect of the plan rather than as a supplement or special plan.
- Taking tribal law and culture into consideration in the community planning process; instilling a respect and understanding for tribes’ unique heritage and needs.

State Government

State governments carry out their essential roles in:

- Establishing, organizing, and coordinating goals, objectives and timelines for recovery.
- Pre-identifying state recovery functions, roles, responsibilities and structures among state agencies and departments.
- Maintaining a system to manage and monitor implementation of recovery effort, enforce accountability, ensure accessibility, and track resources.
- Emphasizing the importance of pre-disaster recovery planning at the state and local level.
- Working with local governments to integrate pre-disaster recovery planning with other appropriate community planning for local governments, such as hazard mitigation and capital improvement planning.
- Identifying organizations within the community with pre-established methods in place to reach their stakeholders, and coordinating information sharing with these organizations regarding planning activities and meetings.
- Ensuring local governments establish an accessible and inclusive process for addressing the recovery challenges pre- and post-disaster.
Providing a system of support from the state level to local governments that lack capability and request assistance.

Communicating and coordinating with federal recovery partners.

Taking tribal law and culture into consideration in the community planning process; instilling a respect and understanding for tribes’ unique heritage and needs.

Entering into agreements that articulate collaborations between tribal and local governments, particularly when a reservation land crosses multiple jurisdictions.

Clarifying relationships with both state and federal authorities to determine where tribes fit in the allocation of disaster resources when recovery initiatives begin.

**Tribal Government**

Tribal governments may accomplish pre-disaster planning by:

- Pre-assigning tribal recovery functions, roles, and responsibilities.
- Maintaining a system to manage and monitor implementation of recovery effort, enforce accountability, ensure accessibility, and track resources.
- Conducting pre-disaster recovery planning and encouraging pre-disaster mitigation measures.
- Coordinating with local, state, and federal governments to facilitate post-disaster efforts and ensure tribes have knowledge of and access to available funding and other assistance.
- Working with local governments to articulate and solidify collaborations between tribal and local governments, particularly when a reservation land crosses multiple jurisdictions.

**Federal Government**

The Federal government supplements overwhelmed post-disaster tribal, state, and local capability for short- and long-term recovery governmental capacity, planning, and technical assistance after large-scale or catastrophic events. Federal facilitation of pre-disaster planning can help minimize post-disaster dependence on federal assistance. This planning includes:

- Providing technical assistance to tribal nations, states, local governments, and stakeholders on the process, practices, and policies of hazard mitigation.
- Providing pre-disaster recovery planning training and tools for tribal, state, and local governments.
- Planning for national level responsibilities of catastrophic and regional disaster recovery challenges.
- Optimizing and coordinating the federal programs that support tribal, state, and local recovery efforts.
Communicating and coordinating with tribal, state, and local recovery partners.

- Encouraging use of steady state grant programs by tribes, states, and municipalities that lack the resources to develop their own pre-disaster recovery plans.

- Developing national metrics for evaluating pre-disaster preparedness of physical infrastructures and facilitate local jurisdictions, corporations, building owners, and major institutions to develop their recovery preparedness plans accordingly.

- Facilitating sharing of planning best practices and recovery plans adopted by various tribal nations, states, and local jurisdictions.

**Post-Disaster Community Recovery Planning**

Communities impacted by disaster should develop a process for optimally managing their recovery effort and resources when necessary. Post-disaster community recovery planning serves to integrate the range of complex decisions in the context of the disaster and works as the foundation for allocating resources. The planning process provides the benchmark to measure progress toward a successful outcome by the affected community.

**Key Elements of Post-Disaster Planning**

All disaster-impacted communities can benefit by engaging in disaster recovery planning and creating plans that are meaningful to multiple audiences, including potential funders, nearby tribal nations, state and federal level agencies, and members of the community. The following elements play a key role in the post-disaster planning process:

- Organizing recovery priorities and tasks through the use of a planning process by:
  - Assessing risk.
  - Evaluating the conditions and needs after a disaster.
  - Setting goals and objectives.
  - Identifying opportunities to build in future resilience through mitigation.
  - Identifying specific projects in areas of critical importance to the community's overall recovery.

