



Pre-Disaster Recovery Planning Guide for Tribal Governments

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FEMA

Cover Photographs

Upper Center: Governor (then Deputy Tribal Coordinating Officer) Michael Chavarria was tasked with restoring the ancient lands of the Santa Clara Pueblo. The Pueblo's sacred grounds were damaged after fires which stripped away the vital absorptive vegetation, creating a powerful runoff that devastated their ancient ruins, hunting and fishing grounds, and Native spiritual grounds. Photo by Adam DuBrowa/Federal Emergency Management Agency (FEMA). Location: Santa Clara Pueblo, New Mexico, December 2013.

Lower Left: The Meskwaki Nation's 100th Annual Powwow took place at an alternate location in 2014 due to flooding at the historic Powwow grounds. Since the annual Powwow is critical to Meskwaki culture and economy, FEMA was able to support relocation of the event to a temporary powwow facility through the Public Assistance (PA) program. Photo by Steven Zumwalt, FEMA. Location: Tama, Iowa, August 2014.

Lower Center: This home on Absentee Shawnee Tribal land was totally destroyed by the May 19-20, 2013 tornado. Photo by George Armstrong/FEMA. Location: Shawnee, Oklahoma, May 2013.

Lower Right: The Santa Clara Pueblo's sacred grounds were damaged after fires scorched the grounds, stripping the vital absorptive vegetation and creating a powerful runoff that devastated their ancient ruins, hunting and fishing grounds, and Native spiritual grounds. Photo by Adam DuBrowa/FEMA. Location: Santa Clara Pueblo, New Mexico, December 2013.

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Abbreviations and Acronyms

ACF	Administration for Children and Families
ADA	Americans with Disabilities Act
AIA	American Institute of Architects
AIBA	American Indian Business Alliance
APA	American Planning Association
ASCE	American Society of Civil Engineers
ASLA	American Society of Landscape Architects
CCP	Crisis Counseling Assistance and Training Program
CDBG	Community Development Block Grant
CNMS	Coordinated Needs Management Strategy
CPCB	Community Planning and Capacity Building
DAIP	Disaster Assistance Improvement Program
DCM	Disaster Case Management
DLS	Disaster Legal Services
DOL	United States Department of Labor
DUA	Disaster Unemployment Assistance
EMI	Emergency Management Institute
EPA	United States Environmental Protection Agency
ESF	Emergency Support Function
FDRC	Federal Disaster Recovery Coordinator
FEMA	Federal Emergency Management Agency
FIOP	Federal Interagency Operational Plan
GRAC	Galena Recovery Advisory Committee
HA	Housing Assistance
HHS	United States Department of Health and Human Services
HMGP	Hazard Mitigation Grant Program
HUD	United States Department of Housing and Urban Development
IA	Individual Assistance
ICS	Incident Command System
IHP	Individuals and Households Program
ITLTF	Intertribal Long-Term Recovery Foundation
MOU	Memorandum of Understanding
NCAI	National Congress of American Indians
NDRF	National Disaster Recovery Framework
NFIP	National Flood Insurance Program
NGO	Non-Governmental Organization
NIMS	National Incident Management System

NNABA	National Native American Bar Association
NOAA	National Oceanic and Atmospheric Administration
NREL	National Renewable Energy Laboratory
NTEMC	National Tribal Emergency Management Council
OMB	Office of Management and Budget
ONA	Other Needs Assistance
PA	Public Assistance
PDA	Preliminary Damage Assessment
PDRP	Post-Disaster Redevelopment Plan
RD	Rural Development
RSF	Recovery Support Function
SBA	United States Small Business Administration
SPR	Stakeholder Preparedness Review
SRIA	Sandy Recovery Improvement Act
SRPMIC	Salt River Pima-Maricopa Indian Community
TDRC	Tribal Disaster Recovery Coordinator
TDRM	Tribal Disaster Recovery Manager
THIRA	Threat and Hazard Identification and Risk Assessment
UNAHA	United Native American Housing Association
USDA	United States Department of Agriculture
USET	United South and Eastern Tribes
VOAD	Voluntary Organization Active in Disaster

Introduction

Purpose of this Guide

Each year, disasters impacting families, their homes, and whole tribal nations show how important it is to plan for recovery before a disaster occurs. Planning for recovery ahead of disasters ensures that tribal communities can:

- 1) Act quickly to identify appropriate recovery leadership and their roles and responsibilities;
- 2) Restore the health and well-being of individuals and households;
- 3) Meet the needs of affected tribal organizations, businesses, and institutions;
- 4) Position themselves to meet future needs; and
- 5) Increase their resilience in the face of future disasters.

Recovery planning is a process that can include taking small steps to articulate and document tribal recovery planning considerations or taking the larger step of developing a formal pre-disaster recovery plan. Sometimes, community recovery is confused with individual and household recovery. Community recovery, the focus of this guide, is the recovery of tribal resources that benefit everyone who lives and/or works on tribal lands.

The Pre-Disaster Recovery Planning Guide for Tribal Governments provides a basic framework and guidance for tribal

leadership and stakeholders as they plan for recovery and recognizes that different tribes have different levels of capacity and different ways of planning. **This guidance is applicable to both federally recognized and state recognized tribes and is appropriate preparation for all incidents with or without a Presidential Disaster Declaration.**

FEMA acknowledges the sovereignty of federally recognized tribes and is committed to helping tribal governments build more resilient communities. Federally recognized tribes can request emergency or major disaster declarations directly to the President (through FEMA) as a recipient

The Relationship among Mitigation, Response, and Recovery Planning

Hazard mitigation planning identifies risks and vulnerabilities associated with natural disasters and develops long-term strategies for protecting people and property from future hazard events. Hazard mitigation plans often include information useful to the recovery planning process.

Response Planning is typically undertaken by first responders to organize actions and roles that focus on immediate life safety and sustaining efforts. It also includes providing disaster survivors with basic needs, such as food and shelter, after an incident.

Recovery planning, the focus of this guide, is led by planners who develop a strategic plan, including recovery roles and priorities for holistic, long-term recovery with the goal of bringing a community back to a sense of long-term sustainability and normalcy

The following acts enable the Federal Government to provide assistance to tribes after a disaster:

- The Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act), as amended (42 U.S.C. §§ 5121 et seq.)
- The Sandy Recovery Improvement Act of 2013 (SRIA) amended the Stafford Act to provide federally recognized Indian tribal governments the option to request a Presidential emergency or major disaster declaration

or apply for assistance as a subrecipient under a state declaration. Tribes that are not federally recognized work through their state to request emergency or major disaster declarations as a subrecipient but may not apply directly. As part of the disaster recovery process, tribes who have received a Presidential Disaster Declaration may request and gain access to additional recovery programs such as those under the Individual Assistance Program (IA), Public Assistance (PA) Program, and Hazard Mitigation Grant Program (HMGP).

Understanding the application and reporting requirements of these programs during non-disaster periods may be a financial and time-saving benefit to tribes during recovery, and familiarity with these programs can be a useful part of pre-disaster planning for any tribe. FEMA's New Recipients of Disaster Grants Guide is a consolidated resource guide that outlines all the regulatory and policy deadlines and requirements of the disaster grants process. The FEMA New Recipients Guide is a useful reference tool for recipients with limited to no experience navigating the IA, PA, and HMGP. To access the guide, visit <https://www.fema.gov/media-library/assets/documents/179496>.

Who is this Guide For?

This guide is for tribal government leadership and stakeholders who will be involved in the recovery process after a disaster. These stakeholders may include: the tribal chief executive and tribal government employees, including planners and emergency managers, healthcare professionals, and experts in natural and/or cultural resource preservation.

What is Pre-Disaster Recovery Planning?

Pre-disaster recovery planning is the development of a set of goals for recovery that take into account all community sectors (e.g., the local economy, housing, infrastructure), the documentation of recovery priorities, resources, procedures, implementation steps, and the identification of the roles and responsibilities of all stakeholders in supporting a recovery process that may last for years after a disaster. **Planning for recovery before disasters happen positions tribes to begin the recovery process immediately after a disaster strikes.**

Financial Management

Initial- and long-term post-disaster financial management are important pre-disaster planning considerations.

Initial-Term: Ensuring eligibility for reimbursement of disaster-related costs from all potential sources.

Long-Term: Understanding and planning for impacts to revenues coupled with the need to fund certain long-term recovery activities.

A discussion of financial management is included in [Annex C](#) of this guide.

Printed copies of this guide or the other resources referenced may be available on a limited basis to tribes that lack adequate internet access. Contact your Regional Tribal Liaison if your tribe needs printed materials.

How to Use this Guide

Pre-disaster recovery planning helps ensure that if a natural or man-made disaster strikes, tribes will be prepared to address recovery after the incident even if the incident does not rise to the level of a federal declaration. Where the incident is of such severity and magnitude to warrant a Presidential Disaster Declaration, having a pre-disaster recovery plan will enable a tribe to define and articulate priorities for recovery, including mitigation strategies, which will foster fast delivery of resources from federal, state, and non-government partners.

This guide focuses on three levels of activity that correspond to varying degrees of tribal capacity. Note that even though this guide categorizes different planning activities based on a tribe's capacity to implement them, all tribes should strive to develop full recovery plans which document recovery roles and responsibilities and planning goals. This may require the use of outside resources, some of which are listed in [Annex D](#) of this guide.

- **Part 1: Basic Planning Activities** – Activities that tribes with minimal resources can do, such as identifying and documenting recovery partners, available resources and resource gaps, essential financial and management procedures, and vital community assets that may be focal points for recovery planning efforts after a disaster.
- **Part 2: Recommended Planning Activities** – Activities which build on the basic recovery activities listed above, such as establishing recovery priorities, adopting a recovery ordinance, and writing or building on an existing comprehensive plan or hazard mitigation plan.
- **Part 3: Developing a Recovery Plan** – Tribes with significant resources and government staff (or the ability to hire consultants) should consider developing a formal pre-disaster recovery plan. A pre-disaster recovery plan is a holistic planning document that identifies known hazards and vulnerabilities, existing capabilities, recovery goals, recovery roles, responsibilities and procedures, and known (or needed) partnerships with federal or state governments, and with non-governmental organizations (NGOs).

Each level of activity in this guide is denoted with one of the following symbols:



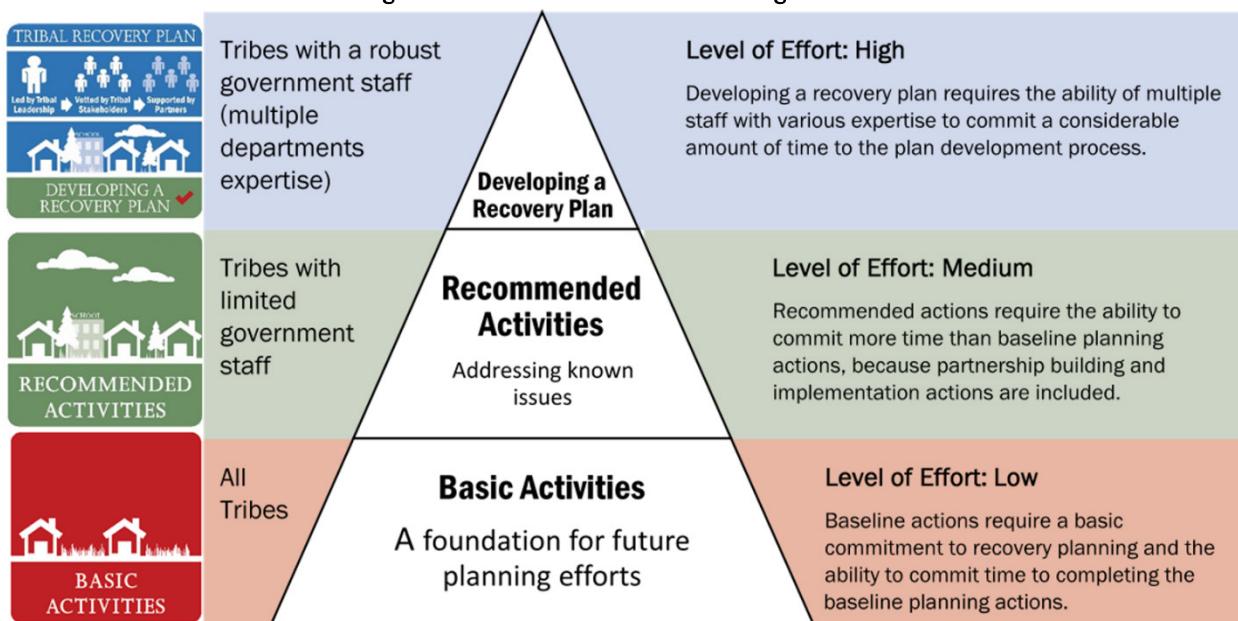
In addition to activity descriptions, this guide includes an activity workbook that can be used to document vulnerabilities, capabilities, and goals, which may contribute to the development of formal recovery plans. In this guide, workbook activities are denoted with a “workbook” symbol:



Before attempting the activities in this guide, it may be helpful to develop a hypothetical scenario in which a major disaster has occurred, such as a flood, and determine what tribal officials and other recovery stakeholders would do given the current state of recovery planning efforts. Based on that scenario, gaps in roles or capabilities to address recovery may be identified. When completing this activity, look beyond needs that would arise in the immediate aftermath of the disaster and think about long-term recovery issues – that is, recovery issues related to housing, rebuilding tribal facilities, and other things that could take years to address. Consider what the potential long-term consequences might be to housing, infrastructure, natural and cultural resources, economic activity, healthcare and social services, and other community sectors. For reference, a recovery timeline from the *National Disaster Recovery Framework* (NDRF) is included in [Annex E](#) of this document.

Many of the activities in this guide require a combination of resources, skillsets, and community support to complete. In some cases, the activities may require planning expertise or may require the support and political willpower of the tribal government. Figure 1 below describes the level of effort involved in different planning activities (basic, recommended, and developing a more formal recovery plan); however, it should not be used to rule out undertaking any of the activities.

Figure 1: Levels of Pre-Disaster Planning Activities



Note that completing the basic and recommended activities is a major step towards formal planning. The information gathered about known capability gaps, vital assets, recovery goals, key tribal stakeholders and their roles, and the partnerships identified while undertaking the activities are all major components of a formal pre-disaster recovery plan.

