



Pre-Disaster Recovery Planning Guide for State Governments

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TABLE OF CONTENTS

ACRONYMS	iv
I. INTRODUCTION	1
Purpose of this Guide	3
Audience	3
Presidential Policy Directive 8	5
National Preparedness Goal.....	5
II. NATIONAL CONTEXT FOR PRE-DISASTER RECOVERY PLANNING	5
National Disaster Recovery Framework	7
National Mitigation Framework	8
Recovery Activities are Locally Driven	9
Disaster Recovery Planning is Broad and Inclusive.....	9
Recovery Planning is Holistic and Long Term	9
III. KEY CONCEPTS FOR STATE-LEVEL RECOVERY PLANNING	9
State-Level Planning is Necessary for Disasters of All Sizes.....	10
Recovery Planning is Closely Aligned with Hazard Mitigation and Building Resilience.....	10
IV. PRE-DISASTER RECOVERY PLANNING AND RESPONSE PLANNING LINKAGES	13
V. PRE-DISASTER AND POST-DISASTER RECOVERY PLANNING LINKAGES	15
VI. THE STATE PRE-DISASTER RECOVERY PLAN DEVELOPMENT PROCESS	17
A. Step 1 – Form a Collaborative Planning Team	18
B. Step 2 – Understand the Situation	21
C. Step 3 – Determine Goals and Objectives	25
D. Step 4 – Plan Development	27
E. Step 5 – Plan Preparation, Review, and Approval	52
F. Step 6 – Plan Implementation and Maintenance	53

VII. CONCLUSION 57

APPENDIX A: REFERENCES 59

APPENDIX B: FACTORS FOR A SUCCESSFUL RECOVERY 61

 Short Term (days): 65

 Intermediate Term (weeks-months): 65

APPENDIX C: SUCCESSFUL RECOVERY OUTCOMES 65

 Long Term (months-years): 66

 The Commonwealth of Pennsylvania and Disaster Recovery and Preparedness 69

APPENDIX D: STATE RECOVERY COORDINATION AND MANAGEMENT CASE STUDIES 69

 State of Mississippi's Recovery Management Following Katrina 71

 State of New York's Recovery Coordination and Management Following Hurricane Sandy 73

 State of Louisiana's Recovery Management Following Hurricanes Katrina and Rita 76

 State of Colorado's Recovery Management Following Flooding and Landslides in 2013 79

APPENDIX E: PLANNING CHECKLIST 83

APPENDIX F: TERMS AND DEFINITIONS 95

Figures

Figure 1 Relationships between Different Levels of Government	7
Figure 2 Types of Planning Activities	15
Figure 3 Comprehensive Preparedness Guide Planning Steps.....	17
Figure 4 The Cyclical Nature of Planning	22
Figure 5 Disaster Types	24
Figure 6 Components of a Pre-Disaster Recovery Plan.	53
Figure 7 The Recovery Continuum	67
Figure 8 The Pennsylvania Recovery Resources Team Organizational Structure	70

Tables

Table 1 Types of Planning Activities Pre- and Post-Disaster	16
Table 2 Suggested Stakeholders and Partners to address Recovery Core Capabilities	19
Table 3 Different Plans and their Relevance to Pre-Disaster Recovery Planning	23
Table 4 The Roles of Coordinating and Primary Agencies, and Supporting Organizations	32
Table 5 Federal Recovery Support Functions, Their Missions, and Suggested Participating Agencies..	33
Table 6 Considerations for Addressing Core Capabilities.....	45
Table 7 Considerations for Addressing Success Factors	47

Acronyms

The list below applies to acronyms used throughout the base document. Acronyms may be included in Appendices and will be defined as they are used.

Acronym	Definition
ADA	Americans with Disabilities Act
BRC	Blue Ribbon Fire Commission
CDBG-DR	Community Development Block Grant – Disaster Recovery
CDRP	Commonwealth Disaster Recovery Plan
CERT	Community Emergency Response Teams
CPCB RSF	Community Planning and Capacity Building Recovery Support Function
CPG	Comprehensive Preparedness Guide
CRRO	Colorado Resiliency and Recovery Office
CRWG	Colorado Resilience Working Group
DCED	Department of Community and Economic Development
DOLA	Department of Local Affairs
EDA	U.S. Economic Development Administration
EMAC	Emergency Management Assistance Compact
FDRC	Federal Disaster Recovery Coordinator
FEMA	Federal Emergency Management Agency
GORR	Governor's Office of Recovery and Renewal
GOSR	Governor's Office of Storm Recovery
HUD	U.S. Department of Housing and Urban Development
IA	Individual Assistance
JFO	Joint Field Office
LDRM	Local Disaster Recovery Manager
LRA	Louisiana Recovery Authority
MDA	Mississippi Development Authority
NDRF	National Disaster Recovery Framework
NGO	Nongovernmental Organization
NPR	National Preparedness Report
NYRCRP	NY Rising Community Reconstruction Program
PA	Public Assistance
PPD-8	Presidential Policy Directive – 8
RRT	Recovery Resources Team
RSF	Recovery Support Function
SDRC	State Disaster Recovery Coordinator
SWAPDD	Southwest Arkansas Planning and Development District
TDRC	Tribal Disaster Recovery Coordinator
THIRA	Threat and Hazard Identification and Risk Assessment

I. Introduction

The Federal Emergency Management Agency (FEMA) designed this planning guide to help States and territories prepare for recovery by developing pre-disaster recovery plans that follow a process to engage members of the whole community, develop recovery capabilities across State government and nongovernmental partners, and ultimately create an organizational framework for comprehensive State recovery efforts.

In the United States, disasters are a regular occurrence throughout the year and all over the country, potentially impacting millions of lives and costing billions of dollars. In fact, in 2011 and 2012, there were 1,107 fatalities and up to \$188 billion in economic damages as a result of extreme weather events.¹ While different States are susceptible to different types of disasters, all States can take steps to be more resilient and prepared to begin a comprehensive, whole-community recovery effort immediately after a disaster strikes.

The State plays a critical role in leading and organizing recovery and supporting communities during their disaster recovery efforts. Disaster recovery is largely a locally driven, whole-community process that enables local stakeholders to determine their community's unique needs and goals for recovery and resilience. Pre-disaster planning at the State level positions the State to take a proactive stance for recovery prior to and after the disaster strikes. Developing a pre-disaster recovery plan equips States with the structure, process, roles, and policies to be well prepared to meet the unique recovery needs of each of their communities.

A pre-disaster recovery plan, and the inclusive process used to develop it, establishes resilience through State-level leadership and structure, forms communication channels, and builds whole-community² partnerships to support recovery efforts.

A State recovery plan sets the stage for necessary strategic, operational, and tactical post-disaster planning, actions, and processes. A plan also facilitates capacity building by preparing State-level agencies and recovery stakeholders to anticipate the needs of post-disaster recovery management and planning challenges prior to the disaster. It can also accelerate the delivery of resources, including funding and technical assistance, to disaster-impacted communities. A recovery plan prepares State agencies to more easily adapt to new post-disaster roles needed to manage new or modified sources of State and Federal recovery resources.

“Without a comprehensive, long-term recovery plan, ad hoc efforts in the aftermath of a significant disaster will delay the return of community stability. Creating a process to make smart post-disaster decisions and prepare for long-term recovery requirements enables a community to do more than react....”

—Florida Department of Community Affairs & Florida Division of Emergency Management, *Post Disaster Redevelopment Planning: A Guide for Florida Communities*.

¹Daniel J. Weiss and Jackie Weidman, *Disastrous Spending: Federal Disaster Relief Expenditures Rise amid More Extreme Weather*, (Washington: Center for American Progress, 2013), available at: <https://www.americanprogress.org/issues/green/report/2013/04/29/61633/disastrous-spending-Federal-disaster-relief-expenditures-rise-amid-more-extreme-weather/>

²Whole Community includes “not only FEMA and its partners at the Federal level, but also local, tribal, State and territorial partners; nongovernmental organizations like faith-based and non-profit groups and private sector industry; to individuals, families and communities the composition of the community and the individual needs of community members, regardless of age, economics, or accessibility requirements, must be accounted for when planning and implementing disaster strategies.” (From www.fema.gov/whole-community)

For example, State agencies focused on emergency management and other agencies key to recovery efforts, such as an economic development agency, often have different perspectives on the appropriate scope of recovery activities. This can lead to coordination problems after a disaster. By involving emergency managers and economic development professionals in the pre-disaster planning process, they can gain a better understanding of how recovery relates to response efforts, allowing both processes to operate efficiently.

Communities often look to their State government for assistance, leadership, and support after a disaster. When a State can begin helping communities recover immediately, it reinforces local confidence in the State's ability to lead and instills confidence with Federal partners and other resource providers. It clearly shows that the State is prepared for multi-level facilitation and coordination roles it will have to perform in disaster recovery.

A pre-disaster recovery plan clearly identifies to all stakeholders the goals of pre-disaster recovery, the State's priorities and policies, and the roles and responsibilities of different State-level stakeholders in supporting the recovery process after a disaster. This enables external partners to easily integrate with the recovery process, and understand how the State manages recovery, and sets general expectations for all involved parties.

Why Prepare a State Pre-Disaster Recovery Plan?

- Establish clear leadership roles, including the Governor's Office, for more decisive and early leadership.
- Improve public confidence in State leadership through early, on-going, and consistent communication of short- and long-term priorities.
- Avoid often-difficult, ad hoc process of post-disaster discovery of new roles, resources, and roadblocks.
- Gain support from whole-community partnerships necessary to support individuals, businesses, and communities.
- Improve stakeholder and disaster survivor involvement after the disaster through a definition of outreach resources and two-way communication methods the State will employ.
- Maximize Federal, private sector, and nongovernmental dollars through early and more defined State funding priorities and post-disaster planning activity.
- Facilitate more rapid and effective access to Federal resources through better understanding of funding resources and requirements ahead of time.
- Enable State leadership to bring to bear all State capability, and more easily identify gaps, through a coordination structure and defined roles.
- Better leverage and apply limited State and nongovernment resources when there is no Federal disaster declaration.
- Maximize opportunities to build resilience and risk reduction into all aspects of rebuilding.
- Speed identification of local recovery needs and resources and ultimately reduce costs and disruption that result from chaotic, ad hoc, or inefficient allocation of resources.
- Improve capability of local governments through pre-identification of when and how the State offers support for local government post-disaster planning, capacity needs, recovery management, and technical assistance.
- Proactively confront recovery and redevelopment policy choices in the deliberative and less contentious pre-disaster environment.
- Improve ability to interface with Federal Recovery Support Function (RSF) structure.

Governor Hunt of North Carolina on Hurricane Floyd recovery and the importance of a recovery plan:

“So it’s a body slam for a while. And what you want to do is ... to meet the needs to rebuild and to do it quickly so that you can limit it instead of taking five years to come back you can do it in two and a half or three years. By the way, that’s probably as fast as you can do it in many cases. People think you can get over it all of a sudden. You’re not. But you’ve got to be prepared; you’ve got to have a redevelopment commission; you’ve got to have enough funds; the governor’s got to give it constant leadership, and stay on people.

I think ... the major challenge for a State is to build the State infrastructure so that you are ready to deal with the disaster effectively. That means you have to plan for it, get ready for it, rehearse for it, practice it. ... if you don’t have a State disaster [recovery] center ... you have to have one scoped out so that you can put it in place immediately with top officials when ... the disaster comes. ... don’t look upon a disaster as just an emergency. You look upon it as something that’s going to regularly happen. And you have to regularly be ready for it.”

Smith, Sabbag, Rohmer (2016). Disaster Recovery: A Comparative Analysis of Gubernatorial Leadership, Collaboration, and Capacity Building

PURPOSE OF THIS GUIDE

The planning process outlined in this document directly aligns with the foundational six-step planning process of the National Planning System as defined in *Comprehensive Preparedness Guide 101 – Developing and Maintaining Emergency Operations Plans*³ (CPG 101). This document presents considerations for following the six-step planning process that are specific to pre-disaster recovery planning at the State level. This document also focuses more specifically on the challenges and unique partnerships necessary for successful, inclusive recovery.

AUDIENCE

The primary audience for this guide is State government⁴ leadership and other stakeholders who will be involved in the recovery process after a disaster. Examples of these leaders and stakeholders include governors and other elected officials, State agency leadership, and other partners from the whole community that have the capacity to support a recovery effort. FEMA has created separate recovery planning guides for the unique circumstances of tribal and local governments.



The remains of a home ravaged by fire after a disaster.

³ *Comprehensive Preparedness Guide 101 – Developing and Maintaining Emergency Operations Plans*: <http://www.fema.gov/library/viewRecord.do?=&id=5697>

⁴ Similar guides are being developed for local government and tribal government audiences. Once finalized, they will be available at <https://www.fema.gov/resource-document-library>

II. National Context for Pre-Disaster Recovery Planning

There are several overarching Federal statements of doctrine and policy that provide the context for State, tribal, territorial, and local recovery planning, as well as the recovery efforts of businesses, nongovernmental organizations (NGOs), individuals, and families. This guide provides further instruction on applying this national doctrine to recovery planning.

PRESIDENTIAL POLICY DIRECTIVE 8

*Presidential Policy Directive 8: National Preparedness*⁵ describes the Nation’s approach to preparing for the threats and hazards it faces. At its core, PPD-8 requires the involvement of the whole community in a systematic effort to keep the Nation safe from harm and resilient when struck by natural disasters, acts of terrorism, pandemics, and other disasters. It directs the development of a *National Preparedness Goal*.

NATIONAL PREPAREDNESS GOAL

The *National Preparedness Goal*,⁶ defined in response to the requirements of PPD-8, identifies success as:

“A secure and resilient nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.”

Primary Sources for This Guide

In addition to the expertise provided by several working groups, this guide builds on general planning concepts included in the following documents, among others:

- Post-Katrina Emergency Management Reform Act
- National Disaster Recovery Framework (NDRF)⁷
- National Mitigation Framework
- Effective Coordination of Recovery Resources for State, Tribal, Territorial, and Local Incidents
- Comprehensive Preparedness Guide 201 – Threat and Hazard Identification and Risk Assessment, Second Edition (THIRA)
- Comprehensive Preparedness Guide 101 – Developing and Maintaining Emergency Operations Plans (CPG 101, Version 2.0)
- State Disaster Recovery Planning Guide – Coastal Hazards Center of Excellence, University of North Carolina Chapel Hill
- State Multi-Hazard Mitigation Planning Guidance



Recovery leadership and stakeholders speak to the public.

⁵ Presidential Policy Directive 8: <https://www.fema.gov/learn-about-presidential-policy-directive-8>

⁶ The *National Preparedness Goal*: <http://www.fema.gov/national-preparedness-goal>

⁷ The National Disaster Recovery Framework: www.fema.gov/national-disaster-recovery-framework

The *National Preparedness Goal* identifies five mission areas (Prevention, Protection, Mitigation, Response, and Recovery) used to organize preparedness activities. Within these mission areas, the *National Preparedness Goal* defines Core Capabilities necessary to prepare for the specific types of risks and hazards that pose the greatest risk to the security of the Nation. Core Capabilities represent the competencies necessary for the timely restoration, strengthening, and revitalization of communities impacted by a catastrophic disaster. The *National Preparedness Goal*, along with the NDRF and all other frameworks, were refreshed during 2015 to address lessons learned through implementation and stakeholder feedback. A number of new guidance documents will help the general public, businesses, NGOs, and all levels of government make the most of their preparedness activities. This guide supports the achievement of this goal at the State level by providing additional guidance to States for pre-disaster recovery planning to augment information in the *National Preparedness Goal* and in the NDRF.

PPD-8 requires an annual National Preparedness Report (NPR) that summarizes national progress in building, sustaining, and delivering the Core Capabilities outlined in the *National Preparedness Goal*. The intent of the NPR is to provide the Nation—not just the Federal government—with practical insights on Core Capabilities that can inform decisions about program priorities, resource allocation, and community actions. Since 2012, the Core Capabilities within the Recovery Mission Area have consistently emerged as areas for improvement.

The Recovery mission area includes eight of these Core Capabilities (see discussion point). Addressing these distinct critical elements is necessary to achieve the *National Preparedness Goal* for recovery.

Discussion Point: Recovery Core Capabilities

The *National Preparedness Goal* defines eight Core Capabilities that apply to the Recovery mission area. The efforts of the whole community—not any one level of government—are required to build, sustain, and deliver the Core Capabilities.

- **Planning** – Conduct a systematic process engaging the whole community as appropriate in the development of executable strategic, operational, and/or tactical approaches to meet defined objectives.
- **Public Information and Warning** – Deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to effectively relay information regarding any threat or hazard and, as appropriate, the actions being taken and the assistance being made available.
- **Operational Coordination** – Establish and maintain a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of Core Capabilities.
- **Economic Recovery** – Return economic and business activities (including food and agriculture) to a healthy state and develop new business and employment opportunities that result in a sustainable and economically viable community.
- **Health and Social Services** – Restore and improve health and social services capabilities and networks to promote the resilience, independence, health (including behavioral health), and well-being of the whole community.
- **Housing** – Implement housing solutions that effectively support the needs of the whole community and contribute to its sustainability and resilience.
- **Infrastructure Systems** – Stabilize critical infrastructure functions, minimize health and safety threats, and efficiently restore and revitalize systems and services to support a viable, resilient community.
- **Natural and Cultural Resources** – Protect natural and cultural resources and historic properties through appropriate planning, mitigation, response, and recovery actions to preserve, conserve, rehabilitate, and restore them consistent with post-disaster community priorities and best practices and in compliance with appropriate environmental and historic preservation laws and executive orders.

NATIONAL DISASTER RECOVERY FRAMEWORK

The NDRF provides guidance regarding the State role in preparing for and implementing recovery, as well as guidance to all other stakeholders in recovery. It also establishes guiding principles, best practices, and expectations to enable efficient and effective recovery support and coordination. It is built upon a scalable, flexible, and adaptable coordinating structure intended to align key roles and responsibilities to deliver the necessary Core Capabilities. The strategies it identifies should inform State recovery planning.

The NDRF also identifies recommended leadership responsibilities at the State, tribal, territorial, local and Federal levels throughout different stages of the recovery process, including pre-disaster. The role of the State is to lead, manage, and drive the State-level recovery process, support local and community recovery efforts, keep the public informed, and be responsible for coordinating the State’s recovery activities and providing financial and technical support. The State acts as a conduit for delivery of many Federal assistance programs to the local level. The State also develops programs and secures funding for implementation of many recovery projects. Figure 1 depicts the relationships between different levels of government during disaster recovery.

Another key feature of the NDRF is its use of Recovery Support Functions (RSFs) to organize Federal resources. The six RSFs—Community Planning and Capacity Building, Economic, Health and Social Services, Housing, Infrastructure, and Natural and Cultural Resources—compose a flexible recovery structure that is designed to support State, tribal, territorial, and local recovery structures. This guide will discuss how the State may develop its own RSF structure to meet State-specific needs and goals.



Figure 1 Relationships between Different Levels of Government

NATIONAL MITIGATION FRAMEWORK

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

During the recovery planning and coordination process, actions can be taken to address the resilience of State, tribal, territorial, or local communities. The NDRF defines resilience as the ability to adapt to changing conditions, and withstand and rapidly recover from disruption due to emergencies, while mitigation includes the capabilities necessary to reduce loss of life and property by lessening the impact of a disaster. Consideration should be given to integration of the *National Mitigation Framework* and mitigation Core Capabilities into the structure, policies, and roles developed during the course of building a State recovery plan. A recovery plan can contain important elements to operationalize mitigation Core Capabilities during the recovery period.

Discussion Point: Mitigation Core Capabilities

The *National Preparedness Goal* defines seven Core Capabilities that apply to the Mitigation mission area. The first three are common Core Capabilities, shared with all mission areas.

- Planning
- Public Information and Warning
- Operational Coordination
- Community Resilience
- Long-Term Vulnerability Reduction
- Risk and Disaster Resilience Assessment
- Threats and Hazards Identification



Colorado recovery leadership and Federal recovery leadership discuss Federal disaster recovery coordination.

III. Key Concepts for State-Level Recovery Planning

Through years of national, State, tribal, and local experiences implementing disaster recovery efforts, several key concepts have emerged as a foundation for successful pre- and post-disaster recovery planning. These concepts, discussed briefly below, are expanded upon in greater detail throughout the NDRF.

RECOVERY ACTIVITIES ARE LOCALLY DRIVEN

Disasters are local, and impacted communities lead their own recovery with State support. In some cases, a community may not have the capacity or resources to address some or all of a disaster's impacts. State recovery plans can better prepare the State government (along with State government partners, such as NGOs) to help the local government find resources, as well as coordinate and manage certain planning and implementation activities.

DISASTER RECOVERY PLANNING IS BROAD AND INCLUSIVE

Multiple stakeholders, agencies, and organizations have an interest or role in recovery. Planning for inclusive recovery is therefore a shared responsibility. It involves State agencies, regional planning organizations, State and local foundations, community development organizations, community leaders, the private sector, and other organizations. All of these groups, working together support recovery planning and implementation after a disaster strikes. Each group brings its stakeholders into the process.

The State should take efforts internally, as well as encourage communities, to focus on including all population segments as contributors to the recovery process, including seniors; individuals with disabilities and others with access and functional needs; those from religious, racial, and ethnically diverse backgrounds; and people with limited English proficiency. People with disabilities and others with access and functional needs are often disproportionately, adversely impacted by disasters. As emphasized in the Department of Justice *Americans with Disabilities Act (ADA) Guide for Local Governments*,⁸ recovery planning, both before and after a disaster, must include at the onset, people with disabilities and others with access and functional needs to prevent delays or exclusion in post-disaster recovery efforts. For example, affected populations may need to relocate, and including these stakeholders in pre- and post-disaster planning processes helps to better integrate their needs in plans and recovery actions. State and local community leaders must engage all individuals in the whole community to effectively plan for an inclusive recovery effort.

RECOVERY PLANNING IS HOLISTIC AND LONG TERM

Recovery activities may continue for months or years after a disaster and the organizational structure for overseeing recovery will need to be flexible and durable in order to appropriately carry out its responsibilities. The pre-disaster recovery planning process should address all of the Core Capabilities, and include relevant State capabilities assessments, such as State Preparedness Reports, and other activities that support building community resilience.

⁸U.S. Department of Justice, *An ADA Guide for Local Governments: Making Community Emergency Preparedness and Response Programs Accessible to People with Disabilities*: <http://www.ada.gov/emergprepguideprt.pdf>

STATE-LEVEL PLANNING IS NECESSARY FOR DISASTERS OF ALL SIZES

States will be better prepared to address recovery needs regardless of the level of Federal support available to them through development of a full recovery plan that includes a range of resources for all sizes and types of disasters. In the case of Presidentially declared disasters, more Federal resources may be deployed to States to support their recovery. In the case of non-Presidentially declared disasters, development of a plan enables the impacted State to leverage existing capacity and resources more effectively to address needs. Having an inclusive pre-disaster recovery plan and a structure in place to support recovery is critical to ensure that the State is prepared to support recovery from any disaster.

RECOVERY PLANNING IS CLOSELY ALIGNED WITH HAZARD MITIGATION AND BUILDING RESILIENCE

Increasing resilience, defined in the *National Preparedness Goal* as “the ability to adapt to changing conditions and withstand and rapidly recover from disruption due to emergencies,” is a key goal of both hazard mitigation and recovery. The shared objective of increased resilience allows mitigation and recovery planning to reinforce one another and leverage greater benefits. Ideally, resilience is developed before a disaster and opportunities to increase it are continually considered within the development of plans, programs, or projects. Because both mitigation and recovery planning can be carried out pre-disaster, there is generally ample time to coordinate activities and promote more widespread attention to resilience. Recovery planning can support hazard mitigation and resilience building by providing a post-disaster mechanism for implementation and integration into the roles, processes, and decisions that occur in the complex recovery environment.

Additionally, much of the research involved in the development of mitigation plans can be used to inform the pre-disaster recovery planning effort. The State mitigation plan is a very useful starting point for research for the pre-disaster recovery plan.

The pre-disaster recovery planning process will benefit from and build upon hazard mitigation as:

- The mitigation planning process identifies local hazards, risks, exposures, and vulnerabilities;
- Implementation of mitigation policies and strategies will reduce the likelihood or degree of disaster-related damage, decreasing demand on resources post-disaster;
- The process will identify potential solutions to future anticipated community problems; and
- Mitigation activities will increase public awareness of the need for disaster preparedness.

Pre-disaster recovery planning efforts also increase resilience by:

- Establishing partnerships, organizational structures, communication resources, and access to resources that promote a more rapid and inclusive recovery process;
- Describing how hazard mitigation will underlie all considerations for reinvestment;
- Laying out a process for implementation of activities that will increase resilience; and
- Increasing awareness of resilience as an important consideration in all community activities.