- Using a process that is community-driven and locally-managed, designed to promote local decision-making and ownership of the recovery planning and implementation effort.

- Promoting inclusive and accessible outreach, working collaboratively with and through groups of people affiliated by geographic proximity, common interest, or similar situations to address issues affecting the well-being of those people. Public involvement is critical to the recovery plan and process.

- Incorporating considerations that include the concept of "growing smarter" as long-term recovery unfolds. This includes compliance with standards for accessible design and construction.
• Building partnerships among local agencies, jurisdictions, the state, tribal and federal governments.

• Providing well-defined activities and outcomes aimed at achieving recovery with schedule and milestones.

• Developing tools and metrics for evaluating progress against set goals, objectives, and milestones.

Planning for the complex needs of the full community and bringing all stakeholders to a common planning table, with a commitment to physical, programmatic and communications accessibility helps create a successful post-disaster recovery process. The greatest challenge of post-disaster recovery planning is the inherent struggle in getting a plan developed quickly enough to meet the needs of residents and businesses. The post-disaster planning process must operate on a much faster timeline than traditional, or pre-disaster planning processes. However, one of the basic goals of the process is to develop the relationships and inter-agency cooperation that will continue to serve the recovery process once the planning is complete.

Other elements of post-disaster recovery are specific to individual, local government, state and tribal, or federal governments. These are outlined below.

**Individual and Families**

Disaster recovery begins at the local level. Key post-disaster planning elements for individuals and families include:

• Taking charge of managing individual and family recovery.

• Participating in post-disaster community recovery planning.

• Working with others to reach out to those who may need assistance.

• Engaging in public involvement opportunities on specific recovery projects.

**Nonprofit Sectors**

As important partners with the community, key post-disaster planning elements for nonprofit sectors include:

• Facilitating stakeholder workshops in various accessible locations in the community to determine priority issues for recovery from the neighborhoods that make up the community.

• Providing leaders and others to participate in local, state and tribal recovery organizations.
Private sector/Businesses

Private sector and businesses play an important role in the community and often compose a portion of the community leadership. Key post-disaster planning elements for the private sector and businesses include:

- Participating in local recovery planning.
- Implementing business continuity and restoration plans.
- Assuming significant role in local and state recovery organizations.

Local Government

Recovery planning within a community is dependent on an active local government. Key post-disaster planning elements for local governments include:

- Leading recovery planning and prioritization of goals.
- Incorporating principles of post-disaster planning into the recovery process.
- Coordinating with relevant regional planning organizations that can provide resources and/or planning expertise.
- Reviewing pre-existing plans and cross-checking against post-disaster planning priorities.
- Implementing a transparent, accountable system to manage recovery resources.
- Managing overall recovery coordination at the local level.
- Communicating post-disaster planning as well as organizational and operational needs to the state.
- Leading a planning process that is inclusive and accessible and facilitates practices that comply with all applicable laws, including civil rights mandates.

State Government

States play an important role in supporting and where necessary, leading overwhelmed local governments to address complex governmental, regulatory and financial challenges during short and long term recovery. They do this by:

- Providing a system of support to local governments.
- Coordinating efforts to meet recovery challenges across all sectors in collaboration with the recovery counterparts at all jurisdictional levels.
- Conducting post-disaster planning by building on the foundation set during the pre-disaster planning phase, but modifying it based on the actual versus predicted risk and needs.
- Developing an interface between state agencies and the federal government to streamline recovery funding at the local level.
- Coordinating with relevant regional planning organizations that can provide resources and/or planning expertise.
Promoting proactive partnerships between non-profit organizations, faith-based organizations, the private sector or other relevant organizations and nontraditional and underserved communities throughout the recovery process.

Implementing and enforcing applicable laws and regulations to protect the rights of citizens needing physical, programmatic and communications access to recovery activities and services.

**Tribal Government**

Tribes may live on land that spans multiple jurisdictions and coordination with those jurisdictions plays a key role in planning for a tribes’ recovery from disaster. Ways in which tribes might accomplish this and other recovery activities include:

- Establishing, organizing, and coordinating goals, objectives and timelines for recovery.
- Coordinating with local and state governments to provide mutual support.
- Conducting post-disaster planning by building on the foundation set during the pre-disaster planning phase, but modifying it based on the actual versus predicted risk and needs.
- Participating in long-term community recovery activities.
- Developing a relationship the federal government to clarify and streamline recovery funding.