Why is Pre-Disaster Recovery Planning Critical?

The importance of pre-disaster recovery planning cannot be overstated. Communities throughout the United States, both tribal and non-tribal, have faced major damages left in the wake of disasters. Their ability to recover quickly can be largely improved through planning efforts, including defining leadership roles and strengthening existing partnerships. Understanding the requirements (including time constraints) for reimbursement, grants, and other financial resources is also critical for successful recovery. In addition to planning for recovery, mitigation planning (which can be accomplished in conjunction with pre-disaster recovery planning) is also beneficial in identifying and prioritizing strategies that provide risk reduction from natural hazards and build in resilience. These two plans can work together to support recovering more quickly from a disaster. If you have a mitigation plan, use it to inform your recovery strategy. For more resources on mitigation planning for tribal governments, visit <https://www.fema.gov/tribal-mitigation-planning-resources>.

There are many reasons to perform pre-disaster recovery planning. Identifying, evaluating, and documenting the condition of valued and critical facilities (e.g., cultural facilities or elder housing), and identifying which facilities are located in vulnerable areas (e.g., in flood plains or steep slope areas), can help prepare your tribe for recovery by enabling the community to quickly prioritize where to direct recovery resources after a disaster strikes.

Finally, there are two different phases of recovery addressed in this guide:

- Short-term recovery, which usually overlaps response efforts, involves addressing the most critical issues after the event (finding shelter, access to health care, debris clearance, etc.) and later seeking reimbursement of these recovery costs. Short-term recovery may also include identifying temporary housing solutions and reopening businesses, government facilities, and tribal institutions, among other things.
- Long-term recovery involves addressing all community sectors to bring back a sense of normalcy and a fully functional, sustainable community. This can take months to years, depending on the severity of disaster impact.

Recovery Planning Principles

- Your tribe, its leadership, and stakeholders are ultimately responsible for directing their own recovery.
- Disaster recovery planning is a broad, inclusive process that helps pre-identify important resources and critical partnerships.
- Recovery planning is closely aligned with hazard mitigation planning.
- Recovery planning is goal-oriented.
- Recovery activities will be comprehensive and long-term.
- Resiliency and sustainability are investments in the future.

Why is Pre-Disaster Recovery Planning Important to Your Tribe?

Figure 2: The Disaster Cycle and Why Pre-Disaster Recovery Planning is Important

✓ Emergency Operations Plans address life safety and basic stabilization after a disaster.

✓ Mitigation Plans identify long-term, broadly supported strategies for risk reduction and can assist in the prioritization of funding for mitigation actions pre- and post-disaster.

❓ So why do we need a Pre-Disaster Recovery Plan?

Because it will help enable tribes to act quickly to target resources and energy towards the holistic recovery of what is most important to their communities in the long-term.



The focus of this guide is planning for recovery after a disaster.

Being able to recover successfully means understanding and establishing roles and responsibilities, identifying critical assets, assessing and building on existing capacity, and formally planning for recovery before a disaster strikes.

Recovery planning will help tribal governments take advantage of recovery resources and opportunities and better confront challenges in the following ways:

- 1) Recovery planning supports traditional tribal community processes in which the whole community considers tribal resources, the needs of all its members, and the needs of future generations.
- 2) Recovery planning encourages coordination with state and local governments and other external partners to increase access to recovery resources for your tribe.
- 3) Recovery planning can provide a place to establish procedures and roles to help align your tribe with federal practices having to do with procurement, the Incident Command System (ICS), grants management, etc.
- 4) The Sandy Recovery Improvement Act of 2013 (SIRA) amended the Stafford Act to provide federally recognized Indian tribal governments the option to request a Presidential emergency or major disaster declaration directly, rather than working through the state. Pre-disaster planning discussions help tribal members consider recovery priorities and strategies that reflect your tribe's values and vision. Recovery plans provide formal documentation of tribal intentions and roles for directly requesting a Presidential Disaster

Declaration. For more information, see FEMA's current Tribal Declarations Pilot Guidance: <https://www.fema.gov/media-library/assets/documents/128307>

Recovery planning will put tribes in a better place to address pre-existing community needs, take advantage of available resources, think differently about how their resources can be adapted to new purposes, and seize opportunities to rebuild in a resilient way. Effective planning and preparation for potentially harmful events, both large and small, will save both time and money because roles and responsibilities will be clearly identified, and resources will be directed where they are needed most.

Figure 3: The Benefits of a Pre-Disaster Recovery Plan

	Without a Pre-Disaster Recovery Plan	With a Pre-Disaster Recovery Plan
Vision and Goals	Without articulating a vision and goals to establish a strategy and direction for recovery before a disaster, there is no framework for implementing recovery after a disaster.	With a vision and goals that establish a strategy and direction for recovery in place, a basic framework for post-disaster recovery is built, and the recovery process can begin quickly after a disaster.
Roles and Responsibilities	If internal roles and responsibilities for accounting for, directing, and implementing recovery are not articulated, recovery could be delayed, and roles and responsibilities could be haphazardly assigned to people without the necessary expertise to undertake them.	When stakeholders understand the responsibilities they will have after a disaster, they can move more seamlessly into their recovery roles.
Partners and Resources	Having to identify partners and resources from scratch after a disaster can take a lot of time, and in addition to the overwhelming tasks associated with recovery, can be incredibly burdensome.	When partners and resources are already identified and initial working relationships have been established, partners may be called upon for support immediately after a disaster.
Recovery from a Disaster	Without a Pre-Disaster Recovery Plan, recovery will be delayed, recovery may not address holistic community needs within your tribe, and opportunities for partnership development and resources may be missed.	With a Pre-Disaster Recovery Plan in place, the recovery process can begin quickly, your tribe will be prepared to meet holistic community recovery needs, and partnerships and resources can be accessed more readily.

Planning Activities Checklist

The checklist of planning activities presented below can be used for reference as your tribe completes basic or recommended activities or as the planning steps are undertaken to develop a formal pre-disaster recovery plan. Each of the planning activities is described in the following sections.

Figure 4: Checklist of Planning Activities



BASIC ACTIVITIES	
1. Designate a Point Person and Define an Organizational Structure for Recovery Planning	<input type="checkbox"/>
2. Understand What Resources Are Available	<input type="checkbox"/>
3. Develop an Inclusive Public Engagement Strategy	<input type="checkbox"/>
4. Identify Vital Community Sites and Assets	<input type="checkbox"/>
5. Identify Existing Tribal Recovery Partners	<input type="checkbox"/>
6. Identify Outside Partnerships to Build Resilience	<input type="checkbox"/>
7. Commit to Enhancing Resilience through Risk Reduction and Risk Management	<input type="checkbox"/>
8. Develop Financial Management Recovery Roles, Policies, and Procedures	<input type="checkbox"/>

RECOMMENDED ACTIVITIES	
1. Build on Existing Plans and Initiatives	<input type="checkbox"/>
2. Conduct a Vulnerability Analysis	<input type="checkbox"/>
3. Assess Recovery Capacity	<input type="checkbox"/>
4. Establish Recovery Priorities	<input type="checkbox"/>
5. Adopt a Recovery Ordinance or Resolution	<input type="checkbox"/>
6. Develop/Update the Hazard Mitigation Plan	<input type="checkbox"/>

PLANNING STEPS	
1. Form a Collaborative Planning Team	<input type="checkbox"/>
2. Understand the Situation	<input type="checkbox"/>
3. Determine Goals and Objectives	<input type="checkbox"/>
4. Develop the Plan	<input type="checkbox"/>
5. Prepare, Review, and Approve the Final Plan	<input type="checkbox"/>
6. Implement and Maintain the Plan	<input type="checkbox"/>



Part 1: Basic Recovery Planning Activities

Basic Recovery Planning Activities can be completed by tribal departments and agencies or community organizations with minimal investment of resources. By focusing on the concept of creating greater resilience within a community, a tribal government can improve its preparedness without formal plans, policy changes, or additional programs. The activities in this section do not need to be completed sequentially. Additionally, tribes may identify other basic activities they could complete to prepare for recovery.



Basic Activity 1: Designate a Point Person and Define an Organizational Structure for Recovery Planning

Determining how your tribe will organize and who will lead the efforts for long-term tribal recovery should be defined prior to a disaster. The NDRF describes how the federal government organizes itself to support recovery. This organization may not be appropriate for all tribes, but reviewing the NDRF may provide some guidance, depending on tribal capacity and priorities.

Potential Tribal Recovery Roles

- **Tribal Leadership** – Tribal Chief Executive and/or Council who sets policy, direction, approval of expenditures, designation of roles and responsibilities of tribal government staff and recovery committee (if used), and approval of the recovery plan.
- **Emergency Manager** – Typically responsible for coordination and direction of response, life safety, sheltering, feeding, etc.
- **Tribal Disaster Recovery Manager (TDRM)** – Coordinates planning, grants, partnership, and outreach to governmental agencies and stakeholders.
- **Tribal Recovery Committee or Task Force** – Designated tribal representatives who serve as an advisory committee for post-event recovery planning, policy, and implementation, or major recovery projects.
- **Long-Term Recovery Group** – Coordinates Voluntary Organizations Active in Disaster (VOAD) support to individuals and families.

Begin with establishing which agency or individual will lead the recovery planning effort and who will support the effort, along with their roles and responsibilities both pre- and post-disaster. This scope of responsibilities may be assigned to one or more individuals within a tribal government, or to leaders in the community. What is most crucial is that your tribe acknowledges the responsibilities of the designated parties and supports their efforts for managing, coordinating, and planning for both short-term recovery (e.g., Preliminary Damage Assessments (PDAs)) and long-term recovery (e.g., developing permanent housing solutions). Finally, your tribe must determine how this group will work together with the tribal leadership and emergency managers. Defining an organizational structure for how all tribal stakeholders will interact (e.g., leadership vs. support roles) will help all stakeholders understand their role in the recovery planning process. Figure 5 on page 18 of this guide depicts a sample relationship diagram (which can also be considered an organizational structure).

When staffing resources are limited, additional support may be called upon from national and regional tribal associations, volunteer organizations, non-profits, charitable or social services agencies, and regional planning bodies, as well as intergovernmental staff. These potential partners may be able to provide technical assistance related to planning or grant applications, assist with strategic planning, help to build a tribe's capacity to plan for recovery, administer federal disaster

funds, or apply for grants. For more information about partnerships and examples, see [Basic Activity 5: Identify Existing Tribal Recovery Partners](#) and [Basic Activity 6: Identify Outside Partnerships to Build Resilience](#) in this guide.

For more information on designating recovery leadership, see “Leadership” under [Planning Step 4 – Develop the Plan](#).

Role of the TDRM

In order to manage long-term recovery after a disaster, a tribe should consider hiring a TDRM. This person may come from within your tribe, be part of the recovery planning team, or come from outside of your tribe. Note that federal funds may be available to support the hiring of a TDRM post-disaster for periods of up to two years. A TDRM should have the strategic planning and project management background necessary to direct the recovery planning process. When designating a TDRM and recovery leadership team, consider the following:

- Who will be in charge of managing and coordinating decisions, and how are they implemented?
- Is the designated leader well-versed in your tribe’s ideology, vision, and goals?
- What qualifications are needed for a key person in this position?

The Relevance of Regionalism for Recovery Management

Tribal communities with limited capabilities to manage recovery on their own may elect to share the costs of hiring a TDRM and burdens of managing large-scale recovery efforts with adjacent communities or counties. This can be established pre- or post-disaster through Memorandums of Understanding (MOUs) or similar agreements. A regional disaster recovery management structure can encompass small towns and rural counties, and in the wake of a disaster, can facilitate a coordinated recovery effort that benefits an entire region. Regional cooperation also allows communities to demonstrate a critical mass of disaster-impacted people, infrastructure, housing, and businesses. Collectively, such a partnership attracts more resources than communities separately.

Regionalism also comes with challenges – mainly, the coordination of individual communities that may have different needs and priorities. A regional approach requires additional coordination, relationship building, and the ability to inspire unity of effort.



Go to the [Workbook Activity \(Recovery Point Person\)](#) in Annex A to list the recovery point person/people who can provide leadership after a disaster strikes.



Basic Activity 2: Understand What Resources are Available

Pre-Disaster Planning Resources

The difference between a successful recovery and an unsuccessful recovery can often hinge on whether or not a tribe clearly understands what resources are available to support pre-disaster planning and post-disaster recovery. FEMA can support pre-disaster planning in a number of ways in addition to providing general guidance. For example, pre-disaster Mitigation Grants can be used to fund a tribe's hazard mitigation planning, which is the process of strategically identifying projects that will reduce long-term risks to human life, the environment, and property from disasters. A FEMA-approved Mitigation Plan is required for some types of disaster assistance grants and for specific projects that may be funded by pre-disaster Mitigation Grants (planning projects are exempted if no Mitigation Plan exists). Additionally, FEMA regional staff offer a number of opportunities to provide in-person training and technical assistance to tribes that wish to know more about mitigation planning. This technical assistance can enhance the mitigation strategies that are captured in the hazard mitigation plan, which will improve how resources are prioritized and used. Note that the Mitigation Plan can inform your tribe's pre-and post-disaster capabilities and resources. For more information, review the *Tribal Mitigation Plan Review Guide*:

<http://www.fema.gov/media-library/assets/documents/18355>.

Post-Disaster Resource Considerations

Resources for long-term community recovery may include funding as well as technical advisory staff, such as federal or state program officers with knowledge of the policies, procedures, and requirements associated with recovery programs, grant writers, and financial assistance managers. More information about typical FEMA recovery resources related to IA, PA, and Mitigation can be found in [Annex F](#) of this guide.

Finally, the following three resources related to recovery management may be particularly useful and can be found at <http://www.fema.gov/national-disaster-recovery-framework/community-recovery-management-toolkit>.

- Resources to Organize Following a Disaster
- Resources for Managing Recovery
- Resources to Plan for Post-Disaster

Other Resources to Support Individual and Household Needs

Community recovery is sometimes confused with individual and household recovery. Community recovery, the focus of this guide, is the recovery of tribal resources that benefit everyone who lives and/or works there. These resources include cultural sites, schools, infrastructure, businesses, etc. However, while individual and household needs focus directly on individuals or families, they are a legitimate concern for many community stakeholders. In addition to resources provided by FEMA, other sources may be of assistance in addressing the needs of individuals and households in disaster recovery. Two of these include:

1. National Voluntary Organizations Active in Disaster (NVOAD): <http://www.nvoad.org/>

NVOAD is an association of organizations who mitigate and alleviate the impact of disasters. It provides a forum to promote cooperation, communication, coordination, and collaboration and foster more effective delivery of services to tribes affected by disasters.