Building Resilience Into the Recovery Process – The National Mitigation Framework

Recovery offers a unique opportunity to reduce future risk. Following any disaster, recovery efforts can be leveraged to implement solutions that will increase community resilience in the economic, housing, natural and cultural resources, infrastructure, and health and social services, and government sectors. Well planned, inclusive, coordinated, and executed solutions can build capacity and capability, and enable a community to better manage future disasters.

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

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

actions into pre- and post-disaster recovery plans will also provide systematic risk management after a disaster, with effective strategies for an efficient recovery process.

Recovery projects that increase resilience can occur in any of the community systems outlined above. For instance, housing and infrastructure projects may increase resilience by rebuilding housing to meet new building and accessibility codes that minimize future damages or relocating critical infrastructure out of hazardous areas. Other resilience strategies could focus on diversifying the economy and bringing in sustainable industries or assisting community organizations to increase the resilience of all populations through preparedness efforts. Using innovative solutions to address recovery needs is an important consideration in developing recovery strategies. State, tribal, territorial, and local communities can look to a wide range of organizations for help in increasing resiliency, such as the Rockefeller Foundation or various university centers and research institutes.

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

Discussion Point: Equity in Disaster Planning and Recovery

Disasters can disproportionately affect some members of the community, including low-income, aging, functional and access needs, and minority populations. These groups are more likely to be displaced and have more limited access to resources, mobility issues, or difficulty participating or being represented in recovery planning and community activities. The planning process should evaluate the risk of these groups and their likelihood of displacement and establish a strategy for basic communication, as well as a plan for ensuring equal participation in post-disaster recovery planning and decisions.

For example, housing construction costs and replacement home values are likely to increase as a result of increased demand and reduced supply in a significant disaster. This can disproportionately affect the ability of the low- or fixed-income residents to find adequate and safe housing. Hazard mitigation strategies used after a disaster, such as buyouts, can also have the effect of reducing the stock of affordable housing if housing redevelopment plans are not adequately addressed. The community's affordable and fair housing plans should be coordinated with its recovery plan to ensure that all residents can participate and are served in recovery and that workforce housing can be replaced. For communities receiving Community Development Block Grant funds, the Consolidated Plan can also address recovery and resilience issues.

Housing support or mitigation programs should take care to ensure equal access where possible. In some cases, resources from Federal, State, or non-governmental agencies can be used to augment housing or mitigation programs to encourage the participation of these groups or assist in the redevelopment of affordable housing in safe areas.

IV. Pre-Disaster Recovery Planning and Response Planning Linkages

While closely linked, response and recovery are fundamentally different elements of disaster management. Initially, when disaster strikes, response activities demand the most attention. Emergency responders address the most urgent and immediate needs of disaster-impacted communities, including food, water, shelter, and medical attention. Recovery, however, addresses short-, intermediate-, and long-term needs with a focus on rebuilding in a resilient way. The recovery process begins during response, soon after a disaster strikes.

The National Planning System as defined in CPG 101 serves as the foundation for all emergency planning and provides a six-step foundational process used to develop most response plans. Because the process presented in this guide also follows the CPG 101 process, pre-disaster recovery plans can build on the same straight-forward planning steps or concepts from response planning. Examples of similar fundamentals between the two processes include a community-based and inclusive planning process; analytical problem-solving processes, the consideration of a variety of hazards, risks, and vulnerabilities; flexibility; and the identification of goals. Furthermore, effective plans for both response and recovery delegate responsibility and authority, and contribute to overall community preparedness ahead of disasters.

Case Example: Arizona Disaster Recovery Framework

Arizona developed a recovery framework that describes the roles and responsibilities of different stakeholders. It also identifies the link between response and recovery:

“Recovery Support Function structure coexists with and builds upon the Emergency Support Functions under the National Response Framework.

Because recovery cannot wait until those occupied with response have time and space to start thinking about recovery, a discrete and well-resourced recovery focus is established up front to ensure that communities are well positioned for major reconstruction and redevelopment. The State Disaster Recovery Coordinator will engage with the Recovery Support Function agencies to organize and coordinate State recovery assistance as the level of response activities declines, and RSF coordinators will work closely with ESF leads to share information about impacts, assistance provided, and working relationships at all levels.

It is essential that State partners address responsibilities across the recovery continuum, including preparedness, mitigation, and development activities as well as post-disaster stabilization and recovery actions by creating supporting guidance and tools for recovery implementation.”⁹

⁹ Arizona Disaster Recovery Framework, 2014: <http://docplayer.net/1598475-Arizona-disaster-recovery-framework.html>. The Arizona State Emergency Response and Recovery Plan is being revised as of November 2016. The draft can be found at https://dema.az.gov/sites/default/files/publications/EM-PLN_State_Emergency_Response_and_Recovery_Plan-Basic_Plan_SERRP_2016FINAL_Oct7.pdf.

V. Pre-Disaster and Post-Disaster Recovery Planning Linkages

The planning process is used to define goals, objectives, and actions, before a disaster as well as following a disaster. Planning in both contexts is strategic, operational, and tactical. A pre-disaster plan can define what overarching goals and processes will be used to coordinate and manage recovery and to conduct disaster-specific planning in response to a particular disaster that has occurred. The post-disaster recovery planning process integrates specific information and recovery needs presented by the particular disaster with long-term goals that are then adapted to fit the circumstances of the disaster that has occurred. This post-disaster planning process strives to actively engage stakeholders in the public choices to be made for recovery, including building resilience into recovery approaches. Post-disaster planning at the State level often takes the form of high-level State recovery strategies or commission reports, operational or action plans documenting selected State priorities, or plans documenting how interagency coordination and programs are managed.

A variety of post-disaster planning steps can be defined or agreed upon before a disaster occurs. Understanding the range of potential needs, establishing leadership and partnerships, reaching consensus on priorities, and accomplishing other planning activities through a pre-disaster planning process will help to facilitate the post-disaster recovery process. If completed in advance, States will not need to spend valuable time organizing themselves in the wake of a disaster. They will be better prepared to address impacts immediately after disaster strikes and develop a post-disaster recovery plan with a vision, goals, objectives, and priorities matched to available resources more quickly than if pre-disaster planning does not take place.

Post-disaster recovery plan documents can take a variety of forms, and States will need to decide what types of documents will best suit their needs.

Some States may choose to develop a formal written strategy or plan, while others may develop a robust, coordinated action plan for various grants, and others may create a legislative package or agenda that establishes State programs to support recovery. For example, some programs, such as U.S. Department of Housing and Urban Development's (HUD's) Community Development Block Grant – Disaster Recovery (CDBG-DR) often requires an action plan for use of the funds. Pre-disaster, decisions can be made about what types of post-disaster plans will be developed, which entities will be responsible for developing those plans, or how plans will be coordinated.

Figure 2 and Table 1 outline types of planning activities and the pre- and post-disaster tasks associated with each. While the process outlined in this guide addresses the tasks associated with all types of pre-disaster planning activities (i.e., strategic, operational, and tactical planning), it is important to remember that successful pre-disaster recovery planning will speed post-disaster planning and activities. Therefore, consideration of post-disaster planning tasks are equally important during pre-disaster planning.



Figure 2 Types of Planning Activities

Table 1 Types of Planning Activities Pre- and Post-Disaster

Type of Planning	Pre-Disaster	Post-Disaster
<p>STRATEGIC</p> <p><i>Driven by policy, establishes planning priorities</i></p>	<ul style="list-style-type: none"> • Develop a mitigation plan that establishes long-term risk reduction priorities and policies to guide post-disaster recovery and redevelopment. • Establish pre-disaster priorities and policies to guide recovery and reinvestment across the other recovery Core Capabilities. • Develop an inclusive and accessible whole-community public engagement strategy. • Evaluate current conditions; assess risk, vulnerability, and potential community-wide consequences. • Integrate recovery and mitigation goals and policies into other Federal, State, regional, and community plans. • Establish priorities and identify opportunities to build resilience, including sustainable development, equity, community capacity, and mitigation measures. 	<ul style="list-style-type: none"> • Evaluate community conditions, reassess risk, evaluate needs, and forecast future needs and trends. • Set goals and objectives—short, intermediate and long-term—engaging the public in the process. • Identify opportunities to build in future resilience through mitigation. • Consider standards for sustainable, universally accessible, healthy community design and construction that also integrates mitigation and long-term resilience building activities. • Ensure policies are inclusive of the whole community including people with disabilities and others with access and functional needs.
<p>OPERATIONAL</p> <p><i>Describes roles and responsibilities, focuses on coordinating and integrating the activities of the whole community</i></p>	<ul style="list-style-type: none"> • Establish clear leadership, operational coordination, and decision-making structures at the State, tribal, territorial, local, and Federal levels. • Develop pre-disaster partnerships to ensure engagement of all potential resources. • Identify and engage whole-community stakeholders, including the general public, community leaders, faith-based organizations, nonprofit organizations, private sector entities, and health providers (including behavioral health). • Identify limitations in community recovery management capacity and the means to supplement this capacity, such as training and education, and make it available to all stakeholders. • Determine roles, responsibilities, and resources of whole-community partners. • Establish continuity of operations plans to ensure essential recovery services can be delivered during all circumstances. 	<ul style="list-style-type: none"> • Organize, build on, and adapt as necessary, pre-existing plans and priorities, including pre-disaster recovery and mitigation plans. • Use a community-driven and locally managed process, designed to promote local decision-making and ownership of the recovery planning and implementation effort. • Work collaboratively with all groups of people affected by the disaster to promote inclusive and accessible outreach to their communities and address issues relevant to them. • Ensure inclusion and encourage participation of individuals and communities that may require alternative and/or additional outreach support. • Keep the public informed on all aspects of recovery and encourage collaboration across partners. • Implement a coordination structure and build partnerships among local agencies; jurisdictions; and State, tribal, and Federal governments. • Develop tools and metrics for evaluating progress against set goals, objectives, and milestones.
<p>TACTICAL</p> <p><i>Identifying specific projects and managing resources</i></p>	<ul style="list-style-type: none"> • Establish specific local procedures, requirements, regulations, or ordinances to address specific, expected post-disaster recovery actions. • Establish specific plans, contracts, and resources for tactical activities expected post-disaster (e.g., debris management, recovery management, temporary housing, building permitting). 	<ul style="list-style-type: none"> • Identify, adapt, implement, and manage actions, procedures, programs, requirements, organizations, regulations, ordinances, and policies to address specific needs. • Identify specific projects in areas of critical importance to the State, region, or community's overall recovery. • Provide well-defined activities and outcomes, including schedules and milestones, aimed at achieving recovery.

VI. The State Pre-Disaster Recovery Plan Development Process

The process presented in this guide follows the foundational simple six-step planning model presented in CPG 101. By following CPG 101 and subsequently the activities outlined in the following sections of this guide, States will be able to create a written pre-disaster recovery plan that will aid them in effective leadership and management of recovery operations after a disaster. Each State can adapt this process to most effectively meet its unique needs. The six planning steps depicted in Figure 3 are interrelated. Forming a collaborative planning team comprising whole-community stakeholders allows planners to understand the situation from people with different areas of expertise and different viewpoints. Once the core planning team fully understands the situation, planning goals and objectives can be set. Goals and objectives are the basis for plan development, during which courses of action are developed and resources identified to support those courses of action. After courses of action are identified, the plan can be prepared, reviewed, and approved, then eventually implemented and periodically exercised to determine what, if any, changes or updates need to be made to the plan.



Figure 3 Comprehensive Preparedness Guide Planning Steps

A. STEP 1 – FORM A COLLABORATIVE PLANNING TEAM

As explained in CPG 101, successful planning efforts are launched using a team made up of a variety of partners from the whole community. For pre-disaster recovery plans, it will be important to garner support for the planning effort and form a team of unique partners that will serve in leadership roles during recovery efforts. A collaborative recovery planning team will lead the pre-disaster recovery planning process and steer the group through the steps needed to prepare for recovery.

The Governor’s Office may designate members of the core recovery planning team based on existing State priorities and goals, taking into consideration previous recovery efforts and associated needs that were identified in the past. The recovery planning team may include representatives from the Governor’s Office and representatives from State agencies and other organizations that have expertise in fields such as community planning, economic development, infrastructure, and emergency management. Members of the State hazard mitigation planning team, and other existing planning teams, can also be considered and included. Table 2 lists suggested stakeholders and partners to address recovery Core Capabilities.

Getting Leadership Support

Getting the support of the Governor’s Office and other elected leadership is an important step in developing a State-level, pre-disaster recovery plan. This support is key to ensuring that State agencies and other public and private organizations are active partners in the recovery planning process. A major challenge to defining roles and responsibilities for recovery is that many potential stakeholders may assume that recovery falls exclusively within the realm of emergency management. Although emergency management is an important stakeholder in the recovery process, recovery needs may go beyond the capacity of an emergency management agency. Therefore, it is important that State leadership be supportive of a holistic and inclusive planning process and that they encourage the active participation of all State agencies and public and private organizations.

Discussion Point: Engaging Partners in Recovery

A major challenge to involving different State agencies and other organizations in the recovery process is helping them understand their role in recovery, or why what they do on a day-to-day basis is relevant to planning for recovery and would be directly relevant to supporting recovery. There may be an expectation that the emergency management agency (or equivalent) would be responsible for directing recovery because they play a critical role during the short-term and intermediate phases of recovery with the implementation of assistance offered through the Stafford Act.

However, recovery goes beyond activities typically associated with emergency management. Recovery is holistic in nature; at the State level, it is intended to address the State’s priorities and known disaster impacts. Because of recovery’s holistic nature, a variety of agencies and organizations, such as housing economic development, and disability organizations, play a role in the process. If they understand their roles ahead of time, they can begin supporting recovery immediately. If they do not understand their role and the importance and relevance of their subject matter expertise, they may not understand how they can support recovery. Recovery planning will be negatively impacted, because the resources or expertise those agencies bring to bear are not considered in pre-disaster planning efforts, nor in post-disaster recovery implementation efforts.

Table 2 Suggested Stakeholders and Partners to Address Recovery Core Capabilities

Recovery Core Capability	Suggested Stakeholders and Partners
PLANNING	Consider organizations that understand and practice strategic planning, such as emergency management, hazard management, and community development agencies or organizations. Professional planning and design organizations, such as the American Planning Association, American Institute of Architects, and American Society of Landscape Architects are also resources. Include regulators (such as zoning and permitting, safety, ADA coordinators) and those involved in the mitigation plan and other community development planning.
PUBLIC INFORMATION AND WARNING	Consider people and organizations with community outreach experience or expertise in effective and accessible mass communications, facilitation, and/or civic engagement. Stakeholders should also have experience in reaching out to populations with access and functional needs. Involve public affairs officer or communications department.
OPERATIONAL COORDINATION	Consider leaders such as agency directors or staff from the Governor’s Office.
HEALTH AND SOCIAL SERVICES	Consider including representatives from State government departments, medical professionals, education departments, consumer and legal service organizations, and managers of non-profits providing disability and other services that support physical, programmatic, and effective communication access for the community. Also involve voluntary organizations that are active after a disaster and other organizations that represent the service and support needs of all community members, including immigrants and refugees, and people with disabilities, or access or functional needs.
ECONOMIC RECOVERY	Consider including economic and workforce development officials, representatives of Community Development Corporations, major employers, local business owners, representatives from employment and labor departments, labor organizations, and faculty from colleges and universities.
HOUSING	Consider including developers, residential construction companies, fair or affordable housing advocates, homeless organizations, representatives of housing agencies, and housing department staff.
INFRASTRUCTURE SYSTEMS	Consider including public works officials and engineers. The American Society of Civil Engineers and other similar professional organizations are potential resources.
NATURAL AND CULTURAL RESOURCES	Consider including historic preservation experts; members of cultural, museum, library, and archival organizations; members of landmarks, parks, and tree boards; and parks and environmental protection department staff.

Involving and Engaging Other Stakeholders and Partners

The collaborative planning team will evolve over time as other public and private agencies and organizations are identified as partners in the planning process. These partners may be governmental agencies or NGOs that have responsibilities or resources relevant to recovery and can assist with data collection or analysis, provide advice on planning policy development or provide other technical assistance (both pre- and post-disaster). These stakeholders should have knowledge, skills, and expertise in the Core Capability areas.

Using the Core Capabilities is one way to identify stakeholders and partners to engage in the pre-disaster recovery planning process. Table 2 on page 19 includes potential partners for each Core Capability. The table is not intended to be an exhaustive list.

External partnerships, such as those with community-based organizations, statewide professional organizations, chambers of commerce, or universities, facilitate the sharing of resources across and between jurisdictions. Communication and coordination with external partners pre-disaster will also help ensure that they are prepared to help the State and its communities recover more quickly after a disaster.

The planning team and other stakeholders and partners should include people, or organizations, who will serve as advocates for the needs of children, seniors, those with disabilities and others with access and functional needs, those with limited English proficiency, and those from historically underserved and culturally sensitive populations. The planning team should also consider engaging local governments during the plan development and approval process, as they are a critical stakeholder in the recovery process.

Role of Emergency Management

Recovery is multi-faceted and requires participation from a variety of agencies and organizations with different types of subject matter expertise. Recovery goes beyond emergency management. It requires the expertise and experience of stakeholders from a wide swath of agencies and organizations beyond those traditionally associated with response activities or short-term recovery.

Emergency management is a critical partner in the recovery planning process. Emergency management agencies often lead the early phases of recovery and facilitate the transition from Emergency Support Functions to RSFs (or their analogous groups). Furthermore, emergency management agencies often direct FEMA Individual Assistance and Public Assistance programs, which are key resources for short-term recovery, stabilization, or repairing damaged eligible facilities. It is important to engage and coordinate these programs with broader resources for recovery and redevelopment. Emergency management provides on-the-ground knowledge of recovery issues and can provide very valuable situational awareness and communicate issues to other recovery stakeholders.

To address the priorities that a State will identify through a recovery planning effort, which may include encouraging sustainable communities, promoting economic revitalization and new growth, or developing resilient infrastructure, including accessible transportation systems, the agencies and organizations involved in planning for recovery must have capabilities beyond that of an emergency management agency (or its equivalent). For example, encouraging sustainable communities may fall under the purview of a State department of community development; development of enhanced transportation infrastructure may fall under the purview of a State department of transportation; and economic growth may fall under the purview of the State economic development agency.

The role of emergency management changes greatly from response to recovery. Initially, the role of the emergency management agency is to direct other agencies and organizations in responding to a disaster. As the State transitions into recovery, the emergency management agency will become one of many entities playing a role in the recovery organization.

B. STEP 2 – UNDERSTAND THE SITUATION

In order to develop a pre-disaster recovery plan, it is important to understand and analyze current goals, known vulnerabilities, and the State's capacity to manage the recovery process. In CPG 101 Step 2, the planning team will identify threats and hazards and assess the State's risk. For this analysis, the planning team will utilize existing State planning products and will focus on a broad range of recovery-specific impacts.

Existing Plans, Laws, Rules, and Regulations

The integration of goals from existing planning products into a pre-disaster recovery planning process can help inform basic recovery goals related to different sectors. Reviewing State plans, policies, or initiatives already in place during pre-disaster recovery planning will help minimize conflicts during post-disaster recovery planning and implementation. Analyzing and understanding the laws and authorities that govern the recovery process, recovery programs, steady-state programs, and authorities of different elements of State and local government helps to avoid problems faced when States design recovery processes or programs. Consider requirements such as the authority of the Governor or legislature to create or modify programs, regulations, or contracts quickly, or the applicability of laws requiring non-discrimination, equal access, and reasonable accommodations for people with disabilities.

Existing plans, policies, and initiatives should be reviewed and considered as part of the pre-disaster recovery planning process. These plans might include, at a minimum:

- Emergency operations plans and continuity plans
- State affordable housing policies or plans, or temporary housing plans
- State hazard mitigation plans
- Other State long-term plans, goals, and priorities
- Economic development or resiliency plans

There should be clear linkages defined among existing State plans and the recovery plan, which will foster more effective integration of State-level partners and their activities. In addition, connecting to State plans and programs can help leverage available resources and reduce duplication of effort. Finally, building upon existing State plans helps foster the integration of other State agencies in the pre-disaster recovery planning process and post-disaster implementation processes. Developing a set of policies integrated with State agencies addressing relevant functions such as community development, work force development, or affordable housing (many of whom are not traditionally associated with emergency management) is critically important as disaster recovery requires the active involvement of a diverse coalition of stakeholders.¹⁰

¹⁰ Gavin Smith and Dylan Sandler. *State Disaster Recovery Planning Guide* (U.S. Department of Homeland Security, Coastal Hazards Center of Excellence, The University of North Carolina at Chapel Hill, 2012), available at: http://coastal hazardscenter.org/dev/wp-content/uploads/2012/05/State-Disaster-Recovery-Planning-Guide_2012.pdf

Developing a pre-disaster recovery plan is one piece of a cyclical planning process outlined in Figure 4. Existing plans and policies will inform the recovery plan. Conversely, the recovery plan, once implemented in a post-disaster setting, will facilitate a recovery process that may inform updates to existing plans.

Examples of specific State plans, policies, or initiatives to be considered during a State-level, pre-disaster recovery planning process are included in Table 3 with an explanation of their relevance to the recovery planning process. The list of plans in this table is not exhaustive.

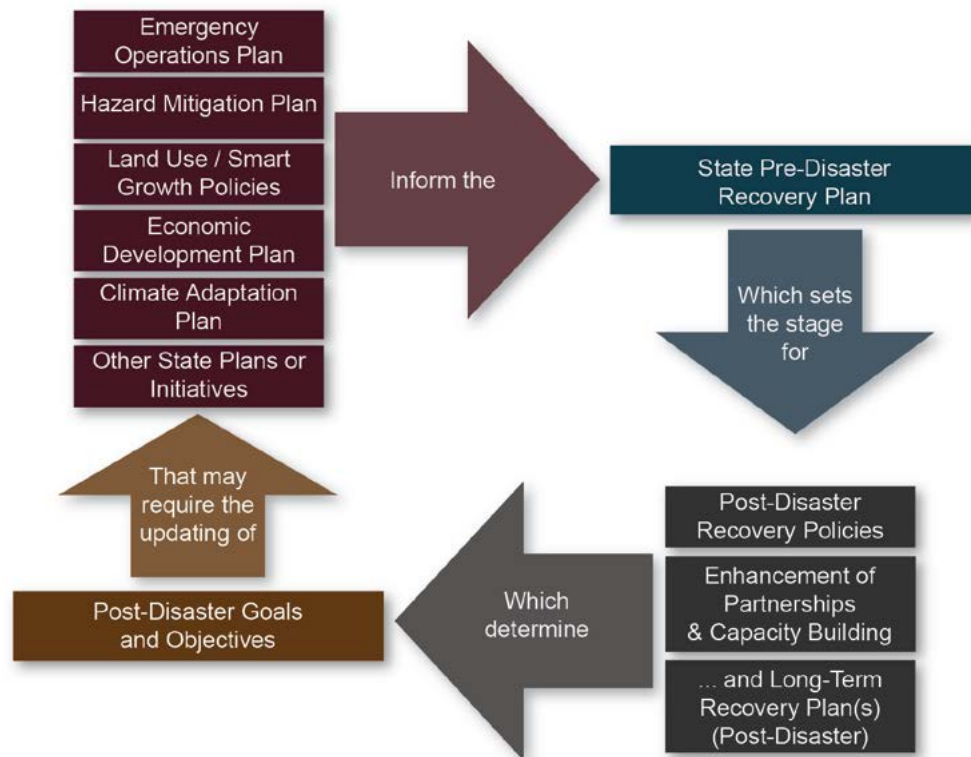


Figure 4 The Cyclical Nature of Planning

Table 3 Different Plans and Their Relevance to Pre-Disaster Recovery Planning

Plan	Relevance
<p>EMERGENCY OPERATIONS PLAN</p>	<p>Understanding how the State addresses response issues will allow the recovery plan to address how the State will transition from response to recovery—and help distinguish between emergency response issues that belong in an emergency operations plan and recovery issues that belong in a recovery plan. It will also integrate the emergency management agency (or equivalent) as a partner in the recovery planning process.</p>
<p>STATE HAZARD MITIGATION PLAN</p>	<p>A comprehensive State hazard mitigation plan is developed before a disaster occurs. The purpose of a State hazard mitigation plan is to identify local policies and actions that can be put in place to reduce risk and future losses from hazards. Using a public planning process that includes a wide range of stakeholders, statewide mitigation policies and actions are identified based on an assessment of hazards, vulnerabilities, and risks. Pre-disaster recovery planning should take these identified risks into account. Strategies identified in hazard mitigation plans also help determine post-disaster priorities and help to build resilience across the State. Additionally, the State hazard mitigation plan should include an evaluation of the existing hazard management programs and capabilities that can inform the pre-disaster recovery planning process.</p>
<p>THREAT AND HAZARD IDENTIFICATION AND RISK ASSESSMENT (THIRA)</p>	<p>THIRAs identify threats and hazards of concern in a State and analyze risk based on the Core Capabilities. This analysis involves developing targets and examining resources within the realm of each Core Capability. In relation to pre-disaster recovery planning, THIRAs not only help States understand their vulnerabilities, but they also present a starting point for the development of recovery goals and objectives.</p>
<p>STATE LAND USE/ COMPREHENSIVE PLAN</p>	<p>States that have land use plans (or policies), growth management plans or requirements, or other land use initiatives or regulations may incorporate those elements into their recovery plan. This way, statewide land use policies are considered during the post-disaster recovery process. Additionally, many States have environmental restoration/conservation strategies or habitat protection planning efforts that should be linked to the pre-disaster recovery planning process. Their inclusion in the pre-disaster recovery plan will help ensure these considerations, when relevant, surface soon after a disaster.</p>
<p>ECONOMIC AND WORKFORCE DEVELOPMENT PLANS</p>	<p>The State recovery plan should address State-level economic development initiatives with the understanding that economic recovery of communities may be supported with the strengthening of existing economic and/or workforce development plans. States often have economic development agencies that define their economic and workforce needs and work to address these needs by recruiting targeted industries and implementing workforce development programs.</p>
<p>OTHER STATE PLANS</p>	<p>Other plans, such as transportation and infrastructure plans, capital improvements plans, continuity of operations and government plans, housing plans, resilience plans, and climate action plans or strategies, may have recovery-relevant elements incorporated. Having a plan for financing recovery is particularly important, as replacement of infrastructure can be very costly. Establishing links to these relevant plans in a pre-disaster context will help States take action quickly in the post-disaster environment, which is often the best time to implement these strategies.</p>
<p>LOCAL, REGIONAL, AND/OR TRIBAL PRE-DISASTER RECOVERY PLANS</p>	<p>If they exist, local, regional, and/or tribal pre-disaster recovery plans will allow the State recovery planning team to understand how the State organization will be supporting the community-level recovery activities. The role of the State as a support to the community and local levels is best considered throughout the planning process.</p>

Scope of the Pre-Disaster Recovery Plan

Decisions about the level of detail and overall scope of the pre-disaster recovery plan will impact the rest of the planning process. With that in mind, the planning team should consider the level of detail that the pre-disaster recovery plan will provide early on in the process.

Recovery plans often provide specific guidance that must be followed by State agencies after a disaster. Recovery frameworks, however, provide guidance that may be more general in nature so as to allow for flexibility. The NDRF, for example, provides guidance on recovery roles and responsibilities and broadly describes how the Federal government is organized to support recovery. The associated Federal Interagency Operations Plan describes in more detail how agencies will support recovery when needed. In this way, the Federal government has both a general, flexible framework and a plan with more specific details. This approach may be appropriate for States, or State leadership may wish to include both flexible guidance and operational details in the same document. State priorities or policies guiding recovery may also be addressed in either type of document.



Figure 5 Disaster Types

Impacts and Community Consequences

Understanding the State's risks and the possible direct, indirect, long-term, and systematic impacts from a disaster will provide a foundation for pre-disaster recovery planning, and will also allow the planning team to determine potential capability gaps before a disaster. Figure 5 identifies different disaster types that may require consideration as the State assesses risks. A full understanding of the indirect and systematic impacts can also be very useful in driving greater participation by a larger range of agencies and stakeholders that do not typically see a role for themselves in addressing the more direct consequences. These vulnerabilities and expected consequences may be identified in a State or local hazard mitigation plan, a THIRA, other risk assessments, or based on historical data about past disaster impacts. Regional Comprehensive Economic Development Strategies supported by the U.S. Economic Development Administration (EDA) require a resilience and recovery-planning component that may be helpful for State planning.

Vulnerabilities may include hazard-prone and low-capacity communities, including those that are historically underserved or that also are likely to lack sufficient resources for recovery. For example, following Hurricanes Katrina and Sandy, many homeowners lacked sufficient resources to repair damaged housing and several States, including Louisiana, Mississippi, and New Jersey, responded by establishing State-led housing recovery programs. Whole-community inclusion will help ensure more comprehensive awareness of impact, resources, and expertise.

After the vulnerabilities are identified, likely consequences are to be analyzed. Understanding potential vulnerabilities and consequences will help the State refine any existing recovery priorities, determine additional recovery priorities, and also determine whether it has the capacity to address the consequences. Knowing existing strengths will allow the State to leverage its existing resources and expertise, while being aware of existing gaps will allow States to plan ahead to address those gaps.

To assess capacity, the planning team must consider whether or not the State has the resources to carry out the post-disaster planning and implementation processes. This can be done through a focused analysis of the Core Capabilities. If the State does not have the capacity to address certain recovery issues that may arise, the pre-disaster recovery plan can include the methods through which the State will build the capacity necessary to do so. These methods may include training of staff and the development of mutual aid agreements, as well as the enhancement of existing partnerships, or the establishment of new ones.

C. STEP 3 – DETERMINE GOALS AND OBJECTIVES

To build a pre-disaster recovery plan at the State level, it is important to evaluate the State’s recovery priorities and to develop goals based on those priorities. Those priorities may be identified in existing planning and policy documents or they may have been identified based on vulnerabilities identified in the “Understand the Situation” step, discussed in the previous section. Any goals and objectives developed for the pre-disaster recovery plan should be consistent and work with the priorities outlined in other existing planning documents.

State principles, policies, and priorities may be broad, and will likely take into consideration how the State will assist all communities in rebuilding in a more resilient manner. For example, State priorities may include:

- Developing resilient and accessible transportation infrastructure
- Preserving and restoring natural and cultural resources

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

FEMA developed the guide: *Effective Coordination of Recovery Resources for State, Local, Tribal and Territorial Governments* to provide specific examples and recommended processes for organizing and undertaking a post-disaster recovery coordination operation. Some of these examples and recommended processes include:

- Leading coordination process
- Organizing a coordination structure
- Assessing impact and identifying priorities
- Identifying coordinating recourses
- Engaging whole community
- Implementing solutions



Recovery stakeholders at a Joint Field Office discuss the recovery strategies.

- Developing, reconfiguring, and restoring the education system
- Empowering and supporting local governments
- Instituting requirements for local government planning
- Reconfiguring State facilities
- Encouraging sustainable communities
- Encouraging considerations of both physical and mental health
- Returning displaced persons to their homes as quickly as possible
- Expanding affordable, accessible, and safe housing
- Restoring, hardening, or expanding critical infrastructure and key resources
- Developing or expanding broadband infrastructure and digital inclusion
- Reopening key industries and large employers
- Re-orienting economic strategies
- Restoring the tax base and revenues to at least pre-disaster levels
- Financing recovery without assuming onerous debt

It is also important to take into account identified vulnerabilities and which vulnerabilities the State might have the most difficult time addressing (capability gaps) as these will likely become focus areas after a disaster. The impacts may include those related to:

- Affordable and accessible housing
- Social, income, and equity issues
- Infrastructure and public works
- Economic growth
- Tourism
- Historic sites and districts, museums, and other cultural resources
- Public health services (including behavioral health)
- Tax base and community viability
- Food systems
- Environmental resources

Understanding the State's existing and future priorities and vulnerabilities will allow the planning team to develop goals and objectives that align with existing efforts. Through collaborative development of goals and objectives with all members of the planning team, the recovery planning process can begin to determine formal post-disaster roles and responsibilities for those agencies and organizations that will be involved in recovery. It is important to remember that following a disaster, disaster-specific goals, objectives, and/or priorities will be based on those established pre-disaster and will be further developed within the context of the disaster impacts.

D. STEP 4 – PLAN DEVELOPMENT

As explained in CPG 101 Step 4, pre-disaster recovery leadership, coordination, and operations solutions should be carefully developed, analyzed, and compared before a decision is made. In order to develop the content of a pre-disaster recovery plan, decisions will need to be made (i.e., courses of action for analysis and comparison). Specifically this section focuses on considerations for recovery leadership, decision-making, coordination/organizational structures, scalability, roles and responsibilities, legal and policy issues, coordination mechanisms, integration of Core Capabilities and success factors, communications, resource management, and sector-specific elements. The needs of the whole community, including those with access and functional needs, should be considered throughout these elements. CPG 101 provides general guidance on conducting this analysis. Collectively, decisions made during this step will serve as the basis for the written State pre-disaster recovery plan.

Recovery Leadership

Successful recovery requires leadership throughout all levels of government, sectors of society, and phases of the recovery process.¹¹ Leadership can be discussed in three dimensions: technical, political, and collaborative.¹² Technical leadership means the ability to manage specific functions, such as grant writing, program administration and plan creation. Political leadership is used to define public policy and influence the behavior of others. It is also used to provide public benefit despite facing opposition. Collaborative leadership requires both technical and administrative actions to build enduring coalitions while being mindful of political realities. All three of these dimensions must be considered in determining the leadership of a recovery organization.

Governor's Office

Leadership, support, and involvement from the Governor's Office is important in facilitating the pre-disaster recovery planning process. The Governor's Office can bring other resources and partners to the table in the planning process and establish their recovery responsibilities. For instance, resources made available by NGOs can be leveraged to provide peer-to-peer mentorship, networking opportunities, lessons learned, and best practices as they relate to disaster management at the State level.

Case Example: Governor Haley Barbour, Mississippi, Creation of a Commission, Office, and a Council

Governor Barbour created the Governor's Commission on Recovery, Rebuilding, and Renewal and the Governor's Office of Recovery and Renewal (GORR). Both were designated to develop recovery policy and roles for implementing policies. The Commission and Office both worked with local governments to identify local needs unmet by Federal disaster assistance. These entities also supported local capability building through education and outreach initiatives. The Governor appointed members from areas that were affected across the State and had experience in various sectors. The Gulf Coast Business Council was created to address business redevelopment and work with local entrepreneurs.

The Commission produced the report *After Katrina: Building Back Better than Ever*. This list of recommendations was then used by the GORR to find ways to fund and implement the recommendations, including providing technical assistance to local governments.

¹¹ *The National Disaster Recovery Framework*: www.fema.gov/national-disaster-recovery-framework

¹² Gavin Smith and Dylan Sandler. *State Disaster Recovery Planning Guide*

Given the inherent authorities and roles of the Governor, it is important that they be involved in the development of the plan. A governor may declare a state of emergency and implement the State's emergency management plan when a disaster strikes. The Governor may also issue executive orders to facilitate the recovery process, such as those easing existing State laws or statutes that could interfere with or help expedite recovery. An executive order may also create a special office or commission dedicated to supporting an inclusive recovery process, or statutory authority may be granted to an agency to oversee recovery. The NDRF recommends that the Governor's Office also appoint a State Disaster Recovery Coordinator (SDRC, discussed below) as part of the pre-disaster recovery planning process. The authority of the SDRC to be able to represent the State and speak on behalf of the Governor's Office regarding recovery matters should be defined in the plan. The SDRC will coordinate with the Federal Disaster Recovery Coordinator (FDRC), who coordinates support from Federal and national partners.

Discussion Point: The Role of the Governor's Office

After a disaster, governors often must act quickly to marshal the full suite of resources available at the State level to respond to the situation. In most States, governors are granted limited extraordinary powers during times of emergency. Governors routinely use executive orders to facilitate disaster mitigation and response measures, for example, declaring states of emergency, mobilizing the National Guard, suspending State regulations and statutes, ordering evacuations, implementing public health measures, and authorizing the use of emergency funding.

A review of gubernatorial actions during disasters in 2008 revealed that governors also rely on executive orders to meet a number of other response and recovery challenges, both in the short term and long term. Those challenges came in five areas:

- Directing the response and recovery
- Providing housing to disaster survivors
- Expanding social services
- Supporting the State workforce
- Managing elections disrupted by the disaster

Source: National Governor's Association Center for Best Practices Issue Brief, October 2009

State Disaster Recovery Coordinator

The State Disaster Recovery Coordinator (SDRC), a leadership position recommended by the NDRF, leads the disaster recovery coordination activities for the State. The SDRC organizes, coordinates, and advances the recovery mission at the State level. Additionally, the SDRC will work to increase the State's preparedness for engaging in an inclusive recovery process post-disaster. The SDRC can be appointed by the Governor and trained to address the preparedness roles that will be part of their day-to-day job. To do this work effectively, it is important for the SDRC to have the right knowledge and skills. These include a strong background in leadership, policy, public administration, community development or planning, and program management, as well as a good working relationship with other State, local, tribal, and volunteer agencies. Understanding of the resources that recovery partners can provide, such as post-disaster technical support and grant funding programs, is also important to a successful SDRC.

Equally important is an understanding of the wide variety of needs of different populations that exist in their State. These may include children, adults and children with disabilities, and those with limited English proficiency, as those populations are important recovery stakeholders. The SDRC will play a large role in managing and coordinating the redevelopment and rebuilding of impacted communities.

Multiple skill sets are required of an SDRC, so it is important to consider candidates from a variety of backgrounds to fill this role. The identification of an SDRC is best if evaluated across a broad array of backgrounds and not limited to candidates with an emergency management background.

In addition to the skills mentioned above, the SDRC is most capable if they have experience working with stakeholders from different levels of government and NGOs across the spectrum of State program areas and/or community development challenges. Those with experience working with other levels of government and NGOs will have the most understanding about what to expect from those stakeholders. Having the skills to undertake long-range planning efforts and the relationships needed to garner support for such efforts are critical to the SDRC's success as a leader.

Discussion Point: Staffing the SDRC Position

A concern often expressed by State stakeholders is the lack of funding or other resources available to support a full-time SDRC position. While it is strongly recommended that States hire a full-time SDRC, this is not always possible. One alternative way to staff this position is to identify several existing State staff who are qualified to serve in the role of SDRC after a disaster. With this approach to staffing the SDRC position, the State would have a roster of staff from across State government agencies that could serve in the role of SDRC.

Appointment of an SDRC, under this model, is dependent on the specific nature of the disaster. This gives the State the flexibility to appoint a person with the most applicable background, knowledge, and experience to effectively manage the recovery from that specific disaster.

Decision-Making

Making decisions post-disaster is more complicated in large part because of the time-compressed environment of post-disaster recovery, which necessitates an expansion of information management, communication, and fiscal capacity in order to successfully speed up normal activities. A tension between acting quickly and taking time to deliberate inevitably occurs in disaster recovery, particularly with more complex decisions that involve multiple stakeholders as well as some level of change from pre-existing conditions, policies, and approaches. The planning team will need to determine a process for post-disaster decision-making that allows for accelerated information flow and maximum stakeholder engagement. Information must be shared between both governmental and NGOs to facilitate coordination. Recovery is not achieved by any one agency or level of government, but rather requires a system of recovery stakeholders being informed and empowered to make decisions and take action.¹³

State decision-making processes must augment and incorporate the decision-making process that may be in place at the local level. As recovery needs are identified, there must be a process for making decisions to address those needs. Establishing this decision-making process guides decision-makers in allocating limited resources. It is important to organize and prioritize decisions using the best available information and consider the balance that must be made between speed and deliberation. When possible it is useful to take time to:

- Evaluate the conditions and needs and determine a set of scenarios and decision options
- Consider how the decision options match recovery goals and objectives
- Consider implementation, funding, and other constraints on various options
- Ensure that there is sufficient transparency and input on decisions from key stakeholders and that stakeholder communication is linked to the post-disaster decision-making
- Measure progress against recovery goals and objectives and reconsider and adjust decision as needed throughout the process

Regardless of the leadership structure chosen, a successful recovery hinges on leadership's ability to make informed and timely decisions that best achieve recovery of the affected communities. Timely decisions in response to disaster impacts can significantly reduce recovery time and cost. They can also allow for implementation of projects that complement one another and may provide opportunities to leverage one project with another, creating increased benefits.

When engaging local government, the State needs to strike a balance. If the State attempts to engage local governments too early, they may be preoccupied with response issues. If the State attempts to engage local governments too late, there may be missed opportunities to make good long-term decisions.

¹³Laurie A. Johnson and Robert B. Olshansky, "The Road to Recovery: Governing Post-Disaster Reconstruction," *Land Lines*, July 2013

Organizational Structure for Recovery

The State recovery leadership, including the SDRC, will need an effective organizational structure to support them. Following the identification of State recovery priorities and partners, the State can define an organizational structure that helps to establish clear roles and responsibilities, reporting relationships, and other operational details. The Federal recovery structure consists of RSFs introduced by the NDRF. States can build their recovery structure based on what will best support their recovery. There are three general models that States can follow to form an organizational structure, which are discussed below.¹⁴ This is not an exhaustive list. States are encouraged to develop structures that will best serve their anticipated recovery needs. Additionally, the structures can be used alone or in combination (e.g., a RSF structure can be used in combination with a Task Force). Whatever structure is chosen, it is important to define the leadership role and the roles and responsibilities of the other members of the structure to ensure emphasis of whole-community inclusive recovery.

Integration with Existing Response and Recovery Operational Structures

The plan should establish guidance for how new or modified State recovery coordination structures and leadership roles will interface with existing field office organizational structures and disaster operations. This is particularly important early in a disaster when an emergency operations center and/or field office is operational, including for the transition from response to recovery activity focus. For a Presidentially declared disaster, the State and Federal field office is referred to as a Joint Field Office (JFO).

Key elements that should be considered when defining an organizational structure and relationships in the plan are:

- How will Emergency Support Functions and traditional recovery programs (such as Individual Assistance, Public Assistance, interim housing, public facilities, businesses, and voluntary agency coordination) coordinate with and/or transition to State-level recovery support functions?
- If the Governor establishes a SDRC, office, or commission, how will that position/organization relate to the State Coordinating Officer and the emergency management agency? How will responsibilities be divided and coordinated between these positions?
- How will recovery coordination operations outside the JFO (e.g., under the Governor's Office or elsewhere) interface with the Incident Command System structure and processes used during response and short-term recovery? Will there be liaisons, operations within the JFO, or some other relationship?
- Will elements of the National Incident Management System or Incident Command System be used after transition to longer-term recovery operations under an SDRC? If so, what is the organizational structure and staffing supporting an SDRC?

¹⁴ Additional discussion and examples of organizational structures are included in the *Effective Coordination of Recovery Resources for State, Tribal, Territorial, and Local Incidents* guide available at <https://www.fema.gov/media-library/assets/documents/101940>

Federal RSF-Aligned Structure

The RSFs compose the Federal government’s coordinating structure for recovery and aggregate key functional areas of recovery assistance into six manageable groups. Their purpose is to support States, tribes, territories, local governments, and other entities by facilitating problem solving, improving access to resources, and fostering coordination among State and Federal agencies, nongovernment partners, and stakeholders. The RSFs created within the NDRF bring together the core recovery capabilities of Federal departments and agencies and other supporting organizations—including those not traditionally active in emergency response or recovery—to focus on recovery needs. Through the RSFs, relevant stakeholders and experts are brought together during steady-state planning and, when activated post-disaster, to identify and resolve recovery challenges. Together, these RSFs, through the partners’ participation, help facilitate stakeholder participation and promote intergovernmental and public-private partnerships. The six RSFs are:

- Community Planning and Capacity Building
- Economic
- Health and Social Services
- Housing
- Infrastructure Systems
- Natural and Cultural Resources

The RSF coordinating structure is scalable and adaptable to meet different levels and types of needs, as well as specific recovery requirements of large to catastrophic disasters. Each of the six RSFs has a pre-designated coordinating agency that works with the FDRC to promote communication and collaboration among its members. Primary agencies and supporting organizations are also identified within the RSF structure, as defined in Table 4. This tiered leadership structure helps to accommodate the rapid surge of Federal resources that may be needed to assist in large-scale or catastrophic disasters.

States should develop recovery structures that best suit their needs; they may not necessarily follow the Federal RSF structure. In a case where a State models its recovery structure after the Federal RSF structure, the engagement between the Federal RSFs and State RSFs requires little adjustment or learning process. The Federal RSF structure is designed to be flexible and scalable, so as to provide maximum support to States regardless of how they structure their own recovery. Table 4 describes the role of coordinating agencies, primary agencies, and supporting organizations.

Table 4 The Roles of Coordinating and Primary Agencies, and Supporting Organizations

Designation	Role
COORDINATING AGENCIES	Coordinating agencies lead the RSFs. The agency designated to lead a State-level RSF should be responsible for ongoing communication and coordination among primary and supporting agencies tied to the RSF, as well as coordination with other State or Federal RSFs.
PRIMARY AGENCIES	Primary agencies have specific expertise, authorities, or resources to support the RSF. These agencies also work with their Federal counterparts to ensure that recovery needs that fall under their scope of expertise are met.
SUPPORTING ORGANIZATIONS	Supporting organizations support the RSF with specific expertise or resources that may be targeted to specific recovery needs. Supporting organizations may not be involved in recovery as often as coordinating or primary agencies, but are included to provide support when needed.

Table 5 summarizes the missions of each Federal RSF and the State counterparts that the Federal RSFs would likely engage in the recovery process.

Table 5 Federal Recovery Support Functions, Their Missions, and Suggested Participating Agencies

Federal RSFs	Mission Summary	Participating Agencies or Equivalents
<p>COMMUNITY PLANNING CAPACITY BUILDING</p> 	<p>Coordinates expertise, capabilities, and assistance programs to aid local and tribal governments in building their local capabilities to effectively plan for and manage recovery and engage the whole community in the recovery planning process.</p>	<ul style="list-style-type: none"> • Coordinating Agencies: Department of Community Development, State Planning Agency • Primary Agencies: State Department of Community Development, State Emergency Management Agency • Support Agencies: Governor's Office, Regional Planning Organizations, State Budget Office
<p>ECONOMIC</p> 	<p>Coordinates expertise, capabilities, and assistance programs to help local, regional/metropolitan, State, tribal, territorial, and insular area governments and the private sector sustain and/or rebuild businesses and employment and develop economic opportunities that result in sustainable and economically resilient communities.</p>	<ul style="list-style-type: none"> • Coordinating Agency: Economic Development Agency • Primary Agencies: Economic Development Agency, Department of Tourism, State Agriculture Department • Support Agencies: State Chamber of Commerce, State Employment Office, Economic Development Districts
<p>HEALTH & SOCIAL SERVICES</p> 	<p>Coordinates expertise, capabilities, and assistance programs to support locally led recovery efforts to address public health, health care facilities and coalitions, and essential social services needs, including those needs of displaced individuals.</p>	<ul style="list-style-type: none"> • Coordinating Agency: State Department of Health • Primary Agency: State Department of Health • Support Agencies: State Agency on Aging, State Office of Mental Health Services, State Department of Behavioral Health, State Board of People with Disabilities
<p>HOUSING</p> 	<p>Coordinates expertise, capabilities, and assistance programs to support the delivery of resources to implement adequate, affordable, and accessible housing solutions that effectively support the needs of the whole community and contribute to its sustainability and resilience.</p>	<ul style="list-style-type: none"> • Coordinating Agency: State Department of Housing • Primary Agencies: State Department of Housing, State Affordable Housing Advisory Board • Support Agencies: State Housing Financing Agency, State Fair Housing Board, State Real Estate Board
<p>INFRASTRUCTURE SYSTEMS</p> 	<p>Coordinates expertise, capabilities, and assistance programs to efficiently facilitate the restoration of infrastructure systems and services to support a viable, sustainable community and improve resilience to and protection from future hazards.</p>	<ul style="list-style-type: none"> • Coordinating Agency: Department of Public Utilities • Primary Agencies: State Department of Public Utilities, State Department of Transportation • Support Agencies: State Public Utility Commission, State Airport Authority, State Emergency Communications Board
<p>NATURAL & CULTURAL RESOURCES</p> 	<p>Coordinates expertise, capabilities, and assistance programs to support the protection of natural and cultural resources and historic properties to preserve, conserve, rehabilitate, and restore them consistent with post-disaster community priorities and in compliance with applicable environmental and historical preservation laws and Executive orders.</p>	<ul style="list-style-type: none"> • Coordinating Agency: State Department of Environmental Protection • Primary Agencies: State Department of Environmental Protection, State Historic Preservation Office, Tribal Historic Preservation Offices, Tribal Natural and Environmental Offices • Support Agencies: State Department of Fish and Wildlife, State Universities, State Cultural Agencies

Case Example: Connecticut Recovery Support Structure

The State of Connecticut's Long-Term Recovery Committee has six RSFs, which align to the Federal RSF structure. The Committee, which is one of 14 Emergency Support Functions that comprise the State Response Framework, has been building a framework for the State to support long-term recovery since 2012. The Committee is co-chaired by the Connecticut Insurance Department and the State Department of Economic & Community Development. In addition to the six RSFs, other members include the State Hazard Mitigation Officer, town and municipality organizations, the Office of the Governor, foundations, and Tribal representatives.

The Committee has both pre-disaster and post-disaster functions.

Pre-Disaster Functions:

- Develop State Recovery Plan
- Assign responsibilities to recovery partners
- Maintain clear lines of communication with:
 - Local/Municipal Partners
 - State/Regional Partners
 - Federal/National Partners

Post-Disaster Functions:

- Assess recovery needs following a disaster
- Activate RSFs for complex recovery issues
- Develop post-disaster recovery strategies
- Oversee disaster recovery coordination
- Report progress
- Evaluate and update State Recovery Plan

Specific names of agencies and departments vary greatly from State to State. The agencies listed in Table 5 are intended to provide a general concept of the types of agencies that can be considered for designation as a lead role for that particular RSF at the State level. The list of agencies included is not exhaustive.

States can elect to use an RSF structure but could create additional State RSFs, beyond the Federal structure, to fulfill their specific mission. Some States may wish to create RSFs that target specific sectors that may be impacted by a disaster. In many cases, these additional RSFs will still align, in some way, to the Federal RSFs.

The Federal RSF structure is designed to accommodate the State, but when States have an organized structure for recovery that is documented, Federal RSFs and other support are able to more easily plug in and support disaster recovery needs. Table 5 illustrates how the Federal RSFs may align to possible State RSFs after a disaster. Keep in mind that regardless of the State's recovery structure, the Federal RSFs are flexible to support any State. The example below depicts a State RSF structure that aligns to the Federal structure. Whether the State has a recovery structure in place that mirrors the Federal RSFs or not, the Federal RSFs are able to coordinate to support that State.

Task Force Structure

While the RSF model can provide structure for addressing recovery at the State level, there may be instances where a task force is created to fit unique or specific disaster needs. States often create task forces to address specific concerns after disasters (e.g., State-led housing task force or children’s task force), and there are both benefits and challenges to using this method. The structure of a task force may be different from an RSF structure, as it includes disaster-specific functions and supporting agencies and organizations from multiple levels of government to suit those functions. This is ideal for bringing whole-community partners together to take a targeted approach to addressing smaller disasters. The challenge with using a task force is their creation can be reactionary, foregoing the possibility of supporting preparedness activities. Also, developing task forces in a reactionary manner can take additional time away from addressing recovery needs. That is not to say that the use of task forces is discouraged. They offer an option for providing targeted support and, because they can always be reactivated to address repeat disasters or components of the recovery process, they are good tools for managing the recovery process in certain instances. In the case of the California drought (2014), a task force was created that included State, local, tribal, and Federal stakeholders, State policy makers, and nongovernment entities in support of functions identified by the State as critical to support communities impacted by the drought.

If the State also has an RSF structure in place, the RSFs can play a role in supporting task forces. State RSFs may plug into different support areas identified within a task force structure and bring the capabilities and capacity of their participating agencies to support the task force.

Committee Structure

A recovery committee can act as a steering committee to bring issues to the table and use their broad range of skills and backgrounds to offer solutions. A recovery committee may be established by the Governor’s Office. The committee should comprise people that can help identify and address disaster-related issues. A recovery committee is most effective if it includes representation from a broad range of sectors of government and community. This will also foster a whole-community approach to recovery planning.

Scalability

Disaster assistance begins at the local level and may go no further if the impact is small or localized. When the local authorities are overwhelmed, as is the case in a disaster with larger or more severe impacts, local authorities may declare a state of emergency and ask the State for help. If there is no Federal declaration, the Governor may order State assistance to be provided in the form of grants, technical assistance, or staffing. In a large scale disaster that exceeds the capabilities of the State, the State will ask the Federal government for assistance. In order to address the different levels of impact, there must be organizational flexibility at all levels of government. This will ensure that capacity is filled where needed and resources are being put in the right place.

It is important that the State recovery plan acknowledge different scales of disasters. Larger disasters, whether or not they receive a Presidential declaration, will require support from most or all recovery partners to address the wide swath of recovery issues. Smaller disasters may not require the engagement of all recovery partners. The pre-disaster recovery plan will be most effective in larger disasters if it is also applicable to and implemented for all disasters, regardless of size and scope. This will ensure that the State is prepared to support its communities in addressing a host of disaster impacts as well as targeted impacts.

Presidentially Declared Major Disasters and Emergencies

The Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act) provides legal authority for the Federal government to provide assistance to States during declared major disasters and emergencies.¹⁵ During Presidentially declared disasters, natural or man made, Federal resources are released to support State response and recovery efforts. An FDRC and all or some of the RSFs may also be deployed to support a declared disaster. The Federal Government can make additional Federal resources available through non-Stafford related programs, most notably the CDBG-DR program administered by HUD.

Not all disasters are Federally declared. While this does not preclude Federal support, the support provided may be limited. This is why it is important to have a recovery plan in place—so the State can support and implement recovery immediately after a disaster strikes regardless of the level of Federal support.

Recovery Roles and Responsibilities

In addition to having a structure in place to support and manage recovery, the roles and responsibilities of participating agencies must be established. Doing this may include the identification of critical tasks associated with each RSF's mission, noting that these tasks may be short-term, intermediate-term, or long-term tasks. The recovery continuum provided in the NDRF describes the nature of short-, intermediate-, and long-term recovery timelines and how they overlap. This will also be true at the State level. Not only do roles and responsibilities need to be assigned, but an understanding of when those roles and responsibilities are applicable needs to be documented in the plan.

Finally, it is important to consider the State's greatest vulnerabilities, in addition to the organizational structure, when assigning roles and responsibilities. For example, infrastructure impacts may be addressed by the State department of transportation (or equivalent), the private sector, and/or a number of other agencies and organizations that participate in a State-level infrastructure systems RSF. When determining roles and responsibilities, it is important to consider that multiple agencies and organizations within a State (both public and private) may be equipped to address similar priorities or impacts.

¹⁵ Robert T. Stafford Disaster Relief and Emergency Assistance Act. Visit: <http://www.fema.gov/robert-t-stafford-disaster-relief-and-emergency-assistance-act-public-law-93-288-amended>

Legal Issues, Laws, and Authorities

State RSFs will include a variety of agencies and organizations with various roles and responsibilities. In an effort to align the activities of the RSF member agencies, RSF authorities should be evaluated. Questions to consider include:

- What are the authorities of coordinating vs. primary vs. supporting agencies?
- Do the different groups of agencies have the authority to tap into one another's resources? Is there a system in place for mutual aid agreements?
- What existing authorities must be considered? This includes laws that pertain to people with disabilities and others with access and functional needs.
- Do any new laws or authorities need to be considered?
- Do they have authority to activate without a Governor's Declaration? Are certain thresholds required before activation is authorized?
- How do we coordinate with local, private, and private non-profit entities that can help with recovery?
- Will State information-sharing laws accommodate disaster-related coordination needs?
- Has the State pre-identified (and properly competed) contracts that may be used immediately after a disaster to assist with life saving measures, such as evacuation, emergency medical, sheltering, or debris removal needs? (Note: after the emergency phase of the disaster has passed, these contracts will likely need to be re-competed to ensure proper scope and reasonable cost.)
- Are all State-owned resources properly insured?

Refer to the work completed in Step 2 "Understanding the Situation" regarding applicable authorities. These authorities should be clearly documented in a pre-disaster recovery plan.

Coordination Considerations

The *National Preparedness Goal* defines operational coordination as a Core Capability that establishes and maintains a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of other Core Capabilities. Operational coordination is essential for post-disaster recovery because it allows different stakeholders to draw on one another's expertise to facilitate a holistic recovery process that addresses multi-faceted recovery needs.

As discussed elsewhere, multiple agencies and organizations may be part of the recovery effort and each of these agencies and organizations bring different kinds of expertise and skillsets to the table. Coordination is therefore essential to facilitate an efficient and inclusive recovery effort where overlapping or competing interests can be addressed.

Operational coordination can be thought of as encompassing both "horizontal coordination" and "vertical coordination."¹⁵ The plan identifies the need, roles, and process for coordination between State-level agencies (horizontal) as well as coordination that will take place among different levels of government and other organizations (vertical). Agencies and organizations with expertise in achieving whole community inclusion should be embedded throughout the recovery planning process so all segments of the population have equal access and equal opportunity for full participation.

Horizontal Coordination

Coordination among State-level stakeholders helps ensure that all agencies involved in the recovery process have a system in place for working together to achieve recovery. Horizontal coordination elements the pre-disaster recovery plan should address include:

- **The Transition from Response to Recovery:** As the post-disaster environment transitions from one of response to one of recovery, a mechanism for facilitating the transition should be in place. A pre-disaster recovery plan should discuss how the State recovery organization and leadership will be initiated and begin work with emergency response leadership and support functions to ensure a smooth transition to the recovery process. In the immediate aftermath of a disaster, response and recovery activities overlap during the transition process. Including and clearly identifying response-oriented organizations and partners in the State's structure for recovery will facilitate the transition to recovery. The pre-disaster recovery plan can also discuss how response-oriented facilities such as emergency operations centers can be dual-purposed so that recovery stakeholders are able to work hand-in-hand with responders.

- **Post-Disaster Recovery Roles:** State recovery support functions and State-level agencies and organizations involved in recovery will be required to accommodate additional recovery-related demands after a disaster strikes. The post-disaster recovery plan should make clear what will be expected of recovery stakeholders to support recovery as well as methods of ensuring that involved stakeholders remain coordinated throughout the recovery process.

Finally, processes for enacting post-disaster recovery policies should be determined. Departments or agencies responsible for enacting policies should be identified, and the planning team should consider when policies should be enacted, what resources are needed,

and for how long they should be applied, while ensuring whole-community inclusion in determining or adjusting those policies to suit the particular needs of the disaster.

- **Sector-Specific Coordinators:** Coordinators from key agencies must be assigned. These coordinators may be drawn from State government staff or other recovery partners. In addition to the expertise required as part of their normal duties, they would also be the primary points of contact for their respective agencies or functions and would provide updates and other situational awareness to the SDRC.
- **Staffing & Operational Guidance:** Recovery efforts will require staff from involved agencies and organizations, so it is important to document staff resources to manage recovery and their roles and responsibilities in the pre-disaster recovery plan. The pre-disaster recovery plan should also detail protocols for deployment, including any agreements or procedures that must be in place to facilitate deployment of staff from stakeholder agencies and organizations.

Emergency Management Assistance Compact (EMAC)

An EMAC offers assistance during governor-declared states of emergency through a responsive, straightforward system that allows States to send personnel, equipment, and commodities to help disaster relief efforts to other States.

The strength of an EMAC and the quality that distinguishes it from other plans and compacts lies in its governance structure; its relationship with Federal organizations, States, counties, territories, and regions; the willingness of States and response and recovery personnel to deploy; and the ability to move any resource one State wishes to utilize to assist another State.

For more information about EMACs, visit www.emacweb.org.

Many State agencies and organizations operate under staffing constraints even during steady-state operations. Mutual aid agreements with other States can help address these constraints by providing a mechanism for supplemental (or surge) staffing to assist in recovery. The EMAC is a way to request support from other States after a disaster. An EMAC has traditionally been used to address response activities, but can also be used to address recovery.¹⁶ States can also look to the private sector for surge or temporary staff. This can include the outsourcing of certain functions (e.g., hiring a project management company to handle large, complex projects).

- **Capacity Building:** In order to ensure that post-disaster recovery roles can be filled adequately, capacity building initiatives are recommended to also be included in the pre-disaster recovery plan. What can the State do to build its own capacity to manage recovery and with whom should the State partner to build capacity?

Certain State agencies or other organizations may have expertise in activities that are closely linked to recovery, such as community development and financial management. These agencies can then be called upon to train staff that may support recovery later. Additionally, there are Federal resources available to help train staff on recovery issues. In certain instances the administrative portion of Federal funding can be used to support staffing as well. The Emergency Management Institute offers a variety of courses, many of which can be taken online. The pre-disaster planning process should encourage capacity building among State-level stakeholders before a disaster strikes so that they are familiar with recovery concepts and processes in the event they are called upon to support recovery. Recovery exercises are valuable tools for building capacity among partners not familiar with recovery roles, working with the State government, or working with a new recovery plan. Additional discussion of capacity building can be found in “Support to Local Governments,” below and in Appendix E.

Vertical Coordination

The State also plays a critical role in connecting disaster-impacted communities to external resources. In order to ensure that the State is able to do this effectively, the pre-disaster recovery plan should also discuss how the State’s recovery structure will interface with that of the Federal government, other critical resource providers, and that of local governments. This helps ensure that other levels of government have a clear understanding of how the State will organize itself to support the recovery process. It also provides other recovery stakeholders or resource providers an understanding of how they may plug into the recovery process, especially when new stakeholders or resource providers avail themselves in the aftermath of a disaster. To understand how the State’s recovery structure will interface with that of the Federal government, local governments, and other resource providers, it is important to understand how different recovery structures at different levels of government can align. If the State has implemented a recovery structure that is similar to the Federal recovery structure, the alignment between State recovery leaders and State RSFs to the Federal structure for recovery will be obvious. If the State recovery structure differs from the Federal recovery structure, the State should determine how the Federal government will best interface with State recovery leadership and RSFs (or agencies responsible for recovery planning if no State RSFs exist). This is also true when the State determines how it will best interface with local recovery structures. Some localities may have recovery structures that can easily be aligned to the State recovery structure, but other localities may have no recovery structure at all. The State will need to work with these localities to determine the most efficient and strategic alignments between State and local counterparts. The pre-disaster recovery plan should discuss:

¹⁶ Gavin Smith and Dylan Sandler. *State Disaster Recovery Planning Guide*, 2012

- Working with Local Government:** Given the significant role that local governments play in leading recovery efforts, it is important for the State to promote pre-disaster recovery planning at the local level so that local governments are prepared to lead and manage recovery efforts. When the State has a recovery structure in place, it provides an example for locals to follow. While some local governments may not have the capability or capacity to develop a formal structure for recovery planning, there should be consideration for how and to what degree the State encourages local governments to acknowledge and undertake basic planning steps, such as determining recovery leadership at the local level (e.g., an LDRM, identifying significant recovery partners, and how key plans, such as the mitigation plan, will shape post-disaster decisions. The LDRM does not have to be an emergency manager by trade; in fact, the ability to undertake long-term holistic recovery planning is as important for local recovery leadership as it is for State-level leadership.

Local governments should also be encouraged to determine which local agencies or organizations may be critical stakeholders in a recovery process. The development of a formal recovery structure at the local level is ideal, though communities with lower capabilities and capacity may not have agencies or organizations to assign to every potential recovery need. Partners who represent the whole community, including people with disabilities and others with access and functional needs, should be included throughout the planning process.

Promoting planning at the local level helps both communities and the State by providing basic connection points between the two levels of government. This helps local communities begin to address recovery immediately after a disaster strikes and helps the States more immediately support those communities in their recovery efforts. When locals are able to determine their priorities and are aware of the resources available to them, they become empowered to make better recovery decisions.

As Federal and/or State authorities demobilize from a disaster site, local authorities should be connected with State and Federal agencies and should be in a position where they can continue the recovery initiatives with improved awareness of resources and support from Federal, State, and NGOs. Local application of an LDRM role can aid with building the local capability and central point of contact for longer-term recovery engagement with Federal, State, and other resources. Small communities may lack the expertise to address certain issues and will require support and expertise from higher levels of government.

- Working with the Federal Government:** For proper coordination and effective recovery to occur after a disaster strikes, it is critical that State agencies coordinate and build relationships with Federal agencies before a disaster strikes. This coordination is necessary ahead of both Stafford and non-Stafford disasters. Even in non-Stafford disasters

Governor Testimonial

"We found out early on that you've got a lot of different programs. FEMA has a lot of different programs. You don't necessarily know how much is needed here or there. So we created a redevelopment center, a North Carolina Redevelopment Center.

"We assessed what the total needs were going to be over time. We looked at how much we could get done ... under the Federal programs. And we realized, even though we were going to Washington [to] ... appeal for more help, we realized that we were going to have to do a lot more at the State level.

"We ought to tell people what the rules are.... It's our government. It's our FEMA. Why don't we prepare just as we'll prepare by putting water and food out there and shelters and all that stuff? Why don't we prepare by informing the local people about how the FEMA programs work well in advance?"

—Jim Hunt, Governor of North Carolina

For information on FEMA's Public Assistance Program see the FEMA PA Program and Policy Guide at <https://www.fema.gov/media-library/assets/documents/111781>

(i.e., disasters with impacts that exceed a community's ability to address them, but the impacts do not exceed the State's ability to address them), coordination with Federal partners is also necessary. Although non-Stafford disasters may make available fewer Federal resources than Stafford disasters, some Federal agencies may still provide technical expertise and other resources to support disaster impacts.

Coordination with Federal agencies is critical before, during, and after a disaster as Federal support is available for a limited time. In identifying Federal agencies to work with in advance of a disaster, States should consider which Federal agencies align with their organizational structure (e.g., State RSFs). The six Federal RSF coordinating agencies are FEMA, EDA, U.S. Department of Health & Human Services, HUD, U.S. Army Corps of Engineers, and the U.S. Department of the Interior. Other Federal agencies to consider are the U.S. Department of Transportation and the U.S. Environmental Protection Agency.

Working with NGOs and Philanthropy Nongovernmental philanthropy organizations are critical partners in recovery. The planning team should include them in developing a recovery plan and partnering in its implementation post-disaster. These organizations can also support recovery either in partnership with government entities or by filling capability gaps. Establish an understanding of the types of assistance these partners can offer, including both technical assistance and funding, and how to obtain this assistance. Confirm which organizations can be partners on post-disaster recovery activities. Examples of organizations that may have a role in supporting recovery efforts include:

- National, regional, statewide, and community-based foundations
- Educational institutions
- Housing non-profits
- Chambers of commerce
- Faith-based organizations
- Lifeline operators and utility cooperatives
- Professional organizations
- American Red Cross
- Community Emergency Response Teams (CERTs)
- Independent national, regional, and local social services delivery agencies
- Support organizations for children, older adults, and people with disabilities and others with access and functional needs
- Fraternal organizations
- Regional planning commissions
- Independent charities
- Volunteer recruitment groups

There is no existing precedent to work with these organizations in the recovery process. While the Federal or State government's general role in recovery may be clear, the role of other organizations (e.g., universities, regional authorities) may need further exploration. Involving NGOs also presents opportunities to include them in the planning process and to fully engage the whole community post-disaster.

Support to Local Government

The NDRF emphasizes the importance of leadership and local primacy for successful disaster recovery. The local government has a primary role in leading, planning, and managing nearly all aspects of the community's recovery. Local government establishes and implements policies for land use; facilities and infrastructure repair, improvement, or reconfiguration; economic development; housing and community development; zoning; floodplain management; health, social, and educational systems and services; engagement of stakeholders in community decisions; and many other complexities that collide in a short space and time after a disaster. Local governments are often not resourced nor prepared (even under ideal conditions) with the experience to take on this primary local role in policy-setting, decision-making, planning, and managing significant recovery funds and activities. Local governments may find that they are without some of the resources and personnel they had prior to a disaster. Continuity of operations planning should be conducted at the local level to help ensure that certain functions can be maintained. However, even large communities with ample resources can find they are overwhelmed and behind in addressing needs after a disaster. At a time when additional planning and management staff resources will be needed, tax bases may have been significantly reduced, which means reduced funding for local government operations. In situations where local governments are overwhelmed, the State will need to provide support.

"One of the Governor's jobs is not just to be on the air complaining or just sympathizing ... You have to get out there and see it yourself. Then you have to ask the searching questions of the Federal officials and your own State officials and the locals. How's it going? What more do your people need? What more can be done?"

—Former Governor Hunt of North Carolina

The State government, in many areas, is the first line of support to overwhelmed local governments. Systems have been established within response Core Capabilities to support local governments when resource needs are exceeded, but similar systems have not yet matured for recovery. States should consider how they will be prepared to provide the necessary support to local governments for continuation of their operations in the recovery period or to provide assistance in increasing capacity for leadership, planning, management, and community engagement. FEMA's community disaster loan program can play a supporting role in Presidentially declared disasters; however, this program has a financial limit and does not provide for expansion of local operations that will likely be necessary to successfully conduct post-disaster planning and operations. Many State agencies and entities within States, often not related to disaster programs, have relationships and programs to support local leadership development, technical assistance, local planning and policy development, and local financial and city management activities. These include, but are not limited to, local or community affairs departments, financial oversight entities, State planning or growth management offices, and regional planning or development districts.

During pre-disaster recovery planning efforts, the State should consider its approach to identifying and supporting recovery planning, coordination and management needs at the local level. Often,

Case Example: New Orleans City Planning Commission Staffing Resources

Prior to Hurricane Katrina in 2005, the New Orleans City Planning Commission had 24 staff members. After Katrina, as every city department was forced to lay off staff due to budget constraints, the Planning Commission was reduced to just eight positions. ¹⁷

¹⁷ Washington University School of Law, "Charting the Course for Rebuilding a Great American City: An Assessment of the Planning Function in Post-Katrina New Orleans" http://law.wustl.edu/landuselaw/Articles/New_Orleans_Rebuilding.htm

existing State personnel, programs and resources can be coordinated to provide support to local governments to address many of these challenges. Additional partners developed in other elements of the State recovery planning process can also support these needs, such as regional, State or community foundations, the American Planning Association Chapter, or the International City County Management State-level affiliate.

A recovery plan should also consider the State's approach to establishing and implementing a local recovery planning or management support program for larger disasters. Most significantly, large disasters have often resulted in States creating ad hoc planning or recovery management support programs. This post-disaster, ad hoc approach creates a delay in assisting local government in addressing key redevelopment issues. By creating an approach to support local governments or assigning the responsibility to do so through the pre-disaster recovery planning process, these delays can be minimized. The Federal government, through the Community Planning and Capacity Building Recovery Support Function (CPCB RSF), is prepared to support States, both before and after large or unique disasters in developing State programs and coordinating resources to support these needed capacities.

While many recovery decisions are local, some State-level decisions may relate to local planning. Knowing which decisions must be made by which level of government may depend on a couple of factors:

- The political structure of the State: Local governments' ability to pass laws to govern themselves differs by State. This is an important consideration to keep in mind as pre-disaster recovery planning efforts begin.
- State-level and multi-jurisdictional planning: How do local planning and redevelopment decisions intersect with State or regional government decision-making, or with the planning and decision-making needed for reconstruction or reconfiguration of complex systems. There should be consideration of how much the local government will need to participate in these multi-jurisdictional planning issues, and if there is local capacity to do so. In this case, the State may play a larger role in supporting the local decision-making process or adapting the State or regional planning process. They would need to ensure that communities understand locally driven decisions the State can (or cannot) support either from a legislative perspective or a resource perspective.

Case Example: Colorado Resiliency and Recovery Office

In response to 2013 severe flooding, the State of Colorado's Chief Recovery Officer and the Colorado Resiliency and Recovery Office coordinated the support of multiple State agencies and partners to aid counties and communities with a series of planning, management, and community involvement efforts. The Resiliency and Recovery Office contracted for a public engagement campaign is aimed at better understanding community perceptions of local risks, vulnerabilities, and resiliency priorities as well as to increase awareness of how to build resiliency at the local level.

Through its Department of Local Affairs (DOLA), the State of Colorado used eight Regional Managers to support local jurisdictions across the State. These regional managers were able to help local governments and community agencies define issues, evaluate options, identify solutions, and achieve results. They also offered management, planning, community development, and technical assistance. These existing programs were able to provide assistance to several communities using the CDBG-DR.

DOLA and the Colorado Water Conservation Board also implemented a watershed resiliency pilot program in response to the disaster that formed 11 watershed coalitions, supported funding to the coalitions for master planning, and staffed 18 coordinator positions in the newly formed watershed coalitions. DOLA also released a *Planning for Hazards Guide* in 2016. States can consider using existing programs and agencies to assist local governments after a disaster. This relationship and responsibility should be formalized through the pre-disaster recovery plan.

Encouraging pre-disaster planning and capacity building at the local level is an opportunity for States to not only plan how they will support recovery after a disaster strikes, but how they can build local capacity at the same time. For example, providing technical assistance to communities to help develop a local pre-disaster recovery plan and inclusive partnerships ahead of time will help them address certain disaster impacts, or at least be prepared to coordinate themselves and their partners immediately after a disaster strikes. States can also facilitate local leadership development by organizing peer-to-peer events where local leaders from around the State can share their experiences with one another.

Integration of Core Capabilities

The Core Capabilities identified in the *National Preparedness Goal* are a primary conceptual framework that should be considered in organizing the focus areas and objectives of pre-disaster recovery planning, as well as in setting State policies and priorities for recovery. On page 45 are questions, organized by Recovery Core Capability, for the core planning team to consider as it develops the recovery plan. For all of the Recovery Core Capabilities, the planning team should ask which State agency or department is best suited to coordinate the attainment of that Core Capability.

Additionally, States should also consult their State Preparedness Report data for existing capability levels, resources, and gaps.

Mitigation Core Capabilities should also be considered for application throughout the recovery plan. The recovery plan can help define a State's mitigation and resilience policies, methods, and mechanisms for operationalizing those during the recovery period. The State Multi-Hazard Mitigation Plan should be coordinated with the recovery plan to ensure complete capture of the policies and strategic, operational, and tactical implementation of mitigation Core Capabilities.

The recovery plan should document processes, roles and responsibilities, and operational steps associated with addressing these Core Capabilities. The level of detail to which these items are documented in the plan may vary, but should at least acknowledge the basic operational concepts. Table 6 outlines considerations for each specific Core Capability.

Case Example: States Supporting Local Post-Disaster Planning and Recovery Management

After Superstorm Sandy hit multiple States in 2012, impacts included significant shoreline erosion and damage to transportation, water/sewer treatment, medical facilities, and schools. After working with the Federal Community Planning and CPCB RSF to evaluate the status of communities, the State of New York developed a priority to facilitate local recovery thorough technical assistance. The State of New York established a program to support the development of local recovery strategies called New York Rising. The State, in part with CDBG-DR funding, used several State-hired contractors to support 50 communities, including counties impacted by Hurricane Irene in 2011.

The initial step was to empower local recovery committees to establish recovery priorities related to each of the six sectors associated with the State and Federal RSFs. The New York Rising program started with a focus on a holistic approach to recovery of the whole community. The partnership between the State, CPCB RSF Federal and nongovernmental partners, and local community leaders enabled the development of a significant body of research and data used to support the planning process and ultimately define State priorities, such as home repair and property buy-out.

Table 6 Considerations for Addressing Core Capabilities

Core Capability	Considerations
PLANNING	<ul style="list-style-type: none"> • Do we have a process in place to encourage and support the engagement and inclusion of all stakeholders and disaster survivors in post-disaster planning and decision-making? • Is the plan strategic and operational in nature (i.e., does it include guidance that facilitates plan implementation), covering basic steps the State will take to support the recovery process? • Does the plan address funding and finance considerations? • Does it integrate other State-level plans, such as the mitigation plan, transportation plan, etc.? • Does the plan reflect procedures that should be followed after a disaster?
PUBLIC INFORMATION AND WARNING	<ul style="list-style-type: none"> • Does the State have a system in place to deliver public information to impacted communities in coordination with local or regional information providers? • Is the State prepared to deliver public information in a language other than English and in alternative accessible formats to ensure effective accessible communication for people with disabilities and others with access and functional needs?
OPERATIONAL COORDINATION	<ul style="list-style-type: none"> • Does the plan identify appropriate leadership and roles at multiple levels? • Does the plan discuss how the State will integrate with both local and Federal partners? • Does the plan discuss how the State will transition from emergency response to recovery? • Does the plan address how the State will involve and coordinate with the private, nongovernmental, or philanthropic sectors? • Have we considered the role of regional government in supporting recovery?
ECONOMIC RECOVERY	<ul style="list-style-type: none"> • Does the plan acknowledge the unique economic and workforce characteristics of communities within the State? • Does the plan discuss job restoration initiatives that may be needed to support the recovery of a community's economy? • Does the plan cover the key drivers of the State economy (i.e., industries and employers that enable the primary economic activities of the State)? • Does the economic recovery section of the plan address the post-disaster time constraints unique to businesses (i.e., a recovery program that takes 6 months to implement may be too late for small businesses.)? • Is the recovery plan aligned with statewide economic and workforce development goals? • Does the plan encourage and integrate business continuity planning considerations?
HEALTH AND SOCIAL SERVICES	<ul style="list-style-type: none"> • Does the plan address the restoration and improvement of health and social services? • How can the State support communities during periods where the need for such services may exceed the capacity of communities to provide them adequately? • Does the plan address mental health and post-traumatic disorders caused by the disaster and the stress of recovery? • Does the plan include public and private disability support and services agencies and organizations?
HOUSING	<ul style="list-style-type: none"> • Does the plan take into consideration local accessible and affordable housing needs and local plans that may influence housing development to suit the needs of the community? • How will the State support the redevelopment of housing and affordable housing post-disaster? • How will the State support the redevelopment of accessible housing?

Table 6 Considerations for Addressing Core Capabilities (continued)

Core Capability	Considerations
INFRASTRUCTURE SYSTEMS	<ul style="list-style-type: none"> • How does the State support the repair or rebuilding of infrastructure? • Does the State plan address privately held infrastructure systems? • How does the State integrate existing policy into recovery efforts (i.e., a transportation plan, State-level capital improvements plan, etc.)? • How does the State integrate accessibility issues into post-disaster infrastructure redevelopment?
NATURAL AND CULTURAL RESOURCES	<ul style="list-style-type: none"> • How does the State support the rehabilitation of environmentally sensitive areas and historic and cultural landmarks? • Does the plan address the connection between community resiliency and natural resources? • Are considerations given to historic resources and sites with archaeological significance?

Integration of Success Factors

In addition to considering Core Capabilities addressed in the recovery process, the plan should also include metrics for success or policies and a system for establishing them based on the particular nature of the disaster. The NDRF includes recovery success factors that can be used as a guide to determine the success of a recovery effort after a disaster strikes, or after exercising the plan (discussed later in this guide). These success factors, which can be used to develop specific metrics, can also inform revisions to the plan. (Appendix B includes a discussion of the success factors in the context of recovery at the local level.) Table 7 outlines the success factors as presented in the NDRF and includes specific questions for the planning team to consider.

Communication and Engagement

Planning for recovery should also address how State leadership and agencies manage expectations of other recovery stakeholders. Local government and disaster survivors expectations are best managed through a communications plan that clearly addresses the role of the State, Federal government, and other stakeholders. It is also important to be prepared to align State capabilities and political expectations. Again, developing a clear and accessible message about what the State does to support recovery and the resources at its disposal can help other recovery stakeholders gain an understanding of what the State can do to support recovery.

Communication and coordination are inexorably linked. There should be an established protocol for how different agencies will communicate with one another throughout the recovery process. This may occur by establishing requirements and protocols for meeting and reporting during post-disaster recovery operations. This ensures that the recovery process happens strategically and resources are used effectively.

Table 7 Considerations for Addressing Success Factors

Success Factor	Considerations
EFFECTIVE DECISION-MAKING AND COORDINATION	<ul style="list-style-type: none"> • Are recovery leadership roles clearly defined? • Have agencies and organizations serving in a leadership capacity established metrics to track progress and accountability?
INTEGRATION OF COMMUNITY RECOVERY PLANNING PROCESSES	<ul style="list-style-type: none"> • Does the plan encourage communities to develop their own recovery framework or plan that is inclusive of the whole community? • Does the plan encourage communities to develop processes and criteria for developing recovery actions?
WELL-MANAGED RECOVERY	<ul style="list-style-type: none"> • Have partnerships across all levels of government and NGOs been established? • Is a mechanism in place to address surge staffing and resource needs?
PROACTIVE COMMUNITY ENGAGEMENT, PUBLIC PARTICIPATION, AND PUBLIC AWARENESS	<ul style="list-style-type: none"> • Are all perspectives represented in the planning process? • Is there a plan to ensure transparency and input into decision-making and to ensure public information is accessible to all members of the whole community throughout the recovery process?
WELL-ADMINISTERED FINANCIAL ACQUISITION	<ul style="list-style-type: none"> • Are funding sources documented and partnerships with resource providers established? • Does the recovery plan cover financial monitoring?
ORGANIZATIONAL FLEXIBILITY	<ul style="list-style-type: none"> • Is the organizational structure flexible to meet the needs of communities in the State? • Have intergovernmental relationships across local, tribal, and the Federal government been built?
RESILIENT REBUILDING	<ul style="list-style-type: none"> • Does the plan encourage a sustainable future? • Are risk reduction strategies encouraged or discussed?

The plan should address requirements for accessible communications. Throughout the recovery process all information, whether delivered in community meetings, printed material, electronic material, or visual material, must be provided for distribution in alternative and accessible formats. Community members often have working knowledge about effective communications requirements, options, and resources available for use in all aspects of recovery to know how and what to do, or to know immediate contacts for solutions, to ensure access to recovery information by all members of the whole community.

The pre-disaster recovery plan should also include, in a general sense, what information will be shared with the public, how it will be shared, and who will be responsible for sharing that information. Examples of information that will need to be shared with the public include:

- Recovery initiatives and resources
- Available assistance
- Opportunities to participate in the recovery process

The plan should also make clear the methods by which communications will be shared. These methods may include both traditional media and non-traditional media (e.g., social networking websites, State-sponsored websites).

A person, such as a public information officer, or agency should be given responsibility for managing and coordinating public communications, and for ensuring accessibility of communications. Documenting this responsibility in the pre-disaster recovery plan helps all stakeholders understand who is responsible for delivering communications and serving as the central point of contact for disseminating accessible information about recovery resources or initiatives that may be taking place.

Protocol for coordinating communications should also be established. This will help ensure that communications are fluid and do not contain conflicting information. Recovery stakeholders at the State level should have a unified process in place for delivering public communications (as opposed to doing this individually).

Finally, the plan should address how the State will encourage and support public input during the post-disaster recovery process. Including public input in the post-disaster recovery processes is important in ensuring that recovery strategies address local needs and to secure long-term implementation support. The plan can include a range of public input strategies that the State could use to support public input during the recovery process.

Resource Management

The identification, acquisition, and coordination of resources play a significant role in post-disaster recovery. The planning team should consider resource coordination during the pre-disaster recovery planning process to ensure that these activities go smoothly post-disaster. Resources employed to facilitate recovery may include shared information (such as data, intelligence, and key stakeholder contacts), technical assistance, subject matter expertise, and funding mechanisms (such as existing financial reserves, grants, and loans). Planners can also look to the *Effective Coordination of Recovery Resources for State, Tribal, Territorial, and Local Incidents*¹⁸ guide for more detailed information specific to recovery resource identification, management, and coordination.

Case Example: Southwest Arkansas Business and Infrastructure Inventory

Recognizing the need for better economic and infrastructure data that could be used for future disaster recovery efforts, the Southwest Arkansas Planning and Development District (SWAPDD) worked with the Austin regional office of the EDA to develop a proposal to collect that information.

SWAPDD received \$150,000 from EDA in 2009 to develop a comprehensive database of information on the employers and infrastructure in the region. For businesses, staff collected data on location, number of employees, and contact information when owners wished to provide it. For infrastructure, they gathered information on the locations of critical facilities and transportation infrastructure, as well as the service areas and customer base numbers of all public water and wastewater systems. All data was collected in a format that could be mapped using ArcGIS.

Source: Southwest Arkansas: Promoting Disaster Resilience and Recovery through Better Data. Megan McConville, Program Manager, National Association of Development Organizations.

¹⁸ This guide, referenced above, is available at <https://www.fema.gov/media-library/assets/documents/101940>

Case Example: Illinois Tornadoes 2012 and 2013: State Coordination to Reallocate Funding

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

Although the State of Illinois did not receive a Presidential Declaration under the Stafford Act, FEMA and Federal agencies worked in support of State efforts to identify and coordinate recovery assistance around the needs and goals of the impacted communities. Through coordination of the Governor's Office and State department and agency heads, discussion focused on the reprioritization of existing State and Federal resources, based on the impacted communities' unmet needs. In addition, the U.S. Small Business Administration declared a disaster for Saline County and eight contiguous counties, making the counties eligible for economic injury disaster assistance.

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

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

A lack of resource coordination among recovery participants can lead to conflicts (such as agencies applying separately for the same grants) and inefficiencies (such as duplicative volunteer management programs). However, over-management can result in management problems, such as slow response times and poor knowledge of local conditions and needs. These considerations must be balanced when determining a resource management strategy for a State.

Using Data to Determine Resource Needs

In order to determine the resources necessary to support recovery efforts, States first have to have an understanding of how resource availability will be impacted by a disaster. This includes understanding what assets exist in a community, including housing stock, infrastructure, and businesses. Having these data before a disaster enables the State to understand what issues may arise in certain communities after a disaster. States could also use these data to model potential disaster impacts as part of a scenario (or multiple scenarios) so that they can better consider their recovery needs overall.

Some data are easier to acquire than others. For example, housing and infrastructure data are usually inventoried in public records at the local level. Demographic and other population data are also available through the U.S. Census. Data can sometimes be difficult to acquire, such as that related to private businesses. Chambers of Commerce and other local economic development organizations are a good place to start when looking for data to help understand potential economic impacts.

Once resource needs have been identified, they should be compared to existing resources to identify potential gaps. While all resource needs cannot be anticipated pre-disaster, many can be. Identifying known resource gaps before a disaster strikes will save time post-disaster.

Understanding State Resources

Regardless of the level of support offered by the Federal government or other resource providers, the State must have a clear understanding of its own recovery resources. Pre-disaster, States can work with local governments to ensure that their leaders understand what these resources are, how to use them, and whether there are real or perceived barriers preventing local governments from accessing State resources.

Existing resources can include those that are currently unassigned as well as those that can be reallocated. However, resources needed to address ongoing, day-to-day operations need to be taken into account when determining what resources can be reallocated to address recovery. For example, the demand for disaster-related building inspections may increase after a flood, but the demand for regular inspections may not decrease, and reassigning inspectors will not be sufficient.

Acquiring and Managing Resources

After resource gaps have been identified, it is necessary to identify ways to fill those resource gaps. The government is not the only partner for resources in recovery; planners must consider how whole-community partners such as government, voluntary, nonprofit, and private sector organizations and agencies will be engaged to provide resources post-disaster.¹⁹ While most resource acquisition will need to take place post-disaster, certain steps can be taken pre-disaster to ease this process. For example, prior to a disaster, States can:

- Promote the use of tax-exempt nonprofit organizations to administer donations and other financial resources;
- Identify possible funding mechanisms beyond Stafford Act funds;²⁰ and
- Develop a strong State-level grants management strategy to better handle the grant identification and writing process.

Processes and systems must be in place to manage resources for disaster recovery as well. Resource management systems help to ensure efficient use of resources, track disbursement, maintain transparency, and adhere to reporting requirements. As part of pre-disaster planning, State governments can:

- Develop pre-disaster financial management procedures, including opportunities to blend funding sources;
- Develop methods for documenting incoming resources to simplify post-disaster record-keeping; and
- Develop a strong State-level grants management strategy to better handle grant management.

Case Example: Hurricane Floyd Recovery Act of 1999

After Hurricane Floyd caused extensive damage in the State of North Carolina in 1999, the State legislature passed the Hurricane Floyd Recovery Act, which established the Hurricane Floyd Reserve Fund. The Fund allocated more than \$800 million beyond Stafford Act and other Federal assistance. These funds came from the State's "rainy day" fund. In total, this program included 22 new programs to support statewide recovery efforts.

Source: *State Disaster Recovery Planning Guide*. Gavin Smith and Dylan Sandler. September 2012. Available at http://coastal hazardscenter.org/dev/wp-content/uploads/2012/05/State-Disaster-Recovery-Planning-Guide_2012.pdf.

¹⁹ See *Effective Coordination of Recovery Resources for State, Tribal, Territorial, and Local Incidents* pages 21-28 for a detailed discussion of whole-community partners that can provide resources

²⁰ See *Effective Coordination of Recovery Resources for State, Tribal, Territorial, and Local Incidents* pages 19-20 for additional information about Non-Stafford Act funding mechanisms

Case Example: New York City Volunteer and Donation Coordination

New York City's recent experience managing recovery resources illustrates the scope of coordination required after a major disaster.

In the aftermath of Hurricane Sandy, over 11,000 volunteers assisted with recovery activities in New York City. Coordinating the deployment of so many volunteers was a significant logistical challenge. The enormous quantity of unsolicited donations (particularly clothing) that arrived also presented problems related to intake, storage, and distribution.

After the disaster, the city identified updates to its plan to address these issues, including:

- Pre-identifying partners with the capacity to manage volunteers and handle material donations
- Developing protocols for volunteer recruitment
- Improving communications about the city's volunteer screening process

Similar strategies could be coordinated at the State level in order to provide consistent statewide resource management.

Source: *Hurricane Sandy After Action: Report and Recommendations to Mayor Michael R. Bloomberg*, pp. 29-30.



Recovery involves multiple sectors of the community and multiple stakeholders, including disaster survivors.

Sector- or Function-Specific Plan Elements

If the State has established a recovery support structure based on its critical functions or sectors, the pre-disaster recovery plan discusses how the State will address those functions or sectors post-disaster. The pre-disaster plan also addresses the recovery priorities, applicable post-disaster policies to implement, and potential sector- or function-specific resources (funding, staffing, etc.).

Economic Recovery

In the event of a disaster, the pre-disaster recovery plan may consider aspects of the State's economy that are critical and should therefore be given high priority in the recovery process. For example, a pre-disaster recovery plan may include workforce development for consideration of new employer development strategies as a high priority. Including this in a pre-disaster recovery plan makes it clear to stakeholders that job creation should be a priority as it relates to economic recovery. The plan may also note particular industries and occupations that are important to the State. For example, if agriculture is critical to the State's economy, the pre-disaster plan should also note this as being another priority in economic recovery.

Health and Social Services

The recovery of health and social services is critical in the aftermath of a disaster. The pre-disaster recovery plan is an opportunity to document priorities such as the recovery of hospitals and schools. Similar to economic recovery, documenting these priorities makes it clear to stakeholders where their resources may be needed most.

Housing

Housing is often the most immediate disaster impact and the restoration of workforce housing, in particular, is vital to community recovery. The pre-disaster recovery plan may consider the resources and potential gaps in resources for accessible and affordable housing recovery following different disaster types that are likely in the State. For example, homeowners in certain vulnerable areas may not have sufficient insurance coverage for earthquake, flood, wind, wildfire, or other disaster-specific damages. Understanding these potential gaps will be beneficial in helping formulate an inclusive plan or strategy. The pre-disaster recovery plan might discuss procedures for developing temporary and permanent housing and how to blend funding streams from various resource providers to expedite the housing recovery process.

Infrastructure Systems

The pre-disaster recovery plan should note not only which systems are critical for recovery, but also who owns those systems, what segments of the whole community are served by those systems, and what resources will likely be available for their recovery. For example, publicly owned infrastructure and private non-profit infrastructure organizations are both eligible for FEMA Public Assistance (PA) in a Presidentially declared disaster, but privately owned, for-profit infrastructure is not eligible for FEMA PA. Infrastructure systems, such as utilities, communications, and transportation corridors, are often owned and managed by the private sector. Close coordination between the State and private-sector infrastructure owners will need to take place to ensure that infrastructure is replaced or relocated quickly.

Natural and Cultural Resources

Natural and cultural resources are a critical component in the overall recovery of a State and the communities within that State. The pre-disaster recovery plan should consider how the State will support the rehabilitation of natural and cultural resources, including historic properties while remaining compliant with applicable regulations and standards. Additionally, natural resources are a critical consideration when addressing overall community resilience in the pre-disaster recovery plan.

E. STEP 5 – PLAN PREPARATION, REVIEW, AND APPROVAL

In Step 5, information, documentation, and decisions from the preceding steps are consolidated to formulate a written pre-disaster recovery plan that is inclusive of the whole community. CPG 101 includes general guidelines for writing effective plans. The plan should be concise and clearly communicate the decisions made by the pre-disaster recovery planning team to operators, partners, and the public in an accessible format. The plan will ultimately provide a framework for action, accounting for known pre-disaster issues and resource gaps, and will address leadership, partners, priorities, and polices for recovery.

Certain elements should be included in the State's pre-disaster recovery plan. For example, leadership, stakeholders, structure, and roles and responsibilities should be clearly documented. Additionally, the plan should include how the State will coordinate itself and how it will coordinate with other levels of government or nongovernment entities. Figure 6 depicts elements the State may wish to include in its plan. The sections and subject matter listed is not intended to be prescriptive; rather, it is intended to give a general sense of what the pre-disaster plan might address. States may identify additional considerations or choose to organize their plans in other ways.

All stakeholders involved in the planning process, including the planning team, State leadership, and agencies and organizations referenced in the plan, should have the opportunity to review it and provide feedback. A draft plan should also be distributed to the public, especially if required by the State. States may have policies and/or protocol in place for plan reviews. Allow enough time for all reviewers to provide feedback and additional time for the planning team to make changes based on that feedback. Finally, the plan should be submitted to the State's approving authority (e.g., Governor's Office and/or State legislature) to provide any additional feedback and ultimately for final approval and/or adoption.

F. STEP 6 – PLAN IMPLEMENTATION AND MAINTENANCE

Ongoing activities such as training, exercises, and document revisions ensure that State recovery stakeholders are able to effectively manage post-disaster recovery activities. While developing the plan, it is important to decide who will be responsible for ongoing preparedness activities. In many cases it is best to have members of the planning team, and their respective agencies, perform this function. Additionally, adopting formal procedures and policies to govern ongoing recovery preparedness activities will provide a framework for standardization of and consistency in subsequent recovery actions undertaken.

To maximize understanding and build capacity in the recovery process, State stakeholders should establish a regular schedule of inclusive training, exercises, and document review, revision, and update. This will enable State recovery leadership to understand outstanding capability or process gaps, mitigation needs, and other recovery preparedness needs. These activities will likely go beyond updating the pre-disaster recovery plan, to include conferences, workshops, and other events open to both State agency representatives, as well as stakeholders from other levels of government, NGOs, and individuals. Some examples of these types of activities are found in Appendix C of this document.

Pre-Disaster Recovery Plan Components

Introduction & Purpose

- Purpose of the Plan
- State Capacity
- Known Risks & Vulnerabilities
- Mitigation Measures in Place
- General Recovery Goals & Priorities

Leadership and Partners

- State Leadership and their Roles and Responsibilities
- Recovery Structure and the Agencies and Organizations + Roles and Responsibilities
- Authorities and Operational Guidance

Recovery Operations

- How the State will Coordinate Horizontally and Vertically
- Integration of Core Capabilities and Success Factors
- Communication and Resource Management Strategies

Recovery Strategy

- Funding Strategies & Policy Alternatives to Address Disaster Impacts
- The Post-Disaster Planning Process
- Sector-Specific Plan Elements to be Addressed Post-Disaster
- Exercising the Pre-Disaster Recovery Plan

Figure 6 Components of a Pre-Disaster Recovery Plan

Discussion Point: Exercising the Plan

Plans can be exercised in a variety of ways. Recovery exercises are usually based on a scenario that provides context to the exercise that tests the plan, as well as the ability of stakeholders to take on the roles and responsibilities assigned to them. These exercises often reveal gaps that can be addressed through plan revisions and additional training. When people with disabilities are involved in all phases of exercise development, then during evaluation of the plan, recovery leaders will also know whether or not the proposed plan adequately includes all people in the whole community.

Approaches to completing plan exercises vary. There are seven types of exercises, and the majority of recovery exercises are tabletop exercises wherein a discussion is generated in an informal setting using a hypothetical scenario. Tabletop exercises can be used to enhance general awareness, validate plans and procedures, rehearse concepts, and/or assess the types of systems needed to guide the recovery from a defined disaster. Table-top exercises may last a day or longer depending on what is being exercised. Regardless of the duration, they usually take place in one defined time period (e.g., a day, a week).

Another approach to completing an exercise is conducting a series of exercises over a longer period of time. Florida is exploring the idea of a year-long recovery exercise, recognizing that long-term recovery is an extended process and individuals who will be participating may have limited availability. The exercise series will be initiated with a workshop that all participants will attend. After that, a series of short tabletop exercises will allow for both in-person participation and remote participation via webinar. The group will have a discussion based on the scenario and, prior to adjourning, a new “inject” will be issued for the next meeting. The primary advantage of this approach is that it keeps stakeholders engaged for a longer period of time, which is more similar to the recovery process.

When developing the exercise plan, it is important to consider the role of political appointees and the fact that they change frequently. One method to overcome this is to hold regularly scheduled briefing-style seminars with top level State executives. Top executives, including the Governor’s Office, need to know that the plan exists and the importance of their leadership early on in defining the recovery needs and shaping the relationships with Washington, disaster-impacted mayors and elected officials, and other key stakeholders in their State.

Exercises

Recovery exercises are conducted to train for, assess, practice, and improve performance in recovery capabilities in a risk-free environment. A typical exercise involves developing disaster scenarios and asking the recovery organization and other partners to determine whether or not they would have the ability to implement the plan and address recovery needs of the whole community under those circumstances. Emphasis should be placed on including seniors, individuals with disabilities, and others with access and functional needs; those from religious, racial, and ethnically diverse backgrounds; and people with limited English proficiency. To ensure full and meaningful participation, there must be physical, programmatic, and communication access for all those potentially affected by a disaster. This process enables evaluation of the plan, aids the community in understanding its role in recovery preparedness and plan implementation, and helps identify gaps in policies, roles, partners, resources, and procedures.