**Federal Government**

The types of assistance and level of support provided by the federal government varies by community and depends on the disaster's impact and the tribal, state, and local government’s capacity. The Federal government assists overwhelmed tribal, state, and local capabilities in their recovery from large-scale and catastrophic events by:

- Ensuring local ownership of the early recovery process through the engagement of tribal, state, and local authorities in the planning, execution, and monitoring of recovery actions.
- Supplementing not supplanting local, state, and tribal resources and supporting local/state/tribal leadership of the recovery process.
- Coordinating with Other Federal Agencies (OFA) to identify the geographic extent of the disaster impact and address the broader recovery challenges to infrastructure, supply chains, transportation systems and the like.
- Maintaining a system for addressing intra-governmental recovery coordination.
- Assessing the need for, and providing technical expertise when local and state or tribal capacity is overwhelmed by a large-scale or catastrophic event to support prompt beginning of recovery and to maximize joint recovery efforts and resources.
- Providing planning guidance, tools resources and best practices to guide local, state, and tribal governments in planning their recovery.
• Implementing regulations and guidance regarding legal obligations and other statutory obligations on all aspects of recovery including, but not limited to, those pertaining to accessibility standards and addressing the needs of individuals with disabilities.

• Supporting local, state, and tribal application, use, and management of federal grants.

• Evaluating the feasibility of sustainable recovery in disaster-affected areas and identifying what is needed to support that recovery.
X. COMMUNITY CONSIDERATIONS

Accessibility and Recovery

The guidance included here is specific to issues related to individuals with disabilities and others with access and functional needs.

- Recognize that best practices are not to be confused with legal obligations to engage in recovery activities that are fully inclusive of individuals with disabilities. Those applying this framework should be aware of statutory obligations involved, which may include, but not be limited to:
  - Stafford Act, as amended
  - Post-Katrina Emergency Management Reform Act
  - Rehabilitation Act of 1973, as amended
  - Americans with Disabilities Act, as amended 2008
  - Fair Housing Act of 1968, as amended
  - Architectural Barriers Act of 1968
  - Communications Act of 1934, as amended
  - Individuals with Disabilities Education Act (IDEA) of 1975, as amended

Obligations include accessibility in architecture, transportation, effective communication, employment, education, policies, and programs, including those receiving federal funding.

- Ensure integration of people with disabilities into all aspects of emergency management rather than as a supplement or special plan in, among others, policies, practices, procedures, guidelines, standards, memoranda of understanding, and agreements/contracts.

- Use existing resources to determine accessibility of facilities and programs, such as the ADA Best Practices Tool Kit available at the Department of Justice’s website for the ADA: www.ada.gov. Determine shortfalls based on tools and address deficiencies.

- Engage in pre-disaster contracting and planning to meet the emergency needs of children and adults with disabilities, including the provision of disability related assistance/functional needs support services, consumable medical supplies, durable medical equipment, accessible transportation, and accessible housing.

- Involve disability organizations into recovery planning efforts and all recovery committee types. Integrate disability and access and functional needs considerations into housing, economic and workplace, health care, transportation and infrastructure.

- Conduct disaster recovery awareness training for stakeholders, including disability navigators; advocacy organizations, including those representing the
needs of children with disabilities; senior centers and aging agencies; rehabilitation offices; and relevant organizations. Provide such training in compliance with the law using tools such as the ADA Best Practices Tool Kit.

- Develop training for local partners that FEMA expects to fulfill obligations under the National Disaster Housing Strategy and Plan. These partners (including emergency managers, social workers, organizations, and agencies) may lack the familiarity that is presumed necessary for working with people with disabilities and others with access and functional needs and the organizations that support these populations.

- Recognize that there are individuals who have acquired disabilities as a result of the disaster. These individuals may need added assistance to familiarize themselves with the processes to access services and supports so that they can be as independent as possible and participate in the recovery process.

- Consider the continuing impact of a hazard, such as lingering smoke or the long-term effects of debris, on those with existing and new disabilities.

- Ensure that all print, electronic and face to face communication is accessible to people with disabilities and others with access and functional needs. Provide necessary auxiliary aids and services to achieve effective communication, including interpreters, computer assisted real-time transcription (CART), large print, captioning, audio descriptions, wayfinding, note taking, etc.

- Liaison with large scale employers and providers of vocational and job training support to address the recovery of the employment sector.

- Recognize that Federal worker protection laws such as the Fair Labor Standards Act, Occupational Safety and Health regulations, National Labor Relations Act, and the laws administered by the Equal Employment Opportunity Commission must be upheld for workers who are employed to rebuild the impacted community.

Additional Resources:

- SME: Interagency Council on Emergency Prep. & Individuals with Disabilities (ICC)
Unmet Needs

A successful recovery plan should adequately attend to and address unmet needs for individuals and families as they recover from disaster. This is particularly true for the most vulnerable community members, including underserved populations. As part of the post disaster recovery needs assessment, recovery planners can survey and interview community members to obtain first-hand information on what the unmet needs are and suggestions for meeting these needs. More importantly, recovery planners should collaborate closely with the federal Voluntary Agency Liaisons and other applicable government offices to facilitate considerations and inclusions of unmet needs throughout the recovery planning process and initiatives.

Typical areas of enduring need after disaster include: long-term mental health concerns in relation to traumatic events induced by disasters; transportation for and during relocation; long-term housing; children’s stability within schools; investigation of under-insured properties; affordability of home repairs or insurance deductibles; and middle-class families who fall out of the purview of poverty relief or poor-assistance agencies.

Rural Area Recovery Needs

Rural communities have particular needs following a disaster. The definition of “rural” can be quite broad; it could include cohesive, relatively dense communities that are simply unincorporated and suffer from the lack of local resources or management, or it could include thinly populated stretches of land affected by a sweeping disaster (potentially agricultural). Such communities may desperately need a pre-disaster regional recovery plan, but lack the resources, leadership, or political autonomy to engage in one. Another profound obstacle to recovery occurs when a rural population has been devastated, but sparse infrastructure across a vast stretch of land makes logistical endeavors particularly challenging.

In rural communities, sometimes the human population incurs the greatest loss through devastation to the land itself, rather than any man-made assets. Whether the disaster loss is caused through drought, floods, crop blight, or livestock illnesses (epizootic), agricultural concerns demand a recovery approach that is distinct from densely populated urban settlements or manufacturing centers. Other communities needing a rural recovery approach are those dependent upon such industries as forestry, mining, fisheries, or oil/mineral exploration. In addition, tribal governments may be very rural in nature and could suffer disproportionately in a disaster, due to a similar dependence on land and lack of sophisticated infrastructure.

High Density Urban Area Recovery Needs

Major disasters may fundamentally change the landscape of urban communities. This may include the social, business, and physical landscapes. For this reason, the
old urban plans cannot simply be dusted off and reused after a significant disaster. New urban plans may need to be created, and the citizens should be involved in the process. Community leaders and citizens alike should assess the new challenges and opportunities that the community faces and create a “preferred future” for the urban area.
XI. Abbreviations & Definitions

Abbreviations

ARC – American Red Cross
CBO – Community-Based Organization
CDBG – Community Development & Block Grant Program
CNCS – Corporation for National and Community Service
DAE – Disaster Assistance Employee
DHS – Department of Homeland Security
DOC – Department of Commerce
DOD – Department of Defense
DOE – Department of Energy
DOI – Department of the Interior
DOJ – Department of Justice
DOL – Department of Labor
DOT – Department of Transportation
DRC – Disaster Recovery Center
DRM – Disaster Recovery Manager
DVA – Department of Veterans Affairs
EDA – Economic Development Administration
EOC – Emergency Operations Center
EPA – Environmental Protection Agency
ESF – Emergency Support Function
ESFLG – Emergency Support Function Leadership Group
FCO – Federal Coordinating Officer
FEMA – Federal Emergency Management Agency
FRC – Federal Recovery Coordinator
HUD – Department of Housing and Urban Development
HHS – Department of Health and Human Services
HQ – Headquarters
IA – Individual Assistance
IAA – Interagency Agreement
ICS – Incident Command System
IHP – Individuals & Households Program
IP – Office of Infrastructure Protection
JFO – Joint Field Office
LTCR – Long-Term Community Recovery
MOU – Memorandum of Understanding
NGO – Nongovernmental Organization
NIMS – National Incident Management System
NIPP – National Infrastructure Protection Plan
NPS – National Park Service
NOAA – National Oceanic and Atmospheric Administration
NPPD – National Protection Programs Directorate
Community – In the context of facilitating disaster recovery, community refers to a network of individuals and families, businesses, institutions and other civic organizations that reside or operate within a shared geographical boundary; and may be represented by a common political leadership at a regional, county, municipal or neighborhood level.