2. DisasterAssistance.gov: <https://www.disasterassistance.gov/>

The Disaster Assistance Improvement Program's (DAIP) mission is to provide disaster survivors with information, support, services, and a means to access and apply for disaster assistance through joint data-sharing efforts between federal, state, tribal, local, and private sector partners.

[Annex F](#) includes more information about FEMA resources to support individual and household needs, as well as overall community needs.

Training

A variety of training programs from various resource providers are available to help build the capacity of tribes to develop a pre-disaster recovery plan and to address recovery needs after a disaster. Many of these resources may be available for little or no direct cost through government agencies at all levels. FEMA offers a Tribal Curriculum (<https://training.fema.gov/tribal/>) that includes an emergency management framework course (course number E0580), an emergency operations course (course number E0581), an emergency management overview for tribal leaders (course number L0583), a mitigation course (course number E0582), and a continuity of operations course (L0552) - along with other relevant training courses available online through the Emergency Management Institute (EMI) related to damage assessments, IA, PA, etc. These courses may be taken as individual schedules allow. Visit <https://training.fema.gov/emi.aspx> for more information.

In addition to training programs for pre- and post-disaster recovery, preparedness training is also made available by the Center for Domestic Preparedness (including an annual Tribal Nations Training Week). Visit <https://cdp.dhs.gov/training/resident> for more information.



Go to the [Workbook Activity \(Training Needs\)](#) in Annex A to list training needs, and then look up courses available through EMI that may fulfill those training needs.



Basic Activity 3: Develop an Inclusive Public Engagement Strategy

All tribe members can benefit from understanding the purpose of pre-disaster recovery planning and how they can contribute to the process. Diversity of opinions in discussing community vulnerabilities and the value of community resources will help build consensus around the prioritization of vital asset protection, both through mitigation activities and during recovery, should a disaster strike.

Start a conversation on recovery planning and consider the following questions:

- Do tribal members believe that preparing for disaster recovery invites a disaster?
 - If so, how can the conversation be changed to focus on the need to be prepared in general – in the same way emergency responders may plan for how to address immediate response needs after incidents? In other words, is it better to have a plan in place even if it is never used, or to not have a plan when it is needed?
- Why is your tribal community preparing for recovery?
- Would your tribe be able to recover from the disasters most likely to impact them?
- How have other tribes recovered from similar disasters?
- Who in your tribe should be involved in recovery planning and in recovery activities?
- How is your tribe prepared to support individuals with access and functional needs after a disaster?

If not already developed as part of other planning efforts such as hazard mitigation planning, an inclusive public engagement strategy should also be developed to engage tribal members after a disaster strikes. Understanding how tribal members will be engaged in the recovery process will facilitate faster communication after a disaster.



Go to the [Workbook Activity \(Messaging\)](#) in Annex A to list ideas for messaging and methods for engaging the public in collaborative planning.



Basic Activity 4: Identify Vital Community Sites and Assets

Case Study: Community Engagement

Community events can be used as a forum for engaging community members and providing an opportunity for interested partners to find out how they contribute to pre-disaster recovery planning. In 2010, after severe flooding at Spirit Lake Nation, North Dakota, tribal leadership requested federal support for recovery planning. During the recovery planning process, tribal leadership engaged the entire community to determine what its recovery priorities should be. The tribe held community meetings at each of its four districts, along with recovery engagement at schools and at its community college. This level of engagement allowed all community members to participate in the recovery by giving them the opportunity to share ideas and make their voices heard. For more information on identifying and engaging people to support planning efforts, see [Planning Step 1: Form a Collaborative Planning Team](#) in Part 3 of this document.

In the event of a disaster, protecting your tribe's most valued assets is a top priority. Tribes may place a high value on assets such as elder housing, schools, or health care facilities that serve vulnerable members of the population. Sacred or historical sites may also be considered high value assets. Additionally, critical infrastructure that serve high value assets should be considered high priorities for protection - to ensure that those assets can continue to operate during and after a disaster. An elder housing complex or health clinic, for instance, may be served by a bridge or roadway that is a vital link to outside food and medical supplies, or by electric infrastructure necessary to keep the facility operational.

Producing an inventory of such assets may stimulate discussion on their value and importance, and how the community would prioritize future activities for their preservation or planned recovery in the event of a disaster. Doing this can also inform mitigation plans that capture risk assessments, including potential losses to assets. After a disaster, the inventory can be used during PDAs in order to quickly identify vital facilities, vulnerable populations, and anticipated costs for repair and recovery. Mitigation funds may be available for activities to protect important facilities and sites.

Note which vital assets may not necessarily be located on tribal lands. For example, some tribes have fishing and hunting rights on non-tribal lands. Access to hunting and fishing not located on tribal lands may be a high value asset that could be impacted by a disaster and should be accounted for when conducting an asset inventory.

"Tribal Sovereignty is not only about governing a land boundary; it's a way of life for Tribal Leaders and their Membership. It's an inherent right to promote, protect and restore the land, water, and air, whenever possible. Sovereignty goes beyond boundary lines to ancestral lands for Tribal Leaders to be active participants and members of their surrounding community."

Sally Peterson, Tribal Vice-Chairwoman, Middletown Rancheria

Sacred or Historic Sites

Document what measures are appropriate to protect (pre-disaster) or recover (post-disaster) sacred or historical sites, highlight why the sites are significant, and identify what should (or should not) be done after a disaster to recover them. Actions may include:

1. Compiling an inventory of important sites and their location and condition;
2. Evaluating the degree of tribal significance of the site; and
3. Determining if there are special considerations when either identifying or recovering sacred or historic sites. For example, your tribe may not wish to publicly identify certain sacred sites or include outside partners in their recovery.

Case Study: Sharing Resources on Data Collection and Recording

Nisqually Indian Tribe, Washington

Responding to a winter storm event in 2012, the leadership of the Nisqually Indian Tribe near Olympia, Washington discovered how difficult it was to accurately identify, catalogue, and report on the resources used by tribal members and volunteers in clean up and recovery efforts. For example, labor hours and equipment donations, including tools, may be credited against the non-federal share requirement of FEMA funding. Generators and heavy equipment, among other things, are all potentially eligible as reimbursable expenses when applying for FEMA funding. However, accurate reporting and documentation are required as part of the grant application process.

Following this experience and hearing about the similar experiences of other tribes, members of the Nisqually Indian Tribe developed reporting forms to use that not only accurately identified and documented resources following a disaster, but also provided a clear understanding of what information is needed ahead of time. The form enabled their recovery team to anticipate the type and extent of information required by FEMA, thus saving time and increasing their efficiency in applying for recovery funding. Expanding on their efforts, the Nisqually Tribe continues to share this resource with many other tribes in helping them to prepare for recovery in advance of any disaster. For more information on this resource contact Mary Leitka at leitka.mary@nisqually-nsn.gov.



Go to the [Workbook Activity \(Critical Assets and Resources\)](#) in Annex A to list Critical Resources and Assets for your community. This will help you define and document resources that may be priorities for recovery after a disaster.



Basic Activity 5: Identify Existing Tribal Recovery Partners

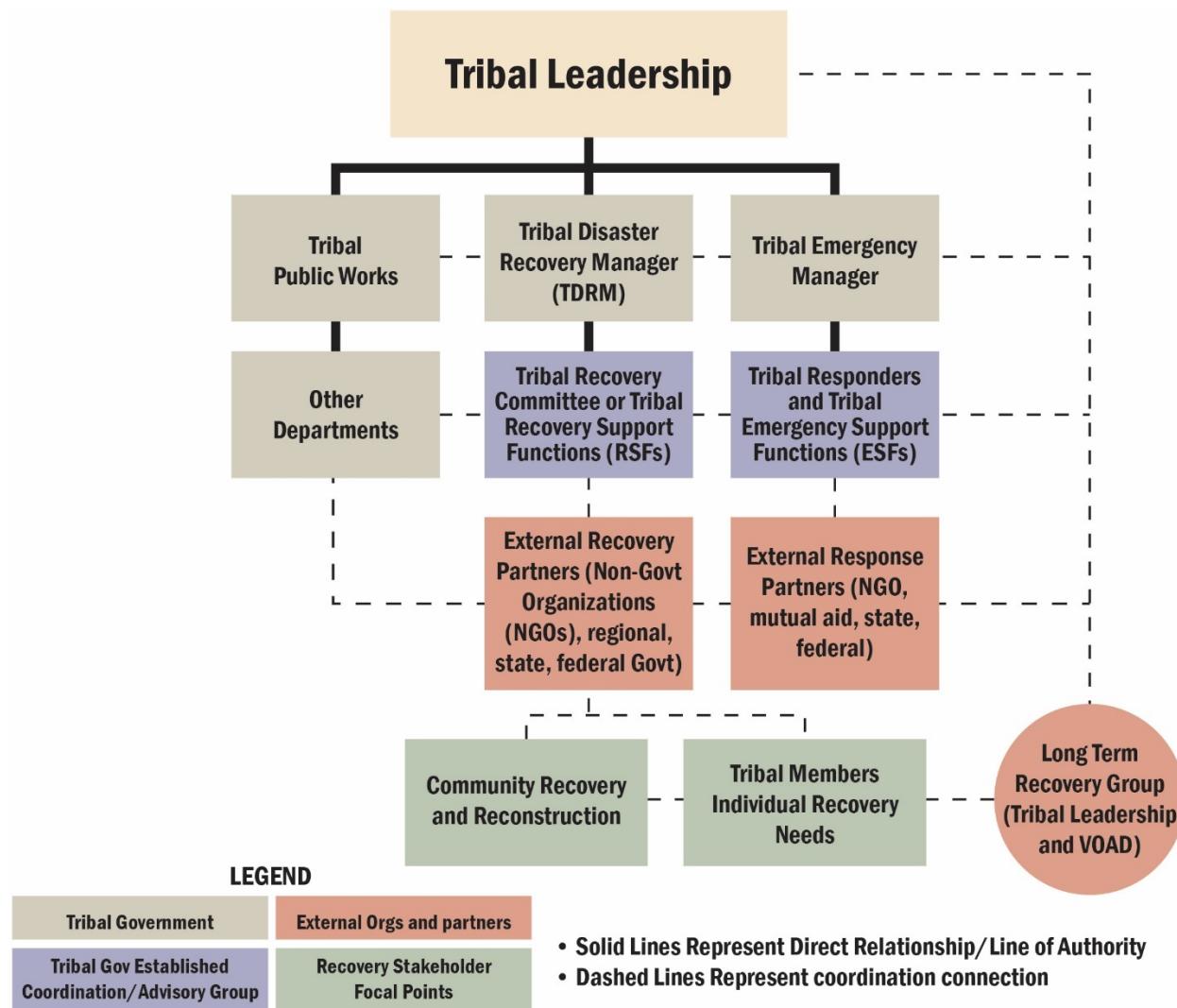
Impacts from disasters will affect tribes differently, varying from one location to another. The ability of any community to recover quickly depends on available resources, expertise, their level of preparedness, and the support received from the community and its organizations. Tribes should first look within their own communities to identify partners to address long-term recovery.

When a disaster strikes, which existing tribal partners can be called on to help ease the burden? Businesses, health care providers, and service organizations can contribute in a variety of ways, such as through donations of supplies and facilities, or access to broader networks outside the immediate community.

- Identify which organizations and agencies within your tribe provide essential services, and therefore should have roles and responsibilities clearly written in the Tribal Recovery Plan to provide emergency/enhanced support to the community and disaster survivors during and after a disaster. Including them in pre-disaster planning conversations is important because they can help you during the planning process to identify risks, resources, and strategies.
- Identify which organizations can provide specialized care after an incident, and how they can be brought into the discussion early-on to better plan for emergencies. Examples may include organizations or agencies that provide healthcare, housing, environmental services, or education, among others.
- Consider that these organizations and agencies may also be impacted by the disaster, with limited ability to perform the duties they've been assigned in the planning phase. What effect would their absence from the recovery process have, and what organizations (possibly external) should be identified to backfill?

An example of a basic relationship diagram is presented in Figure 5. Solid lines indicate direct relationships or lines of authority. Dotted lines indicate internal or external partners. The diagram places tribal leadership above other key stakeholders such as tribal departments, the TDRM, and the tribal emergency manager. Notice the inclusion of Recovery Support Functions (RSFs). Federal recovery operations are organized into RSFs, each supported by multiple federal agencies and partners. For more information about RSFs, visit <https://www.fema.gov/recovery-support-functions>. Note that tribes are encouraged, but not required to form their own tribal RSFs. The federal RSFs are flexible to support tribal recovery needs regardless of how a tribe organizes itself. While ESFs are associated with response activities and are therefore not the focus of this guide, information gathered by response officials can help inform the recovery process.

Figure 5: Sample Relationship Diagram



Try to diagram both how the stakeholders in your tribe are organized as well as the relationships your tribe has with external partners.



Go to the [Workbook Activity \(Tribal Partners\)](#) in Annex A to diagram relationships among tribal partners.



Basic Activity 6: Identify Outside Partnerships to Build Resilience

BASIC
ACTIVITIES

"As soon as I became chairman in 1997, I said we will not be a tribe that does not work with the surrounding community. We have created a lot of relationships. If I have a question, I am not afraid to ask them because I have a personal relationship with neighboring jurisdictions."

Jose Simon, Chairman, Middletown Rancheria

Tribes are encouraged to look within their own communities first to identify the people, resources, and assets that can be used to support recovery, with the goal of facilitating and enhancing self-determination and sovereignty. Supporting the inherent capability of your tribe to organize and use existing resources during recovery from a disaster promotes social and organizational resilience, a pre-cursor for physical resilience. Surrounding communities and external tribal associations can also be partners. Many have already identified themselves as key support organizations for tribes in the aftermath of disasters. Examples include:

- National Congress of American Indians (NCAI)
- United Native American Housing Association (UNAHA)
- American Indian Business Alliance (AIBA)
- National Tribal Emergency Management Council (NTEMC)
- Intertribal Long-Term Recovery Foundation (ITLTRF)
- United South and Eastern Tribes (USET)

Identifying Partners

One key pre-disaster recovery task is to identify potential partners from outside the tribal community. These may include other tribes or tribal organizations, neighboring communities, and those within the federal and state government. A recovery partner may be a person, an agency, or a committee who has been designated to address recovery planning. FEMA has assigned a Federal Disaster Recovery Coordinator (FDRC), Community Planning and Capacity Building (CPCB) Coordinator, and a Regional Tribal Liaison to each of its ten regions in the United States. Building a relationship with your region's FDRC, CPCB Coordinator, and Regional Tribal Liaison will facilitate faster and better-informed federal support of recovery after a disaster. Regional planning organizations or local universities can also help to address recovery planning needs, but it is better to establish relationships with these entities before a disaster strikes. For more information on identifying recovery partners, see Identify Recovery Partners and Establish Recovery Support Roles for External Partners under [Planning Step 1: Form a Collaborative Planning Team](#).

Additionally, many organizations at the federal, state, county, and local levels of government, as well as non-profit, academic, and other NGOs, may offer resources such as planning expertise,

municipal/tribal accounting, volunteer management, and grant writing and management. Establishing relationships with groups who offer these skillsets and resources will help build resilience and prepare tribal communities for future disaster recovery.

FEMA regional offices can also provide technical assistance for a number of activities. Each Regional Office has an FDRC, a Regional Tribal Liaison, mitigation planners, and a CPCB Regional Coordinator, among other staff, who can help tribes work through planning issues before and after a disaster strikes.

As external partnerships are identified, consider which partners might be part of the pre-disaster planning process versus those that might be part of a post-disaster recovery process, or both. Some organizations can help inform critical pre-disaster recovery considerations and could be part of a planning committee, while others may offer resources for post-disaster recovery after the fact but may not have the capacity to contribute to pre-disaster planning efforts.

Case Study: Leveraging Partnerships: Galena, AK

The community of Galena, Alaska was struck by a historic flood in May, 2013 when an ice jam occurred on the Yukon River and pushed flood waters into the community for several days. The damage to the community was significant, impacting an estimated 90% of homes, businesses, and government services, and causing major damage to power, water, sewer, and roads.

Despite the hardships of this natural disaster, the community pulled together, rebuilt, and has continued to thrive. One reason for their swift and direct recovery is an overall sense of cooperation that existed within the community prior to the disaster, enabling them to quickly focus on identifying recovery needs and strategies. The three distinct local entities in the community - the Louden Tribal Council, the City of Galena, and the Galena City School District - worked collaboratively both during the disaster and throughout the recovery to ensure the needs of the community were put before the needs of any of the individual organizations.

According to Mayor Jon Korta, “Tanana Chiefs Conference is a regional social services agency set up to assist the native communities in our region, and they were gathering donations. As they are a native based organization and the majority of the population of Galena is of native descent, they were going to disburse \$1,000 to all of the native people in the community. However, someone in the local native community spoke up and said essentially that we are one community, native and non-native together, and that any donations disbursed based on race would be divisive. And so, the decision was made to disburse relief funds to all residents of the community, regardless of race. This may seem like a small decision, but for me, it cemented the fact that we are in fact all one community and that we were all in this together and that the only way we were going to recover was by working together as one.”

In addition, community unity was evident in the formation of the Galena Recovery Advisory Committee (GRAC) that was organized to help guide the recovery process. As an ad hoc group of about a dozen members, they were selected to ensure representation from all aspects of the community so all voices could be heard. Indeed, to underscore their unity, the group chose the slogan “Better than Ever, Standing Together.” The GRAC and the community met together a number of times to create a vision for what the community wanted to become as it rebuilt. This was not an easy process, as residents were tired and worn out after a long and stressful summer of fervent activity, trying to prepare their homes and businesses for the coming winter. However, a significant portion of the community was willing to engage in the process, due in part to the level of cooperation that existed and the understanding that everyone’s voices mattered and could make a difference in the future of the community. This level of engagement and cooperation was key to laying out a clear vision for their recovery process.

Also consider which external organizations or agencies can support disaster recovery – that is, which federal and state agencies and NGOs could potentially support recovery. In addition to understanding federal and state resources that might be available, partnerships with nearby local jurisdictions are helpful. Consider taking this basic activity a step further and developing mutual aid agreements with nearby local jurisdictions. This is discussed further in [Recommended Activity 3 – Assess Recovery Capacity.](#)

Case Study: Establishing Outside Partnerships – Middletown Rancheria Tribe, California

California droughts have left many tribal communities extremely vulnerable to massive wildfires, such as the Butte and Valley fires in 2015, which affected both tribal nations and surrounding communities. During this regional event, the ITLTRF provided assistance to the Middletown Rancheria tribe during its immediate recovery. The tribal community, led by Tribal Chairman Jose Simon and Vice Chairwoman Sally Peterson, were already assisting fellow tribal members, employees, and their families, as well as the community at large.

The ITLTRF assisted in organizing an ICS team and participated in council meetings, state coordination calls, and community meetings. The ITLTRF's ability to share information on supporting partners and other tribes, both in the recovery phase as well as in the preparedness phase, was important. The ITLTRF also facilitated peer-to-peer networking between the Middletown Rancheria Tribe and other tribes to share information about preparedness programs, which was invaluable, as was information about the decision points to consider whether the tribe requests a declaration from the President, or when the tribe is a subrecipient under a state-requested declaration.



Go to the [Workbook Activity \(External Partnerships\)](#) in Annex A to list outside possible partners to collaborate with your community.



BASIC ACTIVITIES

Basic Activity 7: Commit to Enhancing Resilience through Risk Reduction and Risk Management

Disaster resilience is the ability to adapt to changing conditions and to withstand and rapidly recover from disasters. Physical resilience focuses on hazard risk reduction. Tribal governments can start enhancing their community resilience by evaluating basic risk reduction strategies in flood insurance, mitigation planning, building code standards, and other areas. Below are some basic questions that will help tribes begin to evaluate their overall resiliency.

Increasing the resilience of a community is central to hazard mitigation and recovery planning. While many of the activities within these phases of the disaster lifecycle may vary, the shared objective of increased resilience means that risk reduction/mitigation and recovery planning often inform and reinforce one another.

Documenting risks and securing commitments from across the tribal community to address those risks when disaster strikes will create unity and promote progress. Then, with an understanding of the benefits of hazard mitigation, the community can focus on holistic resilience.

Some questions to consider:

- Does your tribe participate in the National Flood Insurance Program (NFIP)?** If not, should your tribe participate? Do the counties or townships that intersect your tribal land participate? If not, how does that affect your ability to receive assistance from FEMA? Note that flood insurance builds capacity in its own right, but your community's participation in NFIP (if you're in a Special Flood Hazard Area) is a requirement for receiving most FEMA programs.
- Does your tribe have a mitigation plan?** If so, pre-disaster mitigation grants can help fund projects in your plan. Your tribe may also be eligible for HMGP funds after a Presidential Disaster Declaration. If you're unsure, visit <https://www.fema.gov/hazard-mitigation-plan-status> or contact your Regional Tribal Liaison to find out. Note that certain FEMA programs require a mitigation plan, including PA Categories C-G, the Fire Management Assistance Grant Program, and Hazard Mitigation Assistance grants. For guidance on developing a mitigation plan, see [Recommended Activity 6 – Develop a Hazard Mitigation Plan](#).
- Do your building code standards protect against disasters?** Codes and standards can be enhanced to make homes and other structures more resilient to disasters specific to a geographic region. For example, many tribes have successfully addressed structural vulnerabilities to wildland fires in heavily forested areas through use of fire-retardant construction materials. Similarly, damages in flood-prone areas can be mitigated through requirements for higher building elevations or reinforced structural components.

Building Codes

Establishing building codes and/or reviewing existing codes and regulations is a good risk reduction measure. Following recognized building codes to establish minimum safety standards for building construction and repair will aid in reducing initial impacts as well as repetitive damage. Building codes may also provide leverage to your tribe to ensure federally funded projects adhere to your tribe's desires for more resilient development.

Working Together to Revive Native Traditional Methods to Combat Wildfires in California

Tribal members, scientists and the U.S. Forest Service are working together to revive traditional Native American land management practices to contain blazes sparked by drought. Rick Flores, steward of the Amah Mutsun Relearning Program at the University of California Santa Cruz Arboretum, is working with California's Amah Mutsun tribe to spread understanding of these cultural practices that involve conducting controlled burns every year during the damper fall and winter months and clearing out coniferous trees that use a large amount of water. The North Fork Mono tribe has been working with the U.S. Forest Service on similar controlled burns for years and is now receiving more and more requests for consultation about traditional Native American land management practices as they relate to controlling wildfires.

Since California has experienced significant drought in recent years, these practices are being successfully adopted more frequently as the U.S. Forest Service and tribes collaborate on best practices. This is an example of the federal and tribal governments working together and, more importantly, of tribes sharing traditional best practices for disaster mitigation that can be used by other tribes and non-tribal communities or encouraged by the U.S. Forest Service and other organizations.

(This is a summary of an article entitled "Native traditional methods revived to combat California drought, wildfires," published by Al-Jazeera America on June 12, 2015. The article was retrieved from: <http://america.aljazeera.com/articles/2015/6/12/native-knowledge-used-to-combat-calif-drought.html>).



Basic Activity 8: Develop Recovery Financial Management Roles, Policies, and Procedures

Financial management is a critical part of recovery planning in general, and an important consideration for any tribe that has disaster-related expenses that may be eligible for reimbursement. Good financial management ensures that direct costs and costs for contracting related to disasters are reimbursed quickly, and that disruptions to revenue streams are mitigated effectively in the long-term. Note that not all costs will be reimbursable, even with financial management standards that are in compliance with federal and state requirements, but costs that are reimbursable will be reimbursed more quickly with effective financial management practices.

It is critical that your tribe develop financial management roles, policies, and procedures before a disaster strikes. Key to completing this task is understanding that different resource providers have different requirements for cost reimbursement. For example, FEMA PA has specific requirements for what is eligible for reimbursement, as well as documentation requirements. These requirements are outlined in [Annex C](#), and discussed in more detail in the *PA Program and Policy Guidance*: <https://www.fema.gov/public-assistance-policy-and-guidance>.

Financial management roles and responsibilities associated with short term recovery include, but are not necessarily limited to:

- Assessing and justifying/documenting short-term recovery needs and actions (e.g., debris removal);¹
- Seeking, applying for, and managing grants and other financial resources;
- Documenting material and labor costs and their justification;
- Issuing and managing purchases and contracts, and where feasible, having contracts already in place; and
- Updating policies and procedures to comply with federal and/or state requirements for reimbursement.

These responsibilities may fall under the purview of an emergency manager but could also be delegated to chief financial officers or other tribal departments. The updating of financial management policies and procedures to comply with federal regulations, for example, may require the approval of tribal elected officials.

¹ For more information about conducting PDAs, visit <https://www.fema.gov/media-library/assets/documents/109040>. For more information about the tribal declaration process, visit <https://www.fema.gov/tribal-declarations-pilot-guidance>.

Roles and responsibilities for long-term financial management may include, but are not necessarily limited to:

- Assessing potential (or actual) impacts to revenue streams;
- Updating policies to encourage revenue generation (e.g., changing the structure of taxes and/or fees);
- Seeking, applying for, and managing grants and other financial resources (See [Annex D](#) for general information about FEMA resources for which a tribe may be eligible); and
- Ensuring compliance with federal (or state, or other) grant requirements.

These responsibilities may fall under many different tribal departments, which often include public works, housing, or other functions that seek and manage grants. After a disaster, hiring or designating a TDRM with the expertise necessary to manage long-term financial management is recommended.

Similar to addressing short-term financial management policies, the updating of policies and procedures associated with long-term financial management, such as changing procurement procedures and tax and fee structures, among others, may require the approval of tribal elected officials. All of these considerations are discussed in more detail in [Annex C](#).

Checklist of Basic Planning Activities

Figure 6: Checklist of Basic Planning Activities



BASIC ACTIVITIES	
1. Designate a Point Person and Define an Organizational Structure for Recovery Planning	<input type="checkbox"/>
2. Understand What Resources Are Available	<input type="checkbox"/>
3. Develop an Inclusive Public Engagement Strategy	<input type="checkbox"/>
4. Identify Vital Community Sites and Assets	<input type="checkbox"/>
5. Identify Existing Tribal Recovery Partners	<input type="checkbox"/>
6. Identify Outside Partnerships to Build Resilience	<input type="checkbox"/>
7. Commit to Enhancing Resilience through Risk Reduction and Risk Management	<input type="checkbox"/>
8. Develop Recovery Financial Management Recovery Roles, Policies, and Procedures	<input type="checkbox"/>



Part 2: Recommended Recovery Planning Activities

The Recommended Activities in this section typically require a greater investment of time and resources than the Basic Activities presented in the previous section. The outcome of these actions is greater preparedness for post-disaster recovery. Tribal communities who complete the Recommended Activities will have accomplished some of the basic elements that can contribute to a formal pre-disaster recovery plan.



Recommended Activity 1: Build on Existing Plans and Initiatives

Establishing common objectives through synchronized plans and regulations, including mitigation plans, comprehensive plans, land use plans, capital improvement plans, radiological preparedness plans, and flood or wildfire prevention plans before a disaster will result in greater recovery progress by avoiding conflicting priorities following a disaster. Resolving such conflicts also ensures recovery funds are maximized and used effectively. Linking recovery planning to your tribe's existing plans will help inform future planning efforts, capitalize on past efforts, and contribute to a broad and holistic approach. Recovery considerations and activities can, in turn, inform future revisions to other community plans. In addition to using the plans listed earlier in this section, tribes that are part of the Tribal Homeland Security Grant Program and who have completed or who are in the process of completing a Threat and Hazard Identification and Risk Assessment (THIRA) and Stakeholder Preparedness Review (SPR) can use that information to inform recovery plans (e.g., aligning recovery plan goals to the estimated impacts and targets in the THIRA).

- More information about the THIRA can be found here: <https://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>
- More information about the SPR can be found here: <https://www.fema.gov/stakeholder-preparedness-review>

When rebuilding post-disaster, your tribe should consult their existing plans, regulations, and building codes to determine if they need to be updated to promote resilience, and to ensure recovery efforts are in line with community goals and regulations. Plans and regulations also guide decisions in determining which structures, facilities, or services receive priority for rebuilding when funds are limited. Decisions on authorizing rebuilding programs are more difficult when plans are not in sync, such as when regulations for building in a floodplain conflict with adopted land use plans.



Go to the [Workbook Activity \(Existing Plans\)](#) in Annex A to list existing plans that your community has or could benefit from developing to guide recovery.



Recommended Activity 2: Conduct a Vulnerability Analysis

In the preceding section, [Basic Activity 4](#) discussed how it can be helpful to identify and inventory vital community resources and assets. As additional funding and capabilities are made available, it is helpful to examine in greater detail how vulnerable your community assets are to different types of threats and develop strategies for their protection. Tribal communities who have important natural and cultural sites should understand how such sites are vulnerable, for example, to landslides, wildfires, or flooding.

Flood Risks

Flooding is one of the most common and costly disaster events that can affect a community. Flood risk can also change over time because of new building and development, weather patterns, and other factors. FEMA works with federal, state, territorial, tribal, and local partners across the nation to identify flood risk and help reduce that risk through the Risk Mapping, Assessment, and Planning (Risk MAP) program.

Risk MAP provides high quality flood maps, information, and tools that can be used to enhance a tribe's mitigation plans and take action to better protect their citizens. Through more precise flood mapping products, risk assessment tools, and planning and outreach support, Risk MAP strengthens local ability to make informed decisions about reducing risk.

Each Risk MAP flood risk project is tailored to the needs of each community and may involve different products and services. Learn more about the goals and long-term vision of Risk MAP, how the program works at <http://www.fema.gov/risk-mapping-assessment-and-planning-risk-map>, or contact your Regional Tribal Liaison for more information. Tribes can take part in helping to identify a potential need for a Risk MAP flood risk project by submitting a mapping need request for a geographic area in FEMA's Coordinated Needs Management Strategy (CNMS) tool: <https://msc.fema.gov/cnms>.

Tribes with existing comprehensive plans, housing plans, or hazard mitigation plans may already have an understanding of the community's vulnerabilities and risks, as well as a strategy on how to protect vulnerable and culturally significant locations. If these plans have not been developed, a vulnerability analysis can be a building block for planning.

A vulnerability analysis can identify vulnerable populations, cultural sites, and critical infrastructure such as communications networks, etc. in the community which may be especially prone to disaster impacts, and recommend strategies for protection. Review the following resources for more information:

- Tribal Mitigation Plan Review Guide: <http://www.fema.gov/media-library/assets/documents/18355>
- Integrating Historic Property and Cultural Resource Considerations into Hazard Mitigation Planning: <http://www.fema.gov/media-library/assets/documents/4317>

In addition to assessing the vulnerability of their critical community resources and services, tribes should take time to assess the unique vulnerabilities of their tribal community members. Tribes can anticipate some of the unique needs tribal members may have after a disaster by reviewing the different types of personal property that are considered essential for everyday living within your tribe (e.g., what cultural and spiritual items do tribal members have; what tools or essential items would be required for maintaining certain lifestyles, etc.). By identifying these items, a tribe can be prepared for the particular risks each tribal member may face in the event of a disaster.

Additionally, a tribe can compare those items with the standard line item list FEMA uses across all federally declared disasters as part of the Other Needs Assistance (ONA) program. To be prepared for a federally declared disaster, tribes should fill out the ONA Administrative Option Selection Form, which gives tribes the ability to add personal property line items that FEMA will review, approve, and reimburse (with a 25% cost share from your tribe) when the Individuals and Households Program (IHP) is authorized for a tribal disaster. The ONA Administrative Option Selection Form can also be used to adjust the amount of assistance that will be available to tribal members under certain ONA categories (e.g., transportation assistance, childcare assistance, etc.).

The form is available at: <http://www.fema.gov/media-library/assets/documents/31206>.

Case Study: Inventory of Critical Facilities

In the summer of 2013, the To'hajiilee community in New Mexico (part of the Navajo Nation) were overcome by flash flooding following a severe thunderstorm. During the incident, members of the Navajo Nation worked to strengthen a dam in hopes of stopping what they believed could become a major source of flood damage. Unfortunately, the community was unaware of the existence of three additional earthen dams in the same community that were even more vulnerable to the rising waters than the one they were attempting to strengthen. Built years prior with no records of construction and currently hidden because of overgrowth, the residents had no advanced warning of their condition or the pending danger. Faced with limited resources to address the older structures on short notice, these earthen dams eventually broke, which caused major flooding that damaged homes and vital public facilities, including a school and the fire department.

It is important to identify vital facilities, particularly community structures or facilities for vulnerable populations, and document their condition or need for protection against disaster impacts. It is equally important to identify critical infrastructure that may protect those vital facilities. In some cases, like this one, infrastructure such as earthen dams may not be clearly visible and/or records of older infrastructure may not exist. Without the presence of construction records or current documentation of condition, it may be helpful to interview elders or other individuals in the community knowledgeable on the history of facilities and structures. Identification of vital facilities and critical infrastructure before a disaster will help to address vulnerabilities that may cause major problems after a disaster.



Recommended Activity 3: Assess Recovery Capacity

Another activity that tribes may wish to conduct as part of pre-disaster recovery planning is an in-depth assessment of their resources and organizational capacity to manage and coordinate recovery. This step builds upon ideas presented in [Basic Activity 2 – Understand What Resources are Available](#), [Basic Activity 5 - Identify Existing Tribal Recovery Partners](#), and [Basic Activity 6 – Build Outside Partnerships](#). Consider the following:

- Who are the people in leadership and staff positions, and what is their capacity to take on additional or supplemental roles in disaster recovery? If there is no capacity to take on additional roles in disaster recovery, consider external partners to help fill this capacity gap. It might be helpful to revisit [Basic Activity 6 – Build Outside Partnerships](#).
- Which organizations and services within the community might be called upon to assist in community recovery? These may range from assistance in grant writing and grant funds management to coordination of community outreach, volunteer management, and resource procurement. Again, if these organizations and services do not exist, consider external partners to fill this gap. It might be helpful to revisit [Basic Activity 6 – Build Outside Partnerships](#).
- Using [Recommended Activity 2 – Conduct a Vulnerability Analysis](#), what are the characteristics of the tribal economy, including employment and revenue generators, and how might they be vulnerable after a disaster? What support would be needed to address impacts to these things after a disaster?

Use the assessment survey in Table 1 to help identify your tribe's capacity in the areas of staffing, communication and outreach, and financial capacity, and discuss the results with tribal leadership. By answering the assessment questions, your tribe will be able to determine whether they have the resources needed to manage a disaster. If not, your tribe can leverage or build its outside partnerships, pursue training, and/or develop mutual aid agreements to help build recovery capacity. Mutual aid agreements are a tool that can be used to address capacity gaps. They specify the sharing of emergency service assistance after an incident and could be used to facilitate surge capacity immediately after a disaster. Establishing mutual aid agreements is a complex process that at minimum requires legal review and approval by tribal leadership. However, the benefits are two-fold: if overwhelmed, tribes can get the emergency services they need from another source, and the agreement ensures your tribe can be reimbursed by FEMA or the state (in the event of a declaration) to cover the costs of those services. More information about how to develop a mutual aid agreement can be found in the National Incident Management System (NIMS) Guideline for Resource Management and Mutual Aid, available here: <https://www.fema.gov/resource-management-mutual-aid>.

Table 1: Capacity Assessment Survey

Staffing	<p>What staffing resources are available to assist with the increased workload associated with recovery activities?</p>
	<p>Do current staff have the subject matter expertise necessary to undertake recovery activities, develop new programs, and organize complex long-term projects?</p>
	<p>Do all departments in your tribal government fully understand their roles in recovery and development?</p>
	<p>What community leadership is available to lead recovery efforts, both within your tribal government and among external organizations? What tools or processes does your tribal government have to support recovery planning (e.g., a hazard mitigation plan that can be leveraged)?</p>
	<p>If additional staffing is needed, what would it take to get it? How long would it take?</p>
	<p>What organizational structures already exist within partner organizations to manage recovery? Are there long-term recovery organizations or committees that can coordinate NGOs who are providing support to individuals, managing volunteers and donations, or contributing other services?</p>
Communication and Outreach	<p>What tools does your tribal government have to involve the community in recovery planning?</p>
	<p>How can your larger tribal government be used to help educate community members about the importance of recovery planning and preparedness?</p>
	<p>Does your tribal leadership have the means to communicate with community members after a disaster and to coordinate recovery activities?</p>
	<p>What relationships does your tribal community have with organizations that can assist with communication related to recovery planning and implementation?</p>

Financial Capability	<p>What current tribal government and NGO financial resources are available to use for potential recovery activities?</p>
	<p>What emergency communications and work technology systems are in place to facilitate intra-tribal governmental operations? Are contingency plans available for continuity of the operation of your tribal government and/or NGOs over an extended period of time? Specifically, are mechanisms in place for emergency funding and procurement after a disaster?</p>
	<p>Are there financial reserves available to address potential needs? What is the ability of your tribal government and supporting nonprofit organizations to apply for grants, establish lines of credit, or secure other funds for risk mitigation or recovery?</p>
	<p>Is the accounting and management infrastructure in place to properly account for grant funds? What volume of fund administration could be managed after a disaster?</p>
	<p>What is the ability of your tribe to prepare competitive grant applications?</p>



Recommended Activity 4: Establish Recovery Priorities

It is not uncommon for catastrophic disasters to place competing demands on multiple segments of a community. Loss of housing or healthcare facilities is immediately detrimental to any community. The effects of such losses are compounded when infrastructure damage occurs to critical roads, bridges, and utilities that serve these same areas.

Decisions must be made in the short-term which critically affect not only the future health and safety of the population, but the region's long-term environment and economic stability. Even in disasters with lesser impacts, tribal leaders can be faced with difficult decisions on whether to repair or rebuild when resources are scarce.

Match your vulnerabilities to the resources and partnerships at your disposal. Given what you understand about your vital community assets and the resources available to you, what are the priorities in your community for enhancing resilience either pre- or post-disaster? These may include:

- Protecting homes
- Protecting culturally significant sites
- Quickly restoring essential services
- Fostering sustainable development
- Building equity among community programs
- Enhancing community capacity
- Enacting mitigation measures (see [Recommended Activity 6: Develop a Hazard Mitigation Plan](#))

Note that identifying tribal priorities is the first step to developing goals, objectives, and implementation steps that would be part of a pre-disaster recovery plan.



Go to the [Workbook Activity \(Priorities\)](#) in Annex A to list recovery priorities for your community.

Case Study: Identifying Priorities in Addressing Future Threats

Residing on the Olympic Peninsula in northwestern Washington, the Jamestown S'Klallam Tribe is concerned about a range of potential disaster impacts resulting from sea level rise. In addition to environmental and economic impacts to salmon fishing and the threat to shellfish gathering along local beaches, effects of climate change threaten local transportation infrastructure and public safety. With close to 300 members living in the area, the threat of flooding on roads and buildings by higher ocean waters is real and has been experienced regularly in recent years. Coastal flooding annually during what is known as the King Tide, which occurs naturally, is predictable and not associated with climate change. However, it is already affecting access roads and residential buildings in the area. Future sea level rise is expected to raise the water table, affecting water quality and septic systems and potentially closing the main access road to the community, preventing emergency service access or limiting residential travel to outside areas. Higher risk of wildfire is also anticipated from increasing heat waves and drought impacts to surrounding forests.

To better understand the potential disaster challenges they face, and to enhance the continued resiliency of their community, the tribe prepared a Climate Vulnerability Assessment and Adaptation Plan. To develop the plan, tribal leadership worked with the United States Environmental Protection Agency (EPA), the National Oceanic and Atmospheric Administration (NOAA), the University of Washington, and others to identify their priorities and strategies for dealing with multiple impacts with limited resources. As part of their adaptation strategy, the tribe developed this four-step strategy to help guide future climate adaptation efforts:

- Prioritize future implementation actions and identify responsible parties for implementation;
- Build community support for preparedness;
- Incorporate preparedness efforts into tribal government operations and policies; and
- Collaborate with surrounding communities, the county, and partners to monitor key changes.

By joining forces, each partner has increased their resiliency more than they could alone.

While the tribe recognizes that it is not responsible for climate change, the Jamestown S'Klallam Tribe is taking responsibility for their community's health and well-being where it can. Evaluating community strengths, anticipating future impacts, thinking about what is important to the community, preparing for challenges ahead: these are the things that will help to keep the Jamestown S'Klallam community resilient. The plan is available at: https://jamestowntribe.org/wp-content/uploads/2018/09/3-JSK_Climate_Change_Adaptation_Report_Final_Aug_2013s.pdf.

"Preparing for, or adapting to, the impacts of climate change is not an outcome, but a process." – Jamestown S'Klallam Tribal Climate Change Plan



Recommended Activity 5: Adopt a Recovery Ordinance or Resolution

After a disaster, tribal officials will face numerous decisions that need to be made within short timeframes. For the good of your tribe, leadership will need to make these time-sensitive decisions quickly – decisions that might otherwise involve substantial tribal member engagement. For this reason, it can be helpful to pass a law, known as a recovery ordinance, which permits tribal officials to make urgent recovery decisions within short periods of time (15 to 30-day increments) under specific circumstances (extreme disasters).

A recovery ordinance establishes the authority by which individuals or tribal officials can assume responsibility for recovery, identifies the roles they play, and lays out how the recovery process is structured and communicated in the event of a disaster. This is important to tribal members as well as outside agencies who are coordinating services and resources. If passing a recovery ordinance is not possible, a more basic recovery resolution could be crafted and adopted prior to any incident to establish a common understanding of the importance of pre-disaster planning.

The American Planning Association (APA) has developed a sample recovery ordinance that they call the “Model Pre-Event Recovery Ordinance,” that may be used or adapted to suit an individual tribe’s needs. APA strongly recommends writing the recovery ordinance during non-disaster periods. While it can also be created post-disaster, creating it pre-disaster provides tribal leadership and the community with enough time to discuss its provisions as well as the conditions that must be met for it to be effective. Then, when a disaster does strike, tribal elected officials can simply vote to authorize its use. Some key points from the APA²:

1. The Model Pre-Event Recovery Ordinance creates overall guidance for local post-disaster recovery facilitation and intervention on behalf of planned outcomes.
2. The ordinance authorizes a recovery management organization designed for cooperative action with federal, state, and local emergency management and partner entities.
3. The ordinance guides preparation of short-term and long-term recovery plans in coordination with local emergency management and community partner organizations.³
4. Most importantly, the ordinance establishes emergency powers for extraordinary actions facilitating short-term recovery, intervening in matters affecting private property and protecting public safety, and ensuring desired long-term recovery outcomes.

Guidance for developing a recovery ordinance may be found by visiting:

<https://www.planning.org/publications/document/9139474/>.

² <https://www.planning.org/research/postdisaster/>

³ Keep in mind: As the disaster evolves from days to weeks, the presence of those with immediate emergency management skills should diminish in favor of those with long-term recovery skills sets such as: Long-term Planning, Community and Economic Development, Infrastructure, Municipal Finance and Accounting, Volunteer Management, and Fundraising and Grants Management.



Recommended Activity 6: Develop/Update the Hazard Mitigation Plan

State, tribal, and local governments engage in hazard mitigation planning to identify the risks and vulnerabilities associated with natural disasters and develop long-term strategies for protecting people and property from future hazard events. Mitigation plans are key to breaking the cycle of disaster damage, reconstruction, and repeated damage. Vulnerabilities may include significant cultural sites that are in proximity to a river known to flood or housing in poor condition that may not be able to withstand impacts from a severe storm. The plan then goes on to describe key actions that, if taken by the community, will lessen or “mitigate” impacts from future hazards. Examples of these activities may include deciding to build a structure outside of the floodplain, relocating vulnerable structures outside of the Special Flood Hazard Area, and building infrastructure to protect vulnerable cultural sites or improving housing so it can withstand severe weather impacts. Note that many of the previous basic and recommended activities in this guide, once completed, can be part of a hazard mitigation plan, just as an existing mitigation plan can inform the activities in this guide.

The Mitigation Planning Process

The mitigation planning process is similar to the recovery planning process in that it involves organizing and assessing before developing and implementing a plan. The mitigation planning process steps are:

- Organize the Planning Process and Resources
- Assess the Risks
- Develop a Mitigation Strategy
- Adopt and Implement the Plan

For more information about the mitigation planning process, visit <https://www.fema.gov/hazard-mitigation-planning-process>.

The Importance of Mitigation Plans

Mitigation planning involves eliminating long-term risk to human life, the environment, and property from hazards. Developing a mitigation plan allows tribes to seek federal assistance to implement mitigation actions. Tribes are encouraged to undertake mitigation planning, which can be done as part of the pre-disaster recovery planning process. For more information about mitigation planning, FEMA offers a Tribal Multi-Hazard Mitigation Guidance document which can be downloaded using the link below.

SRIA amended the Stafford Act to provide federally recognized Indian Tribal governments with the option to request a Presidential emergency or major disaster declaration independent of a state. If the President declares a major disaster for a tribal government that does not have a FEMA-approved mitigation plan, only IA and/or PA (not including PA Permanent Work) emergency work can be authorized. Having a FEMA-approved tribal mitigation plan prior to a disaster ensures the tribal government can be considered for hazard mitigation in addition to IA and PA disaster recovery funding, as well as Fire Management Assistance Grants, Flood Mitigation Assistance Grants, Pre-Disaster Mitigation Grants, and HMGP.

- For information on developing a tribal hazard mitigation plan contact the FEMA Regional Tribal Liaison for your Region: <https://www.fema.gov/tribal-contacts>.
- Visit <https://www.fema.gov/media-library/assets/documents/18355> for additional Tribal Hazard Mitigation Planning Guidance.
- Visit <https://www.fema.gov/media-library/assets/documents/128307> for guidance on tribal declarations.

Case Study: Leveraging Resources to Develop a Hazard Mitigation Plan

The Salt River Pima-Maricopa Indian Community (SRPMIC) Emergency Management Program uses 1) preparedness and mitigation principles that are the nationally recognized standard and 2) tribal and non-tribal partnerships to build and maintain preparedness capabilities.

The process of developing a functional plan that will get approved by FEMA can be time consuming and complicated without knowledgeable, in-house resources at hand. Resources dedicated to the SRPMIC program are very limited. The staff consists of one person and funding to support the program is extremely limited. At the same time, the expectation from the community has been that they have a robust and extremely effective emergency management program which meets all industry standards, including a hazard mitigation plan. In order to meet this expectation, the leveraging of partnerships has been a great benefit to the program.

For example, because of the partnership and the great relationship between SRPMIC and the County Emergency Management Office, the county included SRPMIC in a grant to hire a consultant to develop a mitigation plan for all cities and towns in Maricopa County (22 cities and 4.5 million people). The grant was awarded and SRPMIC participated in the nine-month process to develop the Mitigation Plan with the other cities and towns, with the Consultant doing most of the work. SRPMIC simply had to attend the planning meetings, provide data and information specific to SRPMIC, and review and provide feedback on the draft plan.

The end result was a FEMA-approved plan, based on FEMA principles, developed in partnership between SRPMIC and their non-tribal emergency preparedness partners. By implementing effective partner engagement and using FEMA guidelines, the plan was accomplished.

Checklist of Recommended Planning Activities

Figure 7: Checklist of Recommended Planning Activities



RECOMMENDED ACTIVITIES

RECOMMENDED ACTIVITIES	
1. Build on Existing Plans and Initiatives	<input type="checkbox"/>
2. Conduct a Vulnerability Analysis	<input type="checkbox"/>
3. Assess Recovery Capacity	<input type="checkbox"/>
4. Establish Recovery Priorities	<input type="checkbox"/>
5. Adopt a Recovery Ordinance or Resolution	<input type="checkbox"/>
6. Develop/Update the Hazard Mitigation Plan	<input type="checkbox"/>

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Part 3: Developing a Recovery Plan

Previous sections have presented examples of what tribal communities can do to create greater resilience or capacity with limited resources. Many of the activities form the basis of a more formal recovery plan. Should a tribe have the ability to undertake a formal recovery plan, this section provides guidance on a formal planning process. These activities are most applicable to tribes with the staffing and resources to dedicate to a deliberative planning process. These steps align with the six-step process described in Comprehensive Preparedness Guide 101 - Developing and Maintaining Emergency Operations Plans.⁴

- Planning Step 1 – Form a Collaborative Planning Team
- Planning Step 2 – Understand the Situation
- Planning Step 3 – Determine Goals and Objectives
- Planning Step 4 – Develop the Plan
- Planning Step 5 – Prepare, Review, and Approve the Plan
- Planning Step 6 – Implement and Maintain the Plan

For each planning step, a list of recommended and/or ongoing actions is provided. Note that since every tribal community and their respective circumstances is unique, the amount of time and effort it takes to work through each step will vary.

⁴ <https://www.fema.gov/media-library/assets/documents/25975>



Planning Step 1 – Form a Collaborative Planning Team

Experience and lessons learned indicate that planning is best performed by a team. Using a team or group approach helps organizations define the role they will play in recovery. Basic Activities 6, 7, and 8 in this guide are intended to help tribes identify key recovery stakeholders, both internal and external, that may be part of a planning team. Tribal governments should consider forming a core planning team of people to write a recovery plan with the input of key partners. Core planning team participants may include:

- Tribal leadership;
- Tribal government agency or department representatives;
- People with expertise in fields such as community planning, economic development, infrastructure, historic and/or cultural preservation, hazard mitigation, and emergency management;
- Businesses and agricultural interests;
- Grant writers;
- Health and mental health experts;
- Housing experts; and,
- Community organization and NGO representatives.

The core planning team will set the expectations for involvement and define the contributions that will be expected during the planning process. They will likely involve other partners as part of a wider collaborative planning team in various stages of the planning process, to make the plan more comprehensive and inclusive. Collaborative planning team partners may provide expertise or other assistance targeted to specific recovery needs or capability gaps identified by the core planning team. Additionally, collaborative planning team members may form subject-specific subcommittees that focus on specific needs. For example, if the core planning team identifies cultural preservation as an important recovery need, a subcommittee made up of collaborative planning team members, including educators, curators, artists, linguists, historians, etc. may be formed to focus specifically on cultural preservation and present their findings and ideas to the core planning team. Collaborative planning partners may include:

- Tribal community members;
- Tribal associations such as the National Native American Bar Association (NNABA), UNAHA, AIBA, NTEMC, and ITLTRF, among others;
- Other tribal nations;
- Colleges/universities;
- Neighboring communities and governments;
- Regional planning organizations;
- Community and youth groups;
- Natural and cultural resources partners (e.g., museum curators, artists);
- Tribal organizations or advocacy groups at the national, state, or county level;
- People with community ties that can help with outreach; and,
- People with technical knowledge associated with key community sectors.

The core planning team should coordinate to identify external partners that may either support the planning process or may be a critical resource to fill capability gaps during a recovery event. The team should establish a formal process to engage their external partners to ensure the expertise and resources of the partners are incorporated throughout the plan. Other key partners may be identified and engaged, as appropriate, as the planning team begins to identify their tribe's risks and capability gaps. As new risks emerge, the planning team should maintain the flexibility needed to reevaluate the external partners list and ask: "what's missing?" or "who should we engage?"

Identify Recovery Partners

Tribal governments and community leaders are encouraged to coordinate with federal, regional, state, and local recovery partners to ensure effective post-disaster recovery operations.

Identify which agencies and organizations have the expertise or resources to support tribal recovery planning, as well as those that could facilitate recovery activities after a disaster or that could fill capability gaps. Communication and coordination with agencies and organizations pre-disaster will help ensure they are prepared to partner and coordinate with your tribe more quickly after a disaster. Review the following recommended actions to enhance communication and coordination:

- Develop relationships with your regional FDRC, CPCB Coordinator, and Regional Tribal Liaison so that they can contribute to the planning process and have an understanding of tribal priorities after a disaster strikes. It is also recommended that tribes review the NDRF and Recovery Federal Interagency Operational Plan (FIOP) to understand how federal recovery partners are organized and work with one another. The NDRF may be found here: <https://www.fema.gov/national-disaster-recovery-framework>, and the FIOP may be found here: <https://www.fema.gov/federal-interagency-operational-plans>.
- Develop external partnerships (partnerships with organizations, associations, and agencies not already part of the core planning team) that facilitate the sharing of resources and can help compensate for tribal government capability deficits.
- Determine how government or non-governmental agencies will connect and coordinate with tribal recovery efforts, with an emphasis on key sectors (e.g., housing, healthcare, social services, businesses) and other community needs that will need to be addressed post-disaster.
- Seek to understand the relationships with state and county agencies and between federal and state agencies. Some federal resources may be funneled through state partners and there may be opportunities to leverage resources.



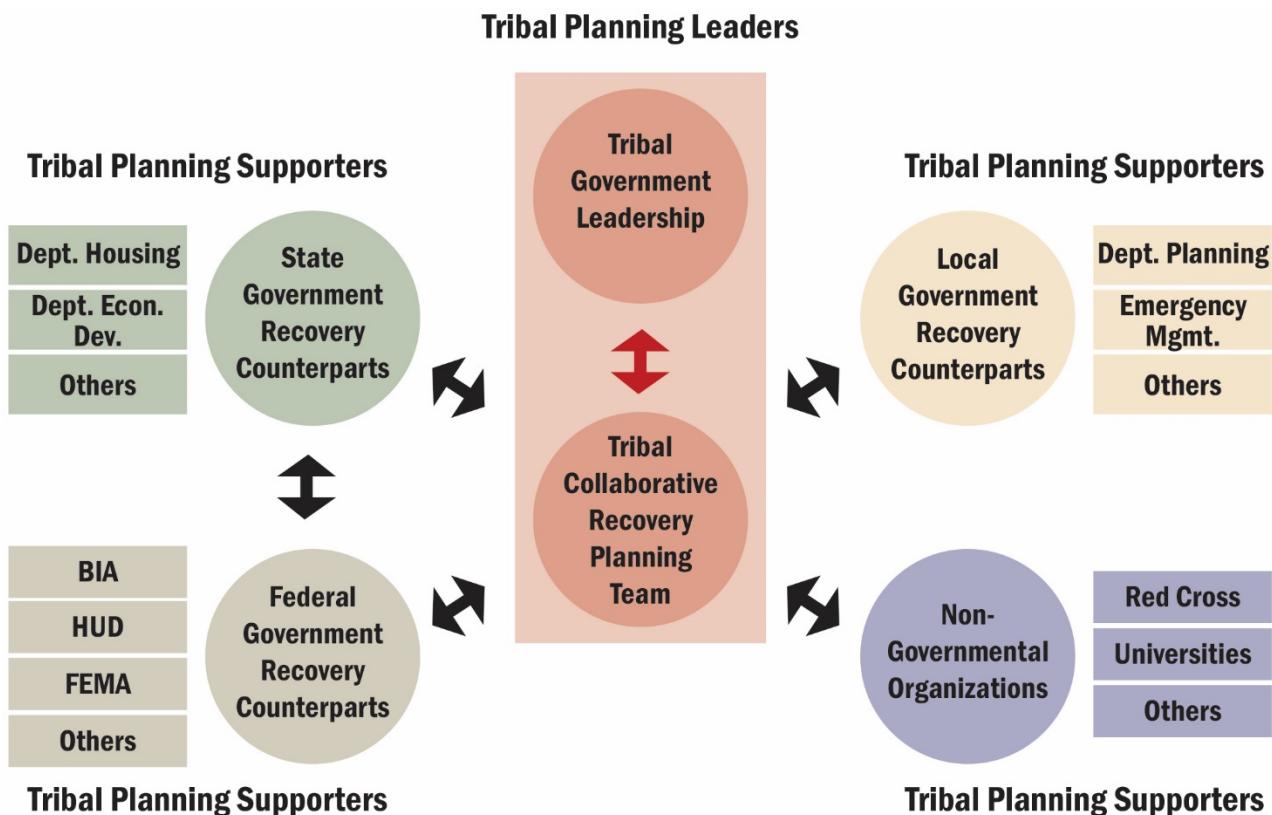
Revisit [Basic Activity \(Tribal Partners\)](#) in Annex A to confirm partners.

Communication Mapping

The core planning team can identify additional external partners by using a technique called community mapping. Community mapping is a method of identifying existing and potential partners, identifying and defining relationships, and evaluating and strengthening lines of communication. Tribal governments can use the Community Mapping Tool found in the Long-Term Community Recovery Toolbox: https://www.fema.gov/media-library-data/20130726-1841-25045-2720/ltrc_toolbox_508compliant_062112.pdf.

This tool can help the collaborative planning team identify and map lines of communication and techniques for gathering and sharing information and resources. The figure below shows an example of a communication map that highlights the importance of tribal partners as the leaders of the recovery effort, while other agencies and organizations provide support.

Figure 8: Sample Communication Mapping Diagram



Core Capabilities

Earlier sections under Planning Step 1 encourage tribes to identify capability gaps that may exist. In addition to communication mapping, also consider the capabilities of the partners identified. FEMA identifies eight recovery “core capabilities” necessary to achieve a full recovery after a disaster. These include planning, public information and warning, operational coordination, health and social services, economic, housing, infrastructure systems, and natural and cultural resources. The workbook activity “[Planning Step 1: Core Capabilities](#)” in the Workbook Activities section of this guide further defines each of the core capabilities and describes some of the characteristics of partners that may be able to support them. You may also find more information

about core capabilities by visiting <https://www.fema.gov/mission-areas> and reviewing the recovery mission area section of the page. Note that FEMA's definition of what recovery core capabilities are may not exactly align to the capabilities that a tribe considers essential for recovery. While using the FEMA recovery core capabilities is generally recommended, they can also serve as a starting point for a tribe to identify more specific, additional, or different recovery capabilities important to them.



Revisit the list of partners, then go to the [Core Capabilities](#) section of the Workbook Activities in Annex A and list which partners best support each core capability.

Table 2: Planning Step 1 Recommended Actions

Planning Step 1: Recommended Actions	ONE-TIME ACTIONS
	Include stakeholders with community ties who can help with outreach, as well as those with technical knowledge associated with addressing various capabilities.
	Identify key organizations and community leaders that may serve as planning partners.
	Make sure the identification of team members is an inclusive process.
	Define the area to be covered by recovery planning activities, and how the planning process will relate to adjoining areas.
	Determine if existing planning documents can be leveraged to record pre-disaster recovery planning information.
	ONGOING ACTIONS
	Develop partnerships with NGOs and define their capabilities and roles in support of disaster recovery.
	Establish agreements with recovery partners to ensure that their roles are understood.

Determine which governmental agencies (including federal, state, and local) have a role in supporting recovery activities.

Identify how external agencies will align with the tribal recovery organizational structure and process.

Establish agreements with agencies to fulfill the roles outlined in the pre-disaster recovery plan.



Planning Step 2 - Understand the Situation

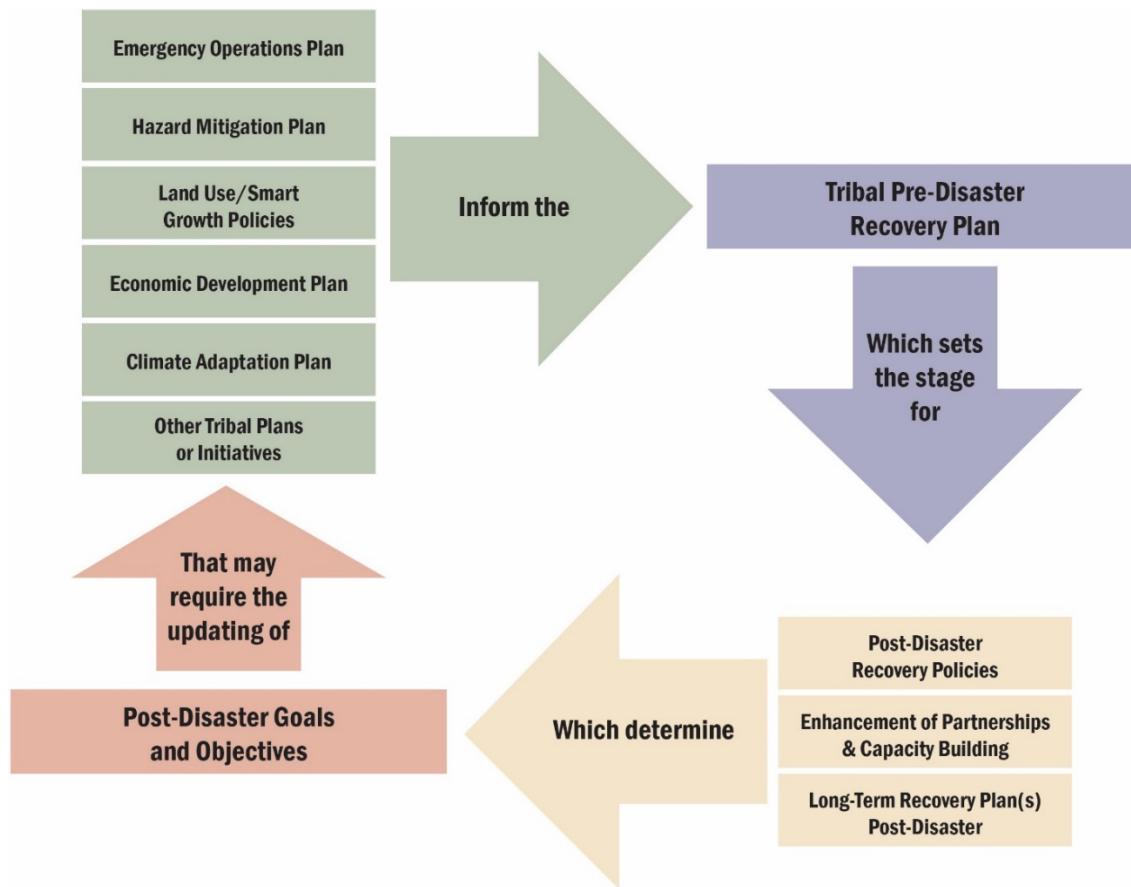
In order to develop a pre-disaster recovery plan, it is important to understand and analyze current tribal codes, statutes, and/or charters related to purchasing and contracting, building, housing, the environment, historic and/or cultural preservation, etc. In addition, it is important to understand your tribe's community goals, known vulnerabilities, and capacity to manage the recovery process. For this analysis, the planning team should identify other tribal planning documents and review them for situational awareness, potential partners and resources, and to see how the pre-disaster recovery plan can align with tribal priorities in general. Other tribal planning documents can provide insight into the capabilities (and capability gaps) of your tribe.

It is beneficial to review existing plans, policies, and initiatives – such as comprehensive plans – as part of the planning process (see Figure 9). Elements of existing plans, such as hazard mitigation plans, may be incorporated into a pre-disaster recovery plan, building upon existing long-term goals and priorities. Conversely, the pre-disaster recovery plan, once implemented in a post-disaster setting, may prompt the need to update existing plans.

Understanding the linkages between the recovery plans and existing plans will:

- Foster more effective integration of partners and their activities;
- Help leverage available resources;
- Foster the integration of other tribal government agencies in the pre-disaster recovery planning process and post-disaster implementation processes; and,
- Reduce duplication of effort.

In addition to reviewing existing plans, policies, and initiatives, it is also important to understand who is responsible for maintaining certain critical services. Engage tribal partners to better understand which federal, state, tribal, county, or township agencies are legally responsible for the care and maintenance of critical services, facilities, and infrastructure and under which circumstances. Understanding who is responsible for protecting or restoring critical services is an important part of establishing an efficient recovery process. For example, if a county road runs through a tribe's land, are there agreements between the county and your tribe on care and maintenance that would be important for efficiently clearing debris or repairing culverts and ultimately restoring traffic flow (which may be particularly important for a non-declared disaster for which PA is not available)?

Figure 9: The Relationship between Recovery Plans and other Community Plans, Decisions, and Policies

Scope of the Pre-Disaster Recovery Plan

Decisions about the level of detail and overall scope of the pre-disaster recovery plan will impact the rest of the planning process. With that in mind, it is optimal to consider the level of detail the pre-disaster recovery plan will provide early in the process. It may be beneficial to have both a general, flexible framework and a plan with specific details.

A recovery plan does not need to be lengthy, and the aim is to complement key elements of recovery that are already addressed in other planning documents. As part of the initial process of information gathering, the planning team can identify which activities could be considered and included in the pre-disaster recovery plan and which will not, and determine if existing community planning documents can be used or built upon. Essential recovery information that may be documented in existing planning documents includes:

- Policies and requirements that apply to tribal rebuilding and/or could support recovery operational processes and guidelines;
- Key people and partners and their recovery roles;
- Recovery resources and potential tribal funding strategies; and
- Policies on the protection and preservation of your tribe's spiritually and culturally significant items and sites.

The pre-disaster recovery plan may note the existence of such plans and summarize the information contained in them, as well as suggest how and when those planning documents will be incorporated post-disaster. For example, there may be certain hazard mitigation, development, or housing priorities in other community plans that need to be consulted during the recovery period to guide disaster-specific decisions on these topics.

Identify Impacts and Community Consequences

Understanding the risks and possible direct, indirect, long-term, and systematic impacts stemming from a disaster will provide a foundation for pre-disaster recovery planning and allow the planning team to determine potential capability gaps before a disaster. Vulnerabilities and expected consequences may be identified in a hazard mitigation plan, a THIRA, other risk assessments, or historical data about past disaster impacts. Additionally, an SPR can be used to identify vulnerabilities, and completion of an SPR is now a requirement of the Tribal Homeland Security Grant Program.

It is also important to take into account identified vulnerabilities and which vulnerabilities your tribe might have the most difficult time addressing (e.g. capability gaps), as these will likely require attention after a disaster.

Considerations for conducting an assessment of impacts and community consequences include, but are not limited to:

- Identify potential direct impacts to major community assets and systems, such as:
 - Community and regional economy, including small and large businesses;
 - Museums, historic sites, and other cultural resources;
 - Environmental resources and protected natural areas;
 - Infrastructure systems;
 - Social and community fabric;
 - Affordable and accessible housing;
 - Critical infrastructure systems and the cascading impacts that the loss of such systems may have on other aspects of the community;
 - Loss of cultural identity due to damage or loss of cultural artifacts or sacred sites; and
 - Leadership, elder and youth populations.
- Identify potential indirect impacts, such as:
 - Loss of use of tribal lands;
 - Business disruptions from relocation of workforce and/or customer populations, location inaccessibility, and other cascading economic impacts;
 - Access to services such as health care, public transportation, grocery stores, day cares and schools;
 - Population shifts; and
 - Needs related to household pets, service animals, and livestock.

- Identify tribal government and other organizations that will have an increased workload as a result of the disaster (e.g., increased demand for social services, need for building inspectors and permitting, etc.).
- Consider the impacts and consequences for all individuals in the community, including people with disabilities and others with access and functional needs, children and teens, tribal elders, and those who may be underserved or may not normally participate in or contribute to public forums.
- Consider ways to communicate with and involve members of the community in the recovery process (e.g., displaced residents), ensuring accessible and diverse ways of communicating.
- Consider what tribal processes or activities can impede recovery (e.g., deliberations, approvals, beliefs, timeframes, laws, delegations of authority).

Using information collected and analyzed in this step, the collaborative planning team may hold meetings or workshops, accessible to all members of the community, to evaluate risks and discuss impacts.

It is important to look at the interdependencies and connections among the identified impacts and highlight to all participants the ramifications of the indirect, cascading and long-term impacts of a disaster. This understanding will motivate not only a stronger commitment to participate in a recovery process, but also a stronger interest in taking mitigation actions in advance to reduce losses and lessen potential consequences. Developing an understanding of the potential impacts and taking steps to reduce potential losses and consequences improves community resilience.

The checklist in Table 3 summarizes the key recommended actions for Planning Step 2.

Peer-to-Peer Networks

Leaders and officials from communities that have experienced a significant disaster can be a powerful resource to the planning team and larger community in grasping the consequences and challenges for long-term recovery. Planners may want to reach out to tribal associations such as NCAI, as well as outside professional organizations, to identify peers with valuable experience, such as: a municipal league, association of towns, cities, or counties, APA, and associations of regional planning commissions. Your FEMA Regional Tribal Liaison may also be aware of tribes that have recently gone through a disaster recovery process.

Table 3: Planning Step 2 Recommended Actions

Planning Step 2: Recommended Actions	Determine the desired level of detail and scope of the recovery plan.
	Inventory your tribe's hazards and vulnerabilities.
	Identify the consequences of potential disaster events.
	Engage community members, leaders, and businesses in understanding risks and identifying community consequences.
	Review regional, state, and local pre-disaster recovery plans to understand how other governmental entities will be operating post-disaster.



Planning Step 3 - Determine Goals and Objectives

Recovery priorities may be developed with the input of tribal members and leadership, and may align with other existing priorities that are not necessarily tied to disaster recovery.

Examples of tribal recovery priorities may include:

- Preserving and restoring natural and cultural resources;
- Developing, reconfiguring, and restoring the education system;
- Protecting sacred/historical sites and cultural resources;
- Encouraging sustainable tribal communities;
- Addressing both physical and mental health;
- Returning displaced persons to their homes as quickly as possible; and
- Financing recovery without assuming onerous debt.

Part of the recovery planning discussion will result in an understanding of the tribal community's current situation in relationship to your tribe's recovery priorities for the future. Consider the following:

- What are your tribe's main recovery priorities in relation to these different realms within the community?
- What are the goals and associated objectives that need to be addressed to achieve the desired outcomes? In other words, what must your tribe do and how will they do it?

During the planning process, it is important to ensure that recovery goals and objectives are consistent with recovery priorities to ensure a unified vision of where your tribe wants to progress in the future.

Goals and Objectives

Goals are broad, general statements that indicate what your tribe will do to address recovery needs. Goals help define milestones for when major elements of the recovery are complete and when the operation is successful. An example goal might be: "The tribe will increase its resiliency."

Objectives are more specific, measurable, and identifiable actions to be carried out. They lead to achieving recovery goals. For example, an objective to support the goal above might be: "The tribe will develop a hazard mitigation plan," or "The tribe will implement building codes that increase resiliency."

Differences in Response and Recovery Planning Goals

A few high-level examples of the fundamental differences in response planning and recovery planning goals are listed below. Notice that the goal in response planning is short-term and often focused on life safety, whereas the goal in recovery planning is long-term and considers overall community health.

Disaster Impact: Contaminated Water Supply

- Potential Response Goal: The delivery of drinking water to impacted residents.
- Potential Recovery Goal: Addressing infrastructure or natural resource impacts to safeguard the water supply long-term.

Disaster Impact: Structural Damage to Local Hospital

- Potential Response Goal: Relocation of patients to other hospitals.
- Potential Recovery Goal: The establishment of an agreement with other regional hospitals to manage community needs or building temporary facilities to serve the community.

Disaster Impact: Major Tribal Employer Structures Fail

- Potential Response Goal: Temporarily condemning structurally-damaged properties for the overall safety of the community until those properties can be repaired.
- Potential Recovery Goal: Establishing sustainable new economic drivers that will employ tribal members and contribute to a growing economy.



Go to the [Workbook Activity \(Determining Recovery Goals and Objectives\)](#) in Annex A to list goals and objectives.

Description of Recovery Core Capabilities

The federal government has established a National Preparedness Goal to help the nation collectively prevent, protect against, mitigate, respond to, and recover from threats and hazards. The National Preparedness Goal outlines “core capabilities” that can help tribal communities recover from a disaster. The core capabilities include functions such as planning, public information and warning, housing, and health and social services. Tribal planning teams should review these core capability suggestions and compare them with the current capabilities of your tribe to determine what gaps, if any, should be addressed. More information on each core capability as laid out under the National Preparedness Goal can be found on the FEMA website: <https://www.fema.gov/core-capabilities>.

Table 4: Description of Core Capabilities

Recovery Core Capability	Description of Recovery Core Capability
Planning	Engage the whole community in developing approaches to meet recovery goals and objectives.
Public Information and Warning	Effectively communicate the role of community members in recovery, the actions being taken to address recovery needs, and the status of recovery initiatives.
Operational Coordination	Ensure people and processes are in place to coordinate and support the achievement of recovery goals and objectives.
Economic Recovery	Return economic and business activities (including food and agriculture) to a healthy state and develop new business and employment opportunities that result in an economically viable community.
Health and Social Services	Restore and improve health and social services capabilities and networks to promote the resilience, independence, health (including behavioral health), and well-being of the whole community.
Housing	Implement both short-term temporary housing solutions as well as long-term permanent housing solutions that effectively support the needs of the whole community and contribute to its sustainability and resilience.
Infrastructure Systems	Stabilize critical infrastructure functions, minimize health and safety threats, and efficiently restore and revitalize systems and services to support a viable, resilient community.
Natural and Cultural Resources	Protect natural and cultural resources and historic properties through appropriate planning, mitigation, response, and recovery actions to preserve, conserve, rehabilitate, and restore resources consistent with post-disaster community priorities and best practices and in compliance with applicable environmental and historic preservation laws and executive orders.

Consider which areas will need particular attention or will be most difficult to address post-disaster. The impacts may include those related to:

- Affordable and accessible housing;
- Social, income, and equity issues; and,
- Infrastructure and public works.

If your tribe does not have the capacity to address recovery post-disaster, utilize existing partnerships or seek to build new relationships that will build capacity.

Table 5: Planning Step 3 Recommended Actions

Planning Step 3: Recommended Actions	Develop recovery goals to enable the tribal community to build back better and stronger.
	Evaluate organizational and administrative strengths and weaknesses.
	Evaluate communication vehicles, including breadth, and effectiveness of each.
	Evaluate financial strengths and weaknesses.
	Determine how your tribe will build needed capacity to address recovery and partnership needs and communication with governmental/non-governmental entities.
	Establish a process to integrate the consideration of resiliency into recovery planning.



Planning Step 4 – Develop the Plan

Planning Step 4 outlines recovery-specific decisions to be made during the pre-disaster planning process, including decisions related to leadership, resources, organizational roles, and responsibilities.

Leadership

Strong leadership is critical for successful recovery, so identifying a leader who will manage implementation of the recovery plan must be a high priority in the planning process. A strong leader will make securing partnerships easier because the community will be able to demonstrate it has put time, thought, and talent into preparing for recovery.

The Four A's of Leadership

The NDRF recommends designating a Tribal Disaster Recovery Coordinator (TDRC) to organize, coordinate, and advance the recovery mission. The person in this position must have knowledge of the community, relationships with tribal leadership, the ability to build consensus, strong communication skills, and ideally, knowledge and experience in community planning. Additionally, an effective TDRC needs to have the following general qualities:

- **Authority:** The ability to direct and execute recovery. As noted in the Effective Coordination of Recovery Resources for State, Tribal, Territorial and Local Incidents, the TDRC will need to have the authority and influence to convene and coordinate recovery partners while emergency managers continue with incident response. The TDRC should be respected and recognized as a leader across as many sectors of the community as possible.
- **Accountability:** Recovery leadership must be accountable to the partners of the community and those that empowered them to manage recovery in the first place.
- **Attitude:** Being persistent but patient in working with local partners is critical to managing the recovery process, as recovery is a long-term endeavor involving many competing interests, needs, and opinions.
- **Aptitude:** A good TDRC will have the ability to think strategically over the long-term about recovery needs, the ability to be flexible in utilizing non-traditional approaches and resources, and an understanding about how to leverage resources and bring about partner consensus.

Note: The roles and responsibilities of the TDRC differs from that of the TDRM, as the position of TDRC is permanent, and may be filled by existing staff who are designated to manage recovery in the immediate aftermath of a disaster but may have other steady-state roles and responsibilities in non-disaster times. TDRMs are hired after disasters, typically for a period of two years, and are dedicated to implementing recovery plans and strategies for the long-term.

Organizational Roles and Coordination

After designating a TDRC, the next task is to think about the people, agencies, and organizations who will support post-disaster recovery. Long-term recovery is a whole community effort that will require a team of coordinators to accomplish effectively. The planning team needs to identify people in each sector of recovery to coordinate resources and priorities during disaster recovery. Those individuals will function as a team with the TDRC to support the community and household needs of your tribe. In addition to the sector coordinators, the planning team should also identify positions that will be required under certain circumstances. Working with tribal partners and other tribal agencies, the planning team should use its goals and objectives to determine which people (based on leadership skills, experience, and day-to-day positions) should have a role in recovery. For example, if your tribe has received a disaster assistance grant, the planning team should identify a person to administer the grant and/or be responsible for project finances. Additionally, if your tribe plans to rely heavily on volunteers to support recovery efforts, they should identify a volunteer coordinator. Other examples of roles that might be important for long-term recovery include an individual and family recovery manager, a public outreach official, and a project financing administrator. Once the positions have been identified, the planning team should establish a formal group, organization, or structure for the coordinators to work together as a team toward the common goals and objectives established in the previous section.

As part of this process, consider the following questions:

- What situations would require your tribe to take action?
- Who will engage recovery partners in preparation for or immediately after a disaster has occurred?
- How will recovery partners work together? Agencies serving in lead roles as coordinators of community sectors or functional areas (e.g., housing, health and social services) will need to work with their respective supporting agencies and other organizations to determine their own operational strategies. What actions require coordination across different community sectors and how will that be structured?
- How will the tribal government coordinate with federal and state government agencies and departments? How can existing relationships be leveraged in a post-disaster environment?
- What information needs to be gathered to assess impacts and recovery-related needs? Who can provide this information? How will this information be collected and shared?
- Who will be responsible for delivering effective public communication?
- How will effective communication be accomplished? How often, in what formats, and for what purposes?

To the greatest extent possible, it is important to be transparent in informing the public and managing expectations. Transparency will help to build public confidence in the recovery effort. For more information, review “Effective Coordination of Recovery Resources for State, Tribal, Territorial, and Local Incidents” available at: <https://www.fema.gov/media-library/assets/documents/101940>.

Identify Strategies for Securing and Managing Financial Resources

After the evaluation of financial strengths and weaknesses in Step 3, the planning team will need to develop strategies for filling identified financing gaps. Financial resources to consider include both grants and low-interest loans. It is important to be aware that loans may be necessary to support recovery, especially in cases where grants and similar funds are not available or do not fully support recovery needs. Financial resources will not only be needed for individuals and families, but for businesses and various sectors of the government. Many potential post-disaster funding sources can be pre-identified. Tribes are also encouraged to build their own disaster recovery fund.

Establish a Decision-Making and Policy-Making Process

With likely threats and hazards in mind, the pre-disaster recovery planning team will need to determine what goals, priorities, and policies can be established prior to a potential disaster. For example, understanding that much of the community is in a flood zone should prompt tribal officials to begin thinking about a plan and mitigation measures, such as the relocation of housing units away from the flood hazard, for addressing housing needs in the event of flooding.

Defining a process for making decisions post-disaster can guide leadership in allocating limited resources. As the decision-making process is developed, it will be helpful to organize decisions through the use of a process that:

- Evaluates the conditions and needs after a disaster;
- Matches pre-disaster plans against post-disaster results;
- Sets recovery goals and objectives;
- Measures progress against those goals and objectives;
- Defines the process, protocol, and policy related to recovery funding; and
- Ensures there is sufficient input on recovery priorities from key partners and makes sure that partner outreach is linked to post-disaster decision making. The process to involve key partners pre-disaster is reinforced post-disaster.

Demographic Considerations

The planning team should work together to understand the current demographics of your tribe and the major social considerations that may be exacerbated during a disaster. With that information, the planning team can start to review the following recovery issues that could require additional coordination or support, depending on your tribe's current status. Consider the following examples, among other individual and household needs that may exist in your tribe:

- **Housing:** Limited access to affordable and accessible housing before a disaster will only mean fewer options after a disaster. Work with the tribal housing authority or surrounding communities to develop strategies for how to temporarily house tribal members that may be displaced from their homes after a disaster.
- **Tribal elders, people with disabilities, and people with acute medical needs:** What are the services that these people rely on to maintain their health and independence? Are those

local service providers vulnerable to disasters? If these people are put in shelters or evacuated to another area, will they still have access to the same services? Work with disability services and support groups, health and medical professionals, and other personal support services organizations to identify strategies for ensuring their health, safety, and independence.

- **Transportation:** Does the tribal community rely on a particular transportation method that may be vulnerable to a disaster (e.g., public transit, shuttles, personal vehicles, and others)? If so, the planning team should review alternative methods for ensuring that displaced people without access to transportation have the ability to travel to and from a shelter or a temporary housing unit.

Disaster Case Management (DCM)

DCM involves tracking and addressing the needs of individuals and families and connecting them with recovery support resources, especially when those needs and existing social challenges such as poverty, social service needs, etc. may be exacerbated by disasters. Recovery planners need to incorporate plans and strategies to address both disaster-caused and pre-existing, ongoing social service and community development needs. Doing so requires strong partnerships among government, local community, NGO, and private sector partners. DCM and other typical FEMA programs are further described in [Annex F](#) of this guide.

DCM Tools

The NVOAD website contains valuable DCM tools:

- NVOAD: <http://www.nvoad.org/>
- DCM Points of Consensus: http://www.nvoad.org/wp-content/uploads/dlm_uploads/2014/04/POC_CaseManagement_Final1.pdf
- DCM Guidelines: http://www.nvoad.org/wp-content/uploads/dlm_uploads/2014/04/dcm_guidelines - final - 2012 - feb.pdf



Go to the [Workbook Activity \(Existing Policies\)](#) in Annex A to list policies that may need to be adjusted and who has the authority to do so.

Table 6 lists recommended actions to take in developing a plan.

Table 6: Planning Step 4 Recommended Actions

Planning Step 4: Recommended Actions	<p>Establish a process for making decisions to address recovery needs post-disaster.</p>
	<p>Document staff resources to manage recovery and their roles and responsibilities.</p>
	<p>Establish a plan to coordinate staff assigned to recovery and other recovery partners to ensure there is a system in place for working together post-disaster.</p>
	<p>Seek opportunities to build relationships with federal, state, and non-governmental partners pre-disaster to enhance post-disaster coordination.</p>
	<p>Define an organizational structure that helps to establish clear roles and responsibilities, reporting relationships, and other operational details (task force, committee, or Recovery Support Functions (RSFs)).</p>
	<p>Engage in capacity-building efforts among tribal stakeholders before a disaster strikes so that they are familiar with recovery concepts and processes in case they are called upon to support recovery.</p>
	<p>Obtain data on what assets exist in the community, including housing stock, infrastructure, and business.</p>
	<p>Establish processes and systems to manage resources for disaster recovery.</p>
	<p>Identify potential sector- or function-specific resources (funding, staffing, etc.).</p>



Planning Step 5 – Prepare, Review, and Approve the Final Plan

In Step 5, information, documentation, and decisions from the preceding steps should be consolidated to write a pre-disaster recovery plan that reflects the input of the community and provides a framework for action. All partners involved in the planning process should have the opportunity to review the plan and provide feedback. Allow enough time for reviewers to provide feedback and additional time for the planning team to make changes based on that feedback. Final approval from tribal leadership will also be required, so it is important to build in time for that and to consider how to communicate the plan to them (e.g., consider listening sessions, an executive summary, or a formal presentation).

[Annex B](#) contains a sample outline for a pre-disaster recovery plan. The components, their descriptions, and prompts are provided as examples. Choose the components that best suit your tribe's needs.

Table 7: Planning Step 5 Recommended Actions

Planning Step 4: Recommended Actions	THE PRE-DISASTER RECOVERY PLAN SHOULD DOCUMENT:
	How the tribal government will coordinate internally – key roles and responsibilities, leadership, structure of the recovery organization, etc.
	How the tribal government will coordinate with the federal government and non-government entities.
	The tribal community's recovery priorities.
	How the tribal government will address known pre-disaster issues and resource gaps.
	AFTER THE PLAN IS COMPLETE:
	All stakeholders involved in the planning process should have the opportunity to review the plan and provide feedback.
	The plan should go through appropriate tribal government review to provide any additional feedback and establish final approval and/or adoption.



Planning Step 6 – Implement and Maintain the Plan

Once the final plan is prepared, reviewed and approved, your tribe can begin to implement planning goals. The goals do not have to be implemented all at once, but basic steps to make the plan a reality should be taken quickly to maintain momentum. A regular schedule of inclusive training and exercises that bring key partners together, as well as plan document reviews, revisions, and updates based on gaps or issues identified during plan exercises, will enable tribal recovery leadership to understand outstanding capability or process gaps, mