

# State of Connecticut



## Disaster Recovery Framework and ESF #14

Department of Emergency Services and Public Protection /  
Division of Emergency Management and Homeland Security

Version 3.0

2019

Prepared as an Annex to the State Response Framework by the Department of Emergency Services and Public Protection / Division of Emergency Management and Homeland Security, in collaboration with ESF 14 partners including the Department of Insurance and the Department of Economic and Community Development.

The Long-Term Recovery Committee reviewed and unanimously approved the adoption of the Disaster Recovery Framework, Version 3.0, at the October 24, 2019 meeting.

  
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10/25/2019  
Date

  
\_\_\_\_\_  
William J. Hackett  
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10/24/19  
Date

## Record of Changes

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Revision	Date Entered	Posted by
Version 2.0- <ul style="list-style-type: none"> <li>• Updated Sequence of Delivery (IA),</li> <li>• Agency additions to Support for Meeting Short Term Goals</li> <li>• Addition of FMAG program</li> <li>• Basis for declarations (emergency, major, expedited)</li> <li>• Factors for declarations (IA, PA)</li> <li>• State Disaster Recovery chart (added)</li> <li>• IA and PA fact sheets</li> <li>• Appendix on FMAG</li> </ul>	4/25/2017	R. Stewart
<ul style="list-style-type: none"> <li>• Updated fact sheets</li> </ul> Long Term Recovery Meetings: June 2017 review, June 2018 Adoption	June 2018	R. Stewart
Version 3.0 <ul style="list-style-type: none"> <li>• Updated FEMA IA Factors for declaration</li> <li>• DRRRA fact sheets</li> <li>• Added checklist, templates and principal factors for IHP in CT to appendix</li> <li>• Introduction of community lifelines</li> <li>• Updated Signature Page</li> </ul>	June review July/August, 2019 edits	R. Stewart
<ul style="list-style-type: none"> <li>• added Child Care Emergency Preparedness Manual - finalized Sept. 2019</li> </ul>	10/17/2019	R. Stewart
correction on p. 12	1/17/2020	R. Stewart

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# Section 1.0 Introduction

## 1.1 Purpose and Scope

### 1.1.1 Purpose

The State of Connecticut Disaster Recovery Framework (DRF) provides a framework for state-level support of local and tribal recovery efforts through partnerships with local, state, tribal, non-governmental and federal organizations.

Although the concepts in the DRF are scalable and may be applicable to incidents of various scales and scope, the DRF is intended to address recovery from an incident that reaches the level of a *disaster*. A disaster is an incident of a sufficient magnitude and nature that response and recovery exceed the normal capabilities of a jurisdiction. An incident of this magnitude may result in a request from the Governor to the President for an Emergency or Major Disaster Declaration under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-388 (Stafford Act).

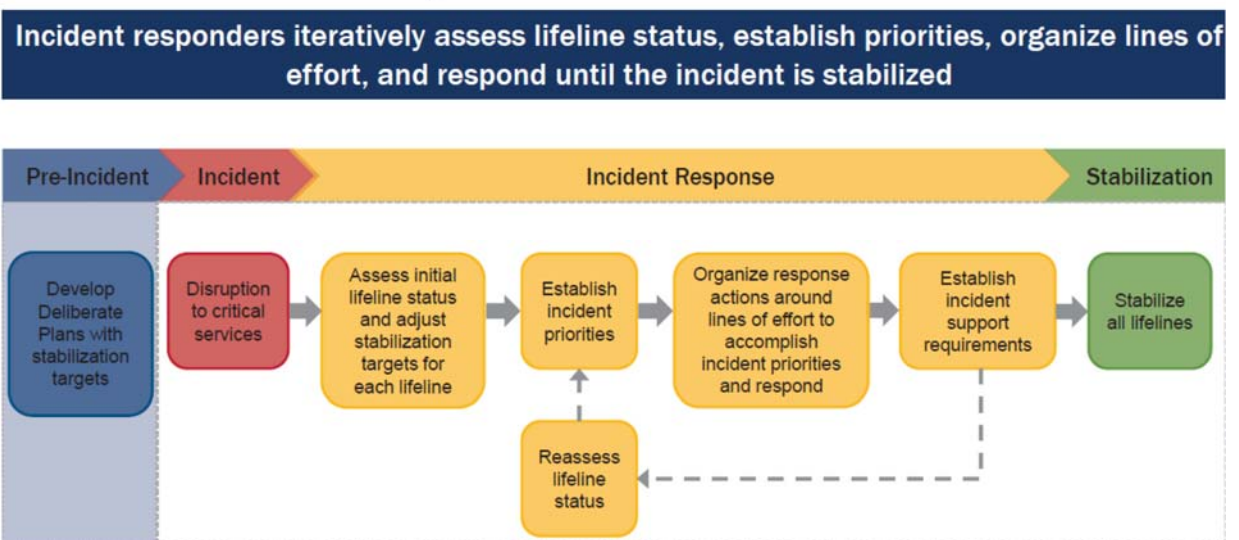
This plan addresses the concept of operations and lines of coordination for both short-term and long-term recovery activities. Short-term recovery activities begin during the response phase and focus on the immediate needs of individuals and communities. Long-term recovery activities focus on meeting the un-met needs of individuals and on returning communities to pre-disaster conditions. Version 4.2 of the State Response Framework introduces the concept of Community Lifelines. As the State, municipalities and tribal nations learn more about community lifelines, the use of lifelines can be incorporated into situation assessment and reporting. Under community lifelines, the Recovery Phase includes the transition to the stabilization of community lifelines.

Community lifelines reframe incident information to **provide decision-makers with impact statement and root causes**.

The **Lifeline Construct** is used to focus response actions on incident stabilization.

**Stabilization of lifelines** occurs when immediate threats to life and property are anticipated, resourced, and managed and basic lifeline services are provided to survivors

## Lifelines Drive Response



### 1.1.2 Scope

In accordance with Connecticut General Statutes Section 28-5, this plan is part of the coordinated and integrated plan and program of statewide civil preparedness, which includes local, state, tribal, and other public, private, or non-profit organizations involved in recovery efforts, in order to enhance collaboration and continuity of effort between levels of government and to minimize the duration and contain the effort needed for full recovery in affected areas.

Note: This plan is Emergency Support Function (ESF) #14, Long Term Recovery and Mitigation, of Connecticut’s State Response Framework (SRF) which can be found on the [DEMHS/DESPP website](#). The term “local government” refers to Connecticut’s 169 towns and two tribal Nations unless otherwise stated.

## 1.2 Authority

Titles 28 and 29, Chapter 517 of the Connecticut General Statutes are the major sources of authority for the State of Connecticut and its political subdivisions to prepare for and respond to natural disasters and other emergencies. The Robert T. Stafford Disaster Relief and Emergency Assistance Act, PL 100-707, signed into law November 23, 1988, as amended, (the Stafford Act) is the federal legislation that creates a national program for disaster preparedness, response, recovery, and mitigation. The Stafford Act has been recently amended by the Post-Katrina Emergency Reform Act and Sandy Recovery Improvement Act of 2013, and the Disaster Reform Act of 2018.

Connecticut’s emergency management program, developed under the authority of Title 28, complies with the federal program established by the Stafford Act. Although there are many federal and state statutes and regulations that have a bearing on emergency management, Title 28 of the Connecticut General Statutes and the Stafford Act are the two laws most central to emergency management in Connecticut.

## 1.3 Situation and Assumptions

Connecticut is comprised of 169 home rule municipalities and 2 Tribal Nations. It is divided geographically into eight counties which do not have any associated government structure (no county government). The top three counties by population, based on 2018 population estimates are Hartford (892,697), New Haven (857,620), and Fairfield (943,823).

New England		
Ranking by Geographic Size		Population
#1	Maine	1,338,404
#2	Vermont	626,299
#3	New Hampshire	1,356,458
#4	Massachusetts	6,902,129
#5	Connecticut	3,572,665
#6	Rhode Island	1,057,315



Neighboring States		
Ranking by Geographic Size	State	Population
#1	Pennsylvania	12,807,060
#2	New York	19,542,209
#3	New Jersey	8,908,520

The southerly flow of the Connecticut River divides the state roughly in half. The coastal plain and central valley are relatively flat and contain most of the larger cities. Other parts of the state are hilly, with the highest altitudes in the northwest corner. Hills are largely covered with hardwood forests, and about two-thirds of the state is in open land. Despite Connecticut’s small size, there is some variety in climate, with temperatures in the northern hills as much as 10 degrees lower than those in the central valley year-round.

Economically, Connecticut, per Gross Domestic Product (GDP) per capita, is ranked 3<sup>rd</sup> (2018 ranking) in the United States. Connecticut is New England’s second smallest and southernmost state but also the second most populated state with 3.57 million residents and ranks as the 29th most populated state in the United States. Its 5,009 square miles (13,023 square kilometers) are bordered by New York State on the west, Rhode Island on the east, Massachusetts on the north and by Long Island Sound on the south.

Repeated disasters over recent years have compounded the needs of Connecticut, locally, regionally, and statewide. The most common disasters affecting Connecticut are flooding, winter storms and tropical storms. In addition, in the Hazard Identification Risk Assessment (HIRA), there are myriad other natural and human-caused threats that the State of Connecticut has identified as part of the emergency management planning process.

Areas susceptible to disaster impacts include, but are not limited to:

- Nuclear power plants
- Power facilities and systems
- Infrastructure: utilities, water treatment plants
- Transportation Systems: NY to Boston Corridor; Ports; bridges, rail lines, evacuation routes
- Hospitals and Healthcare facilities

### **DEMHS Regions**

Connecticut’s municipalities and two tribal nations are divided into five emergency preparedness planning regions. The five DEMHS Regional offices are currently located in Bridgeport (Region 1), Middletown (Region 2), Hartford (Region 3), Colchester (Region 4) and Waterbury (Region 5). During emergencies, the Regional Offices serve as resource coordinators and liaisons between municipalities and the State.

### **Regional Emergency Planning Teams (REPTs)**

Each DEMHS Region convenes a Regional Emergency Planning Team (REPT). The REPT operates under bylaws that provide each municipal Chief Executive Officer (CEO) within the DEMHS Region with a vote. REPTs include other local, state and private sector representatives from numerous emergency management disciplines. Each REPT also has a Regional Emergency Support Plan (RESP) which outlines the Region's mutual aid and resource support in response to an emergency.

### **Planning Assumptions**

1. Although the majority of disasters in Connecticut are managed locally, a disaster can occur with little or no warning, and can escalate to exceed the response capability of any single local authority or responding organization.
2. Achieving and maintaining effective individual and community preparedness is the first line of defense against disasters and can reduce the immediate stress on response organizations. This level of preparedness requires continual public awareness and education to ensure residents and businesses take precautions to reduce their emergency vulnerability, especially during and immediately after disaster impact.
3. Local governments utilize available resources and access mutual aid before requesting state assistance.
4. Local governments coordinate together through the five DEMHS Regional Emergency Planning Teams, and will utilize their Regional Emergency Support Plans to seek mutual aid among municipalities.
5. Municipalities will also use the Connecticut Intrastate Mutual Aid system, Conn. Gen. Stat. Section 28-22a, to seek mutual aid from other municipalities not necessarily within their DEMHS regions.
6. Local officials involved in emergency management initiate actions that save lives and protect property and the environment while maintaining direction and control of resources within their areas based on procedures outlined in a Local Emergency Operations Plan (LEOP).
7. DEMHS is always available to support local emergency management.
8. When state resources and capabilities are exhausted, additional resources are available through the Emergency Management Assistance Compact (EMAC), the International Emergency Management Compact (IEMC), and the federal government.
9. Emergency planning is based on pre-incident identification of at-risk populations and facilities and the determination of resource shortfalls and contingencies.
10. Persons who anticipate needing special care in emergency situations will inform their functional needs requirements to their Local Emergency Management Director or other local officials before an emergency occurs.
11. Each state or local agency and volunteer organization documents and seeks reimbursement, as appropriate and available, for expenses incurred during disaster operations.
12. DEMHS, state agencies, and the State Emergency Operations Center (SEOC) utilize the principles of the National Incident Management System (NIMS) when coordinating or involved in a state-level response to or supporting recovery in an incident.
13. The SEOC acts as a multi-agency coordination center (MACC) when activated and is a component of the state Multi-Agency Coordination System (MACS).
14. Government actions at local, state, judicial, legislative, and executive levels are executed according to statute and based on continuity of government planning to ensure stability of leadership in preparing for and responding to all hazards.
15. The purpose of State government and its respective agencies and subdivisions during incidents and emergency situations is to assist local jurisdictions in providing for residents and visitors based on the following priorities: life safety, incident stabilization, and property conservation in that order. All procedures outlined in this Plan adhere to these priorities.

## Section 2.0 Phases of Disasters: Preparedness, Response, Recovery and Mitigation

The State of Connecticut's State Response Framework (SRF), outlines the general emergency operations concepts for emergencies and disasters that may require mutual aid or a state level response. The SRF describes the interaction of state, local, federal and tribal governments, non-governmental response organizations, other private sector partners, the media and the public in implementing emergency response and recovery functions in times of crisis. As part of the SRF, this Disaster Recovery Framework (DRF) focuses on recovery activities, both short and long term.



There is often no firm, fixed boundary between phases. Recovery activities often begin immediately after an incident occurs; recovery measures often involve implementation of mitigation measures; and response activities may persist well into recovery for certain disasters.

### 2.1 Preparedness /Protection

Preparedness includes activities that seek to prevent casualties, expedite response activities and minimize property damage in the event of a disaster. It is a continuous process for the State and local governments to improve their readiness. Some examples of preparedness activities are:

- Training and exercise
- Emergency Plan updates based on After Action Reports (AAR)
- Community education and awareness
- Assessment of State and local hazards and risks
- Partnerships with response and recovery partners on local, regional, state, federal levels
- Identification, recruitment, and training of volunteers in disaster response and recovery

### 2.2 Response

Response activities are undertaken during and in the aftermath of a disaster to save lives, protect property and the environment, and meet basic human needs. Response also includes the execution of emergency plans, continued assessment of community lifelines and actions that transition into short-term recovery. Incident priorities are established based on initial assessment of impacted lifelines.

## Community Lifeline Components



### 2.3 Recovery

Short-term recovery activities are immediate and often overlap with the response phase of a disaster. The priorities for Short-Term recovery following a disaster are life safety of citizens and the restoration of lifelines (vital services) to affected local communities. Municipalities and voluntary organizations join forces to meet the immediate and essential needs of impacted residents by providing medical attention, clothing, food and temporary housing. Municipalities assess damages to housing, business and infrastructure. These initial damage assessments steer additional Short-Term Recovery efforts.

Guidance on restoration of identified critical functions, services/program, vital resources facilities, and infrastructure to the impacted area and immediate recovery actions :

- Support life-safety (health and medical)
- Address survivor needs – (food, water, sheltering)
- Support public safety (safety and security)
- Support restoration of infrastructure - Energy (Power & Fuel)
- If Community Lifelines are used in assessment- allocate resources to address impacted lifelines

### 2.4 Mitigation

Mitigation includes activities that reduce the severity of a future disaster's effects on a community. As with preparedness, mitigation is a continuous process. Some examples are:

- Community education and awareness of hazards within the community
- Relocation of homes and businesses away from high-risk areas
- Development of a long term strategy that promotes sound building design / construction practices that improve the community's ability to withstand the impact of future disasters.
- Provision of help to local communities adopting flood plain ordinances
- Elevation or relocation of crucial utilities/appliances to safer places within the home

## Section 3.0 Sequence of Delivery (Individual Assistance)

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The sequence of delivery outlines the Disaster Recovery Process as it spans both short-term and long-term recovery. Recovery begins and ends with Voluntary Organizations. Following a disaster, Voluntary Organizations assist with sheltering, feeding, clothing and other immediate needs. After federal assistance and other programs are exhausted, Voluntary Organizations can assist in meeting the unmet needs of individuals.

### 3.1 Voluntary Organizations

Voluntary organizations are generally the first to have volunteers and donations available to assist survivors. In a major event, volunteers may be able to provide assistance with small debris removal and cleanup, minor home repairs, tarping roofs, and other disaster-related needs. Agencies such as the American Red Cross and Salvation Army can assist municipalities with sheltering and feeding. Many citizens also donate food, cash, clothing and other small items to voluntary agencies. Cash donations are encouraged through Connecticut's donations management process. In Connecticut, voluntary organizations work together through CT VOAD (Volunteer Organizations Active in Disaster).

### 3.2 Insurance

Home owners and renters, should file insurance claims **as soon as possible**. For the most part, FEMA funds cannot be allocated until all insurance benefits have been exhausted to avoid duplication of benefits. Although survivors should register for FEMA assistance as soon as possible, they should expect insurance benefits to arrive first before their Individual assistance claims are finalized.

### 3.3 Federal Resource

There are two primary assistance programs for individuals and families after a Presidential Disaster Declaration: the Individuals and Households Program and the Small Business Administration Disaster Loan Program. (See Section 3.4 Disaster Assessment Process for additional information).

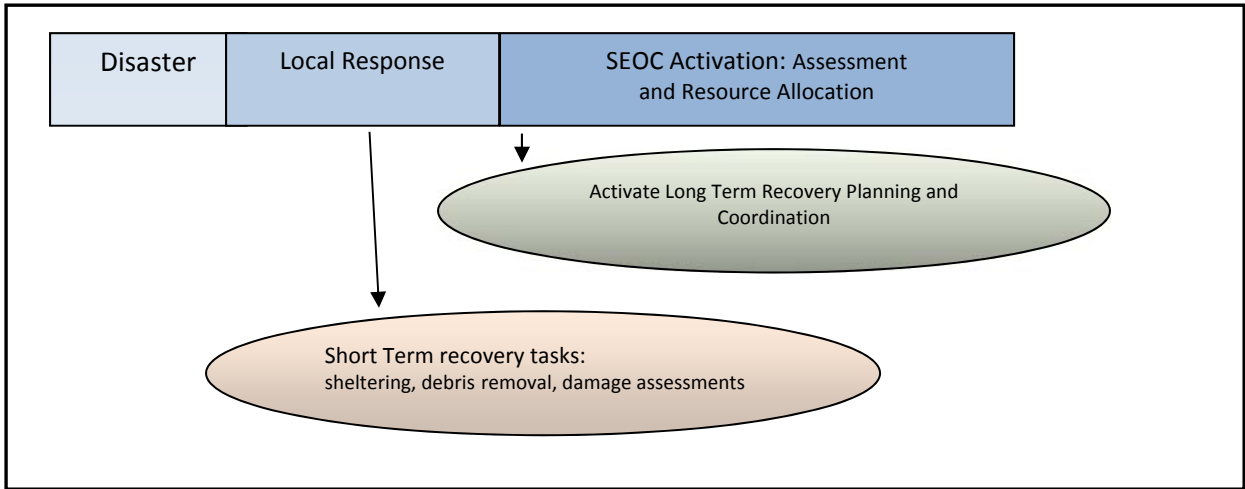
### 3.4 Voluntary Organizations (Unmet Needs)

After exhausting insurance payments and federal assistance programs, many families may still have unmet needs. Voluntary Organizations can provide assistance with extending rental assistance beyond individual assistance, home repairs, etc.

## Individual Assistance: Sequence of Delivery



\*Eligibility for federal assistance is based on each applicant's individual circumstances as they relate to each program's conditions of eligibility. Not all applicants will be eligible for all forms of federal assistance.



## Section 4.0 Short Term Recovery

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### 4.1 Short Term Recovery Goals

(Specific short-term goals may be dependent on the scope and magnitude of the disaster) may include:

- Assess initial lifeline status set and adjust as needed stabilization targets for each impacted lifeline
- Conduct life-safety, search and rescue
- Assess survivors' needs: medical, psychological, housing needs
- Provide food and temporary shelter to displaced residents
- Provide public information on assistance, shelters through public messaging and the use of United Way 2-1-1 Info Line.
- Conduct debris removal, clean up (may include emergency demolitions) to support Life safety Missions and Restoration of Critical Infrastructure
- Establishing safe transportation routes (debris removal, infrastructure assessment etc)
- Assess damage to infrastructure, residential and business properties
- Coordinate with Utility Companies on the restoration of infrastructure (power, landlines, cell towers, water, sewer etc.) utilizing Make Safe Protocol as needed. (for more information on the Make Safe Protocol, see the ESF 12 Annex to the State Response Framework.
- Assist State in possible Joint State/Federal Preliminary Damage Assessments (PDAs)

### 4.2 Concept of Operations

- Incidents originating at a local level that exceed local and mutual aid resources may lead to requests for State assistance.
- The State EOC will monitor disaster response activities statewide and will coordinate the provision of assistance to state and local authorities as necessary and appropriate.
- The appropriate Activation Level (partial or full activation) of the State Emergency Operations Center and the DEMHS Regional Offices will be determined by the Governor, upon advice from DEMHS.
- The Governor is responsible for providing direction and control of all State activities before, during and after an emergency or disaster.
- The State response/SEOC activation is described in the State Response Framework, and organized and coordinated under the National Incident Management System (NIMS) and Incident Command Structure (ICS).
- If necessary, the Governor may declare a state of emergency under Section 28-9, C.G.S. and invoke emergency powers which allow the Governor to take any action reasonably necessary in light of the emergency.



- Based on reports of damage, the State may implement a Preliminary Damage Assessment (PDA) in coordination with local governments in order to determine if the damage levels meet the criteria for federal assistance.
- The Governor may request direct federal assistance through FEMA in a Presidentially declared major disaster or emergency or in an event which is likely to result in a Presidential declaration of a major disaster or emergency.
- The Governor may activate the State’s Disaster Debris Management Plan which outlines the proper management of debris generated by a disaster. The Debris Management Plan can be found on the [CT DEEP website](#). Additional information is provided in Annex E to this framework.

### 4.3 Logistics and Resource Support for Meeting Short Term Recovery Goals

- Voluntary Agency Level
  - American Red Cross – Disaster relief services provided by the Red Cross may include assistance with shelter operations, food services, and disaster health services (within a Red Cross shelter).
  - Connecticut Info-line 2-1-1 provides a single point of contact for the general public. Residents can access information by calling 2-1-1 or logging onto <https://www.211ct.org/>. United Way 2-1-1 disseminates information on the emergency or disaster and provides information on resources such as food, clothing or emergency shelter locations.
  - CT Voluntary Organizations Active in Disaster (CT VOAD) – liaison between voluntary organizations that provide disaster services and local, state and federal agencies. Members include: American Red Cross, Adventists Community Services Disaster Response, Salvation Army, Connecticut Food Bank, United Way 2-1-1, Save the Children and Team Rubicon.
- Local and Regional
  - Local Emergency Operations Plans (LEOP)
  - Local Mutual Aid Protocols
  - Emergency Notification Systems (provide shelter information, evacuation routes if needed)
  - CERT and other Volunteer Civil Preparedness Force Members – utilize specialized teams for Mass Care, search and rescue, pet sheltering (ESF 11), etc.
  - Utility Liaisons (EOC liaison)
  - Mass Care/Sheltering Section of LEOP
  - Mass Care/ Sheltering MOA with Red Cross (if applicable)
  - Multi-town Shelters – a best practice in many regions
  - Regional Emergency Support Plans (RESPs) – RESPs outline the support and mutual aid towns in each region can provide during an emergency.

- Regional Incident Management Teams
- Cot Inventories (local and regional caches)
- Incident Management Teams – these local volunteer teams do not replace the incident commander, but they can provide support and expertise in the management of the incident.
- State level
  - State Response Framework (SRF) – SRF is the State’s Emergency Operations Plan
  - ESF 9, Search and Rescue, including volunteer Urban Search and Rescue Team under the auspices of CT DEMHS– the USAR Team may be activated in the event of a building collapse or other disaster.
  - ESF 7 Logistics and Resource Support-- Task Forces include Commodities Distribution (State of Connecticut Commodities Distribution Standard Operating Procedure (SOP))- The SOP outlines the distribution of commodities, normally following the approval of a direct federal assistance request for items such as water, tarps, food, generator/fuel task force etc.
  - ESF 6 Mass Care Task Force-- may convene as part of SEOC activation.
    - Medical Reserve Corps – The MRC maintains teams of local volunteer medical and public health professionals who can contribute their skills and expertise during times of community need.
  - Behavior Health Regional Crisis Response Teams -an organized network of behavioral health providers established by state statute to respond to the mental health needs of Connecticut residents following major disasters (e.g., bioterrorism, manmade or natural disasters). The network consists of five regional behavioral health crisis response teams that can be deployed immediately anywhere in the state
  - Public Information Officer – PIO public messaging, coordination of press releases
  - Mobile Field Hospital - a mobile facility designed for deployment in either 25-bed increments or in its full complement of 100 beds to any location in the state in response to a mass casualty event. Operated by the state Department of Public Health
  - Debris Management Plan – The full plan can be found on-line on the [CT DEEP website](#).
  - ESF 12 All-Hazards Energy and Utility Annex, including Restoration Task Force and Make Safe Protocol.
- Federal level
  - Incident Management Assistance Teams (IMATs)
  - Direct Federal Assistance (requests may include commodities)
  - Federal Disaster Assistance Programs
    - Individual Assistance (IA)
    - Small Business Administration Disaster Loan Program (SBA)

- Public Assistance (PA)
- Hazard Mitigation Grant Program (HMGP)
- Fire Management Assistance Grant Program (FMAG) (see Appendix G)

#### **4.4 Logistical Support for Short Term Recovery Activities**

Logistical Support will be coordinated through the State EOC and may include:

- Donations Management –
  - MOA with Adventist Community Services for donations management, including warehouse
- Debris Management-
  - See Annex E, below
- Preliminary Damage Assessments – PDAs
  - Vehicle Support - DAS Fleet, Department of Correction
  - PDA Coordination/Pre-PDA meetings – State EOC
- Disaster Recovery Centers -DRCs (opened after an Individual Assistance (IA) declaration)
  - MOAs with CT Community College System
  - MOAs with various towns for DRC facilities (see DRC Facility Annex)

#### **4.5 Roles in Short-Term Recovery**

- State Individual Assistance Officer – The IA Officer serves as the State liaison to FEMA IA, coordinates establishment of DRCs.
- State Public Assistance Officer- PA Officer coordinates all State related activities involved in processing PA payments, conducts PA briefings, acts as State liaison to FEMA PA staff.
- State Hazard Mitigation Officer- SHMO reviews and evaluates potential HMGP projects
- Partners: Federal, State Agencies, Local / Tribal, CT VOAD

## Functional Roles in Short Term Recovery

Task	2-1-1	CT VOAD	CERT Teams	Local/ Tribal	ARC	FEMA	DEMHS	Dept. of Ins.	DOL	Dept. of Housing	DPH	DOT	DEEP
Sheltering (includes Pet Sheltering ESF 11)	S		S	P	S		S			S	S		
Feeding, Clothing	S	P	S		P		S						
Public Information	S			P	S	P	P						
Debris Removal				P			P						P
Disaster Housing				P			S			S	S		
Initial Damage Assessments	S			P	S		P						
IA PDA Teams				P	S	P	P	S		S			
PA PDA Teams				P		P	P			S		S	S
Individual Assistance Program	S			S		P	P						
Disaster Recovery Centers				P		P	P						
Disaster Unemployment							S		P				
Public Assistance	S			S		P	P						
<b>P- Primary      S-Support</b>													

## 4.6 Direct Federal Assistance

### 4.6.1 Requests for Direct Federal Assistance

The Governor can make requests for direct federal emergency assistance when the magnitude and severity of the disaster preclude effective local and State disaster response. The request will delineate the specific emergency assistance required and substantiate the need for assistance. Depending on the disaster, direct assistance requests may include:

- Debris Clearance and/or Removal
- Food, bottled water, tarps and Other Consumable Commodities
- Other Emergency Protective Measures (equipment, teams)

### 4.6.2 Commodities Distribution Standard Operating Procedure

The Commodities Distribution SOP may be activated as needed, including following Federal approval of the State's request for direct federal assistance for emergency items which may include:

- Bottled water
- Ice (not a federal commodity)
- Food / MREs
- Tarps
- Cots
- Plastic sheeting
- Blankets

The SOP involves coordination between State Agencies, the federal government, and municipalities in order to fill town requests for commodities.

## 4.8 The Damage Assessment and Declaration Process

### 4.8.1 Initial Damage Assessment (IDA)

- The purpose of Initial Damage Assessments (IDA) is to gather information on the nature, magnitude and scope of an incident. Damage assessments are conducted during the response phase of an incident, generally within 24-36 hours of the disaster impact.
- Following a disaster, the State will distribute both Individual Assistance (IA) and Public Assistance (PA) Initial Damage Assessment forms to impacted communities. Towns may be asked to perform an in-field "windshield survey" of impacted residences, businesses and other infrastructure that may have sustained damage as a result of the disaster/emergency. The information obtained from these damage assessments is used to provide situational awareness about the extent of impacts, and to guide decision-makers in prioritizing needs and requesting resources.

#### 4.8.2 FEMA/State Joint Preliminary Damage Assessment (PDA)

- Based on the information collected during the IDA process, if there appears to be sufficient damages to meet or exceed thresholds for federal disaster assistance, a recommendation may be made to the State Emergency Management Director to request a FEMA/State joint Preliminary Damage Assessment (PDA).
- The joint Federal/State preliminary damage assessment focuses on damages to individual homes, businesses, public facilities, the infrastructure, and the extent to which the immediate emergency needs are being met.
- The PDAs will be coordinated with the local municipalities.
- The most impacted areas will be assessed first.
- PDAs may be held on municipal, state impacts (Public Assistance), residential properties (Individual Assistance) and business impacts (Small Business Administration).
- PDA teams for Individual Assistance and Business impacts may consist of: FEMA, State (DEMHS), Red Cross, State Department of Insurance, Department of Economic and Community Development, Department of Housing, Small Business Administration.
- PDA teams for Public Assistance may consist of: FEMA, State (DEMHS), Department of Transportation, Department of Energy and Environmental Protection (DEEP).
- During and at the conclusion of the PDA, DEMHS and FEMA will analyze the data to determine whether the extent of damages warrants a request by the Governor for a major disaster declaration
- Detailed information on the procedures for Initial Damage Assessment (IDA), preliminary damage assessment and the declaration process is provided in the DEMHS Disaster Assistance Handbook.

#### 4.8.3 Types of Disaster Declarations (44 C.F.R. Part §206, Subpart B)

##### 4.8.3.1 Emergency

An Emergency Declaration is a request for federal assistance, to supplement the State and Local capabilities to save lives, protect property, public health and safety or to lessen or avert the threat of a catastrophe. Emergency declarations can be requested, by the Governor, for incidents which would not qualify under the definition of a major disaster. The request must be submitted within 5 days of need for assistance under Title V becomes apparent but no longer than 30 days after occurrence of incident.

Emergency, as defined by the Robert T. Stafford Disaster Relief and Emergency Assistance Act, is:  
“Any occasion or instance for which, in the determination of the President, Federal Assistance is needed to supplement State and local efforts and capabilities to save lives and to protect property and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States.”

The basis for the Governor’s request must include that the situation:

- Is of such severity and magnitude that effective response is beyond the capacity of the State and the affected local government(s); and

- Requires supplementary Federal emergency assistance to save lives and protect property, public health and safety or to lessen or avert the threat of a disaster.

In addition the request for assistance shall include:

- Confirmation that the Governor has taken appropriate action under State law and directed the execution of the State Response Framework (SRF);
- Information describing the State and local efforts and resources which have been or will be used to alleviate the emergency;
- Information describing other Federal agency efforts and resources which have been or will be used in responding to this incident; and
- Identification of the type and extent of additional Federal aid required.

**Emergency Declarations with Federal Primary Responsibility:**

When an emergency exists for which the primary responsibility rests with the Federal government, the President may declare an emergency without a request from the Governor. Such an emergency declaration does not prevent the Governor from subsequently requesting a major disaster declaration for other unmet needs caused by the disaster.

**4.8.3.2 Pre-landfall/Pre-disaster Emergency**

In some situations, particularly when a hurricane is forecasted to affect the State, and warnings are issued, the Governor may request a pre-landfall emergency declaration, in order to pre-stage federal assets and enhance state and local preparations. See FEMA Disaster Assistance Policy (DAP) 1001.

**4.8.3.3 Major**

A Major Disaster Declaration is a request for federal disaster assistance to supplement the efforts of State, Local and disaster relief organizations in recovery from a disaster. A Governor may request a major disaster Declaration through the FEMA Regional Administrator within 30 days of the incident. States can submit a written request to extend the 30 day period.

The basis for a major disaster declaration includes the following findings:

- The situation is of such severity and magnitude that effective response is beyond the capacity of the State and the affected local government(s); and
- Federal Assistance under the Act is necessary to supplement the efforts and available resources of the State, local governments, disaster relief organizations, and compensation by insurance for disaster-related losses.

Major Disaster, as defined by the Stafford Act, is:

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

In addition, the request for a Major Disaster Declaration shall include:

- Confirmation that the Governor has taken appropriate action under State law and directed the execution of the State emergency plan;
- An estimate of the amount and severity of damages and losses stating the impact of the disaster on the public and private sector;
- Information describing the nature and amount of State and local resources which have been or will be committed to alleviate the results of the disaster;
- Preliminary estimates of the types and amount of supplementary Federal disaster assistance needed under the Stafford Act; and
- Certification by the Governor that State and local government obligations and expenditures for the current disaster will comply with all applicable cost sharing requirements of the Stafford Act.

#### 4.8.3.4 Expedited

For a disaster that is unusually severe, the State may receive an expedited Major Disaster Declaration. The Governor may send an abbreviated request for a declaration through the FEMA Regional Administrator

##### Expedited Request

In cases where a major disaster is of “unusual severity and magnitude,” field assessments may not be necessary to determine the necessity of Federal assistance. The Governor or Acting Governor may send an abbreviated request that does not need to include estimate damages or amount of expected Federal assistance.

The request must indicate findings that:

- The situation is of such severity and magnitude that effective response is beyond the capacity of the State and the affected local government(s); and
- Federal Assistance under the Act is necessary to supplement the efforts and available resources of the State, local governments, disaster relief organizations, and compensation by insurance for disaster-related losses.

In addition, the request shall include:

- Confirmation that the Governor has taken appropriate action under State law and directed the execution of the State emergency plan;
- Information describing the nature and amount of State and local resources which have been or will be committed to alleviate the results of the disaster;
- Certification by the Governor that State and local government obligations and expenditures for the current disaster will comply with all applicable cost sharing requirements of the Stafford Act.

*Procedures for PDAs and sample Declaration Letters can be found in the DEMHS Disaster Assistance Handbook.*



**4.8.4 Factors: When evaluating requests for major disasters and making recommendations to the President, FEMA considers the factors outlined in 44 C.F.R. Subpart B §206.48, revised 6/2019.**

**Individual Assistance Program:**

1. State fiscal capacity and resource availability. FEMA will evaluate the availability of State resources, and where appropriate, any extraordinary circumstances that contributed to the absence of sufficient resources.
  - a. Fiscal capacity. A State's potential ability to raise revenue from its own sources to respond to and recover from a disaster. The following data points are indicators of fiscal capacity:
    - i. Total Taxable Resources (TTR) of the State. TTR is the U.S. Department of Treasury's annual estimate of the relative fiscal capacity of a State. A low TTR may indicate a greater need for supplemental Federal assistance than a high TTR.
    - ii. Gross Domestic Product (GDP) by State. GDP by State is calculated by the Bureau of Economic Analysis. GDP by State may be used as an alternative or supplemental evaluation method to TTR.
    - iii. Per Capita personal income by local area. Per capita personal income by local area is calculated by the Bureau of Economic Analysis. A low per capita personal income by local area may indicate a greater need for supplemental Federal assistance than a high per capita personal income by local area.
    - iv. Other Factors: Other limits on a State's treasury or ability to collect funds may be considered
  - b. Resource Availability: FEMA evaluates the availability of resources from State, Tribal, and local governments as well as non-governmental organizations and the private sector.
    - i. State, tribal and local government; non-governmental organizations (NGO) and private sector activity. The State may provide information regarding the resources that have been and will be committed to meet the needs of disaster survivors such as housing programs, resources provided through financial and in-kind donations, and the availability of affordable (as determined by the U.S. Department of Urban and Housing Development's fair market rent standards) rental housing within a reasonable commuting distance of the impacted area.
    - ii. Cumulative effect of recent disasters. The cumulative effect of recent disasters may affect the availability of State, Tribal, local government, NGO, and private sector disaster recovery resources. The State should provide information regarding the disaster history within the last 24-month period, particularly those occurring within the current fiscal cycle, including both Presidential (public and individual assistance) and gubernatorial disaster declarations.
2. Uninsured home and personal property losses. Uninsured home and personal property losses may suggest a need for supplemental Federal assistance. The State may provide the following preliminary damage assessment data:
  - a. The cause of damage

- b. The jurisdictions impacted and concentration of damages
  - c. The number of homes impacted and degree of damage
  - d. The estimated cost of assistance
  - e. The homeownership rate of impacted homes
  - f. The percentage of affected households with sufficient insurance coverage appropriate to the peril
  - g. Other relevant preliminary damage assessment data
3. Disaster impacted population profile. The demographics of a disaster impacted population may identify additional needs that require a more robust community response and delay a community's ability to recover from a disaster. FEMA will consider demographics of the impacted communities for the following data points as reported by the U.S. Census Bureau or other Federal agencies:
- a. The percentage of the population for whom population status is determined
  - b. The percentage of the population already receiving government assistance such as Supplemental Security Income and Supplemental Nutrition Assistance Program benefits.
  - c. The pre-disaster unemployment rate
  - d. The percentage of the population that is 65 years old and older
  - e. The percentage of the population 18 years and younger
  - f. The percentage of the population with a disability
  - g. The percentage of the population who speak a language other than English and speak English less than "very well"
  - h. Any unique considerations regarding American Indian and Alaskan Native Tribal populations raised in the States' request for a major disaster declaration that may not be reflected in the data points referenced above.
4. Impact to community Infrastructure. The following impacts to a community's infrastructure may adversely affect a population's ability to safely and securely reside within the community.
- a. Life saving and life sustaining services. The effects of a disaster may cause disruptions to or increase the demand for life-saving and life-sustaining services, necessitate a more robust response, and may delay a community's ability to recover from a disaster. The State may provide information regarding the impact on life saving and life sustaining services for a period of greater than 72 hours. Such services include but are not limited to police, fire/EMS, hospital/medical, sewage, and water treatment services.
  - b. Essential community services. The effects of a disaster may cause disruptions to or increase the demand for essential community services and delay a community's ability to recover from a disaster. The State may provide information regarding the impact on essential community services for a period greater than 72 hours. Such services include but are not limited to schools, social services programs and providers, child care, and eldercare.
  - c. Transportation infrastructure and utilities. Transportation infrastructure or utility disruptions may render housing uninhabitable or inaccessible. Such conditions may also affect the delivery of life sustaining commodities, provision of emergency services, ability to shelter in place, and efforts to rebuild. The State may provide information

regarding the impact on transportation infrastructure and utilities for a period of greater than 72 hours.

5. **Casualties.** The number of individuals who are missing, injured, or deceased due to a disaster may indicate a heightened need for supplemental Federal disaster assistance. The State may report the number of missing, injured, or deceased individuals.
6. **Disaster Related Unemployment.** The number of disaster survivors who lost work or became unemployed due to a disaster and who do not qualify for standard unemployment insurance may indicate a heightened need for supplemental Federal assistance. This usually includes the self-employed, service industry workers, and seasonal workers such as those employed in tourism, fishing, or agriculture industries. The State may provide an estimate of the number of disaster survivors impacted under this paragraph as well as information regarding major employers affected.

- **Public Assistance Program:**
  - **Estimated cost of the assistance.** FEMA evaluates the estimated cost of Federal and nonfederal public assistance against the statewide population to give some measure of the per capita impact within the State. FEMA uses a figure of \$1 per capita as an indicator that the disaster is of such size that it might warrant Federal assistance, and adjust this figure annually based on the Consumer Price Index for all Urban Consumers.
  - **Localized impacts.** FEMA evaluates the impact of the disaster at the county and local government levels, as well as at the American Indian and Alaskan Native Tribal Government levels, because, at times, there are extraordinary concentrations of damages that might warrant Federal assistance even if the statewide per capita is not met. This is particularly true where critical facilities (such as major roadways, bridges, public buildings, etc.) are affected or where localized per capita impacts are extremely high. For example, localized damages may be in the tens or even hundreds of dollars per capita, even though the overall per capita impact is low.
  - **Insurance coverage in force.** FEMA considers the amount of insurance coverage that is in force or should have been in force as required by law and regulation at the time of the disaster, and reduces the amount of anticipated assistance by that amount.
  - **Hazard Mitigation.** To recognize and encourage mitigation, FEMA considers the extent to which mitigation measures contributed to the reduction of disaster damages. This could be especially significant in those disasters where, because of mitigation, the estimated public assistance damages fell below the per capita indicator.
  - **Recent multiple disasters.** FEMA also considers the disaster history within the last twelve-month period to better evaluate the overall impact on the State or locality. FEMA considers declarations under the Stafford Act as well as declarations by the Governor and the extent to which the State has spent its own funds.
  - **Programs of Other federal assistance.** FEMA also considers programs of other Federal agencies because at times their assistance programs might more appropriately meet the needs created by the disaster.

## Section 5.0 Federal Disaster Assistance Programs

There are four major federal disaster assistance programs that can be made available under a presidential major disaster declaration: Public Assistance (PA), Individual Assistance (IA), Small Business Administration (SBA), and Post Disaster Hazard Mitigation. Each program addresses specific recovery needs for various eligible entities. The programs are summarized below.

### 5.1 Public Assistance Program

The FEMA Public Assistance (PA) Grant Program provides assistance to state, tribal and local governments, and certain private nonprofit organizations. Through the PA Program, FEMA provides supplemental federal disaster grant assistance for debris removal, emergency protective measures, and the repair, replacement, or restoration of disaster-damaged, publicly owned facilities and the facilities of certain Private Non-Profit (PNP) organizations. The PA Program also encourages protection of these damaged facilities from future events by providing assistance for hazard mitigation measures during the recovery process. The federal share of assistance is not less than 75% of the eligible cost for emergency measures and permanent restoration.



Using Public Assistance guidelines, FEMA determines if the various components are eligible for disaster assistance. The applicant is the basis for eligibility. The applicant must be eligible for the facility to be eligible. The facility must be eligible for the work to be eligible. The work must be eligible for the cost to be eligible. [FEMA's Public Assistance Program and Policy Guide \(PAPPG\)](#) can be found on the FEMA Website. Information regarding changes to the Public Assistance Program as a result of the Disaster Recovery Reform Act of 2018 (DRRA) can be found in Appendix B.

#### Eligible Applicants

There are four types of eligible applicants for public assistance. If an entity meets the requirements of one of the types, the Applicant may be eligible to receive Federal disaster assistance.

- State Government Agencies
- Local Governments and Special Districts  
Any county, city, village, town, district, or other political subdivision of any State and includes any rural community, unincorporated town or village, or other public entity for which an application for assistance is made by a State or political subdivision thereof.

Other State and local political subdivisions may be eligible if they are formed in accordance with State law as a separate entity and have taxing authority. These include, but are not limited to, school districts, irrigation districts, fire districts, and utility districts.

- Private Non-Profit Organizations  
Private Nonprofit organizations or institutions that own or operate facilities that are open to the general public and that provide certain services otherwise performed by a government agency. These services include:

- *Education*  
Colleges and universities  
Parochial and other private schools
- *Utility*  
Systems of energy, communication, water supply, sewage collection and treatment, or other similar public service facilities.
- *Emergency*  
Fire protection, ambulance, rescue, and similar emergency services.
- *Medical*  
Hospital, outpatient facility, rehabilitation facility, or facility for long-term care for mental or physical injury or disease.
- *Custodial Care*  
Homes for the elderly and similar facilities that provide institutional care for persons who require close supervision, but do not require day-to-day medical care.
- *Other Essential Governmental Services*  
Museums, zoos, community centers, libraries, homeless shelters, senior citizen centers, rehabilitation facilities, shelter workshops and facilities that provide health and safety services of a governmental nature. Health and safety services are essential services that are commonly provided by all local governments and directly affect the health and safety of individuals. Low-income housing, alcohol and drug rehabilitation, programs for battered spouses, transportation to medical facilities, and food programs are examples of health services.
- Federally recognized Native American Indian Tribes, Alaskan Native Tribal Governments, Alaskan Native village organizations or authorized tribal organizations and Alaskan Native village organizations.  
[Note: Tribes may now apply for their own disaster declaration.]

### **Eligible Facility**

An eligible facility is any building, works, system, or equipment that is built or manufactured, or any improve and maintained natural feature that is owned by an eligible public or private nonprofit (PNP) applicant with certain exceptions.

To be eligible a facility must:

- Be the responsibility of an eligible applicant.
- Be located in a designated disaster area.
- Not be under the specific authority of another Federal agency.
- Be in active use at the time of the disaster.

Examples of eligible public facilities include:

- Roads (non-Federal aid)
- Sewage Treatment Plants
- Airports
- Irrigation Channels
- Schools
- Buildings
- Bridges and Culverts
- Utilities

### **Eligible Work**

To be eligible for funding, disaster recovery work performed on an eligible facility must:

- Be required as the result of a major disaster event,
- Be located within a designated disaster area, and
- Be the legal responsibility of an eligible applicant.

### **Categories of Work**

#### **Emergency Work**

##### **Category A: Debris Removal**

Clearance of trees and woody debris; certain building wreckage; damaged/ destroyed building contents; sand, mud, silt, and gravel; vehicles; and other disaster-related material deposited on public and, in very limited cases, private property.

##### **Category B: Emergency Protective Measures**

Measures taken before, during, and after a disaster to eliminate/reduce an immediate threat to life, public health, or safety, or to eliminate/reduce an immediate threat of significant damage to improved public and private property through cost-effective measures.

#### **Permanent Work**

##### **Category C: Roads and Bridges**

Repair of roads, bridges, and associated features, such as shoulders, ditches, culverts, lighting, and signs.

##### **Category D: Water Control Facilities**

Repair of drainage channels, pumping facilities, and some irrigation facilities. Repair of levees, dams, and flood control channels fall under Category D, but the eligibility of these facilities is restricted.

**Category E: Buildings and Equipment**

Repair or replacement of buildings, including their contents and systems; heavy equipment; and vehicles.

**Category F: Utilities**

Repair of water treatment and delivery systems; power generation facilities and distribution facilities; sewage collection and treatment facilities; and communications.

**Category G: Parks, Recreational Facilities, and Other Facilities**

Repair and restoration of parks, playgrounds, pools, cemeteries, mass transit facilities, and beaches. This category also is used for any work or facility that cannot be characterized adequately by Categories A-F.

**Eligible Costs**

Generally, costs that can be directly tied to the performance of eligible work are eligible. Such costs must be:

Reasonable and necessary to accomplish the work;

Compliant with Federal, State, and local requirements for procurement; and

Reduced by all applicable credits, such as insurance proceeds and salvage values.

A reasonable cost is a cost that is both fair and equitable for the type of work being performed.

For example: If the going rental rate for a backhoe is \$25/hour, it would not be reasonable to charge \$75/hour for a backhoe.

Determining reasonableness is particularly important when Federal funds are involved. Considerations should be given to whether the cost is of a type generally recognized as ordinary and necessary for the subject facility and type of work and whether the individuals concerned acted with prudence in conducting work. In addition, normal procedures must not be altered because of the potential for reimbursement from Federal funds.

**Reasonable costs can be established through:**

- The use of historical documentation for similar work;
- Average costs for similar work in the area;
- Published unit costs from national cost estimating databases; and
- FEMA cost codes.

In performing work, applicants must adhere to all Federal, State, and local procurement requirements. An applicant may not receive funding from two Federal sources to repair disaster damage this is considered a duplication of benefits. Such a duplication of benefits is prohibited by the Stafford Act. A State disaster assistance program is not considered a duplication of Federal funding. Insurance proceeds, donated grants from banks, private organizations, trust funds, and contingency funds must be evaluated individually to determine whether they constitute a duplication of benefits.

The eligible cost criteria referenced above apply to all direct costs, including labor, materials, equipment, and contracts awarded for the performance of eligible work.



## 5.2 Individual Assistance Program

FEMA's Individual Assistance (IA) program includes a number of programs geared toward providing assistance to individuals impacted by a disaster. The [Individual Assistance and Policy Guide](#) can be found on the FEMA website. Additional updates to the Program as a result of the Disaster Recovery Reform Act of 2018 can be found in Appendix C.

FEMA's Individuals and Households Program (IHP) is broken down into two grant programs: Housing Assistance (HA) and Other Needs Assistance (ONA).

- Housing Assistance offers funds for temporary housing (rental assistance while a survivor is displaced from his/her home) and home repair.
- Other Needs Assistance offers funds for some essential needs, such as disaster-related funeral expenses, necessary medical equipment, limited personal property such as furniture, appliances and transportation.

Most categories of Other Needs Assistance are dependent on survivors completing a Small Business Administration (SBA) disaster loan application. This application is automatically sent to a survivor after completing the FEMA registration process. If a survivor qualifies for an SBA loan to replace personal property, he or she will not be eligible for SBA-dependent Other Needs Assistance. Disaster-related funeral, dental and medical expenses are the only categories of Other Needs Assistance that are not dependent on completing the SBA loan application.

As part of the annual State Administrative Plan for Individual Assistance, the State sets maximum payments for disaster related funeral expenses, child care, transportation repair and transportation replacement.

### **Other IA programs:**

- **Crisis Counseling**  
The Crisis Counseling Assistance and Training Program (CCP), authorized by §416 of the Stafford Act, is designed to provide supplemental funding to States for short-term crisis counseling services to people affected in Presidentially declared disasters. There are two separate portions of the CCP that can be funded: immediate services and regular services. A State may request either or both types of funding.
- **Disaster Unemployment**  
The Disaster Unemployment Assistance (DUA) program provides unemployment benefits and reemployment services to individuals who have become unemployed because of major disasters. Benefits begin with the date the individual was unemployed due to the disaster incident and can extend up to 26 weeks after the Presidential declaration date. These benefits are made available to individuals not covered by other unemployment compensation programs, such as self-employed, farmers, migrant and seasonal workers, and those who have insufficient quarters to qualify for other unemployment compensation. All unemployed individuals must register with the State's employment services office before they can receive DUA benefits.
- **Disaster Legal Services**  
Through an agreement with the Young Lawyers Division of the American Bar Association can provide free legal assistance to disaster victims. Legal advice is limited to cases that will not produce a fee (i.e.,

these attorneys work without payment). Cases that may generate a fee are turned over to the local lawyer referral service. The assistance that participating lawyers provide typically includes:

- Assistance with insurance claims (life, medical, property, etc.)
  - Counseling on landlord/tenant problems
  - Assisting in consumer protection matters, remedies, and procedures
  - Replacement of wills and other important legal documents destroyed in a major disaster
- Disaster Case Management

Disaster Case Management (DCM) provides relief to disaster survivors by connecting them with the resources and services of multiple agencies, including the development of individual recovery plans that incorporate sustainable assistance for the household's recovery. Based on the FEMA Assessment two types of DCM programs may be requested:

- Immediate DCM is a rapid response component of the DCMP. IDCM services may deploy based on either the State's request for DCM as a part of a Declaration request, or a written request submitted to FEMA within 15 days of the date of declaration. The need for IDCM will be determined by the outcome of the DCM Assessment and concurrence from FEMA.
- The State DCM Grant is a Federal grant that makes funds available to the State to implement a DCMP, by utilizing providers to offer DCM services for long-term disaster-caused unmet needs.

In order to receive these Supplemental Programs additional assessments may be conducted by FEMA and applications by the State may be required.

### 5.3 Small Business Administration Program

The Small Business Administration (SBA) Disaster Assistance Program can provide federally subsidized low interest disaster loans to homeowners, renters, businesses of all sizes and private non-profit organizations to repair or replace real estate, personal property, machinery and equipment, inventory and business assets that have been damaged or destroyed in a declared disaster.

The Small Business Administration can provide three types of disaster loans to qualified homeowners and businesses:

- **home disaster loans** to homeowners and renters to repair or replace disaster-related damages to home or personal property,
- **business physical disaster loans** to business owners to repair or replace disaster-damaged property, including inventory, and supplies; and
- **economic injury disaster loans**, which provide capital to small businesses and to small agricultural cooperatives to assist them through the disaster recovery period.

The SBA Disaster Loan Program is released in conjunction with a Presidential declaration authorizing Individual Assistance. In addition, for disasters that do not meet the criteria for a Major Disaster Declaration, the State may seek an Agency-only declaration from the Small Business Administration. (see Appendix D: SBA Disaster Criteria Sheet).

## 5.4 Disaster Hazard Mitigation Grant Program

The Disaster Hazard Mitigation Grant Program (HMGP) is released in conjunction with a Major Disaster Declaration authorizing Public Assistance. This Program assists States, Tribes, and local communities in implementing long-term hazard mitigation measures following a major disaster declaration.

The purpose of HMGP is to reduce the loss of life and property due to natural disasters through the implementation of mitigation measures. HMGP funding is allocated using a “sliding scale” formula based on the percentage of funds spent on Individual and Public Assistance for each presidentially declared disaster. The formula provides for up to 15% of the first \$2 billion of estimated aggregate disaster assistance.

- Program Goals and Objectives:
  - To significantly reduce or permanently eliminate future risk to lives and property from natural disasters
  - Provide funds to implement projects in accordance with priorities identified in State, Tribal, or Local hazard mitigation plans
- Eligible Sub-Applicants include:
  - State and local government agencies
  - Certain private non-profit organizations
  - Indian Tribal Governments
  - Individual homeowners and businesses may not apply directly, however, a community may apply on their behalf
- Eligible Activities include:
  - Localized flood risk reduction projects
  - Property acquisition and structure demolition/relocation
  - Structure elevation
  - Dry flood proofing (non-residential and historic residential structures only)
  - Minor Localized flood reduction projects
  - Non-structural retrofitting of existing buildings
  - Infrastructure Retrofit
  - Soil Stabilization
  - Mitigation Planning

The state's administrative plan governs how projects are selected for funding. However, proposed projects must meet certain minimum criteria. These criteria are designed to ensure that the most cost-effective and appropriate projects are selected for funding. Both the law and the regulations require that the projects are part of an overall mitigation strategy for the disaster area. The state prioritizes and selects project applications developed and submitted by local jurisdictions. The state forwards applications consistent with state mitigation

planning objectives to FEMA for eligibility review. Funding for this grant program is limited and states and local communities must make difficult decisions as to the most effective use of grant funds.

### **Pre-Disaster Mitigation Program**

The Pre-Disaster Mitigation (PDM) program, an annual mitigation grant program, provides funds for hazard mitigation planning and projects on an annual basis. The PDM program was set in place to reduce overall risk to people and structures, while at the same time, also reducing reliance on federal funding if an actual disaster were to occur.

#### **Eligible Sub-applicants:**

- State Agencies
- Indian Tribal Governments
- Local Governments/Communities

Individual homeowners and businesses may not apply directly to the program; however an eligible applicant or sub-applicant may apply on their behalf.

- All eligible Sub applications will be ranked by the Connecticut Interagency Hazard Mitigation Committee (CIHMC) before being submitted to FEMA.
- Sub applicants must have a FEMA approved Hazard Mitigation Plan

#### **Eligible Activities:**

- Mitigation Planning
- Localized flood risk reduction projects
- Purchase and installation of generators for critical facilities
- Soil stabilization
- Infrastructure Retrofit

Projects must demonstrate cost-effectiveness using FEMA's Benefit Cost Analysis Software

Cost Share Break down 75/25 (percentage of federal/non-federal share)

### **Flood Mitigation Program**

The Flood Mitigation Assistance (FMA) program provides funds for projects to reduce or eliminate risk of flood damage to buildings that are insured under the National Flood Insurance Program (NFIP).

- All eligible Sub applications will be ranked by the Connecticut Interagency Hazard Mitigation Committee (CIHMC) before being submitted to FEMA.
- Sub applicants must have a FEMA approved Hazard Mitigation Plan to be eligible for funds. Local and Regional Hazard Mitigation Plans are updated on a five year schedule.

**Eligible Sub Applicants:**

- States and Local Governmental Agencies
- Indian Tribal Government

Individual homeowners may not apply directly to the program; however an eligible applicant or sub-applicant may apply on their behalf.

**Eligible Activities:**

- Property acquisition and structure demolition
- Technical Assistance
- Structure elevation
- Dry Flood-proofing (non-residential and historic residential structures only)
- Minor localized flood reduction projects (that primarily benefit NFIP insured structures)
- Mitigation Re-construction

Projects must be cost effective using FEMA's Benefit Cost Analysis Software

**More information on Hazard Mitigation Assistance Programs (HMA) can be found in [FEMA's Hazard Mitigation Assistance Guidance](#) .**

## Section 6.0 Declaration Process

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### 6.1 Requesting a Presidential Declaration

DEMHS, in coordination with the Governor's Unified Command, will make a recommendation to the Governor whether or not to request an Emergency or Major Disaster Declaration. To make a recommendation for a Major Disaster declaration, DEMHS will review with FEMA the PDA results (see Section 4.8.2 above) and ongoing response activities to determine if the damages and scope of disaster impacts meet FEMA's Disaster Assistance thresholds. If the Governor determines a major disaster declaration request is warranted, DEMHS will develop the request, which must certify that the event exceeds the capabilities of the state and local communities to effectively respond and recover, justify the need for the declaration, and detail requested federal disaster assistance. The Governor then submits the request to the President through the FEMA Regional Administrator within 30 days of the incident (unless an extension is requested and approved by FEMA).

Based on all available information, the FEMA Regional Director shall formulate a recommendation and forward it to the President with the Governor's Request for a disaster declaration.

### 6.2 Federal Criteria for Declaration Requests

The Code of Federal Regulations and FEMA Policies establish criteria against which a request is measured, which include:

- 44 CFR Part B 206.36 Requests for major disaster declarations
- 44 CFR Part B 206.48 Factors considered when evaluating a Governor's request for a Major Disaster Declaration
- 44 CFR Part B 206.37 Processing Requests for declarations of a major disaster or emergency
- FEMA Response and Recovery Directorate Policy: 9122.1 Designation of Counties for Major Disaster Declarations

### 6.3 Declaration Denials and Appeals

If a Disaster Declaration request is denied, the State can collect additional disaster data and submit a letter of appeal as outlined in 44 CFR Part B 206.46. Appeals. (see the DEMHS Disaster Assistance Handbook for additional information).

### 6.4 Notification of Presidential Disaster Declaration

FEMA will notify DEMHS/State Emergency Management Director, who in turn notifies the Governor. FEMA also notifies appropriate members of the State's Congressional Delegation, and appropriate Federal agencies when the President declares a major disaster for the State. The SCO/Deputy SCO will ensure that local government officials are notified. The State Public Information Officer will, in turn, contact the news media.

The Federal Register Notice published after a major disaster declaration will name all counties designated and Disaster Assistance Programs authorized.

## 6.5 Federal Coordinating Officer (FCO)

FCO: By authority and direction of Public Law 93-288, as amended, the President appoints the FCO to manage the Federal response, recovery, and mitigation operations for each presidentially declared disaster or emergency.

The FCO is responsible for the following activities:

- Government and Intergovernmental Coordination
- Establishes the Federal presence as the President's representative at the disaster site
- Coordinates the relationships among Federal, State, and local personnel in concert with the SCO
- Advises the SCO/GAR/Governor on the status of the Federal response
- Establishes response and recovery operations with the SCO
- Alerts, coordinates, and directs other Federal agencies to support the State in identifying and meeting disaster needs
- Alerts, coordinates, and directs other Federal agencies to support the State in identifying and meeting disaster needs
- Establishes an effective communications network with State and local agencies
- Assesses damage and identifies and prioritizes needs in collaboration with the SCO
- Identifies the full range of programs and resources required to carry out the immediate response and long-term recovery
- Establishment of a JFO and DRCs in coordination with the SCO

## 6.6 State Roles: GAR and SCO

- The SCO is identified in the Governor's request for an emergency or a major disaster declaration. The SCO provides operational oversight and direction of the disaster or emergency on behalf of the GAR for Joint Field Office (JFO) operations. The SCO converts the GAR's strategic guidance into tactical plans, executes them on behalf of the State, and responds to the requests of the Governor. The SCO may be responsible for the following activities:
  - Interfacing with the Federal Coordinating Officer (FCO)
  - Directing activities for State departments and agencies
  - Integrating State, Federal, local, and voluntary agencies' actions
  - Coordinating response and recovery operations
  - Establishing priorities
- Designation of a Deputy State Coordinating Officer (DSCO). Typical duties assigned to the DSCO may include:
  - Fulfilling duties delegated by the SCO

- Representing the SCO as needed
- Coordinating State Operations in the JFO
- Managing State personnel at the JFO

## 6.7 FEMA/State Agreement

Following the President’s disaster declaration, the Governor and the FEMA Regional Administrator will enter into an agreement that stipulates the following:

- The geographic areas (typically counties) that are eligible for federal assistance
- The programs being made available
- The division of costs between the state, municipalities, eligible non-profit organizations and the federal government (typically a 25/75 cost share)
- The incident period
- Any other specific conditions for receiving federal disaster assistance.
- Designation of the Governor’s Authorized Representative (GAR). The GAR provides oversight and direction of the response and recovery on behalf of the Governor. The GAR executes all necessary documents on behalf of the State. GAR Duties include:
  - Interfacing with the Federal Disaster Recovery Manager (DRM)
  - Continuing to Implement the State’s Response Framework and implement the State’s Disaster Recovery Framework.
  - Activating State departments and agencies.
  - Executing the Governor’s emergency decisions
  - Directing the activities of the State Coordinating Officer (SCO)
  - Establishing strategic response and recovery strategies
- Designation of the State Coordinating Officer (SCO).
- 6.8 Joint Field Office (JFO)

The JFO is a temporary Federal multiagency coordination center established locally to facilitate field-level incident management activities following a presidentially declared disaster. The JFO provides a central location



for coordination of Federal, State, local, tribal, nongovernmental and private-sector organizations with primary responsibility for activities associated incident support.

## **6.8 State Disaster Recovery Coordinator (SDRC)**

State Disaster Recovery Coordinator (SDRC). The SDRC functions as a deputy to, or coordinates with, the SCO to coordinate State recovery efforts on behalf of the Governor. The SDRC works to ensure that State agencies, programs, and subject matter experts are working together in support of tribal and municipal recovery efforts. The SDRC is normally appointed by the Governor. The SDRC may work simultaneously as the LTR chairperson or oversee the work of a separately designated LTR chairperson. The SDRC is typically a senior level position within the Executive Branch of State Government. The SDRC is also responsible to ensure that:

- Recovery leadership is tiered, integrated and inclusive, operating with a unity of effort, supported by sufficient assessment and analysis, and provides a defined structure and decision making process necessary for recovery activities.
- A defined recovery support strategy and timeline is established for recovery leadership that effectively coordinates and uses appropriate Federal, State and local assistance, nongovernmental and private sector resources, and any other available resources to achieve the impacted jurisdiction's recovery strategy objectives.

## **6.9 Regional and Local Disaster Recovery Coordinators**

Depending on the severity of the disaster, a DEMHS Region and/or state municipality may designate a Disaster Recovery Coordinator to work with state, local, federal and private sector (including nongovernmental organizations) collaboratively to assist disaster survivors. DEMHS has provided job descriptions to assist in selecting a qualified individual to occupy this role. See section 8.

## Section 7.0 State Role in Implementing Federal Disaster Programs

### 7.1 State Role in Public Assistance

Once a major declaration involving the Public Assistance (PA) Program is declared by the President, DEMHS will conduct actions to implement the PA Program.

- **Applicant Briefings**

The DEMHS Disaster Recovery Unit, in coordination with the DEMHS Regional Office(s), schedules Applicants' Briefings in each disaster-impacted county to advise potential eligible applicants of the availability and requirements of Federal public assistance. The application process for each eligible state and local government entity and private non-profit organization begins with the applicant briefing.

Notifications of the Applicant's Briefings are sent to each Chief Elected Official (CEO) and Emergency Management Director (EMD) of towns in the declared counties. In addition, DEMHS coordinates with the Governor's Non-Profit Liaison to ensure participation by impacted non-profit organizations.

- **Project Worksheets**

A Project Worksheet (PW) is the form used by the Applicant to document the scope of work and cost estimate for each project. This form supplies FEMA with the information necessary to approve the scope of work and itemized cost estimate prior to funding. All PWs are developed by FEMA (based upon input and data provided by the local community and the State) will be forwarded to DEMHS for review.

- **Final Inspections**

Following the completion of all work described on an applicant's PWs, State and Federal inspectors will again survey the larger projects to verify that the scope of work described on the PWs was adhered to, and that costs incurred were as described or of a reasonable nature. Project closeout follows the successful completion of all eligible work.

### 7.2 State Role in Individual Assistance

Once a major declaration involving the Individual Assistance (IA) Program is declared by the President, DEMHS will conduct actions to assist in the implementation of the IA Program. Based on the Annual State Administrative Plan for Individual Assistance, Connecticut traditionally designates FEMA as the administrative agent for the Program. Under this option, FEMA arranges for the application call center, the inspection services, etc. DEMHS supports the process and assists in outreach.

- **Application Process**

Impacted residents in declared counties may register for FEMA assistance via telephone, Smartphone app, or through the FEMA website <https://www.disasterassistance.gov>.

Forms of assistance may include temporary housing assistance, home repair, and disaster loans from the Small Business Administration (SBA).

- **Additional IA programs**

Additional Programs available under IA may include Federal disaster unemployment assistance administered by the Connecticut Department of Labor; State and Federal income tax assistance; food coupons administered through the Department of Social Services Supplemental Nutrition Assistance Program (SNAP); and, Disaster Case Management.

- **Disaster Recovery Centers:**

For disasters that include FEMA Individual Assistance programs, joint FEMA/State Disaster Recovery Centers (DRCs) are opened in affected areas to ensure disaster victims can speak directly with FEMA, the Small Business Administration and other agencies/organizations providing recovery assistance. In addition, to federal services, the State will make available representatives or information from state agencies at each DRC on state-level disaster services.

In order to facilitate the opening of DRCs within days of the receipt of a declaration, DEMHS maintains Memorandums of Agreements (MOA) with the Community College System and several municipalities to provide facilities for DRCs.

## **7.3 State Role in Hazard Mitigation Grant Program**

The State Natural Hazard Mitigation Plan (NHMP) identifies strategies and mechanisms for successful implementation and continuation of preparedness, response and recovery measures due to a natural hazard. It also enables the State to receive Federal Assistance for permanent work under the FEMA Public Assistance Program and secure Federal Hazard Mitigation Assistance funds which support rebuilding efforts and fostering long term recovery. As of July 2013, DEMHS is the lead state agency regarding the Hazard Mitigation Program.

The Hazard Mitigation Grant Program (HMGP) provides grants to states and local governments to implement long-term hazard mitigation measures after a major disaster declaration.

The Role of the State in administering the HMGP program includes:

- Manage the overall program within the state.
- Ensure that the FEMA Regional Administrator has approved the State Hazard Mitigation Plan and the state's administrative plan for implementing HMGP.
- Establish funding priorities, and select projects for funding based on those priorities.
- Solicit program interest and help potential sub applicants develop complete sub applications.
- Establish deadlines for sub applications.
- Provide sub applicants with technical assistance (mitigation techniques and/or HMGP policy).
- Forward selected projects to FEMA for final eligibility review.
- Act as grantee, receiving funds from FEMA and disbursing them to successful sub applicants.

- Ensure that sub applicants and sub grantees adhere to all program and administrative requirements.
- Perform Grantee responsibilities of monitoring the progress of projects and submitting quarterly reports to FEMA indicating the status and completion date for each approved project.

## **7.4 Unmet Needs and Long Term Recovery**

Short Term recovery focuses on the immediate tasks following a disaster. During this phase Federal Disaster Assistance programs are implemented and many communities have been able to restore services to residents. Depending on the severity of the disaster, many residents may still have unmet needs after exhausting federal grants.

## Section 8.0 Connecticut's Structure for Long-Term Recovery

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Long Term Recovery involves the coordination of resources to manage the impacts of the disaster on the community and meet the unmet needs of survivors.

### 8.1 Long-term Recovery Goals and Priorities

- The community successfully overcomes the physical, emotional, and environmental impacts of the disaster
- All essential services to local governments are restored.
- It reestablishes an economic and social base that instills confidence in the community members and businesses regarding community viability;
- It rebuilds by integrating the functional needs of all residents and reducing its vulnerability to all hazards facing it; and
- The entire community demonstrates a capability to be prepared, responsive, and resilient in dealing with the consequences of disasters.
- The entire community identifies risk and creates a plan to mitigate loss before a disaster occurs.

### 8.2 The Connecticut Regional Long Term Recovery Coordinator, Local Disaster Recovery Manager (LDRM) & Tribal Disaster Recovery Coordinator (TDRC)

***Regional Long Term Recovery Coordinator, Local Disaster Recovery Manager (LDRM) and Tribal Disaster Recovery Coordinator (TDRC).*** The primary role of each is to plan, manage and coordinate community resiliency/mitigation, repair, and redevelopment. This will necessitate working closely with the SDRC and/or the LTR team and appropriate Recovery Support Function (RSF) to be sure that all are clear about their assignments and are working together smoothly and efficiently to accomplish their recovery objectives. The LTDRC and LDRM will be charged with the recovery efforts of his/her jurisdiction and will be the final decision maker regarding all offers of support from State and Federal representatives. LDRMs are encouraged to designate individuals (or teams) with responsibilities that correspond to the six RSFs of the LTR team in order to facilitate planning and execution of local recovery activities. State and Federal RSF Field Coordinators or leads will respond to the needs of the LTRC/LDRM in a supportive role and communicate those needs to their respective RSFs when appropriate.

The long term recovery coordinators may perform the following functions:

- Pre-Disaster Responsibilities:
  - Serve as a primary point of contact for disaster recovery preparedness;
  - Establish and maintain contacts for disaster recovery resources and support systems;
  - Promulgate principles and practices that further resiliency and sustainability in development and strategic planning initiatives.

- Post-Disaster Responsibilities:
  - Lead the creation and coordinate the activities of local recovery-dedicated organizations and initiatives;
  - Work with state officials to develop a unified and accessible communication strategy;
  - Participate in damage and impact assessments with other recovery partners;
  - Organize recovery planning process for the community;
  - Ensure inclusiveness in the community recovery process;
  - Communicate recovery priorities to the State and Federal partners;
  - Incorporate critical mitigation, resilience, sustainability and accessibility-building measures into the recovery plans and efforts;
  - Lead the development of the communities recovery plans and ensure that they are publicly supported, actionable and feasible based on available funding and capacity;
  - Collaborate with State, Federal and other stakeholders to raise financial support for the communities recovery;
  - Work closely with the recovery leadership at all levels to ensure well-coordinated, timely and well executed recovery; and
  - Develop and implement recovery progress measures and communicated adjustments and improvements to applicable stakeholders and authorities.

### **8.3 The Connecticut Long Term Recovery Committee (LTRC)**

Long Term Recovery is also identified in the *State Response Framework* as Emergency Support Function (ESF) 14. The Long Term Recovery Committee consists of state, federal, local, non-governmental organizations, and private sector partners working together to enhance recovery efforts and increase resiliency.

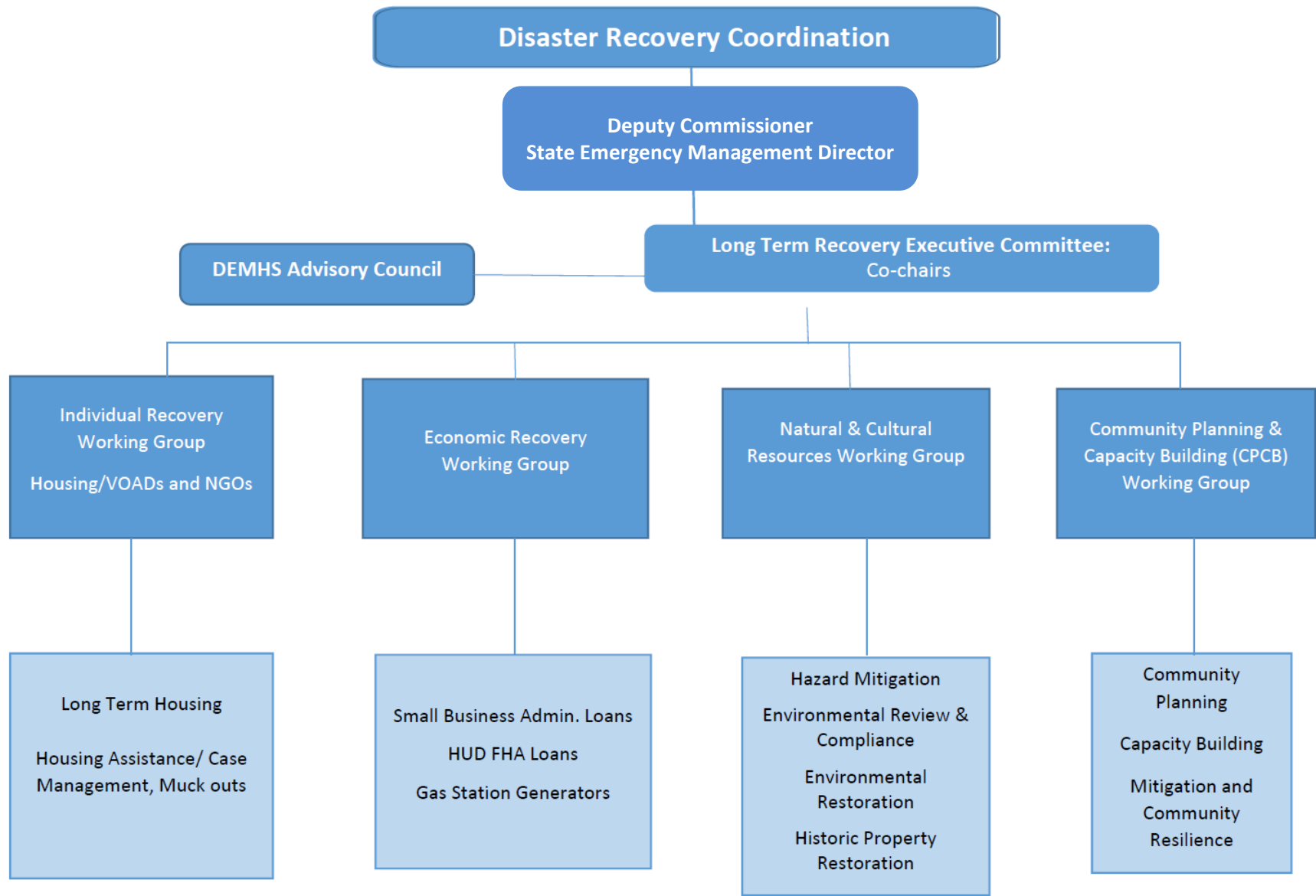
Since early 2012, the LTR Committee has built a framework for the state to support long-term recovery of our communities through:

- Coordination of federal, state and local government resources and expertise
- Involvement of business and nonprofit sectors
- Education & outreach
- Mitigation and risk reduction programs & policies

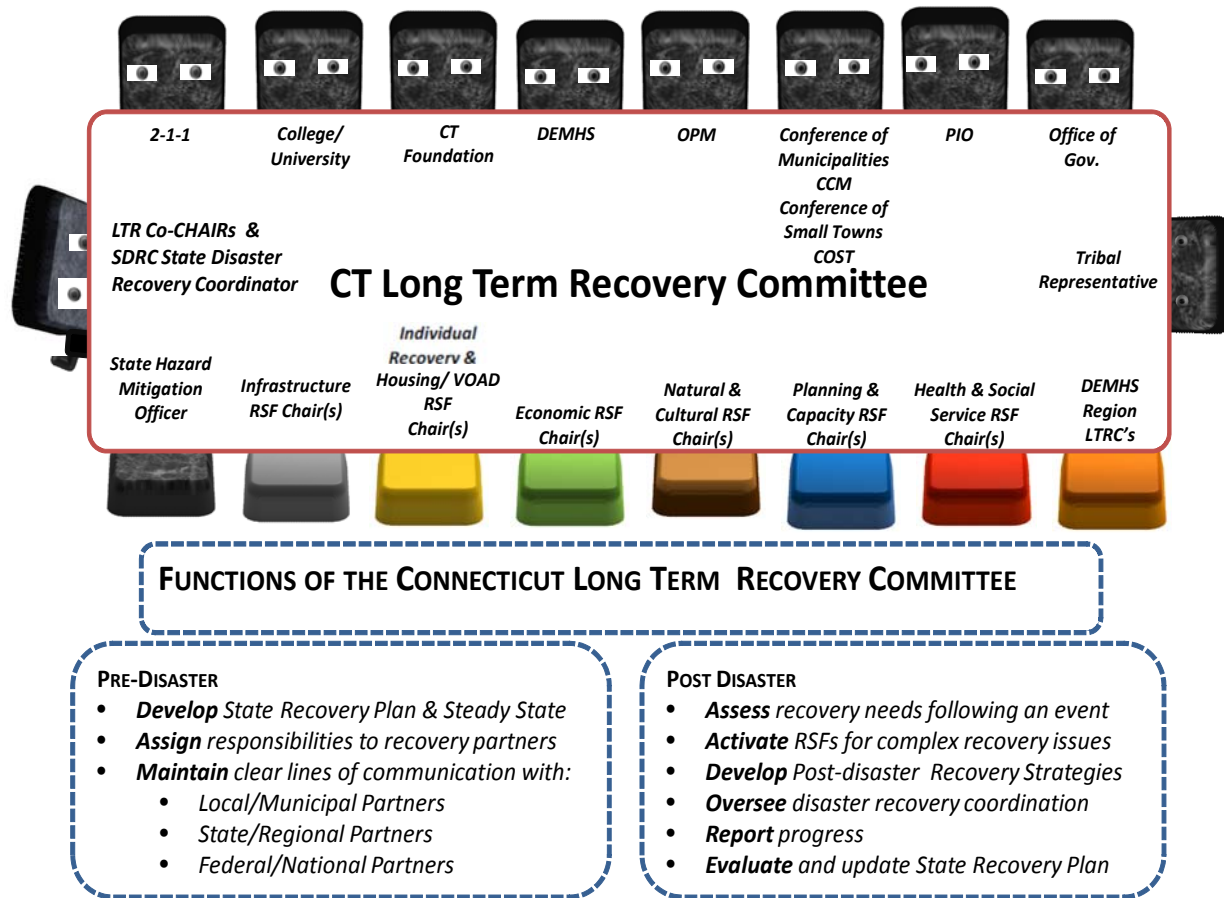
### **8.4 Structure of the CT Long Term Recovery Committee (ESF-14)**

- State Agency Partners may include:
  - Department of Insurance
  - Department of Housing

- Department of Economic and Community Development
- Higher Education
- DESPP/DEMHS
- CT OPM
- Office of the Governor
- Public Information Officer (PIO)
- State Hazard Mitigation Officer
  
- Regional
  - Recovery Coordinators
  
- Local
  - Council of Small Towns (COST)
  - Connecticut Conference of Municipalities (CCM)
  - Tribal representative
  - Local and Tribal Long Term Recovery Coordinators
  
- Non-Profit Organizations/Volunteer Organizations Active in Disasters (VOADs):
  - 2-1-1/United Way Info Line
  - American Red Cross
  - Salvation Army
  - Adventist Community Services
  - CT Rises – This volunteer organization group was established after Super Storm Sandy to assist the VOAD in its recovery efforts.



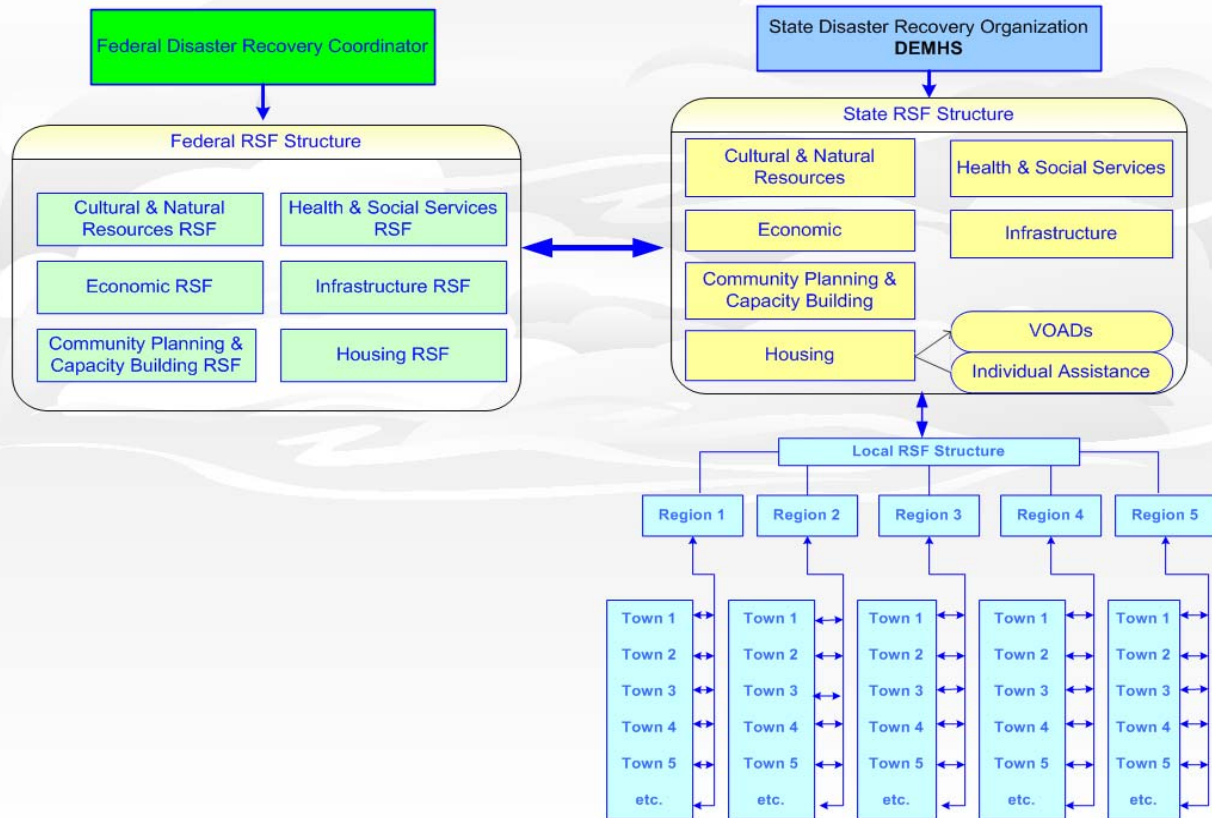




## 8.5 Working Groups of the LTRC

- **Natural & Cultural Resources** coordinates departments and agencies to provide information and assistance to communities that want to preserve, protect and restore natural and cultural resources during recovery.
- **Community and Capacity Building** coordinates expertise for communities in planning and implementing pre- and post-disaster recovery programs, with an emphasis on hazard mitigation.
- **Economic** focuses on activities to help communities efficiently and effectively restore economic and business activities while adapting to market changes brought on by catastrophic events.
- **Individual Recovery** (Including Housing and VOADS) helps coordinate available housing and individual assistance needs and identifies gaps in services and delivery
- **Health and Social Services**
- **Infrastructure**

### FEDERAL AND STATE RECOVERY SUPPORT FUNCTIONS



## 8.6 Partners in Recovery

- **CT Info Line, United Way 2-1-1:** 2-1-1 is a telephone service whose primary role is connecting Connecticut residents to resources and programs in the community. This assistance includes providing information on recovery programs and assessing unmet needs. Their services are available to Connecticut residents twenty four hours a day, seven days a week.

  - Through an MOA with DEMHS, 2-1-1 also participates in the damage data collection process by receiving calls from residents and maintaining a data base of types and extents of residential and business damages.
  - Following Super Storm Sandy (and through the use of a Red Cross grant), 2-1-1 provided outreach to impacted residents. 2-1-1’s outreach included phone calls, emails and mailings. Interested residents with unmet needs were provided with referrals to Disaster Case Management Services. For more information on the Disaster Case Management Protocol – see Appendix F.
- **Local Long Term Recovery Groups:** Following Super Storm Sandy (FEMA-DR 4087) the following communities developed Long Term Recovery Groups to assist residents with unmet needs:

  - Fairfield County (Fairfield/Bridgeport)
  - Milford
  - Norwalk

DEMHS continues to work with communities to identify local long term recovery partners in advance of disasters.

- **Connecticut Voluntary Organizations Active in Disaster (Connecticut VOAD)** is a humanitarian association of independent voluntary organizations who may be active in all phases of disaster. Its mission is to foster efficient, streamlined service delivery to people affected by disaster, while eliminating unnecessary duplication of effort, through cooperation in the four phases of disaster: preparedness, response, recovery, and mitigation. When a disaster occurs, the role of the Connecticut VOAD is one of coordination, not response. Individual Connecticut VOAD organizations will maintain their own identity and independence while closely collaborating with other Connecticut VOAD members and local, state or federal authorities. Individual Connecticut VOAD member organizations will perform and deliver actual disaster response services. These services are available at no cost to disaster victims or to governmental agencies
- **CT Rises, Inc.:** CT Rises is a state-wide long term recovery organization, and a member of CT VOAD, serving the State of Connecticut. Its mission is to:
  - Identify disaster-caused unmet needs of individuals and families
  - Identify available resources from voluntary organizations
  - Coordinate delivery of appropriate resources to resolve identified needs
  - Identify and support preparedness efforts for future disasters to individuals and families

## 8.7 Long Term Recovery Committee Concept of Operations

- The concepts and constructs introduced in this section may also apply to non-Stafford Act incidents.
- Municipalities, aided by Voluntary Organizations, undertake Short-Term Recovery efforts during the Response Phase.
- Long Term Recovery addresses unmet needs that remain after federal grants and loans are exhausted.
- In order to enhance recovery efforts, the State has requested that there be a Long Term Recovery Coordinator in each of the DEMHS Regions (LTRC) and that each local government assign a long term recovery person to identify their risk and vulnerabilities and create action plans to mitigate loss. It is also recommended this person not already be serving in an emergency responder role and should have planning/building/zoning type skills.
- It is anticipated that the State LTRC will assist individuals and local governments in follow-up to activities that occurred during the response phase of the disaster. Although the Federal Government is the program lead for individual assistance during Presidentially Declared Disasters, the State of Connecticut will advocate for the local community and its citizens, regardless of the severity and scope of the disaster.
- The State Long Term Recovery Committee and its Recovery Support Functions (RSFs) will not self-activate or self-deploy without direction from the SEOC or, once a state Disaster Recovery Coordinator (SDRC) has been appointed by the Governor, from the SDRC. Selected elements of the State LTRC may need to provide support “virtually” or remotely under certain circumstances.
- Representatives from State or local Government or the private sector that are not currently identified as members of the LTRC may participate upon request of the SDRC, or LTR Co-Chairs.

- CT Rises developed a guide to assist communities in planning for long-Term disaster recovery. The guide and toolkit is an appendix to the Local Emergency Management Director and Municipal Official Handbook.

### ***Long Term Recovery Committee and its Recovery Support Functions (RSFs)***

The Long Term Recovery Committee (LTRC): The Connecticut LTRC is comprised of key State and local agencies/organizations and regional or State-based offices of Federal agencies who can provide a wide range of expertise and resources to support recovery operations. The LTRC also includes selected non-governmental organizations such as the Connecticut Voluntary Organizations Active in Disaster (Connecticut VOAD), which also have a myriad of resources to assist with recovery. Many organizations represented on the LTRC may have employees in or a relationship with individual communities, thus providing extensive knowledge in decision making.

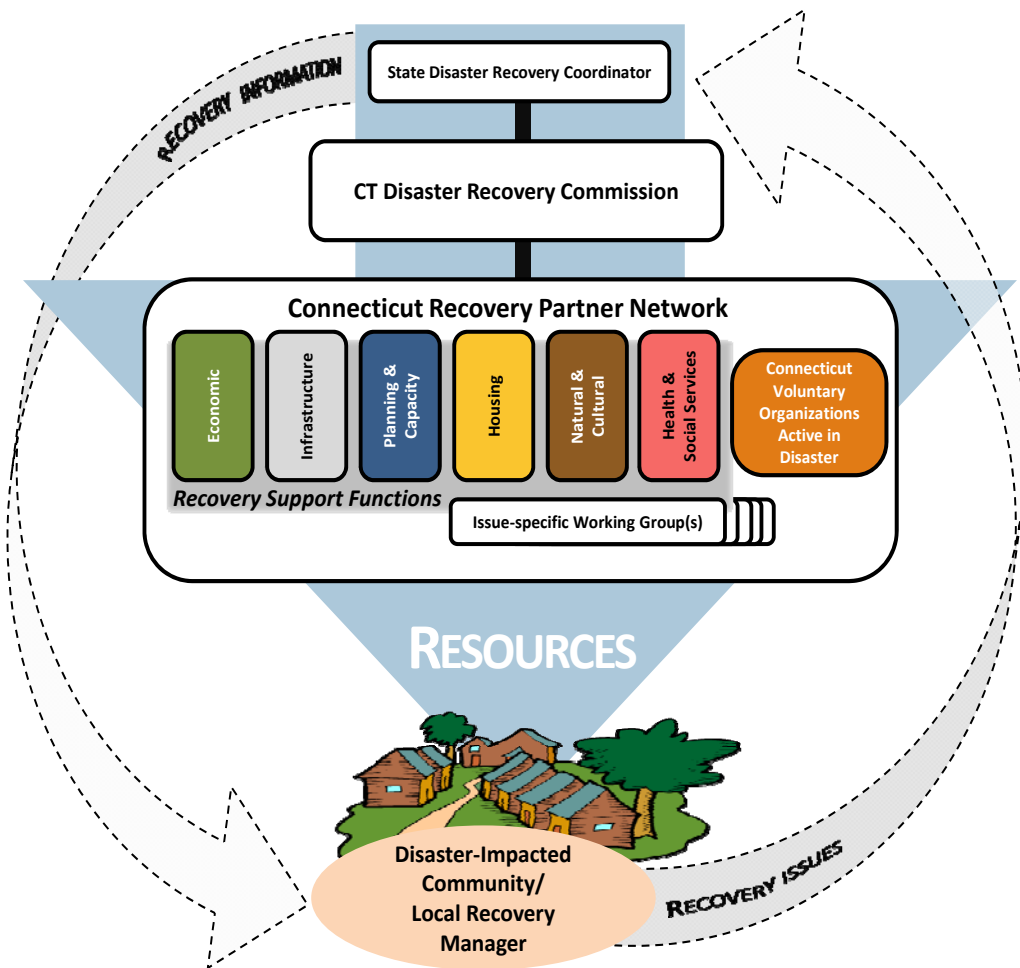
The Deputy Commissioner of DEMHS, or his/her designee, activates and oversees the activities of the LTRC identifies its Chairperson(s). The LTRC Chairperson(s) may be appointed as the SDRC or may stand alone and report to the SDRC depending on the circumstances.

Recovery Support Functions (RSFs): The Long Term Disaster Recovery plan is organized into six RSFs. These are groupings of agency/organization representatives with similar or overlapping resources and/or expertise. Six of the eight core capabilities outlined earlier in this plan are represented by these six RSFs. Each RSF is responsible for the core capability targets within their area of support. RSFs support the SDRC with information and planning, but more importantly, they support municipalities with problem solving and improved access to resources and foster coordination among State agencies and other partners and stakeholders. To enhance and speed communications and problem solving, RSFs are encouraged to support local efforts to designate or develop counterpart individuals, groups, or teams to correspond with State RSFs. RSF agency representatives must be knowledgeable about the functions, programs, and services that they represent, must be able to make decisions on behalf of their department, and must be able to influence policy decisions made by their department as they relate to disaster recovery issues. Other agency representatives may be added to the LTR team at the discretion of the LTRC Co-Chairs, in consultation with the DEMHS Deputy Commissioner.

***Recovery Support Function (RSF) Coordinators.*** Each RSF will have a coordinating agency representative or RSF Chair or Co-Chair who is tasked to manage the activities of the RSF. The RSF Chair will ensure that internal communication and actions among RSF representatives are coordinated and that external communications and actions with other RSFs, the SDRC, Federal and local counterparts, members of the JIC, and other recovery stakeholders, are also coordinated.

The illustration below shows how the RSF need to interact with all elements in the recovery process:

### Recovery Coordination Structure



<b>Community Planning and Capacity Building RSF</b>	
<b>Coordinating Agency</b>	
Connecticut Office of Policy Management (OPM) & Emergency Management and Homeland Security Agency (DEMHS)	
<b>Supporting Agencies and Organizations</b>	
Department of Agriculture	Department of Inland Fisheries & Wildlife
Office of Policy Management	CT Department of Energy and Environmental Protection (DEEP)
*Department of Economic & Community Development	*Department of Transportation
Department of Education/ Office of Higher Education	*Connecticut Housing Finance Authority & DECD
Department of Environmental Protection	US Department of Agriculture (Office in Connecticut)
*Department of Health & Human Services	

\*Coordinating Agency Representatives from remaining five RSFs.

**Community Planning & Capacity Building:** Support and build recovery capabilities and community planning resources of state, local and Tribal governments needed to effectively plan for, manage and implement resiliency measures for community disaster recovery activities.

<b>Economic RSF</b>	
<b>Coordinating Agency</b>	
Department of Economic & Community Development (DECD)	
<b>Supporting Agencies/Organizations</b>	
Department of Health & Human Services	Department of Banking
Department of Agriculture Department of Energy and Environmental Protection	Connecticut Small Business Development Center
Department of Housing	Connecticut Innovations, Inc.
Department of Labor	US Department of Agriculture (Office in Connecticut)
Department of Transportation	US Small Business Administration (Office in Connecticut)
Department of Insurance	US Department of the Treasury – IRS (Office in Connecticut)
Department of Energy and Environmental Protection	
Office of Policy and Management	

**Economic Recovery Function:** will return the economic and business activities (including food and agriculture) to a healthy state and develop new business and employment opportunities that result in a sustainable and economically viable community.

<b>Health &amp; Social Services RSF</b>	
<b>Coordinating Agency</b>	
Department of Social Services	
<b>Supporting Agencies/Organizations</b>	
Office of Attorney General	Department of Public Health
Department of Agriculture	Department of Transportation
Department of Housing	Connecticut Department of Emergency Services and Public Protection/Division Emergency Management Homeland Security.
Department of Economic & Community Development*	Connecticut Housing Financing Authority
Department of Education	Connecticut Voluntary Organizations Active in Disasters
Department of Environmental Protection	US Small Business Administration (Office in Connecticut)
Department of Mental Health and Addiction Services	Dept. Of Veteran Affairs
Department of Labor	United Way 2-1-1 Connecticut

**Health and Social Services Function:** will restore and improve health and social service networks to promote the resilience, independence, health (including behavioral health) and well-being of the whole community.

<b>Housing RSF</b>	
<b>Coordinating Agency</b>	
Connecticut Department of Housing	
<b>Supporting Agencies/Organizations</b>	
American Red Cross	Division of Emergency Management and Homeland Security
Office of Attorney General	Connecticut Voluntary Organizations Active in Disasters
Department of Energy and Environmental Protection	US Department of Agriculture
Connecticut Housing Financing Authority	US Dept of Housing & Urban Development (Office in CT)
Office of Policy Management (OPM)	US Small Business Administration (Office in Connecticut)
Department of Social Services	Office of Policy Management
Department of Public Health	US Veterans Affairs Administration & CT Dept. Of Veterans Affairs

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**Housing Function:** will implement housing solutions that effectively support the needs of the whole community and contribute to its sustainability and resistance.

<b>Infrastructure Systems RSF</b>	
<b>Coordinating Agency</b>	
Department of Transportation	
<b>Supporting Agencies/Organizations</b>	
Department of Agriculture.	Connecticut Department of Emergency Services and Public Protection/Division of Emergency Management and Homeland Security
Department of Education	
Department of Economic & Community Development*	US Department of Agriculture
Department of Energy and Environmental Protection	Department of Administrative Services
Department of Public Health	State Treasurers Office
Office of Policy and Management	

**Infrastructure Systems Function:** will stabilize critical infrastructure functions, minimize health and safety threats, and efficiently restore and revitalize systems and services to support a viable, resilient community

<b>Natural &amp; Cultural Resources RSF</b>	
<b>Coordinating Agency</b>	
Department of Economic and Community Development (State Historic Preservation Office & Commission on Culture and Tourism) Department of Energy and Environmental Protection (DEEP)	
<b>Supporting Agencies/Organizations</b>	
Department of Agriculture; Department of Interior Bureau of Land Management;	
<i>Connecticut State Library, Connecticut Historical Society,</i>	

**Natural and Cultural Resources Function:** will 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 effective practices and in compliance with appropriate environmental and historical preservation laws and executive orders.

Functional Roles and Responsibilities														
Task	2-1-1	CT VOAD	Local/ Tribal	ARC	FEMA	Gov Office	DEMHS	Dept of Ins.	DOL	Dept of Housing	DPH	DOT	DEEP	DSS
Public Inform	S		P	S	P		P							
Debris Removal			P				P						P	
Disaster Housing			P				S			S	S			
HMGP														
SSBG							S			P				P
CDBG –DR							S							
Shoreline						P	S							
CT Cares						P	S							
SBA							S							
Individual Assistance Program					P		S							
Disaster Case Management	P	P	P		S		P							
Disaster Unemployment							S		P					
Public Assistance	S		S		P		P							
P – Primary S-Support														



## Activation of SDRC and LTR Components (RSFs)

Depending on the recovery needs of municipalities and/or tribal nations, the State Disaster Recovery Framework may be activated in part or in whole for any Federally declared or undeclared emergency or disaster in the State or for Connecticut-based support to another State recovering from a disaster per national and international mutual aid agreements, including the Emergency Management Assistance Compact (EMAC) and the International Emergency Management Assistance Compact (IEMAC).

The SDRC and LTR Committee will provide coordination and support as needed to tribal and local entities.

**State Disaster Recovery Coordinator (SDRC).** The DEMHS Deputy Commissioner or the State Emergency Management Director will activate the State Disaster Recovery Framework as soon as it becomes evident from on-site visits or from preliminary damage reports/assessments gathered from the State EOC, that State-level recovery operations are required.

The Governor may appoint a SDRC. The SDRC may also be assisted by additional designees. The SDRC and/or the designees may report to one of three areas:

- DEMHS/State EOC – This will be the default location unless one of the two locations described below is clearly more advantageous to overall recovery operations.
- Joint Field Office (JFO) – This location may be selected in the case of a Presidentially Declared Disaster, particularly if a Federal Disaster Recovery Coordinator (FDRC) has been designated. Deployment to the JFO will occur only when the SCO determines that significant interagency disaster recovery resource coordination with Federal assets is necessary or if major issues and recovery challenges can be anticipated with State and Federal coordination of processes and resources.
- Field Location – A location in or near the impacted area will be selected if the communications infrastructure cannot support recovery operations by the SDRC/ elsewhere or if coordination with and support to LDRMs and/or TDRCs is enhanced far beyond that of other locations.

An SDRC may be appointed by the Governor and deployed in response to large-scale and catastrophic disasters that may fall under legislative authorities beyond the Stafford Act such as the Price Anderson Act (nuclear accident), Clean Water Act (pollutant discharge in water), or the National Contingency Plan (oil spill or hazmat release). In such cases, the lead State agency for the incident may request the appointment, activation and deployment of an SDRC from the Governor through the Deputy Commissioner of DEMHS or the State Emergency Management Director.

Once activated, the level of support needed and the length of activation will vary depending on the scale and scope of disaster impacts and on ongoing assessment of the capacity of impacted communities to recover.

## 8.6 Programs and Resources for Long Term Recovery

Many of the programs that were implemented in the Short Term Recovery Phase are still underway during Long-term recovery including: Public Assistance, Individual Assistance, and the Hazard Mitigation Grant Program.

### 8.6.1 Programs

#### 8.6.1.1 Disaster Case Management

Disaster case management services provide relief to disaster survivors by connecting them with resources and services. Assistance includes the development of an individual recovery plan for the individual or household.

During the long-term recovery phase, many voluntary relief agencies begin Disaster Case Management services to assist residents in addressing their unmet needs.

FEMA's Individual Assistance Program includes Disaster Case Management (DCM) Program as a supplemental Program. To request DCM program, a State can:

- Request DCM as a part of their request for a Major Disaster Declaration authorizing Individual Assistance, or:
- Submit a separate written request within 15 days of the declaration.

Disaster Case Management Assessment – the DCM Team conducts a comprehensive assessment of the State's disaster case management resources and identifies gaps in services. Based on the Assessment, FEMA may approve:

- Immediate DCM (IDCM): IDCM provides outreach, initial triage, casework services for up to 90 days (one 45-day extension may be granted) . Case management services may be implemented by FEMA through invitational travel, mission assignment etc.
- State DCM Program: Based on the Assessment, the State may apply for a federal DCM grant. The application must be submitted within 60 days from the date of the declaration. The DCMP shall not exceed 24-months from the date of the declaration. (one 90-day extension may be granted)

#### 8.6.1.2 Community Development Block Grants – Disaster Recovery (DR)

The US Department of Housing and Urban Development provides flexible grants to assist States and towns to recover from presidentially declared disasters, especially in low-income areas, subject to the availability of supplemental appropriations.

Following a disaster, Congress may appropriate additional funding for the CDBG and HOME programs as Disaster Recovery grants to rebuild the affected areas and provide crucial seed money to start the recovery process.

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

## **8.6.2 Resources**

### **8.6.2.1 Community Recovery Resource Guide**

The *Connecticut Community Recovery Resource Guide* and *Hurricane Sandy Supplement* provides information on more than one thousand sources of funding or technical assistance that can be used by communities across the State, especially those facing the rebuilding of neighborhoods, business districts, and community facilities following a severe weather event or other disaster.

Although this Guide was developed specifically for Sandy, many of the resources can be utilized for future disasters. The user of the *Guide* should always consult directly with the provider of a potential resource for program changes, updates, and eligibility.

### **8.6.3 Transition from Long Term Recovery to Steady State**

Considerations for determining the timeline for deactivation and transition:

- Major recovery issues have been addressed;
- Impacted Community Lifelines have been stabilized;
- The milestones have been achieved;
- The impacted communities are making progress in developing internal capability and managing outside support for recovery.

Transition Steps:

- Transition responsibilities to individual agencies;
- Address potential unforeseen obstacles and needs;
- Document effective practices to reduce risk and increase community resiliency;
- Continued monitoring and coordination among agencies as needed until recovery efforts are completed.

## Section 9.0 Disaster Recovery Framework Maintenance

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To maintain Disaster Recovery Framework capabilities and to be prepared for the recovery of any emergency or disaster that may impact the State of Connecticut, see the standardized list of activities below that are necessary to monitor the dynamic elements of the Disaster Recovery Framework and the frequency of their occurrence. These activities shall be coordinated by the LTRC in collaboration with DEMHS.

**Table 1:** Disaster Recovery Framework Maintenance Standards

Information on the method and schedule for evaluation, maintenance and revision of the Disaster Recovery Framework is included in the DEMHS Administration Plan.

## Section 10.0 Federal Authorities and References

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**The Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act)** – The Stafford Act describes the programs and processes by which the Federal Government provides disaster and emergency assistance to State, territorial and local governments, tribal nations, eligible private nonprofit organizations and individuals affected by a declared major disaster or emergency.

**The Post Katrina Emergency Management Reform Act** – “PKEMRA” amends the Stafford Act by clarifying and expanding the roles, responsibilities, and tasks of emergency management agencies, particularly during recovery operations, to help avoid many of the difficult and painful lessons learned in the aftermath of Hurricane Katrina in 2005.

**Presidential Policy Directive 8: National Preparedness (PPD-8)** – This directive is aimed at strengthening the security and resilience of the United States through systematic preparation for the threats that pose the greatest risk to the security of the Nation.

**National Preparedness Goal** – The National Preparedness goal defines the core capabilities necessary to prepare for the specific types of incidents that pose the greatest risk to the security of the Nation and emphasizes actions aimed at achieving an integrated, layered, and all-of-Nation preparedness approach that optimizes the use of available resources.

**National Preparedness System** – This system is the instrument the nation will employ to build, sustain, and deliver those core capabilities in order to achieve the goal of a secure and resilient Nation. The guidance, programs, processes, and systems that support each component of this System enable a collaborative, whole-community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government.

**National Planning System** – This System is a set of interrelated and interdependent planning documents and processes that apply across the whole community and contribute to achieving the National Preparedness Goal. The System establishes a common and layered approach for synchronized planning.

**National Disaster Recovery Framework (NDRF)** – This is a framework that enables effective recovery support to disaster-impacted state, territorial, tribal, and local jurisdictions. It provides a flexible structure that enables disaster recovery managers to operate in a unified and collaborative manner. It focuses on how best to restore, redevelop, and revitalize the health, social, economic, natural, and environmental fabric of the community and build a more resilient Nation.

**Sandy Recovery Improvement Act (SRIA)** – SRIA authorizes several significant changes to the way FEMA may deliver federal disaster assistance. Included in the law are changes to public assistance (permanent work), debris removal, individual assistance declaration factors, other needs assistance (to include child care expenses), etc.

**Disaster Recovery Reform Act of 2018 (DRRA)** – DRRA contains approximately 50 provisions that require FEMA policy or regulation changes for full implementation, as they amend the [Robert T. Stafford Disaster Relief and Emergency Assistance Act](#). Included in the DRRA are the Public Assistance Program Improvements (Section 1207) and expanded Individuals and Households Assistance (Section 1212). For more information see the Public Assistance Appendix B and Individual Assistance Program, Appendix C.

<b>Disaster Recovery Framework Appendices</b>	
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Appendix D: Small Business Administration (SBA) Disaster Loan Program	D-1
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## Appendix A: Definitions

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**Access and Functional Needs** – Persons who may have additional needs before, during, and after an incident in functional areas, including but not limited to: maintaining independence, communication, transportation, supervision, and medical care. Individuals in need of additional response assistance may include those who have disabilities; live in institutionalized settings; are seniors; are children; are from diverse cultures; have limited English proficiency or are non-English speaking; or are transportation disadvantaged.

**Access/Accessible** – The suitability or adaptability of programs, services, activities, goods, facilities, privileges, advantages, or accommodations provided by a public or private (for-profit or not-for-profit) entity, or by any entity to which it contracts for all members of the population, including individuals with disabilities.

**Capability Targets** – The performance threshold(s) for each core capability.

**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. (From the *United Nations International Strategy for Disaster Reduction*.)

**Capacity Building** – Efforts aimed to develop human skills or societal infrastructure within a community or organization needed to reduce the level of risk, or the effects of a disaster. (From the *United Nations International Strategy for Disaster Reduction*.)

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

**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 State and National Preparedness Goals.

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

**Cultural Resources** – Aspects of a cultural system that are valued by or significantly representative of a culture or that contain significant information about a culture. Cultural resources may be tangible entities or cultural practices. Tangible cultural resources are categorized as districts, sites, buildings, structures, and objects for the National Register of Historic Places and as archeological resources, cultural landscapes,

structures, museum objects and archives, and ethnographic resources for Federal management purposes. Also includes cultural items as that term is defined in section 2(3) of the *Native American Graves Protection and Repatriation Act* [25 USC 3001(3)]; and archeological resources, as that term is defined in section 3(1) of the *Archaeological Resources Protection Act* of 1979 [16 USC 470bb(1)].

**Cyber Security** – Encompasses the cyberspace global domain of operations consisting of the interdependent network of information technology infrastructures, and includes the Internet, telecommunications networks, computer systems, and embedded processors and controllers in critical industries. The cyber security core capability is the means for protecting cyberspace from damage, unauthorized use, or exploitation of electronic information and communications systems and the information contained therein to ensure confidentiality, integrity, and availability.

**Debris** – The remains of something broken down or destroyed.

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

**Historic Properties** – Any prehistoric or historic district, site, building, structure, or object included in, or eligible for inclusion in the National Register of Historic Places, including artifacts, records, and material remains which are related to such district, site, building, structure, or object. [(16 USC Section 70(w)(5)].

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

**Individual with Limited English Proficiency** – The term refers to an individual who does not speak English as his/her primary language and who has a limited ability to read, write, speak, or understand English.

**Intermediate Recovery** – Phase of recovery which involves returning individuals, families, critical infrastructure and essential government or commercial services to a functional, if not pre-disaster, state. Such activities are often characterized by temporary actions that provide a bridge to permanent measures.

**Long-Term Recovery** – Phase of recovery that may continue for months or years and addresses complete redevelopment and revitalization of the impacted area, rebuilding or relocating damaged or destroyed social, economic, natural and built environments and a move to self-sufficiency, sustainability and resilience.

**Major Disaster** – As defined by the Stafford Act, any natural catastrophe (including any hurricane, tornado, storm, high water, wind-driven water, tidal wave, tsunami, earthquake, volcanic eruption, landslide, mudslide, snowstorm, or drought) or, regardless of cause, any fire, flood, or explosion, in any part of the United States, which in the determination of the President causes damage of sufficient severity



and magnitude to warrant major disaster assistance under this act to supplement the efforts and available resources of local, State governments and disaster relief organizations in alleviating the damage, loss, hardship or suffering caused thereby.

**Mission Areas** – Groups of core capabilities, including Prevention, Protection, Mitigation, Response, and Recovery.

**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 life lines; risk reduction for specific vulnerabilities from natural hazards or acts of terrorism; and initiatives to reduce future risks after a disaster has occurred.

**National Preparedness** – The actions taken to plan, organize, equip, train, and exercise to build and sustain the capabilities necessary to prevent, protect against, mitigate the effects of, respond to, and recover from those threats that pose the greatest risk to the security of the Nation.

**Natural Resources** – Land, fish, wildlife, biota, and water. Water means salt and fresh water, surface and ground water used for drinking, irrigation, aquaculture, and recreational purposes, as well as in its capacity as fish and wildlife habitat.

**NGO** – A nongovernmental organization or entity that serves the interests of its members, individuals, or institutions and is not for private benefit.

**Prevention** – The capabilities necessary to avoid, prevent, or stop a threatened or actual act of terrorism. For the purposes of the prevention framework called for in PPD-8, the term “prevention” refers to preventing imminent threats.

**Protection** – The capabilities necessary to secure the homeland against acts of terrorism and manmade or natural disasters.

**Recovery** – Those capabilities necessary to assist communities affected by an incident 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.

**Redevelopment** – Rebuilding degraded, damaged, or destroyed social, economic, and physical infrastructure in a community, State or Tribal government to create the foundation for long-term development.

**Resilience** – Ability to adapt to changing conditions and withstand and rapidly recover from disruption due to emergencies.

**Response** – Those capabilities necessary to save lives, protect property and the environment, and meet basic human needs after an incident has occurred.

**Restoration** – Returning a physical structure, essential government or commercial services or a societal condition back to a former or normal state of use through repairs, rebuilding or reestablishment.

**Risk Assessment** – A product or process that collects information and assigns a value to risk for the purpose of informing priorities, developing or comparing courses of action, and informing decision making.

**Security** – The protection of the Nation and its people, vital interests, and way of life.

**Short-Term Recovery** – Phase of recovery which addresses the health and safety needs beyond rescue, the assessment of the scope of damages and needs, the restoration of basic infrastructure and the mobilization of recovery organizations and resources including restarting and/or restoring essential services for recovery decision making.

**Stabilization** – The process by which the immediate impacts of an incident on community systems are managed and contained.

**Steady-State** – A state where operations and procedures are normal and ongoing. Communities are considered to be at a steady-state prior to disasters and after recovery is complete.

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

**Underserved Populations/Communities** – Groups that have limited or no access to resources or that are otherwise disenfranchised. These groups may include people who are socioeconomically disadvantaged; people with limited English proficiency; geographically isolated or educationally disenfranchised people; people of color as well as those of ethnic and national origin minorities; women and children; individuals with disabilities and others with access and functional needs; and seniors.

**Whole Community** – A focus on enabling the participation in national preparedness activities of a wider range of players from the private and nonprofit sectors, including nongovernmental organizations 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.

## Appendix B: Public Assistance Program

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- Per Capita Indicators (Disaster Thresholds) – calculated annually
- Federal Register/FEMA Notices (released each September/October)
  - County-wide per Capita
  - State-wide per Capita
  - Small project cap
  - Project Worksheet Minimum
- FEMA Public Assistance Fact Sheet
- DRRRA Updates to the Public Assistance Program

**FFY 20 CT State & County Disaster Declaration Per Capita Indicator Effective for  
disasters declared on or after October 1, 2019**

State Population Estimate	Per Capita Indicator
3,574,097	\$1.53
	\$5,468,368.41

County	2010 Census Population	Per Capita Indicator
		\$3.84
Fairfield	916,829	\$3,520,623.36
Hartford	894,014	\$3,433,013.76
Litchfield	189,927	\$729,319.68
Middlesex	165,676	\$636,195.84
New Haven	862,477	\$3,311,911.68
New London	274,055	\$1,052,371.20
Tolland	152,691	\$586,333.44
Windham	118,428	\$454,763.52
<b>Counties</b>	<b>3,574,097</b>	<b>\$13,724,532.48</b>

PA: Small Projects Cap	\$131,100.00
PA: Project Worksheet Minimum	\$3,300.00
IHP Cap for Housing Assistance **	\$35,500.00
IHP Cap for Other Needs Assistance	\$35,500.00
Statewide Per Capita	\$1.53
County Per Capita	\$3.84

\*\* As a result of DRRA Section 1212, FEMA's Individual and Households Program has been expanded to provide separate maximum grant amounts for Housing Assistance and Other Needs Assistance

prepared 10/2/2019



**FEMA**

SEP 30 2019

MEMORANDUM FOR: Regional Administrators  
Regions I-X  
Recovery Division Directors  
Response Division Directors  
Assistant Administrator, Field Operations Directorate  
Federal Coordinating Officers  
Joint Field Offices

FROM: Keith Turi *KT*  
Assistant Administrator  
Recovery Directorate

SUBJECT: Adjustment of the Public Assistance Program's  
Countywide Per Capita Impact Indicator

Attached for your information and dissemination, is a copy of the Federal Register Notice, announcing the annual Consumer Price Index (CPI) adjustment of the countywide per capita impact indicator under the Public Assistance program. In assessing damages for area designations under 44 CFR 206.40(b), FEMA uses a countywide per capita indicator to evaluate the impact of the disaster at the county level. The countywide per capita indicator is adjusted to reflect the annual change in the CPI for all Urban Consumers published by the Department of Labor.

Effective October 1, 2019, the countywide per capita indicator is \$3.84, which reflects an increase in the CPI of 1.7 percent for the 12-month period that ended in August 2019.

This change applies to all disasters declared on or after October 1, 2019. Please ensure that all members of your staff are aware of this change and its applicability.

Attachment

Billing Code 9111-11-P

DEPARTMENT OF HOMELAND SECURITY

Federal Emergency Management Agency

[Docket ID FEMA-2019-0001]

Notice of Adjustment of Countywide Per Capita Impact  
Indicator

AGENCY: Federal Emergency Management Agency, DHS.

ACTION: Notice.

SUMMARY: FEMA gives notice that the countywide per capita impact indicator under the Public Assistance program for disasters declared on or after October 1, 2019, will be increased.

DATE: This adjustment applies to major disasters declared on or after October 1, 2019.

FOR FURTHER INFORMATION CONTACT: Tod Wells, Recovery Directorate, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472, (202) 646-3834.

SUPPLEMENTARY INFORMATION: In assessing damages for area designations under 44 CFR 206.40(b), FEMA uses a countywide per capita indicator to evaluate the impact of the disaster at the county level. FEMA will adjust the countywide per capita impact indicator under the Public Assistance program to reflect annual changes in the Consumer Price Index for All Urban Consumers published by the Department of Labor.

FEMA gives notice of an increase in the countywide per capita impact indicator to \$3.84 for all disasters declared on or after October 1, 2019.

FEMA bases the adjustment on an increase in the Consumer Price Index for All Urban Consumers of 1.7 percent for the 12-month period that ended in August 2019. The Bureau of Labor Statistics of the U.S. Department of Labor released the information on September 12, 2019.

Catalog of Federal Domestic Assistance No. 97.036, Disaster Grants - Public Assistance (Presidentially Declared Disasters).



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Pete Gaynor,

*Acting Administrator,*

*Federal Emergency Management Agency.*



**FEMA**

SEP 30 2019

MEMORANDUM FOR: Regional Administrators  
Regions I-X  
Recovery Division Directors  
Response Division Directors  
Assistant Administrator, Field Operations Directorate  
Federal Coordinating Officers  
Joint Field Offices

FROM: Keith Turi *KT*  
Assistant Administrator  
Recovery Directorate

SUBJECT: Adjustment of the Public Assistance Program's  
Statewide Per Capita Impact Indicator

Attached for your information and dissemination, is a copy of the Federal Register Notice, announcing the annual Consumer Price Index (CPI) adjustment of the statewide per capita impact indicator under the Public Assistance program. Per 44 C.F.R. § 206.48, the statewide per capita impact indicator is adjusted annually to reflect changes in the CPI for All Urban Consumers published by the Department of Labor.

The statewide per capita impact indicator will be increased to \$1.53 for all disasters declared on or after October 1, 2019. This is based on an increase in the CPI of 1.7 percent for the 12-month period that ended in August 2019.

Please ensure that all members of your staff are aware of this change and its applicability.

Attachment



Billing Code 9111-11-P

DEPARTMENT OF HOMELAND SECURITY

Federal Emergency Management Agency

[Docket ID FEMA-2019-0001]

Notice of Adjustment of Statewide Per Capita Impact Indicator

AGENCY: Federal Emergency Management Agency, DHS.

ACTION: Notice.

SUMMARY: FEMA gives notice that the statewide per capita impact indicator under the Public Assistance program for disasters declared on or after October 1, 2019, will be increased.

DATE: This adjustment applies to major disasters declared on or after October 1, 2019.

FOR FURTHER INFORMATION CONTACT: Tod Wells, Recovery Directorate, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472, (202) 646-3834.

SUPPLEMENTARY INFORMATION: 44 CFR 206.48 provides that FEMA will adjust the statewide per capita impact indicator under the Public Assistance program to reflect changes in the Consumer Price Index for All Urban Consumers published by the Department of Labor.

FEMA gives notice that the statewide per capita impact indicator will be increased to \$1.53 for all disasters declared on or after October 1, 2019.

FEMA bases the adjustment on an increase in the Consumer Price Index for All Urban Consumers of 1.7 percent for the 12-month period that ended in August 2019. The Bureau of Labor Statistics of the U.S. Department of Labor released the information on September 12, 2019.

Catalog of Federal Domestic Assistance No. 97.036, Disaster Grants - Public Assistance (Presidentially Declared Disasters).



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Pete Gaynor

*Acting Administrator,*

*Federal Emergency Management Agency.*



**FEMA**

SEP 30 2019

MEMORANDUM FOR: Regional Administrators  
Regions I-X  
Recovery Division Directors  
Response Division Directors  
Assistant Administrator, Field Operations Directorate  
Federal Coordinating Officers  
Joint Field Offices

FROM: Keith Turi *KT*  
Assistant Administrator  
Recovery Directorate

SUBJECT: Adjustment of the Public Assistance Program's  
Maximum Amount for Small Project Grants

Attached for your information and dissemination, is a copy of the Federal Register Notice, announcing the annual Consumer Price Index (CPI) adjustment of the maximum amount of Small Project Grants under the Public Assistance program. The Sandy Recovery Improvement Act, Public Law 113-2, provides that FEMA will annually adjust the maximum grant amount made under section 422, Simplified Procedures, relating to the Public Assistance program, to reflect changes in the CPI for All Urban Consumers published by the Department of Labor.

Effective October 1, 2019, the maximum amount increased from \$128,900 to \$131,100. This change reflects an increase in the CPI of 1.7 percent for the 12-month period that ended August 2019.

The change applies to all disasters declared on or after October 1, 2019. Please ensure that all members of your staff are aware of this change and its applicability.

Attachment

Billing Code 9111-11-P

DEPARTMENT OF HOMELAND SECURITY

Federal Emergency Management Agency

[Docket ID FEMA-2019-0001]

Notice of Adjustment of Disaster Grant Amounts

AGENCY: Federal Emergency Management Agency, DHS.

ACTION: Notice.

SUMMARY: FEMA gives notice of an adjustment to the threshold for Small Project subgrants made to state, tribal, and local governments and private nonprofit facilities for disasters declared on or after October 1, 2019.

DATE: This adjustment applies to major disasters and emergencies declared on or after October 1, 2019.

FOR FURTHER INFORMATION CONTACT: Tod Wells, Recovery Directorate, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472, (202) 646-3834.

SUPPLEMENTARY INFORMATION: The Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5121-5207, as amended by the Sandy Recovery Improvement Act, Public Law 113-2, provides that FEMA will annually adjust the threshold for assistance provided under section 422, Simplified Procedures, relating to the Public Assistance program, to reflect changes in the Consumer Price Index for All Urban Consumers published by the Department of Labor.

FEMA gives notice that \$131,100 is the threshold for

any Small Project subgrant made to state, tribal, and local governments or to the owner or operator of an eligible private nonprofit facility under section 422 of the Stafford Act for all major disasters or emergencies declared on or after October 1, 2019.

FEMA bases the adjustment on an increase in the Consumer Price Index for All Urban Consumers of 1.7 percent for the 12-month period that ended in August 2019. This is based on information released by the Bureau of Labor Statistics at the U.S. Department of Labor on September 12, 2019.

Catalog of Federal Domestic Assistance No. 97.036, Disaster Grants - Public Assistance (Presidentially Declared Disasters).



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Pete Gaynor,

*Acting Administrator,*

*Federal Emergency Management Agency.*



**FEMA**

SEP 30 2019

MEMORANDUM FOR: Regional Administrators  
Regions I-X  
Recovery Division Directors  
Response Division Directors  
Assistant Administrator, Field Operations Directorate  
Federal Coordinating Officers  
Joint Field Offices

FROM: Keith Turi *07h 682*  
Assistant Administrator  
Recovery Directorate

SUBJECT: Adjustment of the Public Assistance Program's  
Minimum Amount for Project Worksheets

Attached for your information and dissemination, is a copy of the Federal Register Notice, announcing the increase of the minimum amount that will be approved for any Project Worksheet under the Public Assistance program. The Robert T. Stafford Disaster Relief and Emergency Assistance Act 42 U.S.C. 5121-5207 and 44 CFR 206.202(d)(2) provide that FEMA will annually adjust the minimum Project Worksheet amount under the Public Assistance program to reflect changes in the Consumer Price Index (CPI) for All Urban Consumers published by the Department of Labor.

Effective October 1, 2019, the minimum amount increased from \$3,200 to \$3,300. This change reflects an increase in the CPI of 1.7 percent for the 12-month period that ended August 2019.

The change applies to all disasters declared on or after October 1, 2019. Please ensure that all members of your staff are aware of this change and its applicability.

Attachment

Billing Code 9111-11-P

DEPARTMENT OF HOMELAND SECURITY

Federal Emergency Management Agency

[Docket ID FEMA-2019-0001]

Notice of Adjustment of Minimum Project Worksheet Amount

AGENCY: Federal Emergency Management Agency, DHS.

ACTION: Notice.

SUMMARY: FEMA gives notice that the minimum Project Worksheet Amount under the Public Assistance program for disasters and emergencies declared on or after October 1, 2019, will be increased.

DATE: This adjustment applies to major disasters and emergencies declared on or after October 1, 2019.

FOR FURTHER INFORMATION CONTACT: Tod Wells, Recovery Directorate, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472, (202) 646-3834.

SUPPLEMENTARY INFORMATION: The Robert T. Stafford Disaster Relief and Emergency Assistance Act 42 U.S.C. 5121-5207 and 44 CFR 206.202(d)(2) provide that FEMA will annually adjust the minimum Project Worksheet amount under the Public Assistance program to reflect changes in the Consumer Price Index for All Urban Consumers published by the Department of Labor.

FEMA gives notice of an increase to \$3,300 for the minimum amount that will be approved for any Project Worksheet under the

Public Assistance program for all major disasters and emergencies declared on or after October 1, 2019.

FEMA bases the adjustment on an increase in the Consumer Price Index for All Urban Consumers of 1.7 percent for the 12-month period that ended in August 2019. This is based on information released by the Bureau of Labor Statistics at the U.S. Department of Labor on September 12, 2019.

Catalog of Federal Domestic Assistance No. 97.036, Disaster Grants - Public Assistance (Presidentially Declared Disasters).



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Brock Long,

*Administrator,*

*Federal Emergency Management Agency.*





## Public Assistance

### Overview

Public Assistance (PA) is FEMA's largest grant program providing funds to assist communities responding to and recovering from major disasters or emergencies declared by the President. The program provides emergency assistance to save lives and protect property, and assists with permanently restoring community infrastructure affected by a federally declared incident.

### Eligible Applicants

Eligible applicants include states, federally recognized tribal governments (including Alaska Native villages and organizations so long as they are not privately owned), U.S. territories, local governments, and certain private non-profit (PNP) organizations.

PNPs must have "an effective ruling letter from the U.S. Internal Revenue Service, granting tax exemption under sections 501(c), (d), or (e) of the Internal Revenue Code of 1954, or satisfactory evidence from the State that the nonrevenue producing organization or entity is a nonprofit one organized or doing business under State law."<sup>1</sup> Additionally, for a PNP operated facility to be eligible, the PNP must demonstrate the facility provides a critical service or provides a non-critical, but essential government service and is open to the general public. A facility that provides a critical service is defined as one used for an educational, utility, emergency, or medical purpose.<sup>2</sup>

### Project Categories

FEMA processes PA grant funding according to the type of work the applicant undertakes. Eligible work must be required as a result of the declared incident, be located in the designated area, be the legal responsibility of the applicant, and be undertaken at a reasonable cost.

Eligible work is classified into the following categories:

#### Emergency Work

Category A: Debris removal

Category B: Emergency protective measures

#### Permanent Work

Category C: Roads and bridges

Category D: Water control facilities

Category E: Public buildings and contents

Category F: Public utilities

Category G: Parks, recreational, and other facilities

Federal funding guidelines for each of these categories are listed in the *Public Assistance Program and Policy Guide*, which is located [online at https://www.fema.gov/media-library/assets/documents/111781](https://www.fema.gov/media-library/assets/documents/111781).

### Application Process

After a federal declaration, the recipient (i.e. state, tribe, or territory) conducts Applicant Briefings to inform potential applicants (i.e. state, local, tribal, territorial, and PNP officials) of the assistance available and how to apply. Applicants must then file a Request for Public Assistance within 30 days of the date their respective area is designated by the federal declaration.

Following the approved request, FEMA and the applicants will conduct additional meetings to discuss disaster

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<sup>1</sup> 44 CFR 206.221(f)

<sup>2</sup> Stafford Act § 406(a)(3)(B), 42 U.S.C. § 5172, and 44 CFR §206.221(e)

damage and project formulation. Applicants must identify and report damages to FEMA within the 60-day regulatory timeframe. FEMA, the recipient, or the applicant will then prepare project worksheets for eligible work and eligible facilities based on actual or estimated project costs.

### **Grant Administration**

The federal share of assistance will not be less than 75 percent of the eligible cost for emergency measures and permanent restoration. The recipient determines how the non-federal share of 25 percent will be dispersed to its applicants.

Recipients are responsible for managing the funds obligated to them by FEMA, including disbursement to applicants. FEMA will continue to monitor the recovery progress to ensure the timely delivery of eligible assistance, and compliance with federal laws and regulations.

*“FEMA’s mission is helping people before, during, and after disasters.”*



## Disaster Recovery Reform Act Public Assistance Program Amendments

On October 5, 2018, the President signed the Disaster Recovery Reform Act (DRRA) of 2018 into law as part of the Federal Aviation Administration Reauthorization Act of 2018. This Fact Sheet describes several changes that have been made, as required by DRRA, to the Public Assistance (PA) Program under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act). FEMA is implementing these amendments below immediately, pursuant to the following effective dates in the law:

- The amendments on eliminating the PA funding reduction for Alternate Projects; Public Assistance Alternative Procedures (PAAP); and eligibility of private non-profit (PNP) food banks are effective for major disasters and emergencies declared on or after August 1, 2017.
- The amendment on eligibility of PNP center-based childcare services is effective for major disasters and emergencies declared on or after October 5, 2018.

This Fact Sheet serves as an amendment to Version 3.1 of the *Public Assistance Program and Policy Guide* (PAPPG) (FP 104-009-02/April 2018) and the applicable Public Assistance Alternative Procedures (PAAP) Pilot Program Guide for Permanent Work. Aside from these specific changes, all other requirements in the PAPPG and applicable PAAP Guide continue to apply.

### **Alternate Projects – Elimination of Funding Reduction (Section 1207(a))**

When Applicants do not restore the function of a disaster damaged facility and instead conduct an Alternate Project, FEMA caps Federal funding for that project based on the eligible restoration costs. Prior to DRRA, FEMA reduced Federal funding by 10 percent of the Federal share of the estimate to restore the original facility (25 percent for PNP entities) except when Applicants opted into the PAAP Pilot Program for Permanent Work.

DRRA Section 1207(a) amends Stafford Act Section 406(c), eliminating these reductions for Alternate Projects under major disasters and emergencies declared on or after August 1, 2017. As a result, the reductions in Chapter 2.VII.G.2 of the PAPPG and the elimination of the Alternate Project in the PAAP Guide are no longer applicable.

### **Alternative Procedures – Participation (Section 1207(c))**

DRRA Section 1207(c) amends Stafford Act Section 428(d) by stating that the provision of Federal assistance cannot be based on a requirement of participation in PAAP. This reinforces current law and policy that use of PAAP is voluntary and optional for each Applicant.

### **Alternative Procedures – Cost Estimates (Section 1207(d))**

FEMA accepts Applicant-submitted estimates that comply with the criteria in Chapter 3.II.D. of the PAPPG. FEMA evaluates the eligibility and reasonableness of Applicant-submitted cost estimates using the *Public Assistance: Reasonable Cost Evaluation Job Aid*.

DRRA Section 1207(d) amends Stafford Act Section 428(e)(1) to create a presumption that FEMA-accepted fixed cost estimates which are certified by a professionally licensed engineer are reasonable and eligible costs. The cost estimate will be limited to those costs necessary to restore the facility to pre-disaster condition, plus additional eligible costs, such as approved cost-effective hazard mitigation measures and applicable codes and standards pursuant to 44 CFR 206.226(d). Once FEMA and the Applicant agree to a fixed-cost on a PAAP Permanent Work project, FEMA will not adjust Federal funding on the basis of reasonableness or eligibility provided the Applicant completes the approved scope of work. This does not preclude de-obligations on the basis of non-compliance with grant conditions, such as environmental or historic preservation; duplication of benefits, including insurance; or evidence of fraud.

### **Private Nonprofit Food Banks (Section 1214)**

Although PNP food banks were previously eligible, eligibility was restricted to facilities that distributed food to the public. DRRA Section 1214 amends Stafford Act Section 102(11)(B) to include facilities that collect, store and distribute food to food banks as eligible applicants.

### **Private Nonprofit Center-based Childcare Services (Section 1238(b))**

DRRA Section 1238(b) amends Stafford Act Section 102(11)(A) to include center-based, childcare facilities under the definition of PNP facility. Although PNP childcare facilities were previously eligible, this amendment specifically defines center-based childcare services as eligible PNP services.

### **RETROACTIVE IMPLEMENTATION OF PUBLIC ASSISTANCE AMENDMENTS**

Pursuant to DRRA, these amendments were immediately effective. DRRA also included a retroactive effective date for several of the provisions. FEMA will implement those amendments as follows:

#### **Alternate Projects**

This amendment is effective for major disasters and emergencies declared on or after August 1, 2017. For retroactive implementation of this change for declarations issued prior to the issuance of this Fact Sheet:

- If the Alternate Project is not yet obligated, FEMA will obligate 100 percent of the eligible Federal share, subject to the approval of a scope of work for use of all the funds.
- If FEMA has obligated the Alternate Project, the Applicant must request the additional funding resulting from the elimination of the reduction and submit a new scope of work, if necessary, to include any supplemental work that will be financed with the extra funding.

#### **Alternative Procedures**

The amendments on PAAP and cost estimates are effective for major disasters and emergencies declared on or after August 1, 2017. They apply to participation in PA

Alternative Procedures and the acceptance of Applicant-provided estimates for all major disasters and emergencies declared on or after that date.

## **Private Non-Profits**

The amendment for private non-profit food banks is effective for major disasters and emergencies declared on or after August 1, 2017, and the amendment for private non-profit child care facilities is effective for major disasters and emergencies declared on or after October 5, 2018.

While the amendments make such PNPs eligible for PA funding, under the Stafford Act they are defined as non-critical social services. As such, any applicable PNP seeking Permanent Work funding must first apply for a disaster loan from the Small Business Administration (SBA). However, for eligible Emergency Work the PNP may apply directly to FEMA. If a newly-eligible PNP wishes to seek PA funding, it must submit a Request for Public Assistance (RPA). Generally, the deadline to submit an RPA to FEMA is within 30 days of the respective area being identified in the declaration for the event. Potential PNP Applicants who have not yet submitted an RPA should contact their State (or applicable) emergency management agency for information on any applicable RPA submission deadlines. For RPA submission deadlines that closed prior to publication of this fact sheet, the State may request that FEMA re-open the RPA period for a reasonable timeframe to allow affected PNPs to apply.

## Appendix C: Individual Assistance Program

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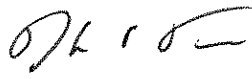
- Federal Register (max grant)
- FEMA Individual Assistance Fact Sheets
- DRRRA Updates



**FEMA**

**SEP 30 2019**

MEMORANDUM FOR: Regional Administrators  
Regions I-X  
Recovery Division Directors  
Response Division Directors  
Assistant Administrator, Field Operations Directorate  
Federal Coordinating Officers  
Joint Field Offices  
Director, Individual Assistance Division

FROM: Keith Turi   
Assistant Administrator  
Recovery Directorate

SUBJECT: Adjustment of the Maximum Amount of Assistance under the  
Individuals and Households Program

Attached for your information and dissemination, is a copy of the Federal Register Notice, announcing the annual Consumer Price Index (CPI) adjustment of the maximum amount of financial assistance provided to an individual or household under the Individuals and Households Program for any single emergency or major disaster declared on or after October 1, 2019. Section 408 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. § 5174, prescribes that FEMA must annually adjust the maximum amount for assistance provided under the Individuals and Households Program.

On October 5, 2018, the Disaster Recovery Reform Act of 2018 (DRRA) was signed into law as part of the Federal Aviation Administration Reauthorization Act of 2018. As a result of DRRA Section 1212, FEMA's Individuals and Households Program has been expanded to provide separate maximum grant amounts for Housing Assistance and Other Needs Assistance. This change also allowed financial temporary housing assistance and accessibility-related real and personal property costs to be paid separately from those maximum grant amounts. For fiscal year 2020, the Housing Assistance maximum is \$35,500 and the Other Needs Assistance maximum is \$35,500. The adjustment is based on an increase in the CPI of 1.7 percent for the 12-month period that ended in August 2019.

Please ensure that all members of your staff are aware of this change and its applicability.

Attachment

Billing Code 9111-11-P

DEPARTMENT OF HOMELAND SECURITY

Federal Emergency Management Agency

[Docket ID FEMA-2019-0001]

Notice of Maximum Amount of Assistance under the Individuals  
and Households Program

AGENCY: Federal Emergency Management Agency, DHS.

ACTION: Notice.

SUMMARY: FEMA gives notice of the maximum amount for  
assistance under the Individuals and Households Program for  
emergencies and major disasters declared on or after  
October 1, 2019.

DATE: This adjustment applies to emergencies and major  
disasters declared on or after October 1, 2019.

FOR FURTHER INFORMATION CONTACT: Christopher B. Smith,  
Recovery Directorate, Federal Emergency Management Agency,  
500 C Street, SW, Washington, DC 20472, (202) 212-1000.

SUPPLEMENTARY INFORMATION: Section 408 of the Robert T.  
Stafford Disaster Relief and Emergency Assistance Act (the  
Stafford Act), 42 U.S.C. 5174, prescribes that FEMA must  
annually adjust the maximum amount for assistance provided  
under the Individuals and Households Program (IHP). FEMA  
gives notice that the maximum amount of IHP financial  
assistance provided to an individual or household under  
section 408 of the Stafford Act with respect to any single



emergency or major disaster is \$35,500 for housing assistance and \$35,500 for other needs assistance. The increase in award amount is for any single emergency or major disaster declared on or after October 1, 2019. In addition, in accordance with 44 CFR § 61.17(c), this increases the maximum amount of available coverage under any Group Flood Insurance Policy (GFIP) issued.

FEMA bases the adjustment on an increase in the Consumer Price Index for All Urban Consumers of 1.7 percent for the 12-month period, which ended in August 2019. The Bureau of Labor Statistics of the U.S. Department of Labor released the information on September 12, 2019.

Catalog of Federal Domestic Assistance No. 97.048, Federal Disaster Assistance to Individuals and Households in Presidentially Declared Disaster Areas; 97.049, Presidentially Declared Disaster Assistance - Disaster Housing Operations for Individuals and Households; 97.050, Presidentially Declared Disaster Assistance to Individuals and Households - Other Needs.



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Pete Gaynor,

*Acting Administrator,*

*Federal Emergency Management Agency.*



# FEMA

# Fact Sheet

## Individuals and Households Program

Pursuant to section 408 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, (P. L. 93-288, as amended, 42 U.S.C. 5174 et Seq.), FEMA's Individuals and Households Program (IHP) provides financial and direct services to eligible individuals and households affected by a disaster who have uninsured or underinsured necessary expenses and serious needs. IHP is not a substitute for insurance and cannot compensate for all losses caused by a disaster; it is intended to meet the survivor's basic needs and supplement disaster recovery efforts.

### **IHP Eligibility**

These general conditions must be met for an applicant to be eligible to receive IHP Assistance:

- The applicant must be a U.S. citizen, non-citizen national, or qualified alien.
- FEMA must be able to verify the applicant's identity.
- The applicant's insurance, or other forms of disaster assistance received, cannot meet their disaster-caused needs.
- The applicant's necessary expenses and serious needs are directly caused by a declared disaster.

### **IHP Housing Assistance Provision**

FEMA determines the appropriate types of Housing Assistance for which an individual or household may be eligible based on disaster-caused loss, access to life-sustaining services, cost-effectiveness, and other factors. Individuals and households may receive more than one type of Housing Assistance, including a combination of financial assistance and direct services for disaster-caused damage to a disaster survivor's primary residence. Funds awarded for Home Repair and Replacement Assistance count toward an applicant's financial Housing Assistance maximum, which is an annually adjusted amount based on the U.S. Department of Labor's Consumer Price Index.

***Financial Housing Assistance*** - FEMA provides funds paid directly to eligible individuals and households and may include the following types of assistance:

- **Rental Assistance**: To rent alternate housing accommodations while an applicant is displaced from his or her disaster-damaged primary residence. Rental Assistance may be used to rent a house, apartment, manufactured home, recreational vehicle, or other readily fabricated dwelling. Rental Assistance is not subject to a financial maximum award limitation.
- **Lodging Expense Reimbursement**: Reimbursement for hotels, motels, or other short-term lodging while an applicant is displaced from his or her disaster-damaged primary residence. This assistance is not subject to a financial maximum award limitation.
- **Home Repair Assistance**: To help repair an owner-occupied disaster-damaged primary residence, utilities, and residential structure, including privately-owned access routes (i.e. driveways, roads, or bridges) to a safe and sanitary living or functioning condition. Assistance for specific accessibility repairs defined within the Americans with Disabilities Act (ADA) is not counted toward an applicant's financial Housing Assistance maximum.

- Replacement Assistance: To help homeowners replace an owner-occupied primary residence when the residence is destroyed by the disaster.

**Direct Housing Assistance** - FEMA may provide Direct Housing Assistance when eligible applicants are unable to use Rental Assistance due to a lack of available housing resources. Direct Housing Assistance is not subject to a financial maximum award limitation. The general period of assistance for Direct Housing is 18 months unless extended. Types of Direct Housing Assistance may include:

- Multi-Family Lease and Repair (MLR): This program allows FEMA to enter into lease agreements with owners of multi-family rental properties located in disaster areas and make repairs or improvements to provide temporary housing to eligible applicants.
- Transportable Temporary Housing Units (TTHUs): A readily fabricated dwelling (i.e. a Recreation Vehicle [RV] or a Manufactured Housing Unit [MHU]), purchased or leased by FEMA and provided to eligible applicants for use as temporary housing.
- Direct Lease: Existing ready-for-occupancy residential property leased and, if necessary, modified or improved to provide a reasonable accommodation for an eligible applicant with a disability and others with access and functional needs for use as temporary housing for eligible applicants.
- Permanent Housing Construction (PHC): Home repair and/or construction services provided in insular areas outside the continental United States and other locations where no alternative housing resources are available; and where other types of housing assistance FEMA normally provides, such as Rental Assistance or other forms of direct assistance, are unavailable, infeasible, or not cost-effective.

## **IHP Other Needs Assistance (ONA) Provision**

Applicants may receive financial assistance for other disaster-caused necessary expenses and serious needs. The types of ONA are divided into two categories of assistance that are either dependent or non-dependent on the applicant's ability to secure a U.S. Small Business Administration (SBA) disaster loan. The SBA provides low-interest, long-term loans to help eligible applicants with transportation losses, moving and storage expenses, as well as repair/replacement funds for real and personal property damage caused by the disaster. Financial assistance awarded for ONA counts toward an applicant's financial ONA maximum, which is an annually adjusted amount based on the U.S. Department of Labor's Consumer Price Index.

**SBA Dependent Types of ONA** – Only applicants who do not qualify for a loan from the SBA, or who were approved for a partial loan, but the amount of the loan was insufficient to meet the applicant's disaster necessary expenses or serious needs, may be eligible for the following types of assistance:

- Personal Property Assistance: To repair or replace essential household items including, but not limited to, furnishings and appliances, and specialized tools and protective clothing required by an employer. Assistance for specific accessibility items defined within the ADA is not counted toward an applicant's financial ONA maximum.
- Transportation Assistance: To repair or replace an eligible vehicle damaged by a disaster and other transportation-related costs.

- **Moving and Storage Assistance:** To relocate and store personal essential household goods from the damaged primary residence to prevent further disaster damage, such as ongoing repairs, and returning the property to the applicant's primary residence.

**Non-SBA Dependent Types of ONA** – May be awarded regardless of the applicant's SBA disaster loan status and may include:

- **Funeral Assistance:** Assistance is available to eligible individuals and households who incur or will incur expenses related to a death or disinterment attributed directly or indirectly to a declared emergency or major disaster.
- **Medical and Dental Assistance**   To assist with medical or dental expenses caused by a disaster, which may include injury, illness, loss of prescribed medication and equipment, insurance co-payments, or loss/injury to a service animal.
- **Child Care Assistance:** A one-time payment, covering up to eight cumulative weeks of child care expenses, for a household's increased financial burden to care for children aged 13 and under; and/or children up to age 21 with a disability who need assistance with activities with daily living as defined by federal law.
- **Miscellaneous or Other Items Assistance:** To reimburse for eligible items purchased or rented after a disaster incident to assist with an applicant's disaster recovery, such as gaining access to the property or assisting with cleaning efforts. Eligible items are identified by the state, territorial, or tribal government and may include items such as a chainsaw or dehumidifier.

## **IHP Limitations and Requirements**

**Flood Insurance Requirement:** Applicants whose homes are located in a Special Flood Hazard Area and who receive assistance for home repair, replacement, permanent housing construction, and/or personal property as a result of a flood-caused disaster must obtain and maintain flood insurance as a condition of receiving future disaster assistance for a flood event.

**Payment of Assistance:** Financial assistance is provided to disaster survivors by a U.S. Treasury check or through an electronic funds transfer into the recipient's bank account.

**Proper Use of Assistance:** Failure to use assistance appropriately may result in ineligibility for additional assistance, and the applicant may be required to return the misused funds.

**Taxation of Assistance:** FEMA's assistance is not taxable and is not counted as income or a resource when determining eligibility for income assistance or income-tested benefit programs such as Social Security benefits or disability income.

**Documentation:** Applicants may need to provide documentation to help FEMA evaluate their eligibility, such as documents pertaining to proof of occupancy, ownership, income loss, and/or information concerning an applicant's housing situation prior to the disaster.

**Duration of Assistance:** Assistance is limited to 18 months following the date of the disaster declaration and may be extended due to extraordinary circumstances.

**Appeal Rights:** Applicants who disagree with FEMA's determination of eligibility, the form, or the amount of assistance provided, have the right to appeal within 60 days of the date on the award or denial letter from FEMA. For more information on appealing, contact the FEMA Disaster Helpline at 1-800- 621-3362. Applicants who have a speech disability or hearing loss and use a TTY can call 1-800- 462-7585 directly. Those using 711 or Video Relay Services (VRS) can call

1-800-621-3362.

*FEMA's Mission: Helping people before, during, and after disasters.*

**July 2019**



## Individual Assistance Program

When a state, territorial, or tribal government (STTL) determines an incident exceeds their capability to respond, the Governor or Tribal Chief Executive may request a declaration from the President through FEMA. The President may provide federal assistance when the magnitude or threat of an incident exceeds the affected state, territorial, tribal, or local government's capability to respond or recover. For FEMA to provide supplemental federal assistance, the President must declare that an emergency or major disaster exists.

The Individual Assistance mission ensures disaster survivors have timely access to a full range of authorized programs and services to maximize recovery through partnered coordination of STTL governments, as well as other federal agencies, non-governmental organizations and the private sector.

### Individual Assistance Programs

FEMA assists individuals and households through the coordination and delivery of Individual Assistance programs including:

- **Mass Care and Emergency Assistance (MC/EA):** Mass Care is composed of seven services known as activities: sheltering; feeding; distribution of emergency supplies; support for individuals with disabilities and others with access and functional needs; reunification services for adults and children; support for household pets, service, and assistance animals; and mass evacuee support. In addition to the seven aforementioned activities, MC/EA also supports the National Mass Care Exercise (NMCE) training program and offers partnerships through the following programs: Blue Roof Program and Transitional Sheltering Assistance (TSA).
- **Crisis Counseling Assistance and Training Program (CCP):** CCP provides eligible STTLs governments, and non-governmental organizations with supplemental funding to assist disaster-impacted individuals and communities in recovering from the major disasters through the provision of community-based outreach and psycho-educational services. The goal is to aid survivors in recovering from the adverse reactions to disasters and to begin to rebuild their lives.
- **Disaster Unemployment Assistance (DUA):** DUA provides unemployment benefits and re-employment assistance services to eligible survivors affected by a Presidentially-declared major disaster. These services are under the responsibility of the U.S. Department of Labor and administered by the state, territorial, tribal, and local government emergency management officials of the affected area(s). DUA is only available to those eligible survivors who are not eligible for regular state unemployment insurance (UI).
- **Disaster Legal Services (DLS):** DLS provides legal aid to survivors affected by a Presidentially-declared major disaster through an agreement with the Young Lawyers Division (YLD) of the American Bar Association. DLS is put into effect during Presidentially-declared disasters and is available to survivors who qualify as low-income.

- **Disaster Case Management (DCM):** DCM is a time-limited process that promotes partnership between a case manager and a disaster survivor in order to assess and address a survivor's verified disaster-caused unmet needs through a disaster recovery plan. This disaster recovery plan includes resources, decision-making priorities, providing guidance and tools to assist disaster survivors.
- **Individuals and Households Program (IHP):** IHP Assistance provides financial assistance and direct services to eligible individuals and households who have uninsured or underinsured necessary expenses and serious needs. IHP Assistance is not a substitute for insurance and cannot compensate for all losses caused by a disaster; it is intended to meet basic needs and supplement disaster recovery efforts. IHP Assistance is not considered income or a resource when determining eligibility for welfare, income assistance, or income-tested benefit programs that the federal government funds, such as Social Security benefits or disability income. IHP Assistance is also exempt from garnishment or seizure, but this exception does not apply to FEMA recovering assistance received in error or fraud.

## Individual Assistance Service Delivery Channels

FEMA offers disaster survivors multiple options to access Individual Assistance. Survivors may receive information and services through:

- **Internet or Smartphone Application:** Disaster survivors may apply for IHP Assistance or check their application status online at [www.disasterassistance.gov](http://www.disasterassistance.gov). Disaster survivors may also access FEMA via smartphone by downloading the application from [www.fema.gov](http://www.fema.gov) or through their mobile provider's application store.
- **FEMA Toll-Free Helpline:** Disaster survivors may call FEMA toll-free at 800-621-3362 to register for assistance or check their application status. Disaster survivors who are deaf, hard of hearing, or have a speech disability and use a Text Telephone (TTY) may call 800-462-7585. Disaster survivors who use 711 or VRS (Video Relay Service), may call 800-621-3362.
- **Disaster Recovery Centers (DRCs):** Disaster survivors may apply for assistance in person at DRCs in or near their communities. DRCs are usually opened quickly after a disaster for a limited period of time. They are accessible and equipped to accommodate disaster survivors who need disability-related communication aids. FEMA staff can assist with completing registrations or checking their application status. FEMA coordinates with the state, territorial, tribal, or local government to establish DRC locations.
- **Disaster Survivor Assistance (DSA) Teams:** FEMA may send staff into the affected communities to help disaster survivors apply for IHP assistance. FEMA may also coordinate with the state, territorial, tribal, or local government to send staff into emergency shelters to assist survivors. FEMA staff are equipped with computers or similar devices to assist survivors with registering for IHP Assistance or provide them referrals to other resources.

Because FEMA's programs are not designed to make a survivor whole, we encourage a whole community approach to disaster recovery by engaging the full capacity of non-governmental

organizations and the private sector, including businesses, faith-based and disability organizations, and the general public, in conjunction with the participation of state, territorial, tribal, or local government, as well as other federal agency partners.

*FEMA's Mission: Helping people before, during, and after disasters.*

**April 2019**





# FEMA

# Fact Sheet

## Crisis Counseling Assistance & Training Program

The Federal Emergency Management Agency (FEMA) implements the Crisis Counseling Assistance and Training Program (CCP) as supplemental assistance to state, local, tribal, and territorial governments. Section 416 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, (P. L. 93-288, as amended, 42 U.S.C. 5183), implemented through 44 C.F.R. § 206.171, and 2 C.F.R. Part 200, authorizes FEMA to fund mental health assistance and training activities in areas that have received a Presidential major disaster declaration that includes Individual Assistance (IA) and a non-Federal entity has submitted an approved Federal award application.

The U.S. Department of Health and Human Services' (HHS) Center for Mental Health Services (CMHS), within Substance Abuse and Mental Health Services Administration (SAMHSA), works in partnership with FEMA through an interagency agreement to provide technical assistance, consultation, grant administration, program oversight, and training for state mental health authorities and designated tribal authorities.

### **Program Overview**

The mission of the CCP is to assist individuals and communities in recovering from the psychological effects of natural and human-caused disasters through the provision of community-based outreach and educational services. The CCP supports short-term interventions to assist disaster survivors in understanding their current situation and reactions, mitigating stress, reviewing their disaster recovery options, promoting the use or development of coping strategies, providing emotional support, and encouraging links with other individuals and agencies who may help survivors in their recovery process.

Services are provided at no cost and are available to any survivor, regardless of FEMA IHP applicant eligibility, who has been impacted by the disaster. These services are provided in accessible locations, including survivors' homes, shelters, temporary living sites, and places of worship. Services can be provided in a group setting or one-on-one and include supportive crisis counseling, education, development of coping skills, and linkage to appropriate resources.

### **Disaster Crisis Counseling Versus Mental Health Treatment**

The key difference between traditional mental health services and crisis counseling is the way services are provided. Mental health treatment, as typically defined within the mental health community, implies the provision of assistance to individuals for a diagnosable disorder. Typically, the mental health professional and client will discuss various treatment options and agree to certain interventions and treatment goals.

In contrast, crisis counseling seeks to prevent the onset of diagnosable disorders by helping survivors understand that they are experiencing common reactions to extraordinary common occurrences. Crisis counselors treat each individual and group encounter as if it were the only one, keep no formal individual records or case files, and find opportunities to engage survivors, encourage them to talk

about their experiences, and teach ways to manage stress. Counselors help enhance social and emotional connections to others in the community, and promote effective coping strategies and resilience. Crisis counselors work closely with community organizations to familiarize themselves with available resources, refer and link survivors to behavioral health treatment, and other needed services, program evaluation, and accountability.

Supplemental funding for crisis counseling is available to state, local, and territorial mental health authorities and designated tribal authorities through two grant mechanisms:

- **Immediate Services Program (ISP)**
  - Provides funds for up to 60 days of services immediately following the approval of IA for a disaster.
  - SAMHSA provides technical assistance.
  - FEMA monitors the Federal award in coordination with SAMHSA.
- **Regular Services Program (RSP)**
  - Provides funds for up to nine months from the date of the notice of award.
  - SAMHSA is responsible for monitoring all RSP programs in coordination with FEMA.

## Key Principles

The CCP is guided by the following key principles:

- **Strengths Based** – CCP services promote resilience, empowerment, and recovery.
- **Diagnosis-Free** – Crisis counselors do not classify, label, or diagnose people; no records or case files are kept.
- **Outreach Oriented** – Crisis counselors deliver services in the communities rather than waiting for survivors to seek their assistance.
- **Culturally Sensitive** – The CCP model embraces cultural and spiritual diversity as reflected in culturally relevant outreach activities that represent the communities served.
- **Flexible** – Services may be conducted in nontraditional settings, crisis counselors make contact in homes and communities, not in clinical or office settings.
- **Capacity Building** – Services are designed to strengthen existing community support systems, the CCP supplements, but does not supplant or replace, existing community systems.
- **Practical more than Psychological** – Crisis counselors help survivors in developing a plan to address self-identified needs and suggest connections with other individuals or organizations who can assist them.
- **Unified Identity** – The CCP strives to be a single, easily identifiable program, with services delivered by various local agencies.

## Services Funded

The following services may be funded under a CCP award:

- **Individual Crisis Counseling:** Helps survivors understand their reactions, improve coping strategies, review their options, and connect with other individuals and agencies who may assist them.
- **Basic Supportive or Educational Contact:** Provides general support and information on resources and services available to disaster survivors.
- **Group Crisis Counseling:** Hosts group sessions led by trained crisis counselors offering

skills to help survivors cope with their situations and reactions.

- **Public Education:** Offers information and education about typical reactions, helpful coping strategies, and available disaster-related resources.
- **Community Networking and Support:** Builds relationships with community resource organizations, faith-based groups, and local agencies.
- **Assessment, Referral, and Resource Linkage:** Assesses needs of adults and children and provides referral to additional disaster relief services or mental health or substance abuse treatment.
- **Development and Distribution of Educational Materials:** Distributes flyers, brochures, tip sheets, educational materials, and web site information developed by CCP staff.
- **Media and Public Service Announcements:** Works in partnership with local media outlets, state, local, tribal, and territorial governments, charitable organizations, or other community brokers to develop and share public messaging.

Funding is contingent upon the state, local agency, tribe, and/or territory meeting the following conditions:

- Providing regular progress and financial status reports.
- Documenting needs and the manner in which the program addresses the needs of the affected population, the types of services offered, and coordination of services if other agencies are involved, training for project staff, and a detailed expenditure report.
- Participating in at least one site visit by FEMA and SAMHSA during the period of the grant. If any questionable activities are noted or observed, corrective action is immediately taken, up to disallowing the costs.

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*April 2019*



## Disaster Legal Services

FEMA, through an agreement with the Young Lawyers Division of the American Bar Association, provides free legal help to disaster survivors through the request of the state, local, tribal or territorial governments. The Disaster Legal Services (DLS) program is authorized under section 415 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, 42 U.S.C. 5182, as amended, when the President declares a major disaster that includes Individual Assistance (IA).

DLS provides confidential free legal assistance to low-income survivors who were directly affected by the Presidentially declared major disaster, meet the definition of low-income, and do not have the means to hire an attorney. Low-income refers to survivors who have insufficient resources to secure adequate legal services, whether the insufficiency existed prior to or resulted from the major disaster.

DLS attorneys are volunteers who provide survivors with legal counseling and advice, and when appropriate legal representation for non-fee generating cases; they are not FEMA employees. Any services or conversations that occur between a survivor and one of the attorneys are confidential and will not be shared with FEMA. If volunteer attorneys are unable to assist survivors with their legal needs due to topic and/or time that would generate a fee, survivors will be referred to independent attorneys who can provide pro-bono or low cost services through the lawyer referral network in the impacted area.

Services typically provided include:

- Help with insurance claims for doctor and hospital bills, loss of property, loss of life, etc.
- Drawing up new wills and other legal papers lost in the disaster.
- Help with home repair contracts and contractors.
- Advice on problems with landlords.
- Estate administration, including guardianships and conservatorships.
- Consumer protection matters, remedies, and procedures.
- Preparing powers of attorney and guardianship materials.
- FEMA appeals and other disaster-related actions against the government.

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**April 2019**



## Disaster Unemployment Assistance

The Federal Emergency Management Agency (FEMA) Disaster Unemployment Assistance (DUA) program is available to states, local, tribal, and territorial governments to provide unemployment benefits and reemployment services to individuals who have become unemployed as a result of a Presidential disaster declaration approved for Individual Assistance (IA) and who are not eligible for regular State Unemployment Insurance (UI).

FEMA has delegated to the Secretary of Labor the responsibility of administering section 410 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, 42 U.S.C. 5177, as amended, which pertains to the DUA program and payment of DUA benefit assistance.

Following a Presidentially declared disaster, FEMA provides funds for the payment of benefits and reimburses the state for its administrative costs. The U.S. Department of Labor (DOL) oversees the DUA program in coordination with FEMA. DUA is administered by the State UI agency which issues a press release throughout the declared disaster area announcing DUA availability.

This fact sheet outlines general information pertaining to the requirements and conditions under which an individual may be eligible for DUA. For additional information concerning the DUA program, individuals may contact the DOL at **1-866-487-2365** or their local State UI agency.

### General Requirements

To be eligible for DUA, individuals must:

- Not be eligible for regular UI;
- Be unemployed or partially unemployed as a direct result of the major disaster;
- Be able and available for work, unless injured as a direct result of the disaster (see conditions below);
- File an application for DUA within 30 days of the date of the announcement of availability of DUA<sup>1</sup>; and
- Have not refused an offer of employment in a suitable position.

### Conditions of Unemployment

One of the following conditions of unemployment or inability to perform services in self-employment must have occurred as a direct result of the disaster:

- The individual has had a week of unemployment following the date the major disaster began;
- The individual is unable to reach his/her place of employment;
- The individual was scheduled to start work and the job no longer exists or the individual was unable to reach the job;

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<sup>1</sup> 30 days is the standard deadline, under extenuating circumstances unique to the disaster, the U.S. Department of Labor may extend the deadline. Survivors should consult with their local unemployment or workforce agency to confirm deadlines for applying.

- The individual became the major support of the household because the head of the household died as a direct result of the disaster;
- The individual cannot work because of an injury caused as a direct result of the major disaster; or
- The individual lost a majority of income or revenue because the employer or self-employed business was damaged, destroyed, or closed by the federal government.

Note: Suffering a monetary loss due to damage of property or crops does not automatically entitle an individual to DUA. Applicants must follow the instructions in the announcement and file for DUA based on the filing method used by the State (i.e., in-person, mail, telephone, or internet).

*For additional information on how to file a DUA claim, contact the State UI agency.*

## **Rules and Responsibilities**

### Non-discrimination

All forms of FEMA disaster assistance are available to any affected household that meets the eligibility requirements. No Federal entity or official (or their agent) may discriminate against any individual on the basis of race, color, religion, sex, age, national origin, disability, or economic status.

### Residency status in the United States and its territories

To be considered for DUA, individuals must provide proof of identity and citizenship (U.S. citizen, U.S. national, or qualified alien). DUA shall not be paid to an individual who receives regular UI.

### Documentation

Individuals are required to substantiate employment or self-employment or to substantiate work that was to begin on or after the date of the disaster. If proof of employment cannot be provided at the time the claim is filed, individuals have 21 calendar days from that time to meet this requirement. Failure to submit this documentation within the 21 days will result in a denial of DUA, and any benefits already paid will be considered overpaid. Individuals are required to repay any benefits overpaid.

### Duration of Assistance

DUA benefits are generally paid for up to 26 weeks beginning with the first week following the date the major disaster began, and ending with the 26th week following the date the major disaster is declared by the President, as long as the individual's unemployment continues to be a direct result of the disaster.

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*Last update: May 2018*



## Funeral Assistance

FEMA provides financial assistance under the Other Needs Assistance (ONA) provision of the Individuals and Households Program (IHP) to households with disaster-caused funeral expenses<sup>1</sup>. Funds awarded for Funeral Assistance count toward an applicant's financial ONA maximum for that disaster, which is an annually adjusted amount based on the U.S. Department of Labor's Consumer Price Index. The affected state, territorial, or tribal government establishes the maximum amount of Funeral Assistance and whether the assistance will be awarded per death or per household.

Funeral Assistance provides funds to help with the cost of uninsured expenses for a death (funeral services) or disinterment (unearthing or physical disturbance of remains) caused directly or indirectly by a Presidentially-declared emergency or major disaster.

Applicants are not required to reside in the Presidentially-declared disaster area to qualify for Funeral Assistance. An individual who incurs or will incur expenses related to death or disinterment, attributed directly or indirectly to a declared emergency or major disaster, may apply for and, if eligible, receive Funeral Assistance. In order to prevent duplication of federal assistance benefits, multiple registrations for the same deceased individual(s) are not allowed.

### Conditions of Eligibility

To qualify for Funeral Assistance, applicants must comply with the following conditions of eligibility:

- The applicant must be a U.S. citizen, non-citizen national, or qualified alien.
- FEMA must be able to verify the applicant's identity.
- A state, local, territorial, or tribal (SLTT) government licensed medical official, such as the Medical Examiner or Coroner, has attributed the death to the emergency or disaster, either directly or indirectly.
- The applicant incurred or will incur eligible funeral expenses, not covered by other sources such as burial insurance or financial assistance from voluntary agencies, applicable government programs, or other entities.
- The applicant must provide to FEMA all required documentation identified below.

### Required Documentation

The applicant must submit:

- An official death certificate that clearly indicates the death was attributed to the emergency or disaster, either directly or indirectly, or a signed statement from a SLTT government licensed medical official, such as a Medical Examiner or Coroner, attributing the death to the emergency

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<sup>1</sup> 44 C.F.R. § 206.119(c)(4).

or disaster.

- A death is directly attributed to a disaster if caused by the forces of the disaster or the direct consequences of the forces, such as structural collapse, flying debris, or radiation exposure.
- A death is indirectly attributed to a disaster if it occurs as a result of unsafe or unhealthy conditions present during any phase of the disaster (i.e., pre-event preparations, during the actual disaster, or post-event during cleanup after a disaster), including disaster-caused exacerbation of pre-existing conditions.
- Receipts or verifiable estimates indicating the applicant incurred or will incur eligible interment, reinterment, or funeral expenses.
- Documentation of burial insurance and/or any forms of funeral assistance received from voluntary agencies, government agencies, charities, or other entities.
- For reinterment only, documentation proving that the disinterment occurred in a privately-owned, licensed cemetery or burial facility (such as an association or community cemetery or burial facility) and the cemetery or burial facility is not responsible for reintering displaced remains.
  - In the event of disinterment, FEMA will consider requests that include a funeral home representative or cemetery representative statement indicating that the cause of disinterment was a direct result of the disaster.

## **Eligible Expenses**

For interment or reinterment:

- Transfer of remains.
- Casket or urn.
- Burial plot or cremation niche.
- Marker or headstone.
- Additional expenses mandated by any applicable SLTT government laws or ordinances.

For interment only:

- Transportation for up to two individuals to identify the deceased, if such identification is required by SLTT government authorities.
- Interment.
- Funeral services.
- Clergy or officiant services.
- Costs associated with producing and certifying up to five death certificates.

For reinterment only:

- Reinterment (including costs for preparing and transporting remains).
- Funeral services (limited to preparation and use of facilities to prepare remains for reinterment).
- Cost of identifying disinterred remains.



### **Limitations and Exclusions**

FEMA may provide assistance to the applicant only up to the Funeral Assistance amount established by the state, territorial, or tribal government. For multiple deaths on the same registration, FEMA may provide assistance only up to the financial ONA maximum for the fiscal year in which the disaster was declared.

FEMA will not provide assistance for any of the following:

- Obituaries.
- Flowers.
- Printed materials such as banners, programs, or register books.
- Catering services, including food and beverages.
- Transporting the applicant or others to site(s) of funeral services, interment, or reinternment.
- Gratuities.

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## Child Care Assistance

Section 408(e) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, P.L. 93-288, as amended, 42 U.S.C. 5121 et. Seq. gives FEMA the authority to award Child Care Assistance through the Other Needs Assistance (ONA) provision of the Individuals and Households Program (IHP). This provision assists eligible disaster survivors experiencing increased disaster-caused financial child care costs. FEMA may provide Child Care Assistance to address disaster-caused child care expenses for eligible households with:

- Children age 13 and under; and/or
- Children up to age 21 with a disability, as defined by federal law, who need assistance with activities of daily living (ADL). ADLs are routine activities that people tend to do every day without needing assistance. There are six basic ADLs: eating, bathing, dressing, toileting, transferring (walking), and continence.

Eligible child care expenses include standard child care service fees (i.e. the cost that is established in a contract between the child care provider and the applicant). Child care registration fees and health inventory fees are also eligible expenses for applicants who require a new child care service provider.

FEMA will award a one-time payment for the household's increased financial burden for up to eight cumulative weeks of child care, plus any eligible expenses, or the maximum amount of assistance for Child Care Assistance, whichever is less. The maximum amount of Child Care Assistance is established by the state, territorial, or tribal government. Funds awarded for Child Care Assistance count toward an applicant's financial ONA maximum for that disaster, which is an annually adjusted amount based on the U.S. Department of Labor's Consumer Price Index. The date of eligibility for Child Care Assistance begins on the date of the incident period for the declared disaster and continues through the end of the IHP 18-month period of assistance unless it is extended.

### **Conditions of Eligibility**

In order to qualify for Child Care Assistance, the applicant must:

- Meet the IHP general eligibility conditions:
  - The applicant must be a U.S. citizen, non-citizen national, or qualified alien;
  - FEMA must be able to verify the applicant's identity; and
  - The applicant's insurance, or other forms of disaster assistance received, cannot meet their disaster-caused needs.
- Have necessary expenses and serious needs that are directly caused by a declared disaster.
- Have a disaster-caused financial burden for child care, regardless of whether child care expenses were required prior to the disaster, through an increase in child care costs and/or a decrease in gross household income and certify they cannot utilize child care services provided by any other source (e.g. other federal assistance, private employer services, etc.).

- Have a post-disaster child care provider that is licensed, regulated, or registered under applicable state, local, territorial, or tribal government law.
- Submit documentation required to determine a disaster-caused need for Child Care Assistance and amount of eligible expenses.

## Required Documentation

- Pre- and post-disaster gross household income documentation;
- Pre-disaster receipts, contract, or signed letter from the child care provider for child care expenses, if receipts cannot be located;
- Post-disaster receipts or estimates for child care fees, registration, and/or health inventory fees;
- A post-disaster child care provider's license, if the information cannot be located within a respective state, local, territorial, or tribal government's license provider database;
- A post-disaster child care contract or agreement;
- Individualized Educational Plan (IEP)<sup>1</sup>, 504<sup>2</sup> plan, or medical professional's statements, if applicable, to verify disability for children up to age 21 who need assistance with ADLs; and
- A signed, written statement from the applicant.

## Limitations and Exclusions

If a child is a member of multiple households, FEMA will only award Child Care Assistance to the primary custodial parent or guardian responsible for child care costs after the disaster.

FEMA will not provide assistance for any of the following:

- Fees for extra-curricular activities and additional services (e.g. school photographs, field trips).
- Fees not related to the day-to-day child care services provided to the eligible child (e.g. prepared lunches, snacks, facility-provided linens, etc.).
- Fuel expenses related to transporting the child to and from the child care provider (e.g. school bus service).
- Education services (e.g. after-school tutoring).
- Medical care or services.
- Recreational camps or clubs (e.g. after-school clubs, overnight camps).

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<sup>1</sup> A document developed for each public-school child who needs special education. An IEP defines the individualized objectives of a child who has been determined to have a disability, as defined by Federal regulations. As long as a student qualifies for special education, the IEP is mandated to be regularly maintained and updated up to the point of high school graduation, or prior to the 21st birthday.

<sup>2</sup> This type of plan falls under Section 504 of the Rehabilitation Act of 1973. A 504 plan outlines how a child's specific needs are met with accommodations, modifications and other services. These measures "remove barriers" to learning.

*April 2019*



## Generator Reimbursement

FEMA provides financial assistance under the Other Needs Assistance (ONA) provision of the Individuals and Households Program (IHP) to individuals and households with certain disaster-caused miscellaneous expenses. Eligible items must be purchased or rented after the incident to assist with the applicant's disaster recovery. Items damaged by the disaster that were owned prior to the disaster will be considered under Personal Property Assistance. Funds awarded for generator reimbursement count toward an applicant's financial ONA maximum for that disaster which is an annually adjusted amount based on the U.S. Department of Labor's Consumer Price Index.

FEMA cannot provide reimbursement for equipment paid for by another source, such as homeowner's, flood, or other types of insurance. Duplicate payments or reimbursements for assistance provided by insurance or any other source are prohibited by law.

Applicants who owned a generator prior to the disaster that was damaged as a result of the disaster:

- Must meet general eligibility requirements for Personal Property assistance.
- Must be referred back to FEMA by the U.S. Small Business Administration (SBA) to be eligible to receive financial assistance to repair or replace the generator as a Personal Property ONA award.
- Are not required to show they have a verified medical need for the generator.

Applicants who purchase or rent a generator during the Qualifying Incident Period may be eligible to receive financial assistance for reimbursement as a Miscellaneous Other ONA award, if:

- The applicant meets the general eligibility requirements for IHP;
- The home is the applicant's primary residence and is located in an area designated for Individual Assistance (IA);
- The generator was purchased or rented due to a disruption in electrical utility service caused by a Presidentially-declared disaster;
- Proof-of-purchase or rental receipts for the generator are submitted by the applicant;
- The generator was purchased or rented to power a medically-required piece of equipment, including a medically-required refrigerator; and
- The applicant provides a statement from a medical services provider, reflecting the generator is medically necessary.

One or more conditions of eligibility can be waived when determined to be in the public's interest and approved by the Individual Assistance leadership.

The **Qualifying Incident Period** starts the date the Governor or Tribal Chief Executive declares a state of emergency and ends at the incident period closure date, as published by FEMA in the Federal Register, or the date power is restored to the applicant's dwelling, whichever occurs first.

The FEMA Field Office is responsible for providing officially verified commercial outage/restoration information. Expenses incurred for generators purchased or rented outside the Qualifying Incident Period are not eligible for reimbursement.

For reimbursement of generators **purchased** during the Qualifying Incident Period:

- The cost will be reimbursed at the prevailing retail rate for a 5.5 kW-sized generator, as identified by FEMA.

For reimbursement of generators **rented** during the Qualifying Incident Period:

- The cost is limited to the period the generator was rented until commercial power was restored.
- Reimbursement of generator rental costs will not exceed the prevailing retail rate for a 5.5 kW-sized generator, as identified by FEMA.

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## The Inspection Process

### What Happens After an Applicant Applies for Assistance?

Once disaster survivors register for assistance, FEMA is required to verify the losses to determine their eligibility for assistance. Registered individuals receive a personal application number to use when communicating with FEMA. Each application is reviewed to determine if an inspection will be issued. If FEMA determines that the applicant has no insurance or that the applicant's insurance coverage may not meet their necessary expenses and serious needs, an inspection is issued to verify disaster-caused damage.

In most cases, the inspector calls to schedule an appointment within a few days after an applicant registers for assistance and usually no later than 10 days. However, in some cases an applicant may be contacted the same day they apply. If an inspector is unable to contact the applicant using the phone numbers provided during registration, the inspector will visit the home to establish contact. FEMA uses contract inspectors with construction and/or appraisal expertise. Every inspector receives disaster-specific training, including identifying the difference between disaster-caused damage and normal wear and tear that occurs as a home ages. Every inspector has passed an FBI background check and is required to display official government-issued photo identification. There is **no fee** to the applicant for the inspection.

### To Begin the Inspection

- Someone 18 years of age or older who lived in the household prior to the disaster must be present for the scheduled appointment.
- Applicants must provide photo ID and may be asked to show proof of occupancy, such as a valid driver's license or utility bill.
- Owners may be asked to show proof of ownership such as a deed or mortgage statement.
- If the applicant or a household member 18 years of age or older cannot meet the inspector onsite, the applicant may write to FEMA prior to the inspection to authorize a third party over the age of 18 (e.g., neighbor, landlord) to attend the inspection on their behalf.
- Applicants who require special accommodations to communicate with the inspector, such as an interpreter, should contact FEMA prior to the inspection.

### During the Inspection Process

- A typical inspection generally takes 20-40 minutes to complete.
- In situations where the home is inaccessible, the inspector may meet with the applicant at the obstruction or a neutral location to verify occupancy.
- The FEMA inspector is there to document disaster-caused damage, **not** to determine whether an applicant is eligible for assistance.

- The inspector will verify the applicant's name, address, contact information, occupancy and ownership status, and insurance coverage.
- The inspector will walk through the entire home to assess the condition of both damaged and non-damaged areas, noting disaster caused damage to real property (structural) and doing a complete inventory of all damaged and non-damaged essential personal property (appliances, furniture, etc.)
- The inspector will ask questions about disaster-caused losses and expenses including medical expenses, moving and storage expenses, items purchased in response to the disaster, uniforms, supplies and tools required for school or employment.
- Inspectors will not climb on roofs or enter crawl spaces.
- Photos will be taken of the interior and exterior of the home confirming the inspection was completed at the correct address.
- Conditions such as applicant availability may require an inspection to be temporarily "Withdrawn". This status may delay inspection-dependent assistance until an inspection is completed.
- If an inspection is identified as Withdrawn, an applicant may contact FEMA and request reinstatement, at which time another inspection will be attempted.

## Following the Inspection

- The results of the inspection are only one of several criteria used by FEMA to determine an applicant's eligibility for assistance. If an applicant is denied assistance for specific items it does not necessarily mean it was omitted from the inspection.
- If the applicant can demonstrate to FEMA that there was eligible disaster caused damage exceeding the damage recorded in their inspection, there is an appeal process that may provide an additional inspection to validate the claim.
- For more information on the appeal process, visit <https://www.fema.gov/media-library/assets/documents/151382>.

Please note: Applicants may receive a visit from more than one inspector such as a FEMA Quality Control inspector or representatives from the Small Business Administration (SBA).

For additional information please call the FEMA Disaster Helpline at **1-800-621-FEMA**.  
Hearing/speech impaired, please call **TTY 1-800-462-7585**.

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## Group Flood Insurance Policy

As part of the effort to reduce future expenses from floods, FEMA directly purchases Group Flood Insurance Policy (GFIP) certificates on behalf of applicants who are required to buy and maintain flood insurance but who may not otherwise be able to purchase a policy. The GFIP is a policy that is established for each disaster declaration that results from flooding and authorizes the provision of Individual Assistance (IA). The National Flood Insurance Reform Act (NFIRA) and FEMA regulations require applicants who receive federal financial assistance to buy and maintain flood insurance as a condition to receive assistance for future flood damage to any insurable property for acquisition or construction purposes. For purposes of the Individuals and Household Program financial assistance for acquisition or construction means assistance to buy, receive, build, repair or improve insurable portions of a home and/or buy or repair insurable contents for the home. The requirement to buy and maintain flood insurance only to real and personal property that is, or will be, in a designated Special Flood Hazard Area (SFHA) and can be insured under the National Flood Insurance Program (NFIP).

The GFIP refers to a flood insurance policy established under the NFIP regulations. FEMA may pay \$600 under Other Needs Assistance (ONA) for three years of flood insurance for eligible ONA recipients of assistance for flood-damaged property (personal and real) located in an SFHA on which FEMA places a first-time flood insurance requirement. The \$600 GFIP premium is counted toward the applicant's financial ONA maximum, which is an annually adjusted amount based on the U.S. Department of Labor's Consumer Price Index. The coverage amount of the GFIP policy is equal to the combined amount for the Housing Assistance and ONA financial maximum awards for the declared disaster.

### GFIP Policy Terms

The 36-month GFIP policy term begins 60 days after the date of the Presidential disaster declaration. However, individual coverage becomes effective 30 days following NFIP's receipt of the applicant's name and premium payment from either the local, state, territorial, tribal government or FEMA.

- **Homeowners:** Flood insurance coverage must be maintained for the address of the flood-damaged property. The flood insurance requirement is transferred to any new owner of the address and continues for as long as the address exists.
- **Renters:** Flood insurance coverage must be maintained on the contents of the rental property for as long as the renter remains at the flood-damaged address. If the recipient moves from the damaged rental property, the flood insurance requirement is not transferred to the next renter.

## Conditions of Eligibility:

1. The applicant must be in compliance with Individuals and Households Program (IHP) general eligibility conditions:
  - The applicant must be a U.S. citizen, non-citizen national, or qualified alien.
  - FEMA must be able to verify the applicant's identity.
  - The applicant's insurance, or other forms of disaster assistance received, cannot meet their disaster-caused needs.
  - The applicant's necessary expenses and serious needs are directly caused by a declared disaster.
2. FEMA verifies that damage to the applicant's property is caused by flooding and the damaged items are insurable under the NFIP.
3. The applicant's damaged residence is located in a SFHA.
4. The applicant's residence is not located in a sanctioned community, Coastal Barrier Resources System (CRBS) area, or Other Protected Area (OPA). An eligible applicant whose pre-disaster primary residence is located within an OPA and an SFHA may only be considered for a GFIP certificate if they also meet the following conditions:
  - A legally valid building permit for the construction of the applicant's pre-disaster primary residence was issued prior to November 16, 1991;
  - The applicant's pre-disaster primary residence was built (walled and roofed) no later than November 16, 1991; and
  - The applicant's pre-disaster primary residence was not substantially improved or 5102 substantially damaged on or after November 16, 1991.
5. The applicant does not have a previous requirement to maintain flood insurance as a condition of receiving IHP assistance.
6. The applicant is eligible for Home Repair, Replacement, or Personal Property Assistance, prompting the requirement to maintain flood insurance on the damaged residence and initiating the GFIP.
7. The applicant is referred to ONA.

## Eligibility Notification

Pre-disaster owners included in the GFIP receive notification from FEMA stating they have been included in the policy as well as a "Certificate of Flood Insurance"; applicants do not receive a copy of the actual policy. Applicants do not have the ability to decline the GFIP.

Pre-disaster renters will only receive a GFIP certificate if they notify FEMA within six months of receiving a GFIP notification letter that they have moved back or intend to move back to their pre-disaster residence.

## **Expiration Notification**

FEMA gives applicants a 60-day notice of policy expiration and a final notice of termination of coverage. When the GFIP expires, the applicant is responsible for purchasing and maintaining flood insurance on their own. Failure to maintain flood insurance will affect applicant eligibility for future disaster assistance.

## **Limitations and Exclusions**

- If the cost of a GFIP policy exceeds the remaining amount of financial ONA assistance available to an applicant, then FEMA will not purchase a policy. The applicant will still be responsible for obtaining a policy on their own.
- Applicants who own or rent travel trailers on non-permanent foundations are not eligible for GFIP.
- Applicants who accept a U.S. Small Business Administration (SBA) disaster loan during the disaster in which a flood insurance requirement is established, will not be considered for a FEMA-purchased GFIP certificate.

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## DISASTER RECOVERY CENTERS

A Disaster Recovery Center (DRC) is a fixed or mobile provisional facility set up by FEMA in a central location near disaster-impacted areas. DRCs are usually opened quickly after a disaster for a limited period of time. The facility offers survivors a place to register for FEMA assistance and obtain information about disaster relief resources from federal, state, tribal, territorial government and non-governmental organizations.

### FEMA DRCs offer survivors:

- Information regarding the Individuals and Households Program.
  - Clarification of any written correspondence received.
  - Answers to questions and resolutions of problems.
  - Application status.
  - Acceptance of additional requested documentation submitted to FEMA.
- Information regarding the Crisis Counseling Program, Disaster Legal Services, and Disaster Unemployment Assistance.
- Assistance in completing U.S. Small Business Administration applications.
- Access to representatives from state, local, tribal and territorial governments and voluntary agencies with access to local disaster assistance resources.



In addition to the services above, FEMA DRCs provide assistive devices for people with disabilities or access and functional needs so they receive information in their preferred method of communication. Devices are available for people who are deaf, hard of hearing, blind, have low vision, intellectual disabilities, or other communication disabilities. DRCs have magnifying readers, tablets, captioned phones, video remote interpreting, and assistive listening devices. DRCs are designed to meet the unique needs of people with disabilities or people with access and functional

needs, ensuring all survivors have access to FEMA programs. Learn more about FEMA and DRCs, at [www.FEMA.gov](http://www.FEMA.gov).

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## Alerting the Whole Community - People with Disabilities and Others with Access and Functional Needs

### Background

Traditionally, mass media used to alert and warn the American public has not incorporated the use of technologies needed to reach Americans with disabilities and others with access and functional needs.

Executive Order 13407 requires the Federal Emergency Management Agency (FEMA) to “include in the public alert and warning system the capability to alert and warn all Americans, including those with disabilities” thereby reaching our whole community.

In response, FEMA established the Integrated Public Alert and Warning System (IPAWS).

### Common Alerting Protocol (CAP)

The CAP standard provides an opportunity to improve emergency alert information delivery to Americans with disabilities and others with access and functional needs.

CAP alerts can transport rich multi-media attachments and links in alert messages.

The use of CAP enables industry partners to develop content and/or devices that can be used by individuals with disabilities and others with access and functional needs to receive emergency alerts.

### Wireless Emergency Alerts (WEAs)

FEMA’s IPAWS-Open Platform for Emergency Notifications (OPEN) platform allows alerting authorities to send WEAs, which are geographically targeted, text-like alerts to the public via their wireless handsets.

WEAs use a unique signal and vibration to attract attention, which may be helpful to individuals with hearing or vision loss.

The public does not need to sign up to receive WEAs and wireless customers will not be charged for the delivery of WEA messages.

Participating wireless carriers sell WEA capable phones with the service already included.

To find out if your existing phone has this service, please contact your wireless mobile service provider.

### Collaborating with Industry

The IPAWS Program Management Office (PMO) will continue to establish, develop, and maintain collaborative working relationships with organizations and agencies to effectively identify and integrate alert and warning requirements to reach the whole community.

A sample of the IPAWS PMO's partners include: Sigtel, Deaf-Link, Alertus, National Public Radio, Readspeak, Roam Secure, Virtual Private Network Voice Corp, and public organizations such as the National Oceanic and Atmospheric Administration (NOAA).

### FEMA IPAWS and the Office of Disability Integration and Coordination Partnered Roundtables

The IPAWS PMO partners with FEMA’s Office of Disability Integration and Coordination to conduct semi-annual roundtables for public and private sector partners to discuss alert and warning issues for people with disabilities and others with access and functional needs.

The roundtables provide periodic updates to our federal and industry partners, elicit information on emerging technologies and systems that can integrate CAP, and facilitate robust discussions between industry and advocacy organizations.

Participants in the roundtables include representatives of people with disabilities and other access and/or functional needs from leading industry organizations.

### Emerging Assistive Technologies

There is growing interest in developing assistive technology that supports or provides direct alert and warning capabilities to people with disabilities and others with access and functional needs.

The IPAWS PMO participates in operational testing through a partnership with the Joint Interoperability Test Command.

When available, assistive technologies and products are incorporated into IPAWS technical demonstrations and conferences.

The IPAWS PMO is continually working toward integrating additional assistive technology and encouraging industry and private sector innovation to meet the needs of the whole community.



**FEMA**

MEMORANDUM FOR: Regional Administrator  
Regions I – X

FROM: Christopher B. Smith  
Director  
Individual Assistance Division

A handwritten signature in blue ink, appearing to read "C. B. Smith".

SUBJECT: Policy Changes to the Individuals and Households Program resulting from the Disaster Recovery Reform Act of 2018, Section 1212

Section 1212 of the Disaster Recovery Reform Act of 2018 (DRRA) authorizes changes to the provision of Individuals and Households Program (IHP) Assistance. These changes are retroactive to disasters declared on or after August 1, 2017. Specifically, DRRA directs FEMA to:

- Remove financial assistance maximum award limits for temporary housing assistance.
- Remove financial assistance maximum award limits for accessibility-related real and personal property items for applicants with disabilities or other access and functional needs.
- Establish a separate financial assistance maximum award limit for Home Repair and Replacement Assistance.
- Establish a separate financial assistance maximum award limit for Other Needs Assistance.

FEMA released the Individual Assistance Program and Policy Guide (IAPPG) on March 5, 2019. The guide serves as the singular policy reference for the delivery of Individual Assistance, including IHP. I am authorizing policy changes to the IAPPG as outlined below due to the requirements of the DRRA, Section 1212. The changes are effective immediately and will be incorporated into a subsequent publication of the IAPPG.

### **Temporary Housing Assistance**

Financial assistance for temporary housing expenses is not limited to a maximum award amount. This includes Lodging Expense Reimbursement (LER), Rental Assistance, and Continued Rental Assistance.

- FEMA will consider limited extensions to the LER eligibility period upon a request from the state, territory, or tribe that establishes that local temporary housing resources are unavailable or infeasible.
- FEMA may provide Rental Assistance, including initial and continued assistance awards, up to the 18-month period of assistance, plus one additional month when utilized for a security deposit. If the 18-month financial period of assistance is extended, the number of eligible months of Rental Assistance will also be extended.

**Accessibility-Related Losses**

Disaster-caused losses to accessibility-related real and personal property for applicants with a disability or other access and functional need are not subject to a financial assistance maximum award limitation.

- The U.S. Small Business Administration disaster loan referral limitations still apply.
- This applies to accessibility items currently awarded under Home Repair Assistance and Personal Property.

**Financial Housing Assistance Maximum**

Financial assistance for Home Repair and Replacement Assistance for owner-occupied homes is limited to a maximum award amount, adjusted each fiscal year based on the Department of Labor Consumer Price Index for All Urban Consumers (CPI).

**Financial Other Needs Assistance Maximum**

Financial assistance for Other Needs Assistance Personal Property, Transportation, Moving and Storage, Medical and Dental, Funeral, Child Care, and Miscellaneous Items is limited to a maximum award amount, adjusted each fiscal year based on the Department of Labor CPI.

Below is a chart that depicts these specific changes by type of assistance.

IHP Assistance Maximums	Type of Assistance	Maximum
Financial Housing Assistance Maximum	Home Repair Assistance	Adjusted annually by CPI
	Home Replacement Assistance	
Financial Other Needs Assistance Maximum	Personal Property Assistance	Adjusted annually by CPI
	Transportation Assistance	
	Moving and Storage Assistance	
	Medical/Dental Assistance	
	Funeral Assistance	
	Child Care Assistance	
	Assistance for Miscellaneous Items	
	Critical Needs Assistance	
	Clean and Removal Assistance	
	Group Flood Insurance Policy	
No Maximum Applicable	Lodging Expense Reimbursement	Award amount based on receipts, Fair Market Rent rates, or line item amounts established by FEMA
	Rental Assistance	
	Continued Rental Assistance	
	Home Repair Assistance accessibility items	
	Personal Property accessibility items	

IAPPG policy language not specifically referenced in this memorandum remains in effect unless otherwise directed. Should you have any questions or need additional information, please contact Chris Smith, Individual Assistance Division Director, at christopher.b.smith@fema.dhs.gov.

cc: Keith Turi, Assistant Administrator, Recovery Directorate  
Regional Recovery Division Directors, Regions I - X

Individual Assistance Branch Chiefs, Regions I - X  
Monty LeMaire, Chief, Individuals and Households Program Service Delivery Branch



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## **Appendix D: Small Business Administration (SBA) Disaster Loan Criteria and Fact Sheets**

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- SBA Disaster Criteria: Overview of SBA Declarations
- SBA Fact Sheets:
  - Home and Personal Property Loans
  - Business Physical Disaster Loans
  - Economic Injury Loans

# Overview of SBA Declarations

<b>SBA DECLARATIONS AT-A-GLANCE (Declaration approvals are not official until they are in writing)</b>						
	<b>Presidential Individual Assistance (IA)</b>	<b>Presidential Public Assistance (PA) –SBA PNP</b>	<b>Administrative (Agency)</b>	<b>Governor's Certification (Governor's Cert)</b>	<b>Secretary of Agriculture (Sec-Ag)</b>	<b>Secretary of Commerce</b>
<b>How this type of declaration is obtained.</b>	Governor makes request to FEMA for Presidential declaration. FEMA notifies SBA that declaration is approved.	Governor makes request to FEMA for Presidential declaration. FEMA notifies SBA that declaration is approved.	<b>Governor must make written request to SBA</b> with supporting SBA Preliminary Damage Assessment (PDA) information.	<b>Governor must make written request to SBA</b> with supporting economic injury loss information.	Generally, the Governor makes request to Secretary of Agriculture and they notify SBA of a USDA declaration.	Secretary of Commerce declares a fishery resource disaster under 308 (b) of Interjurisdictional Fisheries Act of 1986, as amended.
<b>General criteria for an SBA declaration is:</b>	Automatic once we get written notification of FEMA declaration.	Automatic once we get written notification of FEMA declaration.	The PDA must show that at least 25 homes, businesses, or other eligible institutions, sustained uninsured losses of 40 percent or more.	The Governor certifies that at least five small businesses in a disaster area have suffered substantial economic injury as a result of the disaster.	Automatic once we get written notification of Sec-Ag declaration.	The Governor certifies that at least five small businesses in a disaster area have suffered substantial economic injury as a result of the disaster.
<b>Request to SBA must be made:</b>	N/A –see above.	N/A-see above.	Within 60 days of the date of the disaster.	Within 120 days of the disaster occurrence.	See above.	See above.
<b>Normal deadline to apply for loan:</b>	60 days from declaration for physical loans, 9 months for EIDL.	60 days from declaration for physical loans 9 months for EIDL.	60 days from SBA declaration for physical loans, 9 months for EIDL.	9 months from the date of SBA declaration.	8 months from declaration. Deadline set by Agriculture-SBA uses same date.	9 months from declaration. Deadline set by Commerce-SBA uses same date.
<b>Eligible for physical damages?</b>	Yes- for homeowners, renters, businesses of all sizes and non-profit organizations <b>only in the primary counties.</b>	Yes - for private non-profit organizations (non-critical). Those defined as critical apply with FEMA.	Yes – for homeowners, renters, businesses of all sizes and non-profit organizations in all declared counties.	No.	No.	No.
<b>Counties included for physical damage:</b>	Primary counties only.	Primary counties only.	Primary and contiguous counties.	N/A	N/A	N/A
<b>Eligible for economic injury?</b>	Yes for small businesses, small agricultural cooperatives and most private non-profit organizations in the primary <b>and</b> contiguous counties.	Yes for private non-profit organizations that provide non-critical services, food kitchens, museums, colleges, shelters, etc.	Yes for small businesses, small agricultural cooperatives and most private non-profit organizations.	Yes for small businesses, small agricultural cooperatives and most private non-profit organizations.	Yes for small businesses, small agricultural cooperatives and most private non-profit organizations.	Yes for small businesses, small agricultural cooperatives and most private non-profit organizations.
<b>Counties included for EIDL:</b>	Primary and contiguous counties.	Primary counties only.	Primary and contiguous counties.	Primary and contiguous counties.	Primary and contiguous counties named in Sec. of Ag declaration.	Primary and contiguous counties.
<b>Initial press release is:</b>	Issued by FEMA.	Issued by FEMA.	Issued by SBA.	Issued by SBA.	Issued by SBA.	Issued by SBA.

SBA-Office of Disaster Assistance 10-07-09

More details are available in the Code of Federal Regulations, Title 13, Part 123

For more information, contact Field Operations Center East -Communications Department at 404-331-0333

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## Home and Personal Property Loans

### Loan Amounts and Use

Homeowners may apply for up to \$200,000 to replace or repair their **primary residence**. The loans may not be used to upgrade homes or make additions, unless required by local building code. If an applicant makes improvements that help prevent the risk of future property damage caused by a similar disaster, they may be eligible for up to a 20 percent loan amount increase above the real estate damage, as verified by the SBA.

In some cases, SBA can refinance all or part of a **previous mortgage** when the applicant does not have credit available elsewhere and has suffered substantial disaster damage not covered by insurance. Renters and homeowners may borrow up to \$40,000 to replace or repair **personal property** — such as clothing, furniture, cars and appliances — damaged or destroyed in a disaster.

### Eligibility and Terms

Secondary homes or vacation properties are not eligible for these loans. However, qualified rental properties may be eligible for assistance under the SBA [business disaster loan program](#).

Proceeds from insurance coverage on a home or property will be deducted from the total damage estimate to determine the eligible loan amount. The SBA is not permitted to duplicate any benefits.

For applicants unable to obtain credit elsewhere, the interest rate will not exceed 4 percent. For those who can obtain credit elsewhere, the interest rate will not exceed 8 percent. The SBA will determine whether an applicant can obtain credit elsewhere. SBA disaster loans are offered with up to 30-year terms.

### How to Apply

Applicants can [apply online for an SBA disaster assistance loan](#). SBA will send an inspector to estimate the cost of damage once they have received a completed loan application.

Applicants must submit the completed loan application and a signed and dated **IRS Form 4506-T** giving permission for the IRS to provide SBA tax return information.

For additional information, please contact the SBA disaster assistance customer service center. Call 1-800-659-2955 (TTY: 1-800-877-8339) or e-mail [disastercustomerservice@sba.gov](mailto:disastercustomerservice@sba.gov).

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## Business Physical Disaster Loans

### Loan Amounts and Use

SBA makes physical disaster loans of up to \$2 million to qualified businesses or most private nonprofit organizations. These loan proceeds may be used for the repair or replacement of the following:

- Real property
- Machinery
- Equipment
- Fixtures
- Inventory
- Leasehold improvements

The SBA Business Physical Disaster Loan covers disaster losses not fully covered by insurance. If an applicant is required to apply insurance proceeds to an outstanding mortgage on the damaged property, they can include that amount in the disaster loan application.

If an applicant make improvements that help reduce the risk of future property damage caused by a similar disaster, they may be eligible for up to a 20 percent loan amount increase above the real estate damage, as verified by the SBA.

Disaster loan cannot be used to upgrade or expand a business, except as required by building codes.

### Eligibility and Terms

A business of any size or most private nonprofit organizations that are located in a [declared disaster area](#) and have incurred damage during the disaster, may apply for a loan to help replace damaged property or restore its pre-disaster condition.

The interest rate will not exceed 4 percent if the applicant cannot obtain credit elsewhere. For businesses and nonprofit organizations with credit available elsewhere, the interest rate will not exceed 8 percent. SBA determines whether the applicant has credit available elsewhere. Repayment terms can be up to 30 years, depending on your ability to repay the loan.

### How to Apply

Applicants can [apply online for an SBA disaster assistance loan](#). SBA will send an inspector to estimate the cost of damage once they have received a completed loan application.

Applicants must submit the completed loan application and a signed and dated **IRS form 4506-T** giving permission for the IRS to provide SBA tax return information.

For additional information, please contact the SBA disaster assistance customer service center. Call 1-800-659-2955 (TTY: 1-800-877-8339) or e-mail [disastercustomerservice@sba.gov](mailto:disastercustomerservice@sba.gov).

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## Economic Injury Disaster Loans

SBA Economic Injury Disaster Loan (EIDL):

- Small business
- Small agricultural cooperative
- Most private nonprofit organizations

### Loan Amounts and Use

Substantial economic injury means the business is unable to meet its obligations and to pay its ordinary and necessary operating expenses. EIDLs provide the necessary working capital to help small businesses survive until normal operations resume after a disaster.

The SBA can provide up to \$2 million to help meet financial obligations and operating expenses that could have been met had the disaster not occurred. Your loan amount will be based on your actual economic injury and your company's financial needs, regardless of whether the business suffered any property damage.

### Eligibility and Terms

The interest rate on EIDLs will not exceed 4 percent per year. The term of these loans will not exceed 30 years. The repayment term will be determined by your ability to repay the loan.

EIDL assistance is available only to small businesses when SBA determines they are unable to obtain credit elsewhere.

A business may qualify for both an EIDL and a physical disaster loan. The maximum combined loan amount is \$2 million.

### How to Apply

Applications can be completed [online for an SBA disaster assistance loan](#).

Applicants must submit the completed loan application and a signed and dated **IRS Form 4506-T** giving permission for the IRS to provide SBA tax return information.

For additional information, please contact the SBA disaster assistance customer service center. Call 1-800-659-2955 (TTY: 1-800-877-8339) or e-mail [disastercustomerservice@sba.gov](mailto:disastercustomerservice@sba.gov)

## Appendix E: Disaster Debris Management

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### Plans, Guidance Documents and Contracts

The State Response Framework (SRF) establishes, among other things, the mission assignments of state agencies in responding to natural disasters of a severity and magnitude typical for Connecticut. The Framework describes the interaction of state and local governments, private response organizations (e.g., utilities, the American Red Cross) and the federal government in all-hazard disaster situations.

The [State Disaster Debris Management Plan, Annex to the State Response Framework](#), establishes the framework for proper management of debris generated by a natural disaster, with the goal of facilitating prompt and efficient recovery that is cost effective, eligible for FEMA reimbursement, and protective of the environment.

The Plan is an important planning document for all levels of government – federal, state and local. The Plan describes the State contracts that are in place to use in response to a catastrophic natural disaster; the contracts are for both debris removal operations and the monitoring of these types of operations (see below for more information on the State Contracts).

The Plan outlines the planning and operation functions for Temporary Debris Storage and Reduction Sites and the two phases of clean-up. The Plan includes a number of appendices that provide references to a number of waste management resources. [FEMA approval letter](#), dated September 22, 2008.

The [State Concept of Operations Plan \(ConOps\) for Disaster Debris Management, Activation and Use of the State Debris Removal and Monitoring Contracts](#) is a companion document to the State Disaster Debris Management Plan. This Plan details the steps that will be taken by the State, its contractors, and other parties to facilitate the removal, management, collection and disposal or recycling of all debris generated from a catastrophic natural disaster, such as a Category 3 hurricane. This ConOps is tied to the activation and use of the State contracts for disaster debris removal and monitoring.

The debris management strategy for the State is divided into four major operational time periods: pre-landfall phase; phase 1; phase 2; and post-recovery. Phase 1 and Phase 2 are major focus areas. Phase 1 is the initial response, typically occurring during the first 24 to 70 hours following an event, and consists primarily of “pushing” the debris along major roadways to the right-of-way shoulders that would otherwise hinder immediate life-saving actions and that poses an immediate threat to public health and safety. Phase 2, which can last up to a year or longer, consists of removing, segregating, and disposing or recycling of the debris that hinders the orderly recovery of the community and poses less immediate threats to health and safety. The State contracts may be initiated as early as Phase 1 if it is determined that the storm event may overwhelm State and local emergency response resources.

The [Guidance for Connecticut Municipalities-Overview of Disaster Debris Management Planning, 2006](#) was prepared by the DEEP for the purpose of providing to municipal officials a brief and useful guide to the key elements for planning, mobilizing, organizing, and controlling a large-scale debris clearance, removal and disposal/recycling operation.

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**State Contracts** for the [removal of disaster debris](#) and for the [monitoring of the disaster debris removal operations](#) were executed, These are pre-need and pre-event contracts that can assist the state in disaster debris recovery operations. These contracts:

- assure the immediate availability of coordinated debris removal support following a debris producing incident.
- will be used on an as-needed basis; and,
- will be activated on a statewide basis only by the Governor, typically in the context of an emergency declaration.

### **Municipal use of state contracts**

If a FEMA major disaster declaration is received, then towns could seek 75% reimbursement for additional work beyond the 70 hours.

Debris Removal DAS Contract Award #14PSX0060 "AshBritt" provides for clearing, collecting and transporting debris, establishing and operating temporary debris management sites, and ensuring ultimate recycling or disposal of debris.

### [DAS Contract 14PSX0060 Debris Removal](#)

Debris Monitoring (Reimbursement Documentation) DAS Contract Award #14PSX0059 "Tetra Tech, Inc." provides for monitoring of debris removal operations and debris site management. The monitoring contract also provides comprehensive oversight, guidance and documentation services. This monitoring is required to receive potential federal reimbursement for disaster debris management expenditures under Federal Emergency Management Agency (FEMA) Public Assistance programs, as applicable.

Link: [DAS Contract 14PSX0059 Debris Monitoring and Documentation](#)

### Additional Resources for Disaster Debris Management Preparedness

Federal Emergency Management Agency (FEMA)

[Debris Management Guide](#)

[Public Assistance Pilot Program](#)

US Environmental Protection Agency (EPA)

[Planning for Disaster Debris](#)

[Disaster Debris](#)

[Planning for Natural Disaster Debris, March 2008](#)

Northeast Recycling Coalition (NERC)

[After the Disaster: A Guide for Residents and Small Businesses about Managing Debris Waste, August 2008](#)

Related Info:

[Coastal Permitting Information](#)

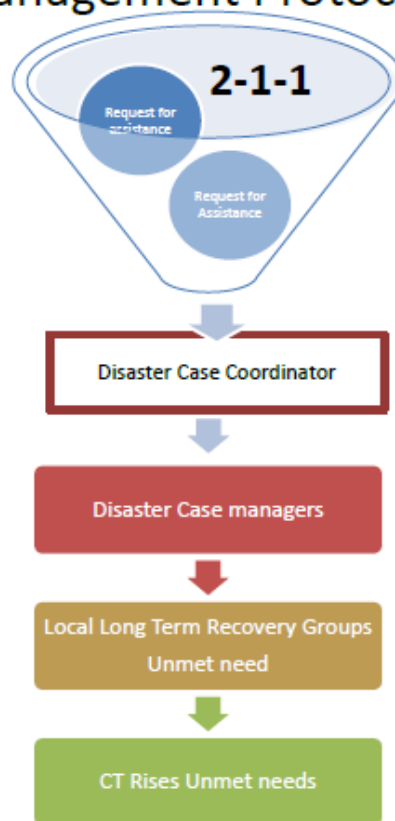
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## Appendix F: Disaster Case Management Protocol

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Following Hurricane Sandy, the State of Connecticut partnered with non-profit organizations such as United Way 2-1-1, American Red Cross, Red Cross and others to assist impacted residents.

### Superstorm Sandy Disaster Case Management Protocol





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1. 2-1-1 Intake

- Callers identify their disaster related needs
- 2-1-1 call takers screen calls and input information into the Coordinated Assistance Network (CAN) System
- The Disaster Case Coordinator is notified of new cases

2. Disaster Case Coordinator

- Opens the CAN to review new cases
- Determines the best fit case management
- Forwards case to Case Manager
- Follows up on case receipt

3. Long Term Recovery Groups

- Support Case Managers with additional resources
- Convene local unmet needs round table
- Forward cases to case managers
- Follow up on case receipt

4. CT Rises

- Addresses unmet needs for case managed cases that are not aligned with local long term recovery groups
- Convenes unmet needs roundtable with a broad reach that includes State and National partnerships
- Has its own resources and funding strategy

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## **Appendix G: Fire Management Assistance (FMAG)**

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Fire Management Assistance is available to States, local and tribal governments, for the mitigation, management, and control of fires on publicly or privately owned forests or grasslands, which threaten such destruction as would constitute a major disaster. The Fire Management Assistance declaration process is initiated when a State submits a request for assistance to the Federal Emergency Management Agency (FEMA) Regional Director at the time a "threat of major disaster" exists. The entire process is accomplished on an expedited basis and a FEMA decision is rendered in a matter of hours.

The Fire Management Assistance Grant Program (FMAGP) provides a 75 percent Federal cost share and the State pays the remaining 25 percent for actual costs. Before a grant can be awarded, a State must demonstrate that total eligible costs for the declared fire meet or exceed either the individual fire cost threshold - which applies to single fires, or the cumulative fire cost threshold, which recognizes numerous smaller fires burning throughout a State.

Eligible firefighting costs may include expenses for field camps; equipment use, repair and replacement; tools, materials and supplies; and mobilization and demobilization activities.

## Appendix H: Hazard Mitigation Assistance (HMA) Program

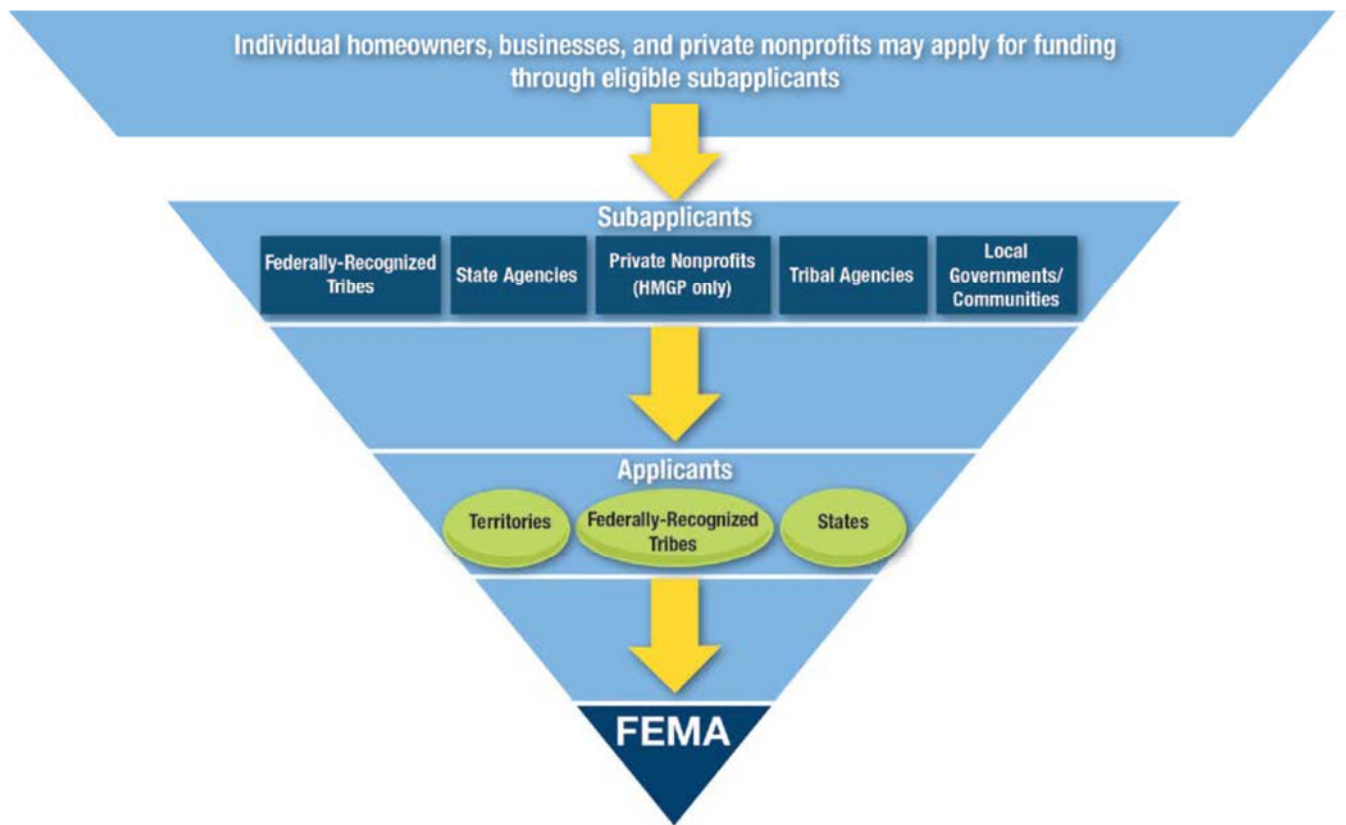
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### Eligible Subapplicants

Entity	HMGP	PDM	FMA
State agencies	✓	✓	✓
Federally-recognized tribes	✓	✓	✓
Local governments/communities <sup>(1)</sup>	✓	✓	✓
Private nonprofit organizations (PNPs)	✓		

<sup>(1)</sup> Local governments/community may include non-federally recognized tribes, or consistent with definition of local government at 44 CFR 201.2, may include any Indian tribe or authorized tribal organization, or Alaska Native village or organization that is not federally recognized per 25 U.S.C. 479a et seq.

## Application process for all HMA Programs: HMGP, PDM, FMA



## Eligible Activities by Program

Eligible Activities	HMGP	PDM	FMA
<b>1. Mitigation Projects</b>	✓	✓	✓
Property Acquisition and Structure Demolition	✓	✓	✓
Property Acquisition and Structure Relocation	✓	✓	✓
Structure Elevation	✓	✓	✓
Mitigation Reconstruction	✓	✓	✓
Dry Floodproofing of Historic Residential Structures	✓	✓	✓
Dry Floodproofing of Non-residential Structures	✓	✓	✓
Generators	✓	✓	
Localized Flood Risk Reduction Projects	✓	✓	✓
Non-localized Flood Risk Reduction Projects	✓	✓	
Structural Retrofitting of Existing Buildings	✓	✓	✓
Non-structural Retrofitting of Existing Buildings and Facilities	✓	✓	✓
Safe Room Construction	✓	✓	
Wind Retrofit for One- and Two-Family Residences	✓	✓	
Infrastructure Retrofit	✓	✓	✓
Soil Stabilization	✓	✓	✓
Wildfire Mitigation	✓	✓	
Post-Disaster Code Enforcement	✓		
Advance Assistance	✓		
5 Percent Initiative Projects	✓		
Miscellaneous/Other <sup>(1)</sup>	✓	✓	✓
<b>2. Hazard Mitigation Planning</b>	✓	✓	✓
Planning Related Activities	✓		
<b>3. Technical Assistance</b>			✓
<b>4. Management Cost</b>	✓	✓	✓

<sup>(1)</sup> Miscellaneous/Other indicates that any proposed action will be evaluated on its own merit against program requirements. Eligible projects will be approved provided funding is available.

## Cost-Share Requirements

<b>Programs</b>	<b>Mitigation Activity</b> (Percent of Federal/Non-Federal Share)	<b>Recipient Management Costs</b> (Percent of Federal/Non-Federal Share)	<b>Subrecipient Management Costs</b> (Percent of Federal/Non-Federal Share)
<b>HMGP</b>	75/25	100/0	— <sup>(1)</sup>
<b>PDM</b>	75/25	75/25	75/25
<b>PDM</b> – subrecipient is small and impoverished community	90/10	75/25	90/10
<b>PDM</b> – Tribal Recipient/subrecipient is small and impoverished	90/10	90/10	90/10
<b>FMA</b> – insured properties and planning grants	75/25	75/25	75/25
<b>FMA</b> – repetitive loss property <sup>(2)</sup>	90/10	90/10	90/10
<b>FMA</b> – severe repetitive loss property <sup>(2)</sup>	100/0	100/0	100/0

(1) Subapplicants should consult their State Hazard Mitigation Officer (SHMO) for the amount or percentage of **HMGP** subrecipient management cost funding their State has determined to be passed through to subrecipients.

(2) To be eligible for an increased Federal cost share, a FEMA-approved State or Tribal (Standard or Enhanced) Mitigation Plan properties must be in effect at the time of award, and the property that is being submitted for consideration must be a repetitive loss property.

# Appendix I: Community Lifelines

## Incorporating Community Lifelines into Response

The 2017 Hurricane Season FEMA After-Action Report identified the need to create a new operational prioritization and response tool which would:

- Characterize the incident and identify the root causes of priority issue areas in order to create effective solutions
- Distinguish the highest priorities and most complex issues from other incident information

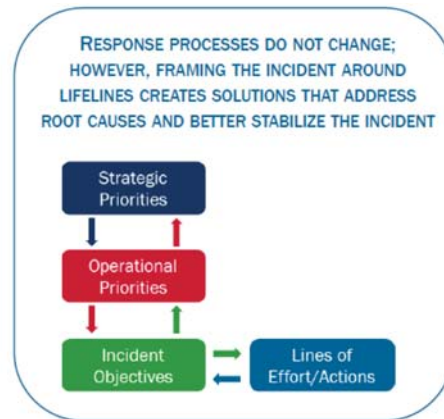
## Community Lifeline Implementation

The community lifelines reframe incident information to provide decision-makers with impact statements and root causes. This construct maximizes the effectiveness of federally supported, state managed, and locally executed response.

- Incorporating the lifelines primarily impacts how incident information is organized and reported during response
- Response operations procedures such as NIMS and ICS remain fundamentally the same

Some changes may include:

- How we understand, prioritize, and communicate incident impacts
- The structure and format of decision-making support products (e.g., briefings)
- Planning for incident impacts and stabilization both prior to and during incidents



## Deconstructing Community Lifelines

Each lifeline is comprised of several components that represent the bucketing of critical Essential Elements of Information (EIs)

- The EIs are the common themes across incidents and indicate overall lifeline status
- Components were determined by a large group of intra-and interagency Response partners
- Components includes key capabilities or services that are essential to stabilizing an incident and in providing resources to survivors
- Components are assessed individually to determine the seven lifelines' status and overall progress of incident response

Not every incident will impact all of the lifelines or components.

# Community Lifelines Defined

## A CONSTRUCT FOR OUTCOME-BASED STABILIZATION EFFORTS

A lifeline enables the continuous operation of **government functions and critical business**, and is **essential to human health and safety or economic security**.



- Lifelines are designed to highlight priority areas and interdependencies, focus attention on actions being taken, communicate coordination efforts towards stabilization, and integrate information
  - Each lifeline is comprised of multiple components and essential elements of information needed to stabilize the incident

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## Community Lifeline Components



Multiple components establish the parameters of and key assessment elements for each of the lifelines; component-level analysis is required to determine if each lifeline is stable

### 1. Safety and Security

- Law Enforcement/Security
- Search and Rescue
- Fire Services
- Government Service
- Responder Safety
- Imminent Hazard Mitigation

### 2. Food, Water, Sheltering

- Evacuations
- Food/Potable Water
- Shelter
- Durable Goods
- Water Infrastructure
- Agriculture

### 3. Health and Medical

- Medical Care
- Patient Movement
- Public Health
- Fatality Management
- Health Care Supply Chain

### 4. Energy

- Power (Grid)
- Temporary Power
- Fuel

### 5. Communications

- Infrastructure
- Alerts, Warnings, Messages
- 911 and Dispatch
- Responder Communications
- Financial Services

### 6. Transportation

- Highway/Roadway
- Mass Transit
- Railway
- Aviation
- Maritime
- Pipeline

### 7. Hazardous Material

- Facilities
- Hazardous Debris, Pollutants, Contaminants

### ROOT CAUSE ANALYSIS

**Status** "What?"

**Impact** "So What?"

**Actions** "Now What?"

And any *Limiting Factors?*

Version 1.0





## Safety and Security

### COMPONENTS AND EEIs

Law Enforcement/Security	Search and Rescue	Fire Services
<ul style="list-style-type: none"> <li>Evacuation routes</li> <li>Force protection and security for staff</li> <li>Security assessments at external facilities</li> <li>Damaged law enforcement or correctional facilities</li> <li>Curfew</li> </ul>	<ul style="list-style-type: none"> <li>Number and location of missing survivors</li> <li>Life threatening hazards to responders and survivors</li> <li>Availability and resources of search and rescue teams</li> <li>Status of animal assists, structural assessments, and shelter in place checks</li> </ul>	<ul style="list-style-type: none"> <li>Location of fire</li> <li>Percent of fire contained</li> <li>Fire's rate and direction of spread</li> <li>Weather conditions</li> <li>Availability and resources of fire services</li> </ul>
Government Services	Responder Safety	Imminent Hazard Mitigation
<ul style="list-style-type: none"> <li>Status of government offices and schools</li> <li>Status of continuity of government and continuity of operations</li> </ul>	<ul style="list-style-type: none"> <li>Safety hazards affecting operations</li> <li>Requirements for Personal Protective Equipment (PPE)</li> <li>Security issues or concerns</li> <li>Billeting for responders</li> <li>Onsite training and policy</li> </ul>	<ul style="list-style-type: none"> <li>Status of flood risk grants</li> <li>Status of area dams, levees, reservoirs</li> </ul>



## Food, Water, Sheltering

### COMPONENTS AND EEIs

Evacuations	Food/Potable Water	Shelter	Durable Goods
<ul style="list-style-type: none"> <li>Mandatory or voluntary evacuation orders</li> <li>Number of people to evacuate</li> <li>Evacuation routes</li> <li>Evacuation time frame</li> <li>Risk to responders and evacuees</li> <li>Food, water, shelter availability</li> </ul>	<ul style="list-style-type: none"> <li>Operating status of Points of Distribution (PODs)</li> <li>Operating status of supermarkets, neighborhood markets, and grocery stores</li> <li>Operating status of restaurants</li> <li>Impacts to the food supply chain</li> <li>Operating status of public and private water supply systems</li> <li>Operating status of water control systems (e.g., dams, levees, storm drains)</li> <li>Food/water health advisories</li> </ul>	<ul style="list-style-type: none"> <li>Requirements for emergency shelter</li> <li>Number and location of open shelters</li> <li>Current population in shelters</li> <li>Transitional Sheltering Assistance options</li> <li>Potential future sheltering requirements</li> </ul>	<ul style="list-style-type: none"> <li>Need for PODs</li> <li>Pre-designated POD locations</li> <li>Operating status of PODs</li> <li>Resource distribution at PODs</li> </ul>
Water Infrastructure			Agriculture
<ul style="list-style-type: none"> <li>Operating status of public wastewater systems and private septic systems</li> <li>Operating status of wastewater processing facilities</li> <li>Operating status of public and private water infrastructure (e.g., water mains)</li> </ul>			<ul style="list-style-type: none"> <li>Status of area agriculture</li> <li>Status of food stock</li> <li>Food safety</li> </ul>



# Hazardous Material

## COMPONENTS AND EEIs

Facilities	Incident Debris, Pollutants, Contaminants
<ul style="list-style-type: none"><li>▪ Status of hazardous material facilities</li><li>▪ Amount, type, and containment procedures of hazardous materials</li><li>▪ Reported or suspected hazardous material/toxic release incidents</li><li>▪ Status of hazardous material supply chain</li></ul>	<ul style="list-style-type: none"><li>▪ Debris issues affecting the transportation system</li><li>▪ Status of debris clearance operations</li><li>▪ Reported or suspected hazardous material/toxic release incidents</li><li>▪ Actual or potential radiological or nuclear incidents</li><li>▪ Monitoring actions planned or underway for HAZMAT incidents</li></ul>

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## Incident Stabilization

**The lifeline construct is used to focus response actions on incident stabilization; thus the expected outcome is to stabilize all lifelines**

- **Stabilization** occurs when immediate threats to life and property are anticipated, resourced, and managed and basic lifeline services are provided to survivors
  - Lifeline stabilization is dynamic and may require sustained resources and continuous evaluation
- **Restoration** implies a permanence to re-established critical infrastructure
- A dynamic stabilization target—the desired end-state of response—for each lifeline is created during the deliberate planning process and modified on a per-incident basis to match incident circumstances
- The target should be created collaboratively with key stakeholders:
  - Local response personnel
  - State response personnel
  - FEMA regional and/or national personnel
  - Other Federal response personnel

### EXAMPLE

An incident destroys the cell towers in an area disrupting communications.

- **Stabilization** occurs when responders provide temporary service through mobile cell sites (e.g., Cell on Wheels)
- **Sustainment** occurs when the mobile cell sites are continuously resourced
- **Restoration** occurs when the cell towers are rebuilt

Version 1.0

## Determining Lifeline Status

During an incident, response personnel assign a status to each lifeline and component by integrating situational awareness reports and impact assessments from state, tribal, territorial, local, regional, federal, private sector, and non-profit or community partners

Applying the following questions and understanding the incident is critical in determining the status of a lifeline or component:

- Did the incident disrupt services to survivors provided by component capabilities?
- What is the extent of the disruption and impact on response and survivors?
- Has a solution to the disruption been identified?
- Has that solution been converted into a plan of action?
- Has that plan of action been resourced?
- Are there limiting factors that are preventing stabilization? To what extent are they limiting services?
- Have the services to survivors been stabilized? If not, how long to reach stabilization?
- Are there services enabling stabilization? How long will these services be provided to sustain stabilization?
- Have circumstances changed since the lifeline was last assessed?

# COMMUNITY LIFELINES



FEMA



DESPP/DEMHS

# Section I: Lifelines Overview

# Incorporating Community Lifelines into Response



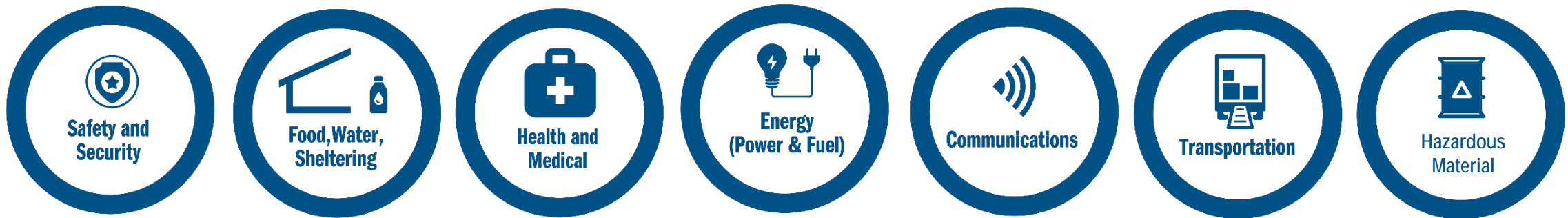
The primary objective of community lifelines is to ensure the **delivery of basic services** that alleviate immediate threats to life and property when communities are impacted by disasters.

## WHY A LIFELINES CONSTRUCT?

- Applying the lifelines construct allows decision-makers to:
  - Prioritize response efforts on the restoration of the most critical services and infrastructure
  - Focus on the root cause of issues vs. cascading or secondary impacts
  - Distinguish the highest priorities and most complex issues from other incident information

# Community Lifelines Defined

A lifeline provides **indispensable service** that enables the continuous operation of critical business and government functions, and is **critical to human health and safety or economic security**



Each lifeline is comprised of **multiple components** and **essential elements of information** needed to stabilize the incident

# COMMON QUESTION

## WHAT ABOUT CORE CAPABILITIES AND ESF'S? ARE THEY BEING REPLACED?

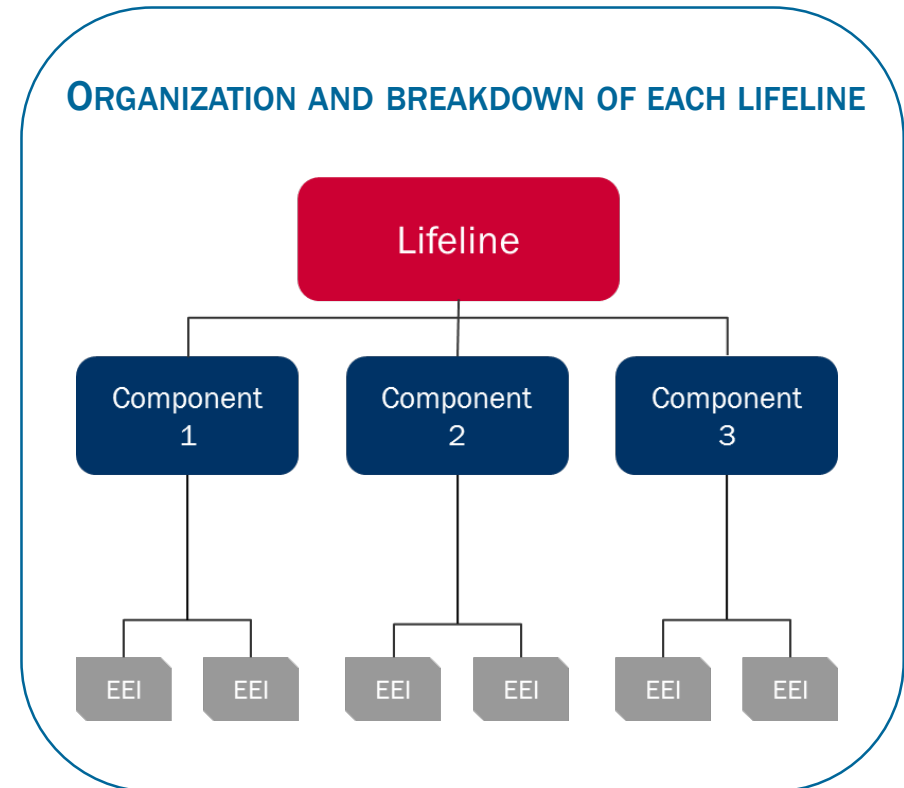
The interrelationship of lifelines, Core Capabilities, and ESFs can be thought of in terms of **means, ways, and ends**.

- **ESFs** and other organizing bodies—**the means**—are the way we organize across departments and agencies, community organizations, and industry to enhance coordination and integration to deliver the Response Core Capabilities;
- **Response Core Capabilities** describe the grouping of response actions—**the ways**—that can be taken to stabilize and re-establish the lifelines; and
- **Lifelines** describe the basic services within a community that must be stabilized or reestablished to alleviate threats to life and property—**the ends**.



# Deconstructing the Lifelines

- **Each lifeline is comprised of several components that represent the bucketing of critical Essential Elements of Information (EEIs)**
  - The EEIs are the questions we must answer to determine the status of a lifeline
- **Components includes key capabilities or services that are essential to stabilizing an incident and in providing resources to survivors**
  - Components are assessed individually to determine the seven lifelines' status and overall progress of incident response



***Note: Not every incident will impact all of the lifelines or components***

*\* Currently Amended By FEMA*

# All Lifeline Components

Multiple components establish the parameters of and key assessment elements for each of the lifelines; component-level analysis is required to determine if each lifeline is stable

## 1. Safety and Security

- Hazard Mitigation
- Law Enforcement/Security
- Responder Safety
- Search and Rescue
- Fire Services
- Government Service

## 2. Food, Water, Sheltering

- Evacuations
- Food/Potable Water
- Shelter
- Durable Goods
- Water Infrastructure
- Agriculture Infrastructure

## 3. Health and Medical

- Medical Care
- Patient Movement
- Public Health
- Fatality Management
- Medical Industry

## 4. Energy

- Power (Grid)
- Temporary Power
- Fuel

## 5. Communications

- Infrastructure
- Alerts, Warnings, and Messages
- 911 and Dispatch
- Responder Communications

## 6. Transportation

- Highway/Roadway Motor Vehicle
- Mass Transit
- Railway
- Aviation
- Maritime
- Pipeline

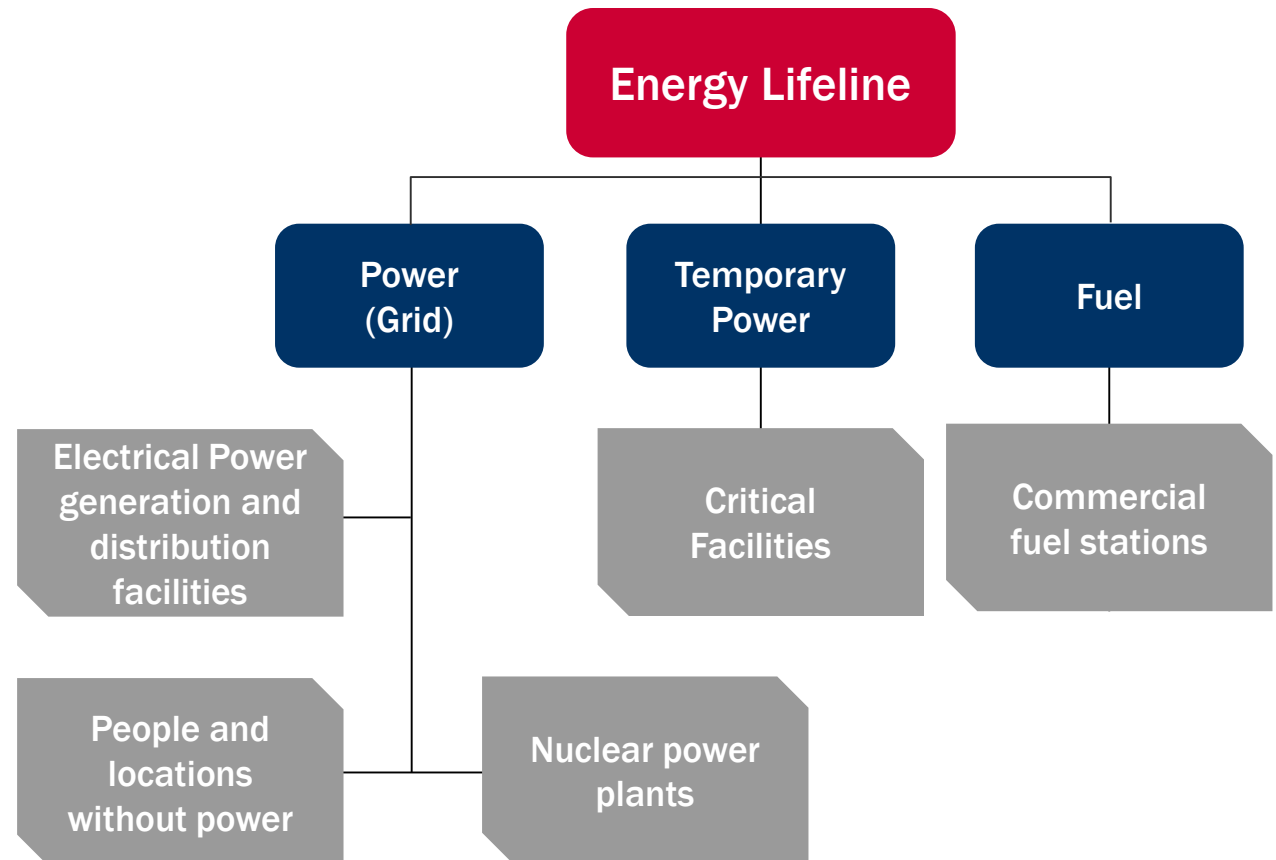
## 7. Hazardous Material

- Facilities
- Incident Debris, Pollutants, Contaminants
- Conveyance

# Lifeline Construct

Lifelines can expand to include new components depending on incident circumstances, but should not collapse to contain fewer

- The EEIs relevant to each component change depending on incident circumstances
- The graphic provides an example breakdown of the **Energy lifeline** into some of its relevant **components** and the associated **EEIs**





# Safety and Security

## COMPONENTS AND EEIS

Hazard Mitigation	Law Enforcement/Security	Responder Safety	Search and Rescue
<ul style="list-style-type: none"> <li>▪ Status of flood risk grants</li> <li>▪ Status of area dams, levees, reservoirs</li> </ul>	<ul style="list-style-type: none"> <li>▪ Evacuation routes</li> <li>▪ Force protection and security for staff</li> <li>▪ Security assessments at external facilities</li> <li>▪ Damaged law enforcement or correctional facilities</li> </ul>	<ul style="list-style-type: none"> <li>▪ Safety hazards affecting operations</li> <li>▪ Requirements for personnel protective equipment</li> <li>▪ Security issues or concerns</li> <li>▪ Availability and distribution of equipment</li> <li>▪ Billeting and sustenance for responders</li> </ul>	<ul style="list-style-type: none"> <li>▪ Number and location of missing survivors</li> <li>▪ Life threatening hazards to responders and survivors</li> <li>▪ Availability and resources of search and rescue teams</li> <li>▪ Status of animal assists, structural assessments, and shelter in place checks</li> </ul>
Fire Services	Government Services	<ul style="list-style-type: none"> <li>▪ Onsite training and policy</li> </ul>	
<ul style="list-style-type: none"> <li>▪ Location of fire</li> <li>▪ Percent of fire contained</li> <li>▪ Fire's rate and direction of spread</li> <li>▪ Weather conditions</li> <li>▪ Availability and resources of fire services</li> <li>▪ Evacuation routes</li> </ul>	<ul style="list-style-type: none"> <li>▪ Status of government offices and schools</li> <li>▪ Status of continuity of government and continuity of operations</li> <li>▪ Curfew</li> </ul>		



# Food, Water, Sheltering

## COMPONENTS AND EEIS

### Evacuations

- Mandatory or voluntary evacuation orders
- Number of people to evacuate
- Evacuation routes
- Evacuation time frame
- Risk to responders and evacuees
- Food, water, shelter availability

### Food/Potable Water

- Status of Points of Distribution (PODs)
- Operating status of supermarkets, neighborhood markets, and grocery stores
- Operating status of restaurants
- Impacts to the food supply chain
- Operating status of public and private water supply systems
- Operating status of water control systems (i.e. dams, levees, storm drains)
- Food/water health advisories

### Shelter

- Requirements for emergency shelter
- Number of open shelters and location
- Current population in shelters
- Transitional Sheltering Assistance options
- Potential future sheltering requirements

### Durable Goods

- Need for PODs
- Pre-designated POD locations
- Operating status of PODs
- Resource distribution at PODs

### Water Infrastructure

- Operating status of public wastewater systems and private septic systems
- Operating status of wastewater processing facilities
- Operating status of public and private water infrastructure (e.g., water mains)

### Agriculture Infrastructure

- Status of area agricultural infrastructure
- Status of area supply lines



# Health and Medical

## COMPONENTS AND EEIS

### Medical Care

- Status of acute medical care facilities (i.e. level 1 trauma center)
- Status of chronic medical care facilities (i.e. long term care centers)
- Status of primary care and behavioral health facilities
- Status of home health agencies
- Status of VA Health System resources in the affected area

### Patient Movement

- Status of state and local EMS systems
- Active patient evacuations
- Future patient evacuations

### Medical Industry

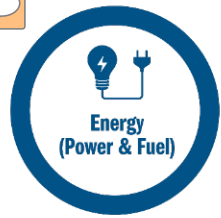
- Status of pharmaceutical supply chain

### Public Health

- Status of state and local health departments
- Public health advisories

### Fatality Management

- Availability of mortuary and post-mortuary services
- Availability of transportation, storage and disposal resources
- Status of body recovery and processing
- Descendant's family assistance



# Energy (Power & Fuel)

## COMPONENTS AND EEIS

Power (Grid)	Temporary Power	Fuel
<ul style="list-style-type: none"><li>▪ Status of electrical power generation and distribution facilities</li><li>▪ Number of people and locations without power</li><li>▪ Estimated time to restoration of power</li><li>▪ Number of electrically dependent persons (i.e. medical equipment or DAFN) affected</li><li>▪ Status of nuclear power plants</li><li>▪ Status of nuclear power plants within 10 miles</li><li>▪ Status of natural gas and fuel pipelines in the affected area</li></ul>	<ul style="list-style-type: none"><li>▪ Status of critical facilities</li><li>▪ Availability of temporary power resources</li></ul>	<ul style="list-style-type: none"><li>▪ Status of commercial fuel stations</li><li>▪ Responder fuel availability</li><li>▪ Status of critical fuel facilities</li><li>▪ Status of fuel supply line</li></ul>



# Communications

## COMPONENTS AND EEIS

### Infrastructure

- Status of telecommunications service
- Reliability of internet service
- Reliability of cellular service
- Requirements for radio/satellite communication capability

### Alerts, Warnings, and Messages

- Status of the emergency alert system (TV, radio, cable, cell)
- Status of public safety radio communications
- Options for dissemination of information to the whole community
- External affairs and media communication

### 911 and Dispatch

- Status of phone infrastructure and emergency line
- Number of callers and availability of staff and facilities
- Status of responder communications
- Availability of communications equipment

### Responder Communications

- Status of EOC(s) and dispatcher communications
- Availability of responder communications equipment





# Transportation

## COMPONENTS AND EEIS

### Highway/Roadway Motor Vehicle

- Status of major roads and highways
- Status of critical and non-critical bridges
- Status of maintenance and emergency repairs

### Mass Transit

- Status of public transit systems including underground rail, buses, and ferry services

### Railway

- Status of area railways and stations

### Aviation

- Status of area airports
- Status of incoming and outgoing flights

### Maritime

- Status of area waterways
- Status of area ports

### Pipeline

- Status of natural gas and fuel pipelines



# Hazardous Material

## COMPONENTS AND EEIS

### Facilities

- Status of hazardous material facilities
- Amount, type, and containment procedures of hazardous materials
- Reported or suspected hazardous material/toxic release incidents
- Status of hazardous material supply chain

### Incident Debris, Pollutants, Contaminants

- Debris issues affecting the transportation system
- Status of debris clearance operations
- Reported or suspected hazardous material/toxic release incidents
- Actual or potential radiological or nuclear incidents
- Monitoring actions planned or underway for HAZMAT incidents

### Conveyance

- Amount and type of hazardous material to remove
- Availability of resources to support conveyance
- Status of transportation, especially freight and pipeline

# Incident Stabilization

The lifeline construct is used to focus response actions on incident stabilization; thus the expected outcome is to stabilize all lifelines

- **STABILIZATION** occurs when all requirements are anticipated, resourced, and managed and **basic lifeline services are provided to survivors**
- This differs from **RESTORATION** which implies a **permanence to re-established critical infrastructure**
- Stabilization is often achieved through **contingency response solutions** (e.g., power generators, emergency communications, sheltering, and emergency food and hydration efforts).
- **A stabilization target—the desired end-state of response**—for each lifeline is created during the deliberate planning process and modified on a per-incident basis to match incident circumstances
  - The target should be created collaboratively with key stakeholders, which may include Local response personnel, State response personnel, FEMA regional and/or national personnel, and other Federal response personnel.

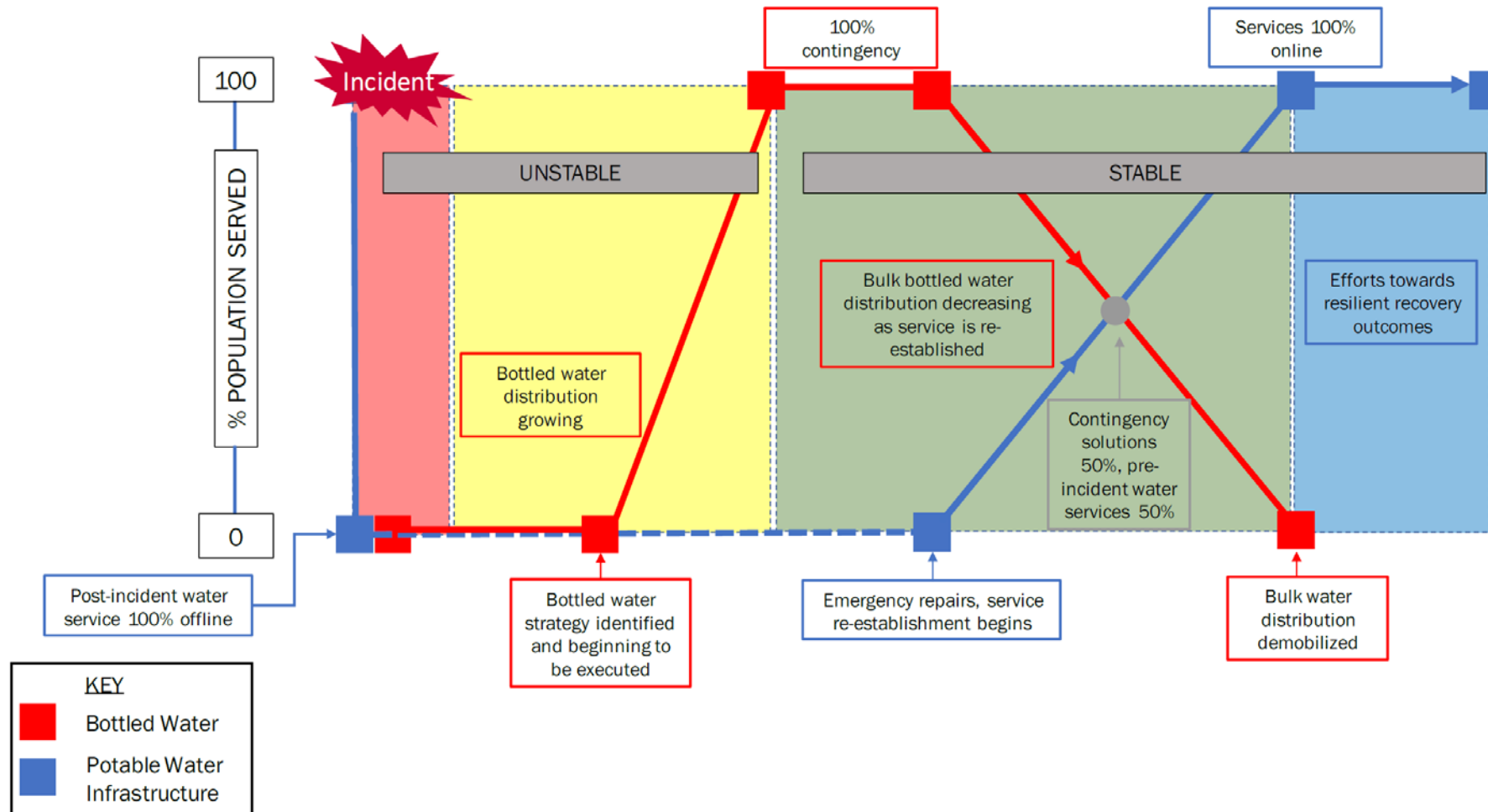
## STABILIZATION EXAMPLE

An incident destroys the cell towers in an area disrupting communications.

- **Stabilization** occurs when responders restore service through mobile cell sites (e.g., Cell on Wheels)
- **Restoration** occurs when the cell towers are rebuilt

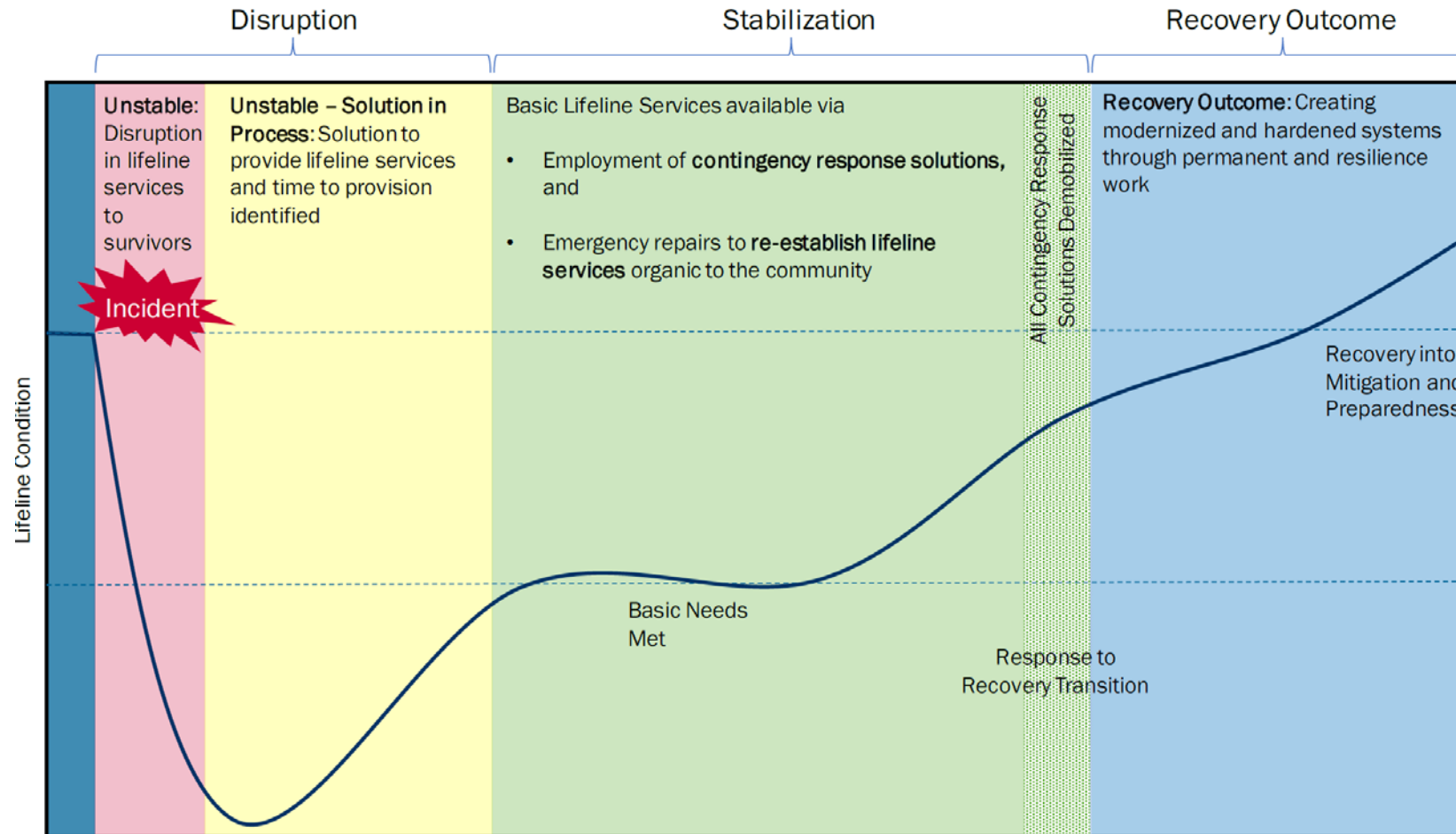
# Stabilizing Lifelines Using Contingency Resources

Example of Food, Water, Shelter Lifeline Moving from Unstable to Stable



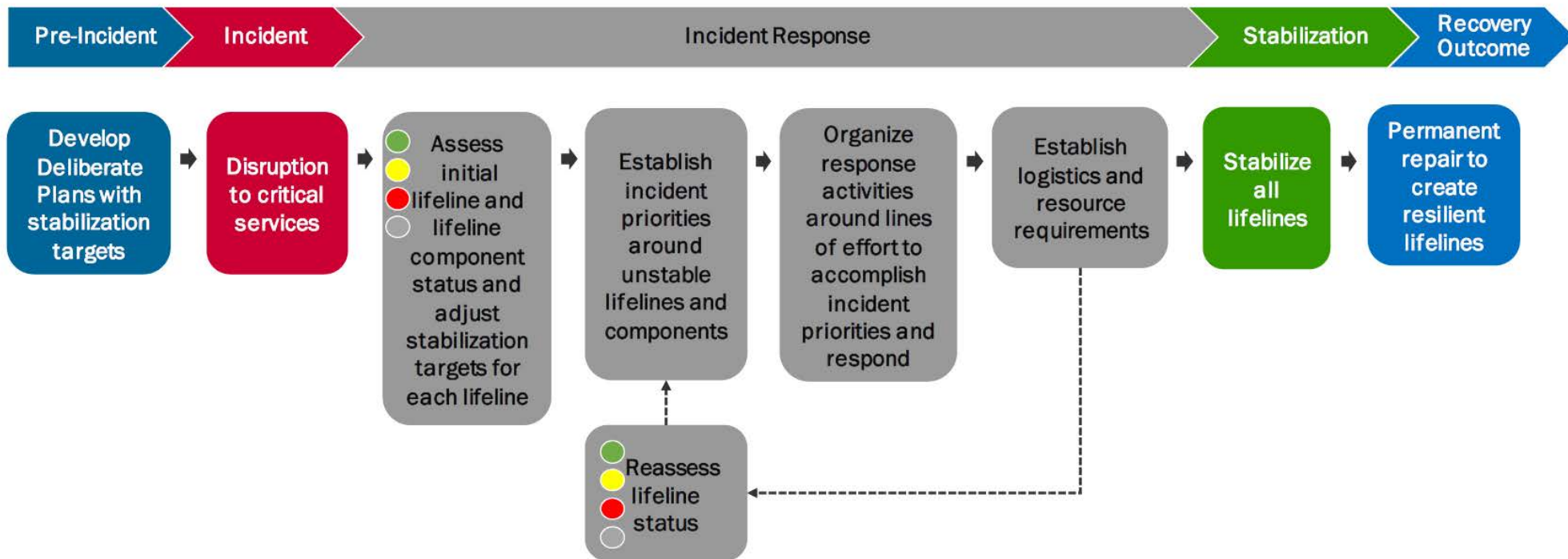
# Progression of Community Lifelines into Recovery

## Notional Progression of Community Lifeline Conditions Beyond Stabilization and into Recovery



# Lifelines Drive Response

Incident responders iteratively assess lifeline status, establish priorities, organize lines of effort, and respond until the incident is stabilized



# Determining Lifeline Status

Understanding projected or actual impacts to lifeline services at the beginning of an operation is the first step towards developing effective solutions and scoping operational requirements.

Applying the following questions and understanding the incident is critical in determining the status of a lifeline or component:

- Did the incident disrupt services to survivors provided by component capabilities?
- What is the extent of the disruption and impact on response and survivors?
- Has a solution to the disruption been identified?
- Has that solution been converted into a plan of action?
- Has that plan of action been resourced?
- Are there limiting factors that are preventing stabilization? To what extent are they limiting services?
- Have the services to survivors been stabilized?
- Have circumstances changed since the lifeline was last assessed?

**Reminder:** Lifeline conditions are assessed from the perspective of the **impacted community** and **individual disaster survivor** in terms of how services are received and the vulnerability of maintaining and sustaining their delivery.

# Analyzing Components

Lifelines must be assessed at the component level to understand what services are impacted by a disaster.


CATEGORIES	DESCRIPTION
<b>Component</b>	Identify the component.
<b>Status</b> (What?)	Summarize the root cause(s) of disruption to lifeline services <ul style="list-style-type: none"> <li>• What is the status of the organic lifeline infrastructure in the area?</li> <li>• Have circumstances changed since the component was last assessed?</li> </ul>
<b>Impacts</b> (So What?)	Explain how the disruption to the delivery of services negatively affecting disaster survivors and disaster operations. What is the extent of the disruption? What and where are the impacted areas and how many disaster survivors are affected?
<b>Actions</b> (Now What?)	Describe the actions that are being taken to stabilize and re-establish the disrupted services. <ul style="list-style-type: none"> <li>• Has a solution to the disruption been identified? If so, has that solution been converted into a plan of action? Has that plan of action been resourced and implemented?</li> </ul>
<b>Limiting Factors</b> (What's the Gap?)	Are there limiting factors preventing stabilization or re-establishment of lifeline services? If so, what are they? What solutions are needed?
<b>ETA to Condition Change</b> (When?)	Provide estimated timeframe for when a change in condition is expected. When is it anticipated that the survivors will receive the services?



# Example Component Analysis



## Transportation

Categories	Status
<b>Component</b>	Mass Transit  Key Element: Bus Service
<b>Status</b>	Roadways are blocked
<b>Impacts</b>	100,000 survivors have no access to Public Transportation and emergency support services
<b>Actions</b>	U.S. Army Corps of Engineers assigned to supplement state and local route clearance and debris removal efforts.
<b>Limiting Factors</b>	Resources
<b>Estimated Time to Stabilization</b>	One Week

# Assessing Lifelines

- The objective of assessing lifelines during an incident is to develop a time-stamped impact statement that succinctly summarizes the status of the lifeline
  - Identifies actionable root causes
  - Comprised of the lifeline component analysis, context, and status
- Impact statement combining component analysis for the Transportation lifeline:



**Transportation [RED] (as of 0700 on 12/03/2018):**

**Impact Statement:** Critical Facilities do not have dependable power, survivors do not have access to Public Transportation for evacuation and commodities deliveries are impaired due to debris blocked roadways for fuel delivery and commuter routes, runway damage, railway communication issues and ports being assessed. Roadways, Mass Transit, and Maritime components are declining.

# Colors Indicate Lifeline or Component Status

## Stable: Green

- Minimal or no disruption in services to survivors
- *Note: Green components may still be severely impacted*

## Stabilizing: Yellow

- Disruption to services provided by component capabilities is causing limited impacts to response efforts and survivors
- A solution to the disruption has been identified, and has it been converted into a plan of action, resourced, and implemented
- Limiting factors may inhibit response

## Unstable: Red

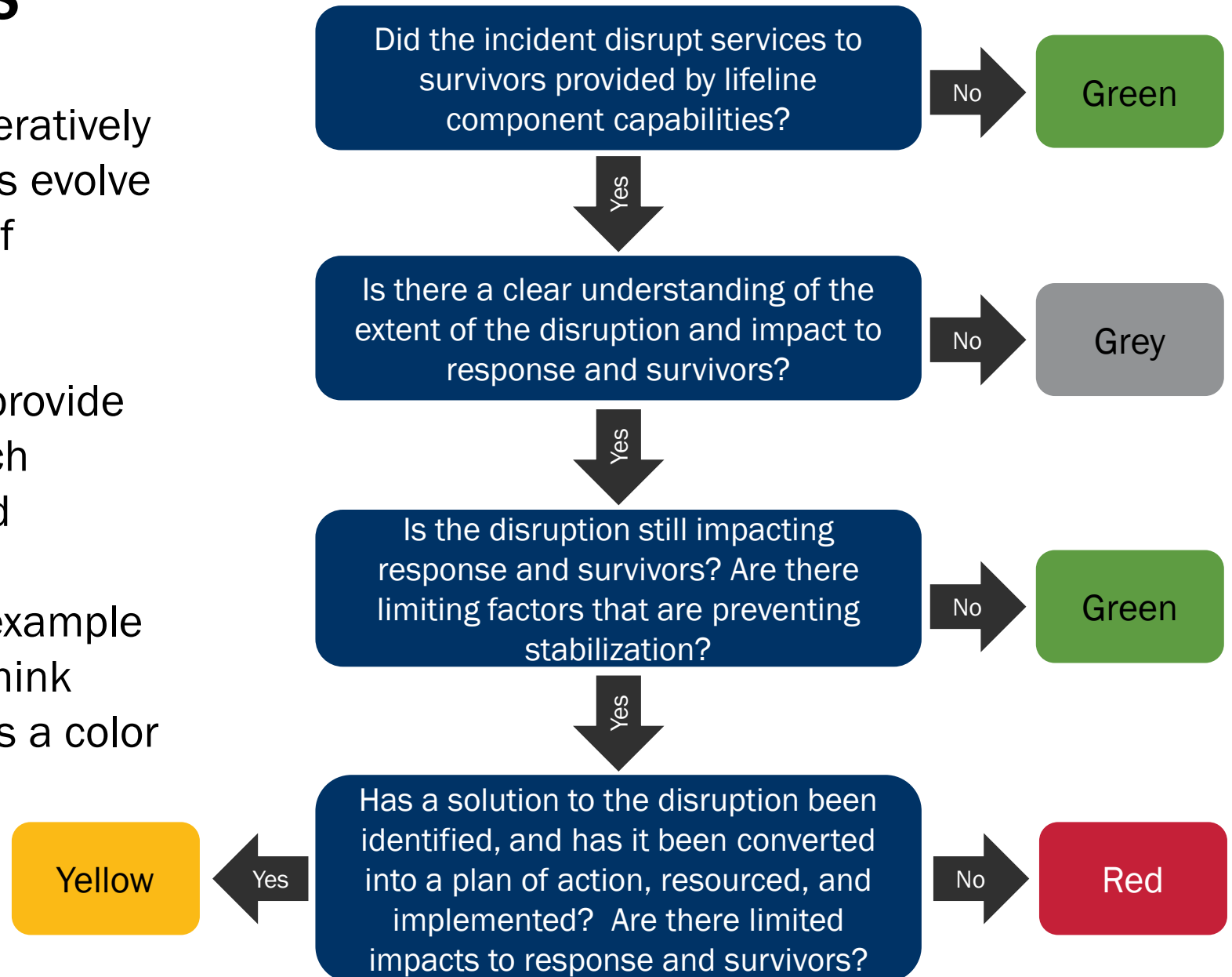
- Disruption to services provided by component capabilities is causing significant impacts to response efforts and survivors
- Requirements and solutions are not identified and/or there is no plan to deliver the solutions
- Significant limiting factors may inhibit response

## Unknown: Grey

- Impacts are unknown and/or extent of situation or necessary response is unknown

# Assigning a Status

- Assign lifeline statuses iteratively as incident circumstances evolve and through the course of response operations
- Stabilization targets will provide the baseline against which lifelines can be compared
- The flowchart shows an example of how responders may think through assigning lifelines a color status



# Pop Quiz

The following are **example lifeline and component conditions**.

What **color classification** would you assign?

1. Disrupted with no solution identified.
2. Disrupted, but a plan exists and a known time to resolution is identified.
3. Stabilized by contingency response solutions.
4. Re-established by emergency repairs to organic lifeline service providers, enabling ongoing efforts to focus on resilient recovery outcomes.

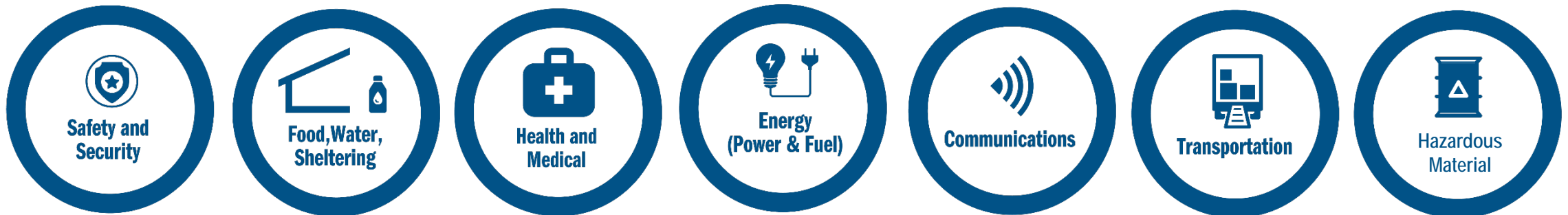


# Determining Outcomes

As mentioned previously, **stabilization targets—the desired end-state of response**—for each lifeline is created during the deliberate planning process and modified on a per-incident basis to match incident circumstances.

- Understanding our stabilization targets helps to determine when we have successfully stabilized the lifeline.
- What does it mean for basic services to be available?

You tell me???



# Example Status Designations

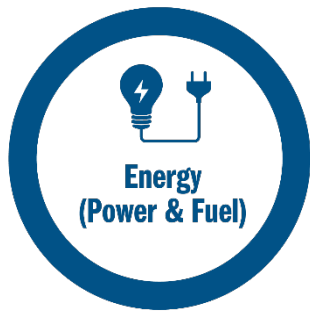
*Below are example analyses for the Food, Water, Sheltering lifeline and corresponding color statuses for each.*



Status	Example
<b>Green</b>	Hazardous material spills caused by the incident made local water unpotable. The distribution of pallets of water to affected communities is sufficient to cause no impact to survivors.
<b>Yellow</b>	Hazardous material spills caused by the incident made local water unpotable. Pallets of water bottles are onsite, however disruption to local roadways means distribution is challenging. Field Leadership has authorized helicopters to carry pallets to unreachable communities.
<b>Red</b>	Hazardous material spills caused by the incident made local water unpotable. Disruptions to local roadways means difficulty in distribution. Downed public messaging systems means the response is unable communicate water hazards and bottled water distribution points to survivors.
<b>Grey</b>	Unconfirmed reports by survivors have indicated the drinking water has a strange taste. Specialists are currently testing the water, but there is no further information at this time.

# Example Status Designations (cont.)

*A volcanic eruption left energy infrastructure intact, therefore the lifeline's status was assigned as stable (green). However, 72 hours after the incident, a lava flow is projected to impact the local power plant.*



Status	Example
<b>Grey</b>	A volcanic eruption has created a lava flow on a projected collision course with the local power plant. If it follows that path, an evacuation order is expected at 0700 tomorrow morning, causing indeterminate impacts to the accessibility of power.
<b>Red</b>	Lava flow towards the region's power plant caused the plant to be evacuated and operations suspended. Temporary generators are being used to power the Emergency Operations Center and one hospital, but the rest of the grid is powerless.
<b>Yellow</b>	Lava flow towards the region's power plant caused the plant to be evacuated and operations suspended. Temporary generators are being setup to resume service, but 3,000 homes remain without power.
<b>Green</b>	Lava flow towards the region's power plant caused the plant to be evacuated and operations suspended. Temporary generators and out-of-region power plants are providing sufficient energy to cause no disruption of services



# Section II: Implementation of Lifelines

# FEMA's Implementation of Lifelines

FEMA incorporates community lifelines into its planning and reporting products. This section provides an overview and examples of how the lifelines have been implemented to date.

## Planning products include:

- All Hazards Plans
- Incident Action Plan
- Stabilization Problem Frame  
*(part of the IMATs Planning Support products)*

## Reporting products include:

- ICS Form 209L
- ICS Form 202
- Senior Leadership Brief

# Plans and Reporting

Lifelines reporting aims to provide situational awareness for:

- Taking a strategic approach to Incident Management and Incident Support
- Executing lines of effort to achieve lifeline stabilization
- Establishing a concept of logistics support

It also provides guidance for and informs:

- Incident Management and Incident Support resource deployment decisions (e.g., contracts, RRFs, Mission Assignments, and FEMA personnel requests)
- Establishment of Incident Management Task Forces and Incident Support Crisis Action Planning Teams
  - Builds in metrics for internal performance and metrics for effectiveness
- Development of Incident Management objectives

# Planning

Planners are integrating the lifelines concept into the following planning functions:

- **Future Planning:** Incorporate lifeline concept into deliberate planning products; including defined stabilization targets for each lifeline
- **Incident Action Planning:** Analyze impacts to the various lifelines and develop priority focus areas for each operational period. Support the development of strategy, operational priorities, and objectives

*Lifelines enables the measurement of planning efforts at all levels*



# Lifelines and Future Planning

- The Governor's Office and Unified Coordination Group sets **Strategic Priorities**: Life Safety, Incident Stabilization, and Property Protection
- **Lifelines = Operational Priorities** that drive the identification of **Lines of Effort for Incident Stabilization**
- Lifelines will include multiple **Lines of Effort**: A mechanism to link multiple tasks with goal-oriented objectives that focus efforts toward achieving an end state.

*Example:* Energy Lifeline may include three distinct Lines of Effort – Temporary Emergency Power, Power Restoration and Fuel Distribution

*Example:* Food, Water & Shelter Lifeline may include two distinct Lines of Effort – Sheltering and Commodity Distribution

- Lines of Effort can require the establishment of **High-Priority Task Forces** for exceptionally complex problems
- High-Priority Task Forces may be supported by a Future Operations Planner and/or Analyst to aid in the articulation of a **Strategy (ends, ways, and means)** using the “**Stabilization O**” as the planning methodology

# Lifelines and Incident Action Planning

- Lines of Effort drive the development of Incident Objectives in the Incident Action Plan (IAP) ICS Form 202
- Incident Objectives are associated with one or more Operational Priorities / Lifelines
- Associated lifelines are articulated at the end of an objective
- Objective numbering should follow the IAP Guide 2nd Edition

## Example: Temporary Emergency Power Line of Effort

Objective 1a. Provide Temporary Emergency Power to prioritized critical facilities. (Energy)

Objective 1b. Provide Temporary Emergency Power to Level 1 Trauma Centers and 911 Public Safety Answering Points. (Energy, Communications, Health and Medical)

Objective 1c. Retrograde all federally provided generators by [Date]. (Energy)



Over Time

# Lifelines Reporting at the Incident Level: ICS 209L

## From IM Planners to IM/IS Levels:

IM Planners will only begin creating and distributing an Incident Status Summary ICS 209L (Situation Report) once the Regional RRCC deactivates and is no longer distributing their Situation Report. The 209L is a re-organized 209A and is outlined by Lifelines and Unified Recovery Outcomes.

Incident Status Summary ICS 209L Situation Report [Address] New in Blue			
1. Incident Name [Declaration]	2. Information as of: [Time, Date]	3. Date Prepared: [Date]	4. Report No: [#]
5. Type of Incident: [Type]			
6. Location/Map of Incident: [insert map]			
Individual Assistance: [insert counties]			
Public Assistance: [insert counties]			
Hazard Mitigation: Statewide			
Incident Background: [insert incident overview; not to be changed]			
7. Declaration History: Incident Period:			
Date Issued	Declaration	Remarks	
8. Current Summary:			
Incident Stabilization Lifelines			
Safety and Security: [overview of status of lifeline]			
Food, Water, Shelter: [overview of status of lifeline]			
Health and Medical: [overview of status of lifeline]			
Energy: [overview of status of lifeline]			
Communications: [overview of status of lifeline]			
Transportation: [overview of status of lifeline]			
Hazardous Waste: [overview of status of lifeline]			
Unified Recovery Outcomes			
Infrastructure: [overview of status of recovery outcome]			
Housing: [overview of status of recovery outcome]			
Health and Social Services: [overview of status of recovery outcome]			
Community Planning and Capacity Building: [overview of status of recovery outcome]			
Economic Recovery: [overview of status of recovery outcome]			
Community Resilience: [overview of status of recovery outcome]			
Natural and Cultural Resources: [overview of status of recovery outcome]			


  

DR-####-ST	
Administrative [Insert total staffing number]	
9. Significant Impacting Weather in the current O-Period:	
10. Threats or Disruptions to Infrastructure, Significant:	
11. Critical Resource Shortfalls:	
12. Critical Limiting Factors:	
INCIDENT STABILIZATION LIFELINES	
13. Lifelines – Safety and Security:	
a. Government Services (Source, Date)	
• Activations:	
o SEOC: [level, hours]	
o RRCC: [level, hours]	
o NRCC: [level, hours]	
• Closures:	
o County Governments: [#, counties]	
o Schools/Universities: [#, population impacted]	
b. Protective Measures (Source, Date)	
• Dams: Levees of concern: [Status, Location, Type, Forecast Impacts, Ownership]	
• Potential Impacts/Threats to Human Life: [Public Infrastructure, Population]	
• Impacts:	
o Structures Destroyed:	
o Structures Damaged:	
c. Search and Rescue (Source, Date)	
• USAR:	
o Total Rescues/Evacuations:	
o Focus Areas:	
• Air Operations:	
o Total Rescues/Evacuations:	
o Sorties:	
d. Law Enforcement and Security (Source, Date)	
• Evacuations:	
o Mandatory: [#, counties]	
o Voluntary: [#, counties]	
• ESFs supported by ESF 13:	
e. Fire Service (Source, Date)	
• Acres burned:	
• Level of containment:	
• Est. date of full containment:	
14. Lifelines – Food, Water, and Shelter:	
a. Mass Care (Source, Date)	
• Actions:	
b. Water (Source, Date)	
• Facilities of concern: [Status, Location, Type]	
• Impacts:	
• Assessments: [completed, remaining]	

Template Updated: 11/15/2018

# Lifelines Reporting for Incident Objectives: ICS 202

ICS 202 describes the basic incident strategy, incident objectives, end state, priorities, resourcing considerations, and limiting factors. The ICS 202 is completed by the Planning Section to prepare the Incident Action Plan (IAP).

 <b>Damage Assessment</b>		ICS Form 202 Objective: [#]		
Principal	FEMA IA/PA	[Name]	[Email]	[Phone]
Current State	Intermediate Objectives			End State
Joint PDAs for IA and/or PA programs requested.	<div style="display: flex; justify-content: space-between;"> <div style="width: 20%;"> <p>AOI Determined</p> <p>Modeling Conducted</p> </div> <div style="width: 40%; text-align: center;"> <p>Remote Sensing Conducted</p> <p>PDA Teams Deployed</p> </div> <div style="width: 20%;"> <p>Damage Estimates Complete</p> </div> </div>			Disaster impacts known.
	<div style="display: flex; justify-content: space-around;"> <span>Completed</span> <span>In-Progress</span> <span>Not-Yet-Started</span> </div>			
Situational Assessment		Resourcing		
Intermediate Objective	Key Indicator	Type	Identifier	
[Objective]	[Insert]	[MA/Contract/FEMA Program]	[Insert]	
Non-Resource Limiting Factors		Resource Shortfalls		
Factor	Mitigating Measure(s)	Resource	Mitigating Measure(s)	
[Factor]	[Insert]	[Resource]	[Insert]	



# Section III: Icons and Templates

# Senior Leadership Brief Template


The Senior Leader Brief can be used to report on the status of lifelines and their components to decision-makers with successive tiers of detail.

 <b>FEMA</b> Current Situation <small>Write current situation based on known information. The President approved the following Emergency and Major Declarations.</small>		<b>Senior Leadership Brief –</b> <b>Incident Name</b> <b>Date (Time/Zone)</b>	<b>Region ??</b>
<b>Lifelines: Impacts and Actions</b> <small>All: apply to all involved states or territories in the lifeline</small> <ul style="list-style-type: none"> <li>Remember only top level BLUF info goes here. If it doesn't sound logical to you or it begs the question: So What? Remember to ask the 5 why's. Also: So What? What? &amp; Now What?</li> <li>150 State Troopers deployed to support traffic control</li> </ul>			
<b>Safety and Security</b> AL FL AL GA			
<b>Food, Water, Sheltering</b> AL FL AL GA			
<b>Health and Medical</b> AL FL AL GA			
<b>Key Updates</b> FEMA Region IV: Region IV NBCC at Level 7 FEMA HQ: NBCC at Level 7 (24/7) State/Local Response: ?? EOC Level II (Partial Activation); Governor declared State of Emergency statewide; ?? EOC Level I (Full Activation); Governor declared a State of Emergency for 38 counties. ?? EOC Level I (Full Activation); Governor declared a State of Emergency for 108 counties. ?? and ?? EOCs at Normal Operations State of Emergency in place for ??, ??, and ??			
		<b>Lifelines: Impacts and Actions</b>	
		<b>Energy</b> FL AL GA	<ul style="list-style-type: none"> <li>U.S. Department of Energy (DOE) reports 321,820 customer outages</li> <li>8% gas stations without fuel (including 30% Panhandle stations)</li> </ul>
		<b>Communications</b> AL FL GA	<ul style="list-style-type: none"> <li>Cellular networks in impacted areas are 98.2% available</li> </ul>
		<b>Transportation</b> AL FL AL GA	
		<b>Hazardous Waste</b> FL AL GA	<ul style="list-style-type: none"> <li>Of 15 chemical facilities, 12 operational and 3 shut down</li> </ul>

# Incident Status Summary ICS 209L Template

The 209L is a re-organized 209A and is outlined by Lifelines and Unified Recovery Outcomes.

Incident Status Summary ICS 209L  
Situation Report  
[Address]  
New in Blue



1. Incident Name [Declaration]	2. Information as of: [Time, Date]	3. Date Prepared: [Date]	4. Report No: [#]
-----------------------------------	---------------------------------------	-----------------------------	----------------------

5. Type of Incident: [Type]

6. Location/Map of Incident:  
[insert map]

Individual Assistance: [insert counties]  
Public Assistance: [insert counties]  
Hazard Mitigation: Statewide

Incident Background:  
[insert incident overview; not to be changed]

7. Declaration History: Incident Period:

Date Issued	Declaration	Domestic

8. Current Summary:

**Incident Stabilization Lifelines**

Safety and Security: [overview of status of lifeline]  
Food, Water, Shelter: [overview of status of lifeline]  
Health and Medical: [overview of status of lifeline]  
Energy: [overview of status of lifeline]  
Communications: [overview of status of lifeline]  
Transportation: [overview of status of lifeline]  
Hazardous Waste: [overview of status of lifeline]

**Unified Recovery Outcomes**

Infrastructure: [overview of status of recovery outcome]  
Housing: [overview of status of recovery outcome]  
Health and Social Services: [overview of status of recovery outcome]  
Community Planning and Capacity Building: [overview of status of recovery outcome]  
Economic Recovery: [overview of status of recovery outcome]  
Community Resilience: [overview of status of recovery outcome]  
Natural and Cultural Resources: [overview of status of recovery outcome]

DR-8000-ST

**Administrative**  
[Insert total staffing number]

9. Significant Incoming Weather in the current O-Period:  
10. Threats or Disruptions to Infrastructure: Significant:  
11. Critical Resource Shortfalls:

**12. Critical Limiting Factors:**

**INCIDENT STABILIZATION LIFELINES**

13. Lifelines – Safety and Security:

a. Government Services (Source, Date)

- Activations:
  - SECC: [level, hours]
  - RRCC: [level, hours]
  - NRCC: [level, hours]
- Closures:
  - County Governments: [#, counties]
  - Schools/Universities: [#, population impacted]

b. Protective Measures (Source, Date)

- Dams/Levers of concern: [Status, Location, Type, Forecast Impacts, Ownership]
- Potential Impacts/Threats to Human Life: [Public Infrastructure, Population]
- Impacts:
  - Structures Destroyed:
  - Structures Damaged:

c. Search and Rescue (Source, Date)

- USAR:
  - Total Rescues/Evacuations:
  - Focus Areas:
- Air Operations:
  - Total Rescues/Evacuations:
  - Sorties:

d. Law Enforcement and Security (Source, Date)

- Evacuations:
  - Mandatory: [#, counties]
  - Voluntary: [#, counties]
- ESFs supported by ESF 13:

e. Fire Service (Source, Date)

- Acres burned:
- Level of containment:
- Est. date of full containment:

14. Lifelines – Food, Water, and Shelter:

a. Mass Care (Source, Date)

- Actions:

b. Water (Source, Date)

- Facilities of concern: [Status, Location, Type]
- Impacts:
- Assessments: [completed, remaining]

DR-8000-ST

Status	Community Water Systems (CWS)		Non-Community Water Systems	
	# Systems	Population Served	# Systems	Population Served
Operational				
Partially Operational				
Non-Operational				
Unknown				
<b>Totals:</b>				

Boil Water Notices:

c. Sheltering (Source, Date)

- Open: [#, type]
- Population:

d. Commodities (Source, Date)

Commodity	Quantity Released to State
Meats	
Waters	
Tyres	
Blankets	
Cots	

15. Lifelines – Health and Medical:

a. Medical Care (Source, Date)

Facility	Operational Status		
	# Evacuated/Closed	ED Only	On Gen Power
Hospitals			
Nursing Homes			
Assisted Living Facilities			
Other Healthcare Facilities			
Pharmacies			
<b>Total</b>			

b. Fatality Management (Source, Date)

- Fatilities: [#, counties]
- Impacts:
- Actions:

c. Public Health (Source, Date)

- Impacts:
- Actions:

16. Lifelines – Energy (Power and Fuel)

a. Grid Power (Source, Date)

- # and/or % without power: [restorative timeline, etc.]
- Power Plants of Concern: [Status, Location, Type]

b. Fuel

- Gas stations closed: [%, counties]
- Fuel Missions:

c. Temporary Power

- Facilities of Concern: [critical public facilities without power or temp power: type, location, assessment needed, etc.]
- Generators installed: [#, assessments completed]
- Generators De-installed:

# Planning Support Template

The National IMAT Planning Support Template is a product from the initial IMAT Meeting at the end of the ICS Planning “P” that is continued to be modified if a Strategy Meeting is implemented as part of the Operations “O”.

It is comprised of five main sections:

- Problem Framing
- Lines of Effort
- Concept of Logistics Support
- Area of Operations
- Senior Leader Decisions

**[Incident/Scenario]**  
Federal Incident Management Approach

MM/DD/YY HHMM TZ  
(Updated Every XX Hours)

PRE-DECISIONAL

**[Incident/Scenario]**  
[Function/Task Force/Line of Effort]  
Incident Management Strategy

[MM/DD/YYYY XXXX TZ]

PRE-DECISIONAL

**Damage Assessment**

Principal: FEMA/ATA      Status: [None]      [None]

Current State	Intermediate Objectives	Completed
Joint PDAs for IA and/or PA progress requested.	ACI Determined Remote Sensing Conducted Modeling Conducted	PDA Teams Deployed

Intermediate Objective	Situational Assessment	Key Indicator	Type
[Objectives]		[Status]	[IMA Contract/FEMA]

Non-Resource Limiting Factors		Resource Shortfalls	
Factor	Mitigating Measure(s)	Resource	Mitigating Measure(s)
[Factor]	[Status]	[Resource]	[Status]

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**Interdependencies**

Describe the interdependencies between this function/cross functional issue of line of effort and other functions/cross functional issues or lines of effort.

Function/Cross Functional Issue/Line of Effort	Interdependencies

FEMA      PRE-DE

**Limiting Factors**

Identify any limiting factors that are or will impact the achievement of the end state.

Limiting Factor	Mitigating Measure(s)
<small>Identify specific equipment, material, or limitation in policy, political, economic, or other factor.</small>	<small>Identify the specific limiting factor to overcome.</small>

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**Connecticut Child Care Emergency Preparedness Manual**  
**September 2019**

**Connecticut Office of Early Childhood**  
**450 Columbus Boulevard**  
**Hartford, CT 06103**  
**860-500-4412**

This document shall be reviewed on an annual basis by the Office of Early Childhood and an ad hoc committee of the Connecticut Early Childhood Cabinet (SAC).

Record of changes:

Date of Change	Updated Section(s)	Authorized signature

This document is available on the website for the Connecticut Office of Early Childhood, in the child care licensing section, under the subsection for Emergency Planning and Response.

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## Introduction

This plan serves as a supplement to the State of Connecticut’s State Response Framework (SRF), the purpose of which is “to describe the interaction of state government with local, federal and tribal governments, non-governmental response organizations and other private sector partners, the media and the public in implementing emergency response and recovery functions in times of crisis. In general, the Framework describes how the State of Connecticut and its partners will work together to support local governments and their residents in responding to disasters and emergencies<sup>1</sup>.” To learn more about the SRF and the CT Department of Emergency Services and Public Protection (DESPP), Division of Emergency Management and Homeland Security (DEMHS) please visit <https://portal.ct.gov/demhs>.

Preparedness, response and recovery planning within the child care community is essential to ensuring the safety of children, their child care providers, and the greater community. Child care programs provide a foundation for young children’s physical, emotional and cognitive well-being, and are essential to community recovery in the aftermath of an emergency. The inability of child care facilities to re-open following an emergency can force families to leave children unaccompanied or in unsafe, informal care, increasing their risk of injury or abuse while parents seek recovery assistance. Child care is essential to jump-starting local economies following an emergency. A reliable workforce needs safe, secure child care for employees to resume work.

This plan provides an all-hazards approach to planning for the needs of children who are cared for in licensed home-based and center-based settings, and those who are supported by funding through the Child Care and Development Fund (CCDF) through the State of Connecticut subsidy program called Care 4 Kids.

Connecticut’s effort to plan for and address the needs of children in emergencies is governed by a number of statutes and regulations. Among the most influential requirements, *An Act Concerning Children Affected by Disaster and Terrorism*, Public Act 11-66, codified in Connecticut General Statutes, Section 28-11, the Commissioner of Emergency Services and Public Protection is required to submit an annual report to the General Assembly on planning and activities for children and youth as part of homeland preparedness and emergency response planning for natural disasters, man-made disasters and terrorism. The report must include provisions that address:

- (1) the distinct health needs of children for purposes of bioterrorism and other public health emergency preparedness,
- (2) public education and communications for families concerning public safety issues relating to disasters and terrorism,
- (3) training in safety and security measures and multi-hazard response plans for child care providers, school personnel and personnel in before and after school programs, family homeless shelters, summer camps, and juvenile justice system facilities,
- (4) coordination of school health and mental health strategies, and

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<sup>1</sup> STATE RESPONSE FRAMEWORK (SRF), Version 4.1 September 2014. Prepared by Department of Emergency Services and Public Protection (DESPP) Division of Emergency Management and Homeland Security (DEMHS) in partnership with other CT State Agencies and Non-Governmental Organizations involved in Emergency Preparedness and Response Activities in the State of Connecticut. Revision date September 24, 2014. Retrieved March 11, 2019.

(5) amendments to the state civil preparedness plan and program made pursuant to Connecticut General Statutes Section 28-5(c).

The focus of this plan is on addressing the response plans for licensed childcare providers, licensed youth camps, and other related programs under the direction of the state of Connecticut Office of Early Childhood. The Department of Public Health, as the lead public health (Emergency Support Function (ESF)-8) agency under the SRF, is responsible for coordinating the development of broad statewide plans that address the special healthcare needs of children including family assistance centers, emergency medical services for children, mental and behavioral health needs of children and other public health preparedness plans specific to pediatric populations.

The Division of Emergency Management and Homeland Security (DEMHS), within the Department of Emergency Services and Public Protection (DESPP), is responsible for a coordinated and integrated program of emergency management and homeland security. At the direction of the DESPP Commissioner, DEMHS convenes the Statewide Emergency Management and Homeland Security Advisory Council. One of the key committees of the Advisory Council is the Child Emergency Preparedness Committee (CEPC), with established governance to define its purpose, goals, and membership. The CEPC falls within ESF 5, Emergency Management, under the National Incident Management System or NIMS.

This plan was developed to guide the actions of the Office of Early Childhood during times of emergency, and to identify the resources and supports available to providers of child care services in the event of an emergency. U.S. Department of Health and Human Services, Information Memorandum 2017-01, served as the guide to the plan. A stakeholder workgroup including representatives from the State Advisory Committee (the Early Childhood Cabinet), the Child Emergency Preparedness Committee, and early childhood service providers convened to provide input and feedback. The Office of Early Childhood shall be responsible for the periodic updating of this document with input from a similarly representative group.

The plan was reviewed by State Agencies and organizations named within the document, as well as other stakeholders who serve the early childhood community.

These abbreviations are used throughout this document and have meaning as follows:

**CCDF** Child Care and Development Fund, the federal funding provided to the Office of Early Childhood to support child care services and supports, including the Connecticut subsidy program called Care 4 Kids

**CEPC** Child Emergency Preparedness Committee, a subcommittee of the Statewide Emergency Management and Homeland Security Advisory Council

**DEMHS** CT Division of Emergency Management and Homeland Security, the division of DESPP responsible for the coordinated, integrated program for statewide emergency management and homeland security.

**DESPP** CT Department of Emergency Services and Public Protection, the state agency responsible for protecting and improving the quality of life for citizens by providing a broad range of public safety services, training, regulatory guidance and scientific services

**ESF** Emergency Support Function, a category of disaster response or recovery operations

**NIMS** National Incident Management System, a system that includes a standardized approach to incident management and response, training, credentialing, communications, equipment, and technologies

**SEOC** State Emergency Operation Center, the State's coordination center for emergency services during any major emergency affecting the State of Connecticut

**SRF** State Response Framework, describes the interaction of state government with local, federal and tribal governments, non-governmental response organizations and other private sector partners, the media and the public in implementing emergency response and recovery functions in times of crisis

## Background and Scope of Plan

The Reauthorization of the Child Care Development Block Grant (CCDBG) Act in 2014 requires Lead Agencies to develop and maintain a comprehensive Statewide Child Care Emergency Plan to address the needs of children in child care before, during and after a Governor-declared state of emergency<sup>2</sup>. The Act declares that the State's Child Care Emergency Plan must include:

- Coordinating and collaborating with key partners;
- Guidelines for continuation of child care subsidies and services;
- Coordination of post-disaster recovery of child care services; and
- Requirements for CCDF providers and other child care providers.

The State of CT addresses each of these planning aspects as follows:

Coordinating and collaborating with key partners: The OEC works in collaboration with DESPP/DEMHS to plan for and respond to emergencies in preparedness exercises; co-chairs with DEMHS the Child Emergency Preparedness Committee, and within the CEPC and across exercises and actual events works with state agency partners and other stakeholders to advance preparedness for children. The OEC also engaged the Department of Public Health in the development of this plan to ensure coordination with broader statewide plans that address the special needs of child populations, and responsibilities fulfilled by public health and healthcare systems in response to disasters and emergencies.

Guidelines for Continuation of Child Care Subsidies and Services: OEC works in collaboration with United Way of CT, the agency/vendor responsible for the implementation of Connecticut's child care subsidy plan (Care 4 Kids) to ensure that policy and procedures are in place to guide the continued availability of subsidy funding during and/or after a disaster. United Way of CT is required to have a preparedness plan to address:

- Continuation of subsidy payments;
- Extension of eligibility re-determination for families;
- Communication with the licensing agency to ensure licensed programs receiving CCDF are safe and that there are options for families;
- Assisting new enrollees or preparation for an influx of families who may need assistance;
- Implementation of a waiting list, as appropriate;
- Data on families receiving subsidies.

The United Way's Disaster and High Availability plan includes provision for UPS power, system virtualization, desktop virtualization and off-site backup and recovery systems to ensure that critical aspects of their work can be delivered and data recovered to ensure critical resources are available to those effected by emergencies and disasters. United Way hosted systems are backed up, and all ImpaCT/DSS related systems are addressed in that organization's disaster plan.

Temporary Operating Standards for Child Care: The need for temporary child care is determined in partnership with DESPP/DEMHS based on the extent of a disaster. Temporary child care implemented

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<sup>2</sup> U.S. Department of Health and Human Services, Administration for Children and Families, Information Memorandum, [CCDF-ACF-IM-2017-01](#).

during or after a disaster may require modifications to regulatory requirements in order to meet the needs of families. Under Connecticut General Statutes Section 28-9, the Governor may declare a civil preparedness emergency, and waive or modify state statutes, regulations, or rules. Connecticut Child Care Regulations, Sections 19a-87b(g) and 19a-79(d) authorize the Commissioner of the Office of Early Childhood to waive certain child care regulations in times of emergency so that temporary care, or licensed care that seeks to re-open post-disaster, may operate under extenuating circumstances.

Coordination of Post-Disaster Recovery of Child Care Services: Child care services must be restored as quickly as possible after a disaster in order to support community recovery. The OEC is prepared to work with partner state agencies to support the restoration of services through the re-building of infrastructure, re-training of staff, and the establishment of healthy and safe environments for children.

Requirements for CCDF Providers and Other Child Care Providers: Connecticut's child care regulations require that licensed providers have emergency plans in place. The Office of Early Childhood provides information regarding regulatory requirements, emergency planning and response, and tools for providers on its website, <https://www.ctoec.org/licensing/emergency-planning-and-response/>. Following the CCDF reauthorization requirements, CT is expanding child care licensing requirements to address an all-hazards approach as recommended by emergency management experts. These regulatory changes have been proposed and await legislative action.

Training on preparedness and response for child care providers is provided through the CEPC to support implementation of best practices. The primary resources utilized in the training include [\*Protecting Children in Child Care During Emergencies Recommended State and National Regulatory and Accreditation Standards for Family Child Care Homes and Child Care Centers and Supporting Rationale\*](#)<sup>3</sup> and [\*Emergency Preparedness Manual for Early Childhood Programs\*](#)<sup>4</sup>.

Recognizing that some disasters are more readily conceived as threats, including weather emergencies, and that some disasters may be man-made and defy logic or imagination, this plan is an all-hazards plan, addressing all types of emergencies. Further, it applies to all licensed providers in Connecticut including home-based and center-based early childhood settings, and those who receive CCDF subsidy (Care 4 Kids). It offers a foundation from which to leverage planning and response activities, and a starting point for collaboration with other emergency preparedness and response actions, both local and statewide.

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<sup>3</sup> *Protecting Children in Child Care During Emergencies Recommended State and National Regulatory and Accreditation Standards for Family Child Care Homes and Child Care Centers and Supporting Rationale*. National Association of Child Care Resource & Referral Agencies and Save the Children, Domestic Emergencies Unit. 2010. Retrieved 4/10/2019.

<sup>4</sup> *Emergency Preparedness Manual for Early Childhood Programs*. US Dept. of Health and Human Services, Administration for Children and Families, Office of Head Start. Updated 10/10/2018. Retrieved 4/10/2019.

## Assumptions

The Office of Early Childhood creates this plan employing the following assumptions:

Emergencies present themselves at all times and in many forms. The major threats for which child care programs must be prepared to respond include severe weather and human-caused emergencies.

The OEC considers children especially vulnerable with regard to emergency planning and considers preparation, planning, and practice essential to deploying a safe and effective response and mitigating the effects of a disaster.

Child care services are essential in restoring the economic well-being of a community after a disaster because the ability for parents to return to work depends on the availability of child care services.

Child care services licensed by the State of CT, and all other providers who receive CCDF subsidy (Care 4 Kids), are required to have an emergency plan in place and to practice that plan regularly so that they are prepared to take appropriation actions to ensure children's safety and reunification with their families.

This plan serves as guidance to the Office of Early Childhood and providers of early childhood services under a Governor-declared state of emergency.

This document serves as a supplement to ESF 5 Annex to the Connecticut State Response Framework and addresses the needs of licensed child care settings and providers of care under the Care 4 Kids subsidy system. This document also serves as a supplement to ESF 8 Annex to the Connecticut State Response Framework, and is coordinated with the Department of Public Health's public health preparedness efforts, which include addressing the special health and healthcare needs of child populations. However, this plan cannot address all the needs of a community or the state in continuing or restoring child care services which operate in the context of communities.

Implementation of this plan may vary depending on the nature and extent of the incident for which it is used.

## Coordination and Collaboration

The Office of Early Childhood’s responsibility as outlined in the State Response Framework is to participate as a collaborative partner to ensure the objectives outlined in planning, response and recovery are achieved. This coordination is most evident within Emergency Support Functions, where the OEC has assigned support responsibilities in two working groups:

Emergency Support Function	Scope
ESF 6: Mass Care	Emergency assistance/sheltering/feeding Coordination with municipalities and American Red Cross Disaster housing, Human services, Functional needs
ESF 14: Disaster Recovery	Social and economic community impact assessment Long term community recovery assistance to states, local governments, and the private sector Analysis and review of mitigation program implementation Mitigation Coordinate and implement the State Disaster Recovery Framework

Additionally, the Framework identifies the Child Emergency Preparedness Committee as an informant group to Emergency Support Function 5, Emergency Management.

ESF 5: Emergency Management	Coordination and implementation of the State Response Framework Coordination of incident management response efforts Coordination and implementation of mission assignments Unified command including, but not limited to, Incident Action Planning, multi-agency coordination, and situational awareness Coordination of Mutual Aid Resource and human capital Financial management
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The Child Emergency Preparedness Committee’s interaction across agencies and with members demonstrates the shared responsibility regarding planning and preparedness for children. The CEPC is co-chaired by staff from DESPP/DEMHS and OEC, and includes representative members from all state agencies with responsibility for children, federal agencies, state and local law enforcement, municipalities, public schools, and providers of services for children. This Committee’s primary purpose is to make recommendations to the Advisory Council and the Deputy Commissioner of DESPP/DEMHS with regard to the development and implementation of statewide strategic planning and guidance related to children in emergencies. The CEPC’s scope includes:

- Identification and facilitation of emergency preparedness planning activities in settings serving children;
- Collaboration with national, state, and local emergency management organizations to share ideas and strategies; and

- Identification of areas where members can work together to optimally address child crisis preparedness needs.

#### Coordination with Collaborating entities

The Office of Early Childhood includes among its collaborating partners agencies and entities that engage in similar and complimentary work, and have an interest in the health and safety of children and the quality of care provided to children and families. As such, these agencies are partners in the preparedness, response and recovery activities of the agency: United Way of CT, American Red Cross, Connecticut Association for Education for Young Children (CTAEYC), School Readiness Councils, and other OEC Contractors whose locations and functions present opportunities for coordination and information sharing.



## Communication

Connecticut's State Response Framework<sup>5</sup> defines the organization, operational concepts, responsibilities and procedures to accomplish Public Information requirements in the State of Connecticut before, during, and after emergencies.

When the Governor of the State of Connecticut activates the State Emergency Operations Center, the following activities take place as appropriate:

- The SEOC may provide local officials with recommended protective actions for the public as well as with other recommended actions appropriate to the emergency situation.
- The SEOC may provide the public with recommended protective actions and other information through the media.
- DESPP/DEMHS may operate as the primary emergency public information agency for the SEOC, working with the Office of the Governor and other local, state, or federal agencies as appropriate.

Communications and coordination procedures between DESPP/DEMHS internal and external partners before, during and after an emergency are dependent upon the situation status and may be scaled up or down at the discretion of leadership at DESPP/DEMHS and/or the Office of the Governor, in collaboration with the Governor's Unified Command, which is made up of federal, state, and non-governmental agencies key to a specific emergency. The involvement of state agencies is determined by the nature of the emergency and those effected.

### Communication with Providers

When child care providers are affected by an emergency, and specific communication to them is necessary to enhance their awareness, health and safety, the Office of Early Childhood, working in conjunction with United Way of CT, communicates with licensed centers and home-based providers, and license-exempt recipients of subsidy, through 211's mass messaging system, including providing out-bound telephone communication and email. Through 211, child care facilities can receive emergency communication to enhance their preparedness and response and/or providers can be polled for damage assessment purposes or other needs.

Emergency and post-disaster communications from the local Emergency Management Director or local law enforcement also serve as informants to child care providers. The State of CT and its municipalities employ a mass emergency notification system, CT Alert, to facilitate emergency notifications to the public. This system is available for use during an emergency and includes a specific distribution list for licensed facilities (center and family homes) thereby providing a direct method of communication. Individuals and businesses may learn more about how to participate in this system at <https://www.ctalert.gov/ctalert/site/default.asp>. To ensure that information on licensed facilities is up to date in the system, [Public Act 18-172](#) requires the Office of Early Childhood to ensure that contact information for all licensed child care is available for use by local law enforcement. Using 211 child care to collect and maintain accurate contact information, each license holder's business name, address, primary and secondary telephone contact, and email are available to law enforcement and responders

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<sup>5</sup> State Response Framework, Version 4.0. September 16, 2019. Retrieved 4/10/19

using the state's mass notification system. The data can be used to map the locations of licensed providers and/or to identify regions to which messaging is targeted. Confidentiality of this data is ensured under Connecticut General Statute Sec. 28-28a. Provision of subscriber information: Permitted purposes; agreement. Immunity from liability.

The OEC maintains a social media presence on popular platforms including Facebook and Twitter and is prepared to utilize these platforms for the distribution of emergency information. Messages distributed through these platforms may repeat information shared through the State Emergency Operation Center (SEOC), The Department of Public Health or other state agencies as appropriate, or provide information or instructions specific to the health and safety of children and or to child care license holders.

These communication systems support OEC's ability to exercise its responsibility to child care providers and to be prepared to collect information to channel disaster reports to the Administration for Children and Families, Region 1 Office.

#### Communication with Families

As residents of Connecticut, families are exposed to the messages distributed by State officials in times of emergency via various media sources. Families with children enrolled in child care programs have an increased level of concern for their children's safety with regard to emergencies that occur while children are in care. To ensure that families receive communications as appropriate, licensing regulations require providers to maintain current contact information for the parents/guardians of every enrolled child. This enables child care providers to reach out to families through multiple means in times of emergency.

Licensed providers may subscribe to an online application to facilitate communication including systems such as Respond or Class Dojo.

#### Communication to the Office of Early Childhood

Recognizing that the OEC will build its awareness of the effect of emergencies and disasters on child care by collecting information from the provider community, the OEC child care licensing staff may follow an emergency protocol to reach out to licensed providers when appropriate and may collect data on impact and needs of the child care community. Staff with responsibility for funded programs have contact lists with multiple ways to reach providers. In addition, local damage assessments are conducted by local emergency management personnel and channeled to DEMHS.

## **Family Assistance and Reunification**

The licensed early childhood program or provider is responsible for the health and safety of each child until the child is returned to the custody of the parent or guardian. If the parent or guardian (or other designated adults) cannot be located or if the child's custody is unclear, local law enforcement and the CT Department of Children and Families provide guidance and/or temporary custody. In the event that a child's custody is unclear or when multiple persons seek to claim a child, all information will be turned over to the CT Department of Children and Families or Law Enforcement for their investigation and determination of custody. Long-term care plans, if needed, will be created under the guidance of the CT Department of Children and Families (DCF).

In circumstances where an entire early childhood facility, community or larger geographic area is impacted, reunification may be supported using the statewide communication systems available through 211 and/ or the local or State Emergency Operations Center. Coordination of reunification on this larger scale is performed under ESF 6 Mass Care. During other unforeseeable mass casualty or mass fatality events, at the request of OEC or DESPP/DEMHS, the DPH in concert with local public health may activate a regional family assistance center to support OEC's efforts to connect families displaced by such events. Various state agencies and non-governmental organizations, both statewide and local, may assist with the re-unification process, including ESF 6 Mass Care partners such as the Red Cross, United Way 211, DESPP/DEMHS, DPH, and CT DCF. Coordination for family assistance may also include shelter services, law enforcement and other partners.

## Long and Short Term Recovery

The State maintains a State Disaster Recovery Framework, to address the concept of operations and lines of coordination for both short- and long-term recovery activities. Short-term recovery activities begin during the response phase and focus on the immediate needs of individuals and communities. Long-term recovery activities focus on meeting the un-met needs of individuals and on returning communities to pre-disaster conditions.

Connecticut views child care as an essential service to the recovery process. To restore communities and to help them thrive, consistent, high quality child care must be in place. The Office of Early Childhood is prepared to support recovery needs in licensed facilities by applying its tools and resources in post-disaster situations, informed by communication with and between unified command, emergency support functions, and the child care community.

Child Care recovery needs are identified through post-disaster damage assessment processes in place through the State Response Framework. To support the efficient collection of information, the OEC would first engage in the State Emergency Operations Center to learn of damage reports as collected by local Emergency Management Directors. Should more child care specific information need to be gathered communication systems available to the Office of Early Childhood through its own staff or partner agency United Way of CT may be implemented. The Office of Early Childhood will use out-bound messaging through CT Alert or United Way of CT as well as data collection through its child care licensing staff to gather and maintain data on recovery needs as described in the communication section of this manual.

The OEC Child Care Licensing Division can support community recovery by expediting licensing applications/changes and the processing of corrective action plans to enable child care providers to open as soon as possible after a disaster.

## Temporary Child Care Services

CT General Statutes sections 19a-87b(g) and 19a-79(d) authorize the Commissioner of the Office of Early Childhood to waive certain child care regulations in times of emergency so that temporary care, or licensed care that seeks to re-open post-disaster, may operate under extenuating circumstances. This provides the opportunity to allow licensed facilities to operate under otherwise prohibitive circumstances in order to advance the recovery process.

When the Office of Early Childhood deliberates the waiving of regulations, consideration is given to the impact of the waiver on conditions including but not limited to:

- children's health and safety;
- staff's health and safety;
- economy;
- recovery process;
- timeframe for which the regulation is waived; or benchmark at which point the waiver will be reviewed.

It is also possible that temporary child care can be delivered in shelters or other temporary locations. To deliver such care, the Red Cross is prepared to support shelter-based temporary care using child safety kits, sufficiently supplied to establish care settings for up to 25 children per location. These five kits, developed with guidance from Save The Children and stored at the Red Cross in Farmington, CT contain supplies to establish temporary child care space including arts and crafts materials, toys for a variety of ages and materials to ensure appropriate safety and accountability for children.

In circumstances that necessitate closure of or that have devastated child care services in an area, a plan to return child care services as quickly as possible will be prepared in collaboration with local and state partners. Such a plan would include:

- Identification of the impacted families
  - Age and number of children
  - Hours and days care is needed
  - Subsidy status (Care 4 Kids certificate or OEC funded space)
- Scan of available child care in the area utilizing United Way of CT
  - Offer of care options to families
- Scan of available community space to use as temporary location
- Identification of partner agency(ies) to operate temporary care such as non-governmental organizations, faith based organizations, and/or local agencies or municipalities.
- Assignment of licensing specialist(s) to support rapid licensure for operation
  - Advancement of review and approval processes to expedite licensure
  - Identification of regulations to be considered for waiver by the Commissioner/Governor
- Licensure of new space to accommodate families in need.
- Technical assistance to address the health, safety and development of children and families.

## Resources for Providers

Recognizing that all emergencies begin and end at the local level, early childhood providers are encouraged to reach out to their local Emergency Management Director to ensure that their emergency plans align with the expectations and requirements of the local community. The resources listed below offer an array of content to guide planning, response and mitigation.

The State of CT makes resources available to early childhood providers to support their preparedness efforts, including:

### *Office of Early Childhood*

Division of Child Care Licensing, **Emergency Planning, Preparedness and Response resources**

<https://www.ct.gov/oec/cwp/view.asp?a=4542&q=545156>

Resources from OEC provide guidance in preparation, response and recovery and include regulatory guidance and tools including Emergency Care Guidelines in [English](#) and [Spanish](#) that provide procedures for shelter in place, evacuation, and lock down.

### *Department of Emergency Services and Public Protection*

Division of Emergency Management and Homeland Security, **Child Emergency Preparedness Resources**

<https://portal.ct.gov/DEMHS/Emergency-Management/Resources-For-Officials/Child-Emergency-Preparedness--Resource-Page>

This curated site provides resources for planning in settings where children are served, special populations, behavioral health and emotional support for children and families, and active shooter / intruder preparedness.

### *Child Emergency Preparedness Committee Training*

A committee of the DESPP/DEMHS Advisory Council, the Child Emergency Preparedness Committee (CEPC) offers training and support to organizations serving children. For more information contact the OEC Quality Improvement Division at 860-500-4428.

These national resources may be useful to planning and response efforts.

### *FEMA*

<https://www.fema.gov/children-and-disasters>

The Federal Emergency Management Agency (FEMA) has developed resources and online training to assist child care providers in their responsibilities to protect the health and safety of children during emergencies.

### *Head Start Early Childhood Knowledge and Learning Center*

<https://eclkc.ohs.acf.hhs.gov/>

This site offers a wealth of information for early childhood providers on social and emotional supports for children and adults, disaster preparedness, response, and recovery resources for families and programs.

## References

This plan was prepared using the following resources:

CT State Response Framework, Version 4.0, September 2014.

CT State Disaster Recovery Framework and ESF 14, July 2018.

*Emergency Preparedness Manual for Early Childhood Programs.* US Dept. of Health and Human Services, Administration for Children and Families, Office of Head Start. Updated 10/10/2018. Retrieved 4/10/2019.

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Rhode Island Child Care Emergency Preparedness Plan 2018.

U.S. Department of Health and Human Services, Administration for Children and Families, Information Memorandum, CCDF-ACF-IM-2017-01.

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