Scheduled Reviews and Updates

The plan should be reviewed and updated regularly. This will ensure that new vulnerabilities that are identified are addressed in the planning process. These vulnerabilities could be physical, environmental, cultural, or geographic elements of a community that could be risk prone, or existing State policies that could inhibit the ability of a community to recover from a disaster. They could also be the result of a new hazard or new information about an existing hazard. Hazard mitigation is an underlying theme of preparedness and opportunities to mitigate should be considered whenever a State evaluates its vulnerabilities or new risk information is available.

Document Best Practices

Throughout the planning process, the planning team should document actions, including best practices and lessons learned during the plan development process. Additionally, improvements can be made to the plan during scheduled updates by incorporating lessons learned during plan exercises and from actual post-disaster recovery efforts. Most disasters include a "hotwash" or after-action assessment. The scope of these after-action activities should include recovery and the results of the process should inform recovery plan updates.

VII. Conclusion

Pre-disaster planning is a vital component in preparing a community to successfully conduct recovery operations inclusive of the whole community. State governments in particular have a critical role in pre-disaster recovery planning. Through the use of CPG 101, and this guide, States can establish roles and responsibilities as well as priorities long before a disaster. While development of an inclusive pre-disaster recovery plan may be a complex and lengthy process, the community as a whole will benefit after a disaster because recovery efforts will be able to begin more quickly.

Appendix A: References

References included in this section are for documents and websites cited throughout this Guide. There are many additional resources available to assist planners and stakeholders that are available through the Recovery Pre-Disaster Planning Guidance for States (RPPG-S) Resource Library.

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Appendix B: Factors for a Successful Recovery

Experience has shown that the presence of certain factors in a State, tribe, or community can help ensure a successful recovery. The National Disaster Recovery Framework identifies seven success factors for successful disaster recovery. Nearly all of these can be defined in some way pre-disaster, thereby speeding recovery.

Effective Decision-Making and Coordination

- Recovery leadership defines roles and responsibilities for all stakeholders and participants.
- Businesses, nonprofits, and local community leadership examine recovery alternatives, address conflicts, and make informed and timely decisions that best achieve recovery of the impacted community.
- Organizations providing leadership or assistance for recovery establish realistic metrics for tracking progress, ensuring accountability, and reinforcing realistic expectations among stakeholders.
- Government, voluntary, faith-based, and community organizations provide assistance to track progress, ensure accountability, and make adjustments to ongoing assistance.

Integration of Community Recovery Planning Processes

- Communities engage in pre-disaster recovery planning and other recovery preparedness, mitigation, and community resilience-building work.
- Individual, business, and community preparation and resilience-building provide a foundation for recovery plans that improve the speed and quality of post-disaster recovery decisions.
- The public-private partnership under the National Infrastructure Protection Plan facilitates broad coordination and information sharing among all levels of government and private-sector owners and operators of critical infrastructure.
- The community develops processes and criteria for identifying and prioritizing key recovery actions and projects.
- The community's recovery leadership creates an organizational framework involving key sectors and stakeholders to manage and expedite recovery planning and coordination.
- Recovery authorities revise existing local- and State-level emergency response contingencies to include recovery planning best practices and other preparedness, mitigation, and community resilience-building work.

Well-Managed Recovery

- Well-established, pre-disaster partnerships at the local, State, tribal, and Federal levels, including those with the private sector and NGOs, help to drive a successful recovery.
- Recovery stakeholders leverage and coordinate disaster and traditional public- and NGO-assistance programs to accelerate the recovery process and avoid duplication of efforts.
- Communities seek out, interface, and coordinate successfully with outside sources of help, such as surrounding governments, foundations, universities, nonprofit organizations, and private-sector entities—a key element in rapid recovery.
- Readily available surge staffing and management structures support the increased workload during recovery, such as code enforcement, planning, communications, grant-writing, and management.
- Recovery leadership establishes guidance for the transition, including the shift of roles and responsibilities, from response operations to recovery and, finally, a return to a new normal state of community functioning.
- Recovery leadership also ensures compliance with architectural standards and programmatic accessibility during recovery.

Proactive Community Engagement, Public Participation and Public Awareness

- Stakeholders collaborate to maximize the use of available resources to rebuild housing, infrastructure, schools, businesses, and the social-historical-cultural fabric of the impacted community in a resilient manner, and to provide health care, access, and functional support services.
- All community perspectives are represented in all phases of disaster and recovery planning; transparency and accountability in the process are clearly evident.
- Communities create post-disaster recovery plans that can be implemented quickly. Local opinions are incorporated so that community needs are met in a more holistic manner, maximizing the provision and utilization of recovery resources and built upon, or incorporated into, the community master plan.
- Public information is accessible to keep everyone informed throughout the recovery process. This includes providing appropriate aids and services, such as captioning, large print, Braille, interpretation, and translated materials to ensure effective communication with individuals with disabilities and to facilitate access to information for individuals with limited English proficiency.
- Continuous and accessible public information campaigns to community members on various recovery programs and the commitment to short-, intermediate-, and long-term recovery, as well as the overall recovery progress, increase public confidence.

Well-Administered Financial Acquisition

- Community stakeholders need to possess an understanding and have access to broad and diverse funding sources in order to finance recovery efforts.
- The community's knowledge and professional administration of external programs greatly aid the recovery progress.
- Funders and resource providers collaborate to provide program flexibility and implement finance planning. Recovery management and program administration collaborate in a post-disaster environment.
- Recovery management programs support the development and maintenance of adequate financial monitoring and accounting systems for new and large levels of investment. Management programs include systems that detect and deter fraud, waste, and abuse.
- Federal recovery expenditures maximize the use of local businesses to promote local economic development.

Organizational Flexibility

- Organizational structures for coordinating recovery assistance are scalable and flexible.
- Recovery structures at all government levels evolve, adapt, and develop new skills and capacities to address the changing landscape of post-disaster environments.
- Functional and effective intergovernmental relations influence the efficiency of the recovery process.
- Organizational flexibility facilitates the application of laws, regulations, and policies in the context of a disaster and enhances the government's adaptability to govern in unforeseen disasters.
- Flexible staffing and management structures enhance the adaptability of the governmental structure.
- Increased pre-disaster partnerships help reduce or avoid the challenges of establishing new partnerships in a post-disaster environment.
- Organizational flexibility is compatible with the integrity and accountability of taxpayer-funded programs.

Resilient Rebuilding

- The community rebuilds a sustainable future factoring in the ecological, economic, and local capacity considerations.
- The recovery is an opportunity for communities to rebuild in a manner that will reduce or eliminate risk from future disasters.
- Communities can incorporate stronger building codes and land use ordinances. Vulnerable structures can be retrofitted, elevated, or removed from harm.
- Community members, businesses, and local governments can incorporate risk reduction strategies into governance and local decision-making.

Appendix C: Successful Recovery Outcomes

Below are examples of what a successful disaster recovery may look like (see Appendix A) at the local level. It is a list of key activities, milestones, and conditions that a local community might achieve at certain stages post-disaster: within the first days to weeks after a disaster occurs, between the third and sixth month afterward, and by the end of the third year. These three time intervals correspond to the *National Disaster Recovery Framework* recovery phases, as depicted in Figure 7. Although recovery timeframes and activities vary by a specific community's needs, these snapshots of activities, milestones, and conditions can serve as guideposts for a local community seeking to understand and measure their post-disaster recovery effort's pace, focus, and effectiveness. More information about local recovery planning can be found in the *Pre-Disaster Recovery Planning Guide for Local Governments*.

SHORT TERM (DAYS):

- Provide integrated mass care and emergency services
- Establish temporary or interim infrastructure to support business re-openings
- Reestablish cash flow
- Identify adults and children who benefit from counseling or behavioral health services and begin treatment
- Provide emergency and temporary medical care and establish appropriate surveillance protocols
- Assess and understand risks and vulnerabilities

INTERMEDIATE TERM (WEEKS-MONTHS):

- Provide accessible interim housing solutions
- Initiate debris removal
- Plan immediate infrastructure repair and restoration
- Support reestablishment of businesses where appropriate
- Engage support networks for ongoing care
- Ensure continuity of care through temporary facilities
- Inform community members of opportunities to build back stronger

LONG TERM (MONTHS-YEARS):

- Implement mitigation and resilience-building strategies
- Develop permanent housing solutions
- Adapt to changed conditions
- Rebuild infrastructure to meet future community needs
- Implement economic revitalization strategies
- Facilitate funding to business rebuilding
- Follow-up for ongoing counseling, behavioral health, and case management services
- Reestablishment of disrupted health care facilities

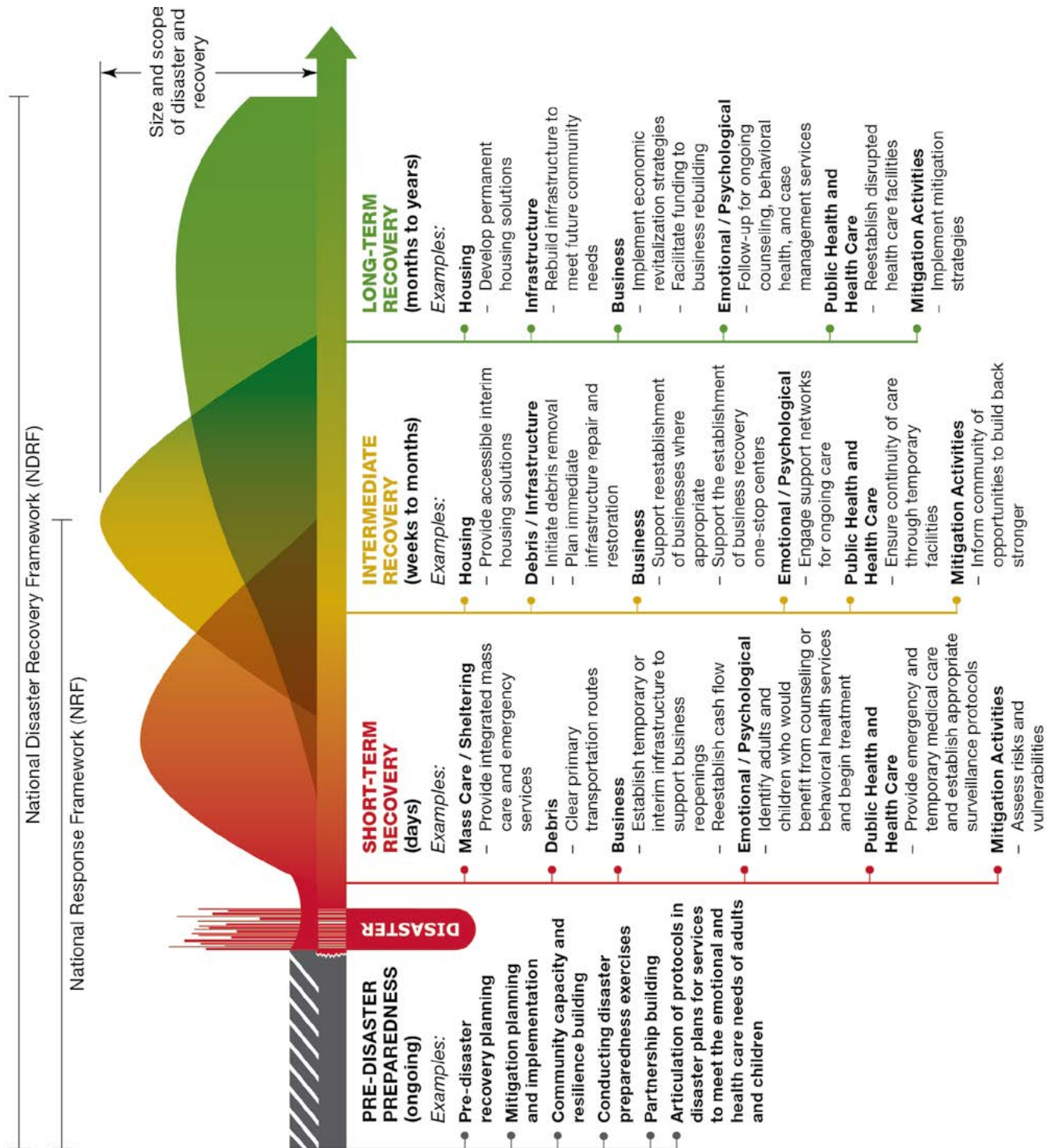


Figure 7 The Recovery Continuum

Appendix D: State Recovery Coordination and Management Case Studies

THE COMMONWEALTH OF PENNSYLVANIA AND DISASTER RECOVERY AND PREPAREDNESS

Since 2007, seven major disasters have been declared in the Commonwealth of Pennsylvania. These disasters include Superstorm Sandy in 2013, incurring a total of \$12.8 million in Public Assistance (PA) grant funding; Irene in 2011, with \$25.8 million in PA grant funding; Tropical Storm Lee in 2011, with \$145.6 million; and four other severe storm, flooding, and tornado events totaling \$76.1 million in PA funding.²¹ The significant damage caused by storms Lee and Irene in particular spurred the Commonwealth to think about how to approach disaster recovery and preparedness in a more holistic way. Building on the lessons of these disasters, the State took two overall approaches to look forward to recovery from future disasters: developing an established coordination structure, and creation of a Disaster Recovery Plan for the Commonwealth.

In September of 2012, Pennsylvania was able to institutionalize a process the Commonwealth had been using for the ongoing coordination of its recovery efforts from storms Irene and Lee, particularly those efforts that focused on encouraging the return of economic and business activities after future disasters. This process led to the creation of an economic recovery team. An Economic Development Administration (EDA) grant issued to the Pennsylvania Department of Community and Economic Development (DCED) provided the State with the capacity, including the staffing of a full-time disaster recovery coordinator, to coordinate Commonwealth efforts in support of disaster-impacted communities' long-term recovery efforts. This coordinated support to communities was the foundation of what would become the State's new coordination structure, The Pennsylvania Recovery Resources Team (RRT), as formalized in a new Commonwealth recovery plan.

The RRT is led by Jeff Allen, the Commonwealth Disaster Recovery Coordinator out of DCED, and supported by a range of Federal, regional, county, private-sector, and NGO partners. The RRT is composed of a Steering Committee, which includes the Lieutenant Governor of Pennsylvania, DCED Secretary, Pennsylvania Emergency Management Director, FEMA Region III Federal Disaster Recovery Coordinator, and a representative from an Economic Development District. There are six working groups that focus on Housing Recovery; Economic Recovery; Infrastructure Recovery; Community Planning and Capacity Building; Health and Social Services; and Natural and Cultural Resources. The working groups meet on a quarterly basis.²²

The RRT aims to serve as the central point of contact for community leaders and a facilitator of communication between communities in need and resource providers. In addition, the RRT was used to foster a number of outreach programs, including those with State-level preparedness partners in and outside Pennsylvania, and with local businesses. The RRT also worked to create local partnerships, for example with academic institutions, the County Commissioners' Association, and the Pennsylvania Cultural Resiliency Network. More importantly, the RRT was used to facilitate ongoing projects, such as

²¹ FEMA Disaster Declarations for Pennsylvania, <https://www.fema.gov/disasters/grid/state-tribal-government/44#>

²² Pennsylvania Department of Community & Economic Development, RRT Steering Committee, <http://www.newpa.com/local-government/boards-committees/recovery-resources-team-rrt-steering-committee/>

the Bloomsburg Levee Project,²³ the West Pittston Tomorrow Community Mitigation workshop, and flood planning and long-term recovery groups. “Maintaining the framework of recovery resource coordination for the Commonwealth creates an increased capacity for reduced recovery time in the event of future disasters.”²⁴

Led by the Commonwealth Disaster Recovery Coordinator, Jeffrey Allen, the RRT developed the Commonwealth Disaster Recovery Plan (CDRP), which incorporates elements of the National Disaster Recovery Framework (NDRF). The CDRP, currently in DRAFT form, outlines the plan for how the Commonwealth will organize and structure itself for recovery in the event of future disasters; assigns duties and responsibilities of key leaders and agencies; and provides for the restoration of critical functions, services, vital resources, facilities, homes, businesses, programs, and infrastructure to those areas of the Commonwealth impacted by the devastating effects of an all-hazards environment.

For more information, see <http://www.newpa.com/housing-and-development/community-services/disaster-recovery/#.V1rh7E32aUk>.

Summary – Commonwealth used disasters to identify ways to build and institutionalize preparedness planning and coordination into their ongoing efforts. These systems create a standing structure that can be used to more effectively deliver support to communities post-disaster, as depicted in Figure 8.

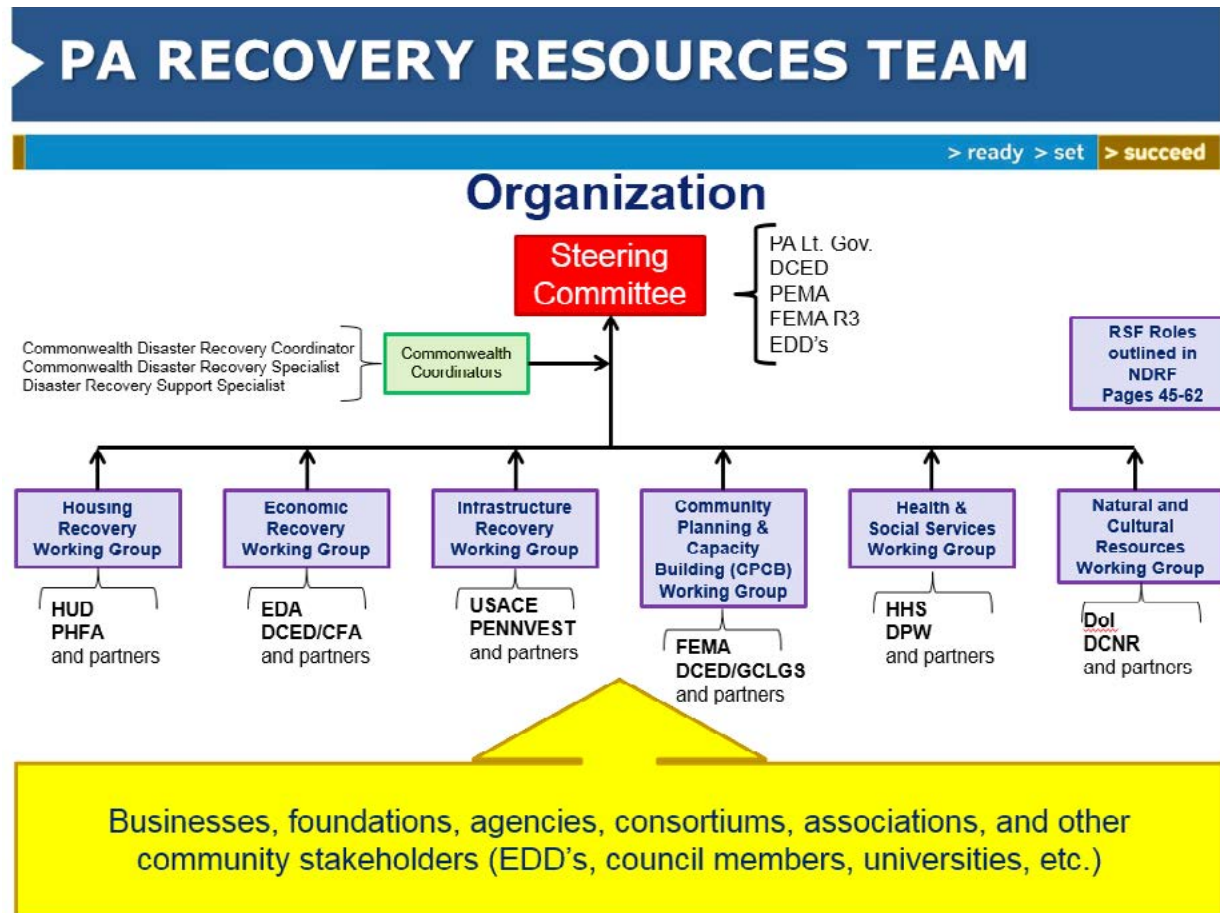


Figure 8 The Pennsylvania Recovery Resources Team Organizational Structure

²³ <https://bloomsburgpa.org/news/bloomsburg-flood-protection-project/>

²⁴ Email conversation on 2/17/16 with Jeffrey Allen, PEMA Disaster Recovery Coordinator

STATE OF MISSISSIPPI'S RECOVERY MANAGEMENT FOLLOWING KATRINA

Hurricane Katrina made landfall near Pearlington, MS, on August 29, 2005, directly impacting more than a third of Mississippi's three million residents.²⁵ Across the State, there were more than 230 deaths, over 60,000 homes were seriously damaged or destroyed, and much of the structures, infrastructure, and natural environment were destroyed along the Mississippi Gulf Coast.

Within weeks of the disaster, then Governor Barbour appointed a Commission on Recovery, Rebuilding, and Renewal that was a privately funded, nonprofit organization, with over 40 local officials and business leaders serving as chairs and committee leaders for the Commission.²⁶ It was supported by a small (about 10) staff and included over 500 volunteers serving on numerous committees. In Governor Barbour's words: "The Commission will lead, but local governments and the private sector will decide. The Coast and South Mississippi will decide their own destiny, but with strong support from the Commission, our Congressional delegation, State officials and many others." In mid-October 2005, the Commission held a 6-day Mississippi Renewal Forum that was termed a "charette" with teams of local and out-of-state professionals working alongside community leaders to design and plan for the Gulf Coast.²⁷ Following this, the Commission worked to process input from the Forum and developed its final report titled *After Katrina: Building Back Better Than Ever*, on December 31, 2005. The final report contained over 230 recommendations in a variety of areas including infrastructure, economic development, and human services. The Commission effectively ended at this point but its work and recommendations were instrumental in shaping the State's recovery agenda.

In early 2006, Mississippi's State legislature and Governor established the Governor's Office of Recovery and Renewal, which served as a policy-oriented body for the State. Its staff had the primary responsibility for designing the State's various recovery programs and shaping the State's overall approach to rebuilding.²⁸ Among its responsibilities, the Office coordinated relief efforts among Federal and State agencies, namely the Mississippi Development Authority (MDA) and the Mississippi Emergency Management Agency, and other public and private entities. Its primary objectives included obtaining the maximum amount of Federal funds and maximizing the use of credit in lieu of cash, providing policy advice and formulation to the Governor and State agencies, providing technical assistance and outreach to local governments, and facilitating the implementation of recommendations made by the Governor's Commission. The Office issued annual reports with updates on the State's recovery efforts; the year four report is available at <http://www.msdisasterrecovery.com/documents/28.8.09FourYearsAfterKatrina.pdf>.

To hear directly from the Governor and some of Mississippi's leaders who were instrumental in organizing, planning, and managing the recovery efforts following Hurricane Katrina view the video: *The Role of States in Disaster Recovery*. This short video includes State leaders from Mississippi and North Carolina discussing their strategies to support recovery and lessons from their experiences. There is also a training guide that can be used to help you facilitate conversations with your State leadership to build on these lessons.

Mississippi received approximately \$5.5 billion in Community Development Block Grant – Disaster Recovery (CDBG-DR) funds following Hurricane Katrina, which was provided through three Congressional allocations in 2005, 2006, and 2007. A Disaster Recovery Division was established in the MDA to manage

²⁵ Mississippi Development Authority, *Lesson Learned from Katrina Recovery*, Disaster Recovery Division, Mississippi Development Authority, 2014, <http://www.msdisasterrecovery.com/housing/16-uncategorised>

²⁶ Governor's Commission on Recovery, Rebuilding, and Renewal, *After Katrina: Building Back Better Than Ever* (December 31, 2005), http://mississippirenewal.com/documents/Governors_Commission_Report.pdf

²⁷ Mississippi Renewal Forum, "Rebuilding the Gulf Coast: Answering the Governor's Call for Recovery, Rebuilding and Renewal on the Mississippi Gulf Coast" (*The Town Paper*, 2005), http://www.tntownpaper.com/gulf/Gulf_Coast_PreCharrette.pdf

²⁸ U.S. Government Accountability Office GAO, *Gulf Coast Disaster Recovery: Community Development Block Grant Program Guidance to States Needs to Be Improved* (Washington D.C.: Government Accountability Office, June 2009); Gavin Smith, *Planning for Post-Disaster Recovery: A Review of the United States Disaster Assistance Framework* (Public Entity Risk Institute, 2011)

Mississippi's share of CDBG-DR funds and to implement policies established by the Governor's Office of Recovery and Renewal. The Disaster Recovery Division initially had a staff of about 20 people and eventually ramped up to about 50 employees assigned to administer and manage the State's disaster recovery work.²⁹ Contractors were also hired as needed to handle the day-to-day management of key recovery programs, such as the State's housing grant program. Highlights of Mississippi's CDBG-DR funded recovery programs, as of August 2011,³⁰ are as follows:

- **Housing.** The State directed nearly 70 percent (\$3.85 billion) of the CDBG-DR funds toward housing recovery. A Homeowner's Assistance Program paid more than \$2 billion in individual grants (of up to \$150,000) to over 27,750 homeowners and also provided over 1,100 home elevation grants totaling \$46.5 million. A small rental program (\$226.9 million) helped fund repairs to over 4,000 rental housing units, a long-term workforce housing program (\$329.5 million) helped fund the rehabilitation, new construction, and homebuyer assistance to more than 1,700 affordable housing units, and a tax credit program (\$25 million) helped facilitate construction of 700 affordable housing units. A Ratepayer and Windpool Mitigation program (\$440 million) helped to offset increased residential insurance costs post-Katrina. A series of Water/Wastewater Infrastructure projects were funded (totaling \$631 million), and a building/code inspector grants program (\$9.5 million) funded 16 grants.
- **Recovery.** The State directed \$1.47 billion to fund tourism restoration and economic development grants, loans, and work force training programs (\$,346.2 million); community revitalization and planning grants (\$261.6 million) for over 100 projects; and specific development projects, including 40 Gulf Opportunity Zone Revitalization projects (\$42.4 million), Port of Gulfport (\$621 million), and Hancock County projects (\$197.6 million). A fraud investigation/contractor fraud program (\$5 million) was also instituted.

As of June 2016, the MDA's Disaster Recovery Division continues to administer and provide Federally required monitoring of the CDBG-DR funds.³¹

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²⁹ Mississippi Development Authority, "Lesson Learned from Katrina Recovery"; GAO, *Gulf Coast Disaster Recovery: Community Development Block Grant Program Guidance to States Needs to Be Improved*

³⁰ Mississippi Development Authority, *CDBG Summary Points August 3, 2011*, Disaster Recovery Division, August 3, 2011), http://www.msdisasterrecovery.com/documents/Copy%20of%20MDA_PMO_CDBG_Summary_Points_final__20110801%20Talking%20Points.pdf

³¹ Mississippi Development Authority, Disaster Recovery Division, <http://www.msdisasterrecovery.com>

Smith, Gavin. *Planning for Post-Disaster Recovery: A Review of the United States Disaster Assistance Framework*. Public Entity Risk Institute, 2011.

STATE OF NEW YORK'S RECOVERY COORDINATION AND MANAGEMENT FOLLOWING HURRICANE SANDY

The State of New York experienced a series of significant disasters starting with named storms Irene and Lee in 2011 and continuing with Hurricane Sandy in 2012. The State, armed with lessons learned on Irene and Lee, took a forward-looking and proactive approach in structuring its recovery from Sandy. In the months that followed Sandy, Governor Cuomo established three commissions to review various aspects of the impacts, and response and recovery activities. These commissions' reports informed recovery policies and programs across the State and led to the creation of the Governor's Office of Storm Recovery (GOSR). This entity has centralized coordination and lent transparency to New York State's recovery and rebuilding efforts. The creation of the GOSR and clear leadership throughout the disaster provided an overarching structure for recovery management, which can serve as a model for other States.

Hurricane Sandy made landfall on October 29, 2012, caused more than 60 deaths and \$30 billion in statewide damages.³² A Presidential disaster declaration was made almost immediately and the New York State Division of Homeland Security and Emergency Services has worked since that time with FEMA to manage the distribution of FEMA IA, PA, and Hazard Mitigation program funds. This funding is a critical part of a larger recovery.

In the weeks immediately following landfall, Governor Cuomo established three commissions to help distill key lessons from the storms: NYS Ready Commission, which focused on preparedness activities; NYS Respond, which was tasked with ensuring the ability and capacity to effectively respond to natural disaster; and NYS2100, which reviewed the vulnerabilities faced by the State's infrastructure systems and developed specific recommendations to increase New York's resilience in five main areas: transportation, energy, land use, insurance, and infrastructure finance.

The Commissions' reports issued in early 2013 helped to, in part, shape the State's recovery policy and programs. The reports included recommendations to update the State Building Code to promote smarter, resilient building performance, as well as increased survivability; provide financial assistance to property owners in vulnerable areas to mitigate their damaged properties for future threats or sell them as part of a voluntary buyout and relocation program; ensure that healthcare facilities are resilient; and harden the State's infrastructure to better withstand future major storms.

After Congress' approval of the Sandy supplemental aid package in January 2013,³³ New York State developed a proposed Action Plan for an initial allocation of CDBG-DR funds, which was approved in late April 2013. When appropriated by Congress, CDBG-DR funds provide disaster recovery grants that can fund a broad range of activities, including large-scale aid for housing, community recovery planning, and funding for large infrastructure projects geared towards resilience and climate adaptation. These funds are intended to address unmet community development recovery needs or supplement FEMA IA, PA, and Hazard Mitigation program funds.

In June 2013, Governor Cuomo established the GOSR to centralize the State's recovery and rebuilding efforts. As of July 2014, the GOSR managed approximately \$4.4 billion in CDBG-DR funds. The funding is managed across four main program areas:

³² Governor Andrew Cuomo, *2013 State of the State*, January 9, 2013, <http://www.governor.ny.gov/NY/2013-State-of-the-State>

³³ Governor Andrew Cuomo, *Governor Cuomo Announces Community Reconstruction Zones Funded by Federal Supplemental Disaster Aid to Guide Local Rebuilding Process*, April 26, 2013. Available at <http://www.governor.ny.gov/press/04262013cuomo-reconstruction-Federal-disaster-aid>

- **Housing Recovery** – GOSR funds single-family homeowner repairs, rehabilitation, mitigation, and elevations (\$1.056 billion) and programs for the owners of multi-family rental properties, owners of co-ops and condos, and owners’ associations (\$232.5 million). It also manages the State’s home buyout and acquisition initiative (\$621.2 million) and provides supplemental housing assistance through an interim mortgage and housing assistance program (\$49 million).
- **Economic Development** – GOSR’s small business component provides grants of \$50,000 or more, as well as low-interest loans to independently owned and operated small businesses (\$183.5 million). A business mentoring initiative (\$3 million) and tourism promotion marketing (\$22.46 million) are also funded.
- **Infrastructure and Environment** – GOSR funds the non-Federal share “match” for the FEMA PA program (\$552.82 million), a local government public infrastructure and critical infrastructure program to stabilize and protect New York from future disasters of extreme weather (\$254.6 million) and a Resiliency Institute (\$2.7 million).
- **Community Reconstruction** – GOSR funds the community-level recovery and resiliency planning efforts under the New York Rising Community Reconstruction Program (NYRCRP), as well as the resulting projects to implement local recovery and resiliency efforts (\$621.23 million).

Using a portion of the overall allocation of the CDBG-DR funding allowed for local planning and local disaster recovery management support; specifically, the State established a local planning support program, the NYRCRP. The program was integral to aiding local governments in taking a holistic and organized view of rebuilding, especially in many of the smaller or lower capacity municipalities. The program set up the requirement that CDBG-DR reconstruction funds for additional rebuilding and revitalization assistance could only be used after the localities had developed community-driven recovery plans that considered current damage, future threats, and economic opportunities. Communities successfully completing a recovery plan were then eligible for State funding to support the implementation of key projects and activities identified in the plans.

As a condition of participation in the NYRCRP, each community was required to establish a Planning Committee composed of local residents and business leaders, as well as municipal representatives and elected officials with non-voting status to lead the plan development. In addition, the State provided each community with a contracted planning team to help prepare its plan. Contracted consultants were hired through a State process administered by New York State Homes and Community Renewal’s Office of Community Renewal and the Housing Trust Fund Corporation and managed by GOSR, using in part CDBG-DR funds. Planning experts from the New York Department of State and Department of Transportation were also assigned to each community to provide technical assistance and help oversee the planning consultants. At the conclusion of the planning phase in March 2014, there were 66 NYRCRP committees representing more than 100 communities participating in the program.³⁴

The NYRCRP plans created for New York Rising communities organized proposed initiatives, projects, and activities in alignment with the National Disaster Recovery Framework’s Recovery Support Function (RSF) structure. This made it easier for the Federal Disaster Recovery Coordinator (FDRC) and Federal agencies working with the State Disaster Recovery Coordinator (SDRC) to determine points of intersection, make adjustments to programs, and provide possible resources. As the consultants who produced the plans received guidance and oversight from a team of New York State planners, the plans were developed in a uniform and holistic manner meeting State priorities.

³⁴ New York Rising, *Community Reconstruction Committee Plans, Executive Summaries*, http://stormrecovery.ny.gov/sites/default/files/crp/community/documents/executive_summaries_round_2lores.pdf

The FEMA-coordinated Community Planning and Capacity Building (CPCB) RSF brought Federal and non-Federal partners, in addition to FEMA community planners to the table to support the State in development and implementation of the NYRCRP. Coordinated support for access to data, case studies, and research as well as technical expertise and assistance in smart growth, land use, sustainability, recovery management, community engagement and urban planning aided the State in implementation of the program. The Department of Housing and Urban development, Environmental Protection Agency, and National Oceanic and Atmospheric Administration, as well as organizations like the American Planning Association, played a key role in coming together through CPCB RSF coordination. The New York Department of Environmental Conservation and the New York Office of Smart Growth worked with the CPCB RSF to organize the Long Island Smart Growth Resilience Partnership. This partnership worked hand in hand with Suffolk and Nassau Counties, the Metropolitan Transportation Authority, and several universities and other organizations to integrate economic, environment, and social sustainability into redevelopment and encourage building away from flood zones and along transit corridors. Early integration of recovery planning expertise coordinated by the CPCB RSF, or an equivalent function at the State, allows a State to comprehensively target vulnerabilities and mitigation concerns in recovery plans, address local capacity gaps, and better bridge the gap between existing State and local recovery plans and existing plans, such as the State Multi-Jurisdictional Hazard Mitigation Plans and local comprehensive plans.

Building from the success of the NYRCRP and the Governor's executive commissions, the State enacted the New York State Community Risk and Resiliency Act in 2014.³⁵ The law ensures that certain State monies, facility-siting regulations, and permits include consideration of the effects of climate change and extreme-weather events. The law requires State agencies to develop sea level rise projections as well as model local laws that communities can modify and adopt to combat extreme weather and climate change. FEMA has been invited to be part of the model local laws working group and is ensuring that the model laws are conversant with FEMA guidance.

Utilizing its history of storms and building on existing internal structures, New York State has established a network of tools and approaches that are helping communities become more resilient and that can be applied in future disasters. The State has an Office of Climate Change, an Office of Local Government, and an Office of Planning and Development. Within the Office of Planning and Development, the State runs programs/grants for coastal resilience planning, brownfield redevelopment, local waterfront revitalization planning, downtown revitalization, smart growth, and long-term community recovery. In all their planning efforts, New York has worked to ensure that resilient communities are not just storm ready, but also have considered economic and environmental issues, housing, public health, and transportation—the full complement of activities that make for livable, sustainable towns and cities. In an effort to institutionalize the approach taken after Sandy, the State of New York is in the process of developing a strategic approach to recovery that is being incorporated into their the mitigation planning process.

For more on New York State's innovative community reconstruction program, visit <http://stormrecovery.ny.gov/community-reconstruction-program>.

For New York's Climate Change Adaptation guidance, visit <http://www.dec.ny.gov/energy/82168.html>.

For planning tools, many of which will prove valuable to communities outside of the State, visit <http://www.dos.ny.gov/opd/publications.html>.

³⁵ New York State Department of Environmental Conservation, "Community Risk and Resiliency Act," <http://www.dec.ny.gov/energy/102559.html>

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STATE OF LOUISIANA'S RECOVERY MANAGEMENT FOLLOWING HURRICANES KATRINA AND RITA

Hurricanes Katrina and Rita made landfall along the U.S. Gulf Coast on August 29 and September 24, 2005, with devastating impacts on Louisiana.³⁶ More than 1,100 lives were lost, 785,000 residents displaced, 215,000 homes and 18,700 businesses destroyed, 220,000 jobs lost, and 100 square miles of wetland destroyed by storm surge. The State's total losses are estimated to exceed \$150 billion. Governor Blanco created the Louisiana Recovery Authority (LRA) by executive order on October 17, 2005³⁷ to help:

- Secure funding and other resources,
- Establish principles and policies for redevelopment,
- Lead long-term community and regional planning efforts,
- Ensure transparency and accountability, and
- Communicate progress, status, and needs of the recovery to officials, community advocates, and the public.³⁸

This coordinating and planning body became the central point for hurricane recovery in the State of Louisiana following the 2005 hurricanes Katrina and Rita, and later took on responsibility for recovery following the 2008 Hurricanes Gustav and Ike as well.

Until it was formalized by the Louisiana legislature on February 23, 2006, the LRA operated out of the Governor's Office. The LRA was led by a 33-member board of directors that were selected to be bipartisan, socioeconomically and racially diverse, and civic and national leaders who originated from impacted communities. These volunteers met consistently, nearly every month over the LRA 5-year life. In 2006,

³⁶ Louisiana Recovery Authority LRA, "Louisiana Recovery Authority, 2005 - 2010," June 2010, <http://lra.louisiana.gov/assets/docs/searchable/Quarterly%20Reports/FinalReportJune2010.pdf>

³⁷ Governor Kathleen Blanco, Executive Order KBB05-63: Louisiana Recovery Authority, 2005

³⁸ LRA, "Louisiana Recovery Authority, 2005 - 2010"

the LRA also formed a series of Task Forces to develop and guide policy for all aspects of recovery from infrastructure to housing to human services. Each Task Force was chaired by a member of the LRA board of directors and included several legislators and a broad-based group of decision-makers.

The LRA also developed a small staff of about 20 to 30 professionals in administration, communications, intergovernmental affairs, policy, and planning, and outsourced work to consultants as needed. It also coordinated with key Federal and State agencies to complete work, particularly the Office of Community Development which established a Disaster Recovery Unit with lead responsibility for the administration of the CDBG-DR funds and the Governor's Office of Homeland Security and Emergency Preparedness (GOHSEP) with lead responsibility for the FEMA programs. To supplement staff, contractors were hired as needed, many of which handled all the day-to-day management of key recovery programs.

The LRA established spending priorities and plans, subject to approval of the State's Legislature for \$13.4 billion in CDBG-DR funds following Hurricanes Katrina and Rita and provided—through three Congressional allocations in 2005, 2006, and 2007—over \$1.15 billion in hazard mitigation grant funding from FEMA following the 2005 hurricanes and more than \$1 billion in CDBG-DR funds allocated by Congress in 2008 and 2009 for recovery from Gustav and Ike.³⁹ The LRA also reported quarterly on its work, as required by the Louisiana Legislature. The final report on the LRA's programs and contributions and its previous reports can be found online here: <http://lra.louisiana.gov/quarterlyreports>.

Following Hurricanes Katrina and Rita, the LRA allocated CDBG-DR funds to establish State-led recovery programs for housing, economic development, and infrastructure rebuilding. It also provided leadership for long-term recovery planning across the State. Highlights of each are as follows:

- **Housing** – Louisiana's Road Home program paid more than \$8.53 billion directly to 127,548 homeowners for repairs and buyouts, including more than \$876 million in elevation funds, which also came from the FEMA post-disaster hazard mitigation funds allocated to the State. A \$521 million rental housing program created 6,237 rental housing units, including 4,226 affordable units. The Small Rental program paid \$158.4 million directly to landlords for repairs. The Piggyback program used \$333 million to create 20 new mixed-income rental developments across coastal Louisiana.
- **Economic Development** – \$300 million was used to fund several State-led programs to revitalize businesses and the workforce, including grants and loans to 4,000 small businesses, training programs for more than 6,000 workers who were directly placed 2,786 in jobs, tourism marketing funds to 11 impacted parishes, 380 research projects, and approximately 90 technology transfers, patents, and licenses.
- **Infrastructure Rebuilding** – More than \$1.4 billion in CDBG funds was allocated for Katrina and Rita infrastructure rebuilding projects, including \$700 million in the Long-Term Community Recovery program, which was designed to let local leaders make decisions about rebuilding projects that were not eligible for rebuilding funds from FEMA. Additional funding went to local government infrastructure projects (\$112.2 million), local school districts (\$247.5 million), and fisheries (\$28.5 million). These funds are in addition to the more than \$11.9 billion in FEMA PA funds invested in rebuilding public infrastructure damaged by Hurricanes Katrina and Rita as well as to reimburse local governments for debris removal and emergency protective measures.⁴⁰
- **Recovery Planning** – The LRA established a long-range planning taskforce, which then led a regional planning process and established a set of planning principles for all local governments to follow. All of the State's parishes (similar to counties) had to comply with the LRA's planning guidelines in

³⁹ LRA, "Louisiana Recovery Authority, 2005 - 2010"

⁴⁰ FEMA, "Louisiana Recovery Office | FEMA.gov," 2013

order to be eligible for CDBG funding for public facilities and infrastructure repairs. This parish-level recovery planning process was supported in large part by the FEMA Emergency Support Function #14 – Long-Term Community Recovery Planning technical assistance provided in the State.

The LRA also led the State's recovery following the 2008 Hurricanes Gustav and Ike, and the LRA board approved a plan that pushed most of the State's allocation of \$565.5 million in CDBG-DR funds to local parish governments and also provided aid directly to the fishing and farming industries.

The LRA closed on June 30, 2010—the sunset date originally prescribed in its establishing legislation. The staff of the LRA merged with the State Office of Community Development's Disaster Recovery Unit, which continues to administer and provide Federally required monitoring of the CDBG-DR funds and work with the GOHSEP on the administration of FEMA funds in the State for the 2005 and 2008 hurricanes. The LRA archives can be found at: <http://lra.louisiana.gov>.

As of the summer of 2016, Governor John Bel Edwards has initiated the process to develop a State recovery framework and coordinate recovery activities through an SDRC. Following the flooding and severe storms experienced by the State of Louisiana in March 2016, Governor Edwards appointed the Director of the GOHSEP, James Waskom, as the SDRC. Director Waskom was tasked with implementing the NDRF. Governor Edwards delegated authority to SDRC Director Waskom to coordinate State agencies and departments participation in these recovery efforts as appropriate. “Recovery from this flood event will be a challenge,” said GOHSEP Director Waskom. “Establishing the NDRF plan will help the State meet the challenges and prepare for future events. As we continue to coordinate assistance for flood victims, it is important to realize a man-made or weather related emergency can happen at any moment in Louisiana. [sic] Having these standards in place will make ongoing recovery efforts more efficient and make the State more resilient.”⁴¹

In order to codify the State's approach to recovery, a planner has been hired to focus solely on the development of the State of Louisiana Disaster Recovery Framework. An executive order put in place by Former Governor Jindal (EO BJ 14-9 Emergency Operations Plan)⁴² was aimed at establishing effective coordination of State, Federal, and private resources to support response and recovery and required GOHSEP to update the emergency operations plan to address the RSFs of the NDRF. This prior work is being reviewed and the most effective way to move recovery planning and coordination forward will be determined in the coming months.

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⁴¹ April 22, 2016. State of Louisiana Press Release. http://gohsep.la.gov/portals/0/News/04222016_GOHSEP_Release_Waskom.pdf

STATE OF COLORADO'S RECOVERY MANAGEMENT FOLLOWING FLOODING AND LANDSLIDES IN 2013

Over the past decade, the State of Colorado has experienced, among other disasters, nearly \$4 billion in flooding in 2013, and wildfires in 2010, 2012, and 2013 that destroyed nearly 1,250 homes, as well as a tornado that tore through multiple communities in 2008. As a result of these disasters, Colorado has developed its own pre-disaster recovery plan to meet future disasters and weather events head on. With an eye toward the past, Colorado is planning for the future and preparing for the next disaster. To quote the Governor of Colorado, John Hickenlooper, during the flooding and mudslides: “Resiliency is not simply something that Colorado wants to do. It is something that we must do - to ensure our safety, vitality and unique way of life into the future.”

On June 1, 2015, the State of Colorado adopted and implemented the Colorado Resiliency Framework, a first-of-its-kind comprehensive document, which serves as Colorado’s blueprint for long-term investment and commitment to meet the challenges brought about by recent and future disasters. The Framework was created, in part, because of major impacts from hazards in recent years and the possibility of greater hazards in the future. The Framework addresses all hazards, whether natural or man made.

After the extensive flooding in 2013, the State of Colorado created the position of Chief Recovery Officer and the Colorado Recovery Office. The office was created to represent the Governor’s Office and to coordinate with multiple State agencies and partners to support and assist counties and communities with a series of planning, management, and community involvement efforts.

The Recovery Office implemented a public engagement campaign aimed at better understanding community perceptions of local risks, vulnerabilities, and resiliency priorities as well as to increase awareness of how to build resiliency at the local level.

Through its Department of Local Affairs (DOLA), the State of Colorado used eight Regional Managers, in place prior to the disasters, to support local jurisdictions across the State. These regional managers were able to help local governments and community agencies define issues, evaluate options, identify solutions, and achieve results. They also offered management, planning, community development, and technical assistance. Their experience, knowledge of local communities, and existing relationships with community leaders allowed them to be effective in coordinating post-disaster recovery activities. These existing programs were able to provide assistance to several communities using the CDBG-DR program.

DOLA and the Colorado Water Conservation Board also implemented a watershed resiliency pilot program, in response to a disaster, that formed 11 watershed coalitions, supported funding to the coalitions for master planning, and staffed 18 coordinator positions in the newly formed watershed coalitions.

Many communities affected by the 2013 floods needed assistance organizing recovery management and planning, leveraging multiple funding resources, planning for watershed restoration, and understanding how to find and apply for a variety of resources. To meet these needs, five symposia, trainings, or workshops, supported by the CPCB field coordinator and CPCB partners, occurred from late November 2013 to August of 2014. The American Red Cross partnered with the CPCB RSF and the State of Colorado to expedite training workshops for communities on resource leveraging and development of grant proposals.

⁴² Executive Order BJ-14-9, <http://www.doa.la.gov/osr/other/bj14-9.htm>

To understand the scope of these disasters and who attended, see a summary table of these workshops on page 26 of FEMA's report *Community Planning & Capacity Building RSF 2014 Year in Review*. Also, information on the workshops and other community recovery resources is available at www.coloradounited.com.

Under the 2015 Framework, the Colorado Recovery Office that was established after the 2013 floods was renamed to the Colorado Resiliency and Recovery Office (CRRO). The name change bolsters the fact that this office, located in the State of Colorado's Governor's Office, has the dual responsibility of continuing its recovery mission and coordinating the long-term implementation of the State's resiliency efforts, in partnership with State, Federal, and local agencies, non-profits, and the private sector. The Framework and the accompanying Resiliency Roadmap, which lays out the initial actions the State is taking to enhance Colorado's resiliency, may be viewed at www.coloradounited.com.

The framework establishes a Colorado Resilience Working Group (CRWG) that is chaired by the CRRO and functions as the leadership team. The CRWG is organized around six sectors: Community; Economic; Health and Social; Housing; Infrastructure; and Watersheds and Natural Resources. Each sector has its own set of resiliency goals; however, they are interdependent and complementary to support overall Colorado resilience.⁴³ Collectively the CRWG works to coordinate resiliency activities across the State to:

- Enhance cross-agency collaboration and communication
- Integrate resiliency into agency policies and plans
- Develop sector-specific action plans
- Monitor progress
- Identify resources
- Educate partners and constituents⁴⁴

Communities are invited to play a role in the Framework's implementation by informing the CRWG and CRRO of local perspectives as the CRRO coordinates the State's resiliency efforts and building partnerships across the public and private sector. Communities provide lessons learned and best practice examples, utilize the Framework in the development of their own resiliency strategies, and serve as ambassadors to expand resiliency knowledge.

The State of Colorado initiated the following actions to implement the Framework: educate and engage the public and stakeholders on the Framework structure and goals; develop risk and vulnerability assessment tools; support local resiliency strategies; establish the Colorado Community Resiliency Partnership Fund; create mapping and land use tools; develop statewide resiliency indicators and metrics; and prepare an annual operating plan and resiliency report, as well as a plan for Framework updates.

Communities can take action to expand the impact of the Framework through the following means: plan and coordinate regionally; dedicate staff to resiliency; engage leadership; develop local resiliency strategies; prioritize and implement projects; invest in resiliency; evaluate and update local land use practices and codes; educate and engage community organizations and members; establish new or support existing networks; and establish peer to peer relationships.

⁴³ 2016 Annual Plan; Colorado Resiliency Framework; pg.5. <https://sites.google.com/a/state.co.us/coloradounited/resiliency>

⁴⁴ Companion to Framework; <http://www.planningforhazards.com/home>

In October 2015, the CRRO issued a Two-Year Report, regarding the progress made through the collaborative efforts of local governments, community groups, and countless volunteers, and acknowledged that more is needed to build a stronger and more resilient Colorado. Several State agencies have provided full service support to municipalities by offering not only grants, but also project development consultation, demographic data and analyses, advice on fiscal sustainability, and subject matter expertise. An example of a State agency providing support in helping Colorado communities become more resilient is the work done by the Division of Local Government (DLG) out of the Department of Local Affairs (DOLA). Early in 2016, DLG released the *Planning for Hazards Guide* and website.⁴⁵ According to DLG’s website:

“The guide and website provide a unique compilation of comprehensive materials, disaster recovery strategies, and lessons learned assembled over the years since the State’s devastating fires and floods in 2012/13. The guide includes information about creating a planning framework, hazard identification, and risk assessments to help communities implement resiliency strategies. The website provides users a variety of options to obtain specific information on targeted topics that will be supplemented over time with additional videos and links to new resources. The University of Colorado Denver, who participated in development, will manage and maintain the website.”

State agencies have also facilitated assistance to disaster survivors through various funding sources and programs, including the creation of a Colorado disaster emergency fund that was used to pay the local match for FEMA program funds, the Colorado Department of Public Health and Environment’s natural disaster grant program, energy mineral impact emergency funds, and natural hazard mapping funds provided by the State Legislature’s adoption of Senate Bill 245 in 2015, just to name a few. For a better understanding of the roles of local agencies see “Table 2 — Colorado Flood Recovery Resources (effective October 1, 2015)” on pages 8–9 of the Two-Year Report Appendices.⁴⁶

Colorado’s experience demonstrates a valuable lesson that States can consider using existing programs and agencies to assist local governments after a disaster and organize to provide a more coordinated structure for recovery and resilience. This relationship and each stakeholder’s responsibility can be formalized through a pre-disaster recovery plan.

⁴⁵ *Planning for Hazards Guide*, <https://planningforhazards.com/home>

⁴⁶ Two-Year Report Appendices, <https://www.colorado.gov/pacific/sites/default/files/CRRO%20Two-Year%20Report%2010-23-15.pdf>

Appendix E: Planning Checklist

STEP I – FORM A COLLABORATIVE PLANNING TEAM

A. Getting Support to Develop a Pre-Disaster Recovery Plan

- Is the Governor's Office on board?
- Are other, diverse recovery stakeholders involved? Remember: include the whole community from the beginning of the recovery planning process for a seamless recovery during the actual disaster.

B. Forming a Collaborative Recovery Planning Team

- Who will be at the core of the planning process? Often the Governor's Office will designate representatives with expertise in fields such as community planning, economic development, infrastructure, housing, and emergency management.
- Emergency management agencies can be the initial conveners and facilitators in the recovery process. Define how emergency management may transition to another lead for recovery—Governor's Office, State disaster recovery coordinator, another lead agency for long-term recovery, etc. Those entities should be integral to the planning process.

C. Involving and Engaging Other Stakeholders and Partners

- Does the planning team include subject matter experts in all the fields of concern presented in the Core Capabilities list or other areas of potential recovery challenges?
- In addition to State, county, and municipal government representatives, have external partners been invited (such as those who serve the needs of children, seniors, those with disabilities and others with access and functional needs, those with limited English proficiency, and those from historically underserved and culturally sensitive populations)?

D. Role of Emergency Management in the Recovery Planning Process

- Emergency management agencies facilitate the transition from Emergency Support Functions to Recovery Support Functions (or their analogous State groups).
- Emergency management agencies often direct public assistance and individual assistance programs with which recovery efforts should be coordinated.
- Emergency management agencies gain on-the-ground knowledge of recovery issues while they are deployed and can communicate those issues to other recovery stakeholders.

STEP II – UNDERSTAND THE SITUATION

A. Existing Plans, Laws, Rules, and Regulations

- Have existing plans, such as emergency operations, land use, hazard mitigation, affordable housing, economic development, continuity of operations, social services, historic preservation, and environmental restoration, been assembled?
- Of these plans, which will likely be impacted by a disaster and how will recovery efforts be integrated into those plans and initiatives, and vice versa? Will these plans be potentially useful to guide and define recovery goals, objectives, and priorities? Look for existing plans that may affect all of the recovery Core Capabilities.
- Which laws and authorities are in place to govern the recovery process and recovery programs?

B. Scope of the Pre-Disaster Recovery Plan

- How will the planning process produce a document that is both a flexible framework describing operational procedures as well as a plan with more specific details about existing State goals, priorities, and initiatives?

C. Impacts and Community Consequences

- Have all of the State's hazards and vulnerabilities been inventoried and studied? Have systematic consequences been identified that may affect all the Core Capability areas?
- Likewise, have any deficits in resources that might be needed after a disaster been identified? Understanding these vulnerabilities and their consequences will help the recovery planning team refine existing and identify new recovery priorities, and also determine whether or not the State has the capacity to address those consequences.
- Have you used this analysis of major direct and indirect impacts to help engage additional stakeholders in the planning process? You may need to revisit Step 1.
- A focused analysis of a State's Core Capabilities will reveal whether that State has the capacity to lead a post-disaster planning and implementation processes.

STEP III – DETERMINE GOALS AND OBJECTIVES

- Evaluate the State's recovery priorities and develop goals based on those priorities. Those priorities may be identified in existing planning and policy documents or they may have been identified based on vulnerabilities identified in the "Understand the Situation" step. Each Core Capability owner should contribute priorities.
- State priorities may be broad and will likely take into consideration how the State will assist all communities in building back safer and stronger.
- What will be the State's goal and objectives for assisting local government in planning and managing recovery?

- How will resilience and mitigation goals and objectives be integrated into recovery goals and objectives?
- It is also important to take into account identified vulnerabilities and which vulnerabilities the State might have the most difficult time addressing (capability gaps) as these will likely become focus areas after a disaster.

STEP IV – PLAN DEVELOPMENT

A. Recovery Leadership

i. Governor's Office

- Leadership and support from the Governor's Office is critical to pre-disaster recovery planning.
- A governor may declare a State of emergency and implement the State's emergency management plan when a disaster strikes. How will the process relate to recovery plans or roles?
- The governor may issue executive orders to facilitate the recovery process, such as easing State laws that could interfere with recovery.
- Will the State need to develop new executive orders or use other authorities to create a special office or commission dedicated to supporting the recovery process, or does statutory authority need to be granted to an agency to oversee recovery.
- Will the Governor's Office appoint a State Disaster Recovery Coordinator (SDRC)?

ii. State Disaster Recovery Coordinator

- The SDRC leads the disaster recovery coordination activities for the State.
- What role will the SDRC play in pre-disaster and preparedness activities.
- What background is expected for the SDRC and how will they be trained before a disaster impacts the State.
- Because of the broad skill sets required of an SDRC, it is important to consider candidates from a variety of backgrounds to fill this role, not just Emergency Management.

B. Decision-Making

- A tension between acting quickly and taking time to deliberate inevitably occurs in disaster. Include mechanisms to ensure that both occur during recovery and that important policy choices are not overlooked.
- The planning team will need to determine a process for post-disaster decision-making that allows for accelerated information flow and maximum stakeholder engagement.
- As local recovery needs are identified, there must be a process for the State to make decisions, set policy, allocate resources, and take other actions to address those needs.

- When possible, a decision-making flow chart should include these steps:
 - Evaluate the conditions and needs and determine a set of scenarios and decision options
 - Consider how the decision options match recovery goals and objectives
 - Consider implementation, funding, and other constraints on various options
 - Ensure that there is sufficient transparency and input on decisions from key stakeholders and that stakeholder communication is linked to the post-disaster decision-making
 - Measure progress against recovery goals and objectives and reconsider and adjust decisions as needed throughout the process
 - Establish a process for applying the policies in the State mitigation plan, a process for adapting those policies, and a process for integrating new risk information into post-disaster rebuilding

C. Organizational Structure for Recovery

The State should define an organizational structure that helps to establish clear roles and responsibilities, reporting relationships, and other operational details. There are three general models that States can follow:

i. Federal RSF-Aligned Structure

States may choose to create a parallel structure to the Federal organization wherein Federal Departments and Partners are organized based on six subject areas, including Community Planning and Capacity Building, Economic, Health and Social Services, Housing, Infrastructure Systems, Natural and Cultural Resources.

ii. Task Force Structure

A Task Force Structure involves multiple levels of government as well as other recovery partners (such as the business community, non-profits, faith-based organizations, and higher education institutions) to focus on a specific issue.

iii. Committee Structure

A recovery committee can act as a steering committee to bring issues to the table and use its broad range of skills and backgrounds to offer solutions. A recovery committee may be established by the Governor's Office. The committee should comprise a broad range of government and community sectors that can help identify and address disaster-related issues.

D. Scalability

- It is important that the State recovery plan acknowledge different scales of disasters.
- Disaster assistance begins at the local level and may go no further. However, local authorities may declare a state of emergency and ask the State for help.

- If there is no Federal declaration, the Governor may order State assistance to be provided in the form of grants, technical assistance, or staffing.
- In a large-scale disaster that exceeds the capabilities of the States, the State will ask the Federal government for assistance.
- In order to address the different levels of impact, there must be organizational flexibility at all levels of government.
- The pre-disaster recovery plan should be applicable to all 641 disasters, major and minor.
 - Presidentially Declared Disasters – During Presidentially declared disasters, Federal resources are released to support State response and recovery efforts.
 - Non-Stafford Disasters – Not all disasters are Federally declared. Although this does not preclude Federal support, that support may be limited.

E. Recovery Roles and Responsibilities

- The roles and responsibilities of participating agencies and partners must be established.
- Acknowledge that these roles and responsibilities may be short-term, intermediate-term, or long-term tasks.
- An understanding of when those roles and responsibilities are applicable needs to be documented in the plan.
- It is important to consider the State’s greatest vulnerabilities, in addition to the organizational structure, when assigning roles and responsibilities.

F. Legal Issues, Laws, and Authorities

In an effort to align the activities of the RSF member agencies, RSF authorities should be established. Questions to consider include:

- What are the authorities of coordinating vs. primary vs. supporting agencies?
- Do the different groups of agencies have the authority to tap into one another’s resources? Is there a system in place for mutual aid agreements?
- What existing authorities must be considered?
- Do any new laws or authorities need to be considered?
- Do they have authority to activate without a Governor's Declaration? Are certain thresholds required before activation is authorized?

The core planning team should also refer to the work completed in Step 2. These authorities should be clearly documented in a pre-disaster recovery plan.

G. Coordination Considerations

i. Horizontal Coordination

The Transition from Response to Recovery

- How will the State recovery organization and leadership work with the emergency response leadership and support functions to ensure a smooth transition to the recovery process? Include and clearly identify the response-oriented organizations and partners in the State's structure for recovery that will facilitate the transition to recovery.

Post-Disaster Recovery Roles

- The post-disaster recovery plan should make clear what will be expected of recovery stakeholders to support recovery as well as methods that will be employed to ensure involved stakeholders remain coordinated throughout the recovery process.
- Processes for enacting post-disaster recovery policies should also be specified.

Sector-Specific Coordinators

- How will coordinators from key agencies be assigned? They will be depended on for their expertise, as the primary points of contact for their respective agencies, and provide updates to the SDRC. If there is a mitigation coordination organization identified in the State mitigation plan, how will it interface with the recovery structure?

Staffing and Operational Guidance

- It is important to document staff resources to manage recovery and their roles and responsibilities in the pre-disaster recovery plan. Protocols for deployment should also be specified.

State Capacity Building

- What can the State do to build its own capacity to manage recovery and with whom should the State partner to build capacity?

ii. Vertical Coordination

Working with Local Government

- How will the State encourage locals to acknowledge and undertake basic pre- and post-disaster planning steps, such as determining recovery leadership, identifying significant recovery partners, and determining how key plans, such as the mitigation plan, will shape post-disaster decisions. After Federal and/or State authorities have demobilized, how will local authorities continue the recovery initiatives that they helped shape.

Working with the Federal Government

- It is critical that State agencies coordinate and build relationships with Federal agencies before a disaster strikes. In identifying Federal agencies to work with in advance of a disaster, States should consider which Federal agencies align with their organizational structure (e.g., State RSFs).

- Coordination with Federal agencies is also critical during and after a disaster as Federal support is available for a limited time.

Working with Nongovernmental Organizations (NGOs)

- NGOs should be included in developing a recovery plan and partnering in its implementation. NGOs can support recovery either in partnership with government entities or by filling capability gaps. Establish an understanding of the types of assistance these partners can offer, including both technical assistance and funding, and how to obtain this assistance. Confirm which organizations can be partners on post-disaster recovery activities.

H. Support to Local Government

Local governments are often not resourced nor experienced to act as the lead recovery manager.

During pre-disaster recovery planning efforts, the State should consider supporting operational and strategic recovery needs at the local level, and establish a process for identifying those needs in communities across a disaster area.

States should consider funding recovery managers or recovery management functions for local governments or assigning the responsibility to do so through the pre-disaster recovery planning process.

While many recovery decisions are local, some decisions may be made at the State level that relate to local planning depending on A) the degree to which local governments have the ability to pass laws to govern themselves and B) how active the local government will be in post-disaster recovery planning and whether there is the local capacity to do so.

The State should also encourage pre-disaster planning, resilience, and capacity building at the local level.

I. Integration of Core Capabilities

For all of the recovery Core Capabilities, the planning team should ask which State agency or department is best suited to coordinate the attainment of that Core Capability.

The pre-disaster recovery plan should document processes, roles and responsibilities, and operational steps associated with addressing these Core Capabilities.

Mitigation Core Capabilities should be addressed as applied to the post-disaster process and rebuilding. Mitigation considerations should be looked at as a cross-cutting issue that is integrated into each of the recovery Core Capabilities.

Core Capability	Considerations
<p style="text-align: center;">PLANNING</p>	<p><i>State Operational Planning:</i></p> <ul style="list-style-type: none"> • Is our plan strategic and operational in nature (i.e., does it include guidance that facilitates plan implementation), covering basic steps the State will take to support the recovery process? Has it followed this guide and CPG 101 and other planning principles for its development? • Does the plan address policy, funding, and finance considerations? • Does it integrate other State-level plans such as the mitigation plan, transportation plan, etc.? • Does the plan reflect procedures and roles that should be followed after a disaster? <p><i>Support to Community-Based Planning:</i></p> <ul style="list-style-type: none"> • Does the plan identify a policy, process, and/or resources defined for local expectations for pre- and post-disaster recovery planning? • Does the plan consider the role of regional government in supporting recovery? • Does the plan have any mechanisms for coordinating local planning activities across jurisdictions?
<p style="text-align: center;">PUBLIC INFORMATION AND WARNING</p>	<ul style="list-style-type: none"> • Does the State have a system in place to deliver public information to impacted communities in coordination with local or regional information providers? • Does the State have a process in place to encourage and support the engagement and inclusion of all people impacted by a disaster? • Is the State prepared to deliver public information in a language other than English and in alternative accessible formats to ensure effective accessible communication for people with disabilities and others with access and functional needs?
<p style="text-align: center;">OPERATIONAL COORDINATION</p>	<ul style="list-style-type: none"> • Does the plan discuss how the State will integrate with both local and Federal partners? • Does the plan discuss how the State will transition from emergency response to recovery? • Does the plan address how the State will involve and coordinate with the private sector?
<p style="text-align: center;">ECONOMIC RECOVERY</p>	<ul style="list-style-type: none"> • Does the plan acknowledge the unique economic and workforce characteristics of communities within the State? • Does the plan discuss job restoration initiatives that may be needed to support the recovery of a community's economy? • Does the plan cover the key drivers of the State economy (i.e., industries and employers that enable the primary economic activities of the State)? • Does the economic recovery section of the plan address the post-disaster time constraints unique to businesses (e.g., a recovery program that takes 6 months to implement may be too late for small businesses.)? • Is the recovery plan aligned with statewide economic and workforce development goals? • Does the plan encourage and integrate business continuity planning considerations?

Core Capability	Considerations
HEALTH AND SOCIAL SERVICES	<ul style="list-style-type: none"> • Does the plan address the restoration and improvement of health and social services? • How can the State support communities during periods where the need for such services may exceed the capacity of communities to provide them adequately? • Does the plan address mental health and post-traumatic disorders caused by the disaster and the stress of recovery? • Does the plan include public and private disability support and services agencies and organizations?
HOUSING	<ul style="list-style-type: none"> • Does the plan take into consideration local accessible and affordable housing needs and local plans that may influence housing development to suit the needs of the community? • How will the State support the redevelopment of housing and affordable housing post-disaster? • How will the State support the redevelopment of accessible housing?
INFRASTRUCTURE SYSTEMS	<ul style="list-style-type: none"> • How does the State support the repair or rebuilding of infrastructure? • Does the State plan address privately held infrastructure systems? • How does the State integrate existing policy into recovery efforts (e.g., a transportation plan, State-level capital improvements plan)? • How does the State integrate accessibility issues into post-disaster infrastructure redevelopment?
NATURAL AND CULTURAL RESOURCES	<ul style="list-style-type: none"> • How does the State support the rehabilitation of environmentally sensitive areas and historic and cultural resources? • Does the plan address the connection between community resiliency and natural resources? • Are considerations given to historic resources, including archeological sites?

J. Integration of Success Factors

A pre-disaster recovery plan should also include metrics for success.

K. Communication and Engagement

- Develop a clear message about what the State does to support recovery and the resources at its disposal.
- There should be an established protocol for how different agencies will communicate with one another throughout the recovery process.
- The plan should include, in a general sense, what information will be shared with the public, how it will be shared, and who will be responsible for sharing that information.
- A person, such as a public information officer or agency should be given responsibility for managing and coordinating public communications.
- The plan should address how the State will encourage and support public input during the post-disaster recovery process.

Success Factor	Considerations
EFFECTIVE DECISION-MAKING AND COORDINATION	<ul style="list-style-type: none"> • Are recovery leadership roles clearly defined? • Have agencies and organizations serving in a leadership capacity established metrics to track progress and accountability?
INTEGRATION OF COMMUNITY RECOVERY PLANNING PROCESSES	<ul style="list-style-type: none"> • Does the plan encourage communities to develop their own recovery framework or plan that is inclusive of the whole community? • Does the plan encourage communities to develop processes and criteria for developing recovery actions?
WELL-MANAGED RECOVERY	<ul style="list-style-type: none"> • Have partnerships across all levels of government and nongovernment organizations been established? • Is there a mechanism in place to address surge staffing and resource needs?
PROACTIVE COMMUNITY ENGAGEMENT, PUBLIC PARTICIPATION, AND PUBLIC AWARENESS	<ul style="list-style-type: none"> • Are all perspectives represented in the planning process? • Is there a plan to ensure transparency and input into decision-making and to ensure public information is accessible to all members of the whole community throughout the recovery process?
WELL-ADMINISTERED FINANCIAL ACQUISITION	<ul style="list-style-type: none"> • Are funding sources documented and partnerships with resource providers established? • Does the recovery plan cover financial monitoring?
ORGANIZATIONAL FLEXIBILITY	<ul style="list-style-type: none"> • Is the organizational structure flexible to meet the needs of communities in the State? • Have intergovernmental relationships across local, tribal, and Federal governments been built?
RESILIENT REBUILDING	<ul style="list-style-type: none"> • Does the plan encourage a sustainable future? • Are risk reduction strategies encouraged or discussed? • Are State policies for mitigation during the recovery phase clearly articulated? • Are roles and responsibilities for ensuring integration of resiliency clear? • Is the State mitigation plan integrated with the recovery plan?

L. Resource Management

Planners can look to the *Effective Coordination of Recovery Resources for State, Tribal, Territorial, and Local Incidents* guide for more information on recovery resource identification, management, and coordination.

i. Using Data to Determine Resource Needs

- Once resource needs have been identified, document existing resources to identify potential gaps.

ii. Understanding State Resources

- After resource gaps have been identified, identify ways to fill those resource gaps.

iii. Acquiring and Managing Resources

- Develop pre-disaster financial management procedures.
- Develop methods for documenting incoming resources to simplify post-disaster record-keeping.
- Develop a strong State-level grants management strategy to better handle grant management.

M. Sector- or Function-Specific Plan Elements

- If the State has established a recovery support structure based on its critical functions or sectors, the pre-disaster recovery plan should discuss how the State will address those functions or sectors post-disaster.
- The pre-disaster recovery plan should discuss the recovery priorities, applicable post-disaster policies to implement, and potential sector- or function-specific resources (funding, staffing, etc.).
- Economic Recovery** – The pre-disaster recovery plan may consider aspects of the State’s economy that are critical and should therefore be given high priority in the recovery process.
- Health and Social Services** – The pre-disaster recovery plan is an opportunity to document priorities, such as the recovery of hospitals and schools, and where resources may be needed most.
- Housing** – The pre-disaster recovery plan may consider the resources and potential gaps in resources for housing recovery following different disaster types that are likely in the State.
- Infrastructure Systems** – The pre-disaster recovery plan should note which systems are critical for recovery, who owns those systems, and what resources will likely be available for their recovery.
- Hazard Mitigation** – Identify how the State mitigation plan relates and is applied during the operational process defined in the recovery plan. Identify how coordination entities or elements in the mitigation plan are utilized during recovery.

STEP V – PLAN PREPARATION, REVIEW, AND APPROVAL

- Information, documentation, and decisions from the preceding steps should be consolidated to formulate a written pre-disaster recovery plan. CPG 101 includes general guidelines for writing effective plans.
- Leadership, stakeholders, structure, and roles and responsibilities should be clearly documented.
- The plan should include how the State will coordinate itself and how it will coordinate with other levels of government or nongovernment entities.
- All stakeholders involved in the planning process should have the opportunity to review it and provide feedback.
- A draft plan should be distributed to the public, especially if required by the State. States may have policies and/or protocol in place for plan reviews.
- The plan should be submitted to the State’s approving authority (e.g., Governor’s Office and/or State legislature) to provide any additional feedback, and ultimately for final approval and/or adoption.

STEP VI – PLAN IMPLEMENTATION AND MAINTENANCE

State stakeholders should establish a regular schedule of training, exercises, and document review, revision, and update.

- Exercises** – Include scheduled exercises, which involve developing disaster scenarios and practicing plan implementation.
- Scheduled Reviews and Updates** – The State pre-disaster recovery plan should be reviewed and updated regularly to expose new vulnerabilities and address them through the established planning protocol.
- Document Best Practices** – The planning team should document best practices from other States and lessons learned during the plan development process. Additionally, improvements can be made to the plan during scheduled updates by incorporating lessons learned during plan exercises and from actual post-disaster recovery efforts.

Appendix F: Terms and Definitions

Accessibility: The suitability or adaptability of programs, services, activities, goods, facilities, privileges, advantages, or accommodations for all members of the population, including individuals with disabilities.

Capability: The sum of capacity, ability, and knowledge that provides the means to accomplish a mission, function, objective, or end state.

Capacity: A combination of all the strengths and resources available within a community, society, or organization that can reduce the level of risk, or the effects of a disaster.

Community: A network of individuals and families, businesses, governmental and nongovernmental organizations, 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.

Core Capabilities: Distinct critical elements necessary to achieve the *National Preparedness Goal*.

Collaborative Planning Team: A group of individuals representing organizations responsible for plan execution that develop and write the actual plan, contribute to planning efforts, and help to facilitate, organize, and carry out planning events.

Limited English Proficiency: Persons who do not speak English as their primary language and who have a limited ability to read, speak, write, or understand English.

Mitigation: Capabilities necessary to reduce loss of life and property by lessening the impact of disasters. Mitigation capabilities include, but are not limited to, community-wide risk reduction projects; efforts to improve the resilience of critical infrastructure and key resource lifelines; risk reduction for specific vulnerabilities from natural hazards or acts of terrorism; and initiatives to reduce future risks after a disaster has occurred.

Nongovernmental Organization (NGO): A nongovernmental entity that serves the interests of its members, individuals, or institutions and is not for private benefit.

Planning: The process of developing, maintaining, exercising, executing, and updating a plan.

Recovery: Those capabilities necessary to assist communities affected by a disaster to recover effectively, including, but not limited to, rebuilding infrastructure systems; providing adequate interim and long-term housing for survivors; restoring health, social, and community services; promoting economic development; and restoring natural and cultural resources.

Resilience: The ability to adapt to changing conditions and withstand and rapidly recover from disruption due to emergencies.

Response: The capabilities necessary to save lives, protect property and the environment, and meet basic human needs after a disaster has occurred.

Risk: The potential for an unwanted outcome as determined by its likelihood and the consequences.

Risk Assessment: A product and process evaluating information based on a set of criteria specifying risks for the purpose of informing priorities, developing or comparing courses of action, and informing decision-making.

Stakeholder: People or organizations that may be impacted by a policy or action.

Strategic Planning: A planning process establishing organizational goals and identifying, scoping, and establishing requirements for the provision of capabilities and resources to achieve them.

Success Factors: Factors, that if realized, are indicative of a successful recovery process.

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

Vulnerability: A physical feature or operational attribute of a jurisdiction or area that renders it susceptible to a given hazard.

Whole Community: A focus on enabling the participation of a wider range of players from the private and nonprofit sectors, including NGOs and the general public, in conjunction with the participation of Federal, State, and local governmental partners in order to foster better coordination and working relationships. This term also highlights the inclusion of people with disabilities and others with access and functional needs, older adults, families, youth/children, and people with limited English proficiency.



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