Critical Infrastructure – Systems and assets, whether physical or virtual, so vital that the incapacity or destruction of such may have a debilitating impact on the security, economy, public health or safety, environment, or any combination of these matters, across any Federal, State, regional, territorial, or local jurisdiction.

Functional Needs – Refers to the needs of an individual who under usual circumstances is able to function on their own or with support systems. However during an emergency, their level of independence is challenged.

Individual with Disability – The term refers to a person (child or adult) who has a physical or mental impairment that substantially limits one or more major life activities; a person who has a history or record of such impairment; or a person who is perceived by others as having such impairment. The term “disability” has the same meaning as that used in the ADA Amendments Act of 2008, P.L. 110-325, as incorporated into the ADA. See http://www.ada.gov/pubs/ada.htm for the definition and specific changes to the text of the ADA. State laws and local ordinances may also include individuals outside the federal definition. Children and adults may have physical, sensory, mental health,
cognitive and/or intellectual disabilities resulting in access and functional needs and may require assistance to maintain independence.

Intermediate Recovery – Involves returning critical infrastructure and essential government or commercial services back to a functional, if not pre-disaster state. Such activities are often characterized by temporary actions that provide a bridge to permanent measures.

Long-term Recovery – Process of recovery that follows a disaster event and may continue for months and years. Examples include the complete redevelopment and revitalization of the damaged area, which could mean returning the area to conditions set in a long-term recovery plan.

Mitigation – Activities providing a critical foundation in the effort to reduce the loss of life and property from natural and/or manmade disasters by avoiding or lessening the impact of a disaster and providing value to the public by creating safer communities. Mitigation seeks to fix the cycle of disaster damage, reconstruction, and repeated damage. These activities or actions, in most cases, will have a long-term sustained effect.

Recovery – The development, coordination, and execution of service- and site-restoration plans; the reconstitution of government operations and services; individual, private-sector, nongovernmental, and public-assistance programs to provide housing and to promote restoration; long-term care and treatment of affected persons; additional measures for social, environmental, and economic restoration; evaluation of the incident to identify lessons learned; post incident reporting; and development of initiatives to mitigate the effects of future incidents.

Redevelopment – Rebuilding degraded, damaged, or destroyed social, economic and physical infrastructure in a community, state, or tribal nation to create the foundation for long-term development.

Resilience – Ability of a community to remain strong or unharmed, and/or to be able to quickly and effectively recover from a disaster’s impact upon its infrastructure, economy, social and natural environment.

Response – Immediate actions to save lives, protect property and the environment, and meet basic human needs. Response also includes the execution of emergency plans and actions to support short-term recovery.

Restoration – Returning a physical structure, essential government or commercial services, or a societal condition back to its pre-disaster state through repairs, rebuilding, or reestablishment.

Short-term Recovery – Phase of recovery in which the scope of damages and needs are assessed, basic infrastructure is restored, and recovery organizations and resources are mobilized.
Stabilization – The process by which the immediate impacts of an event on community systems are managed and contained.

Sustainability – Meeting the needs of the present without compromising the ability of future generations to meet their own needs.

Underserved Populations/Communities – Groups that have limited or barriers to access to resources or are otherwise disenfranchised. These groups include those who are socioeconomically disadvantaged; persons who have limited English proficiency; people who are geographically isolated or educationally disenfranchised; minority groups; women and children; individuals with disabilities and others with access and functional needs; and older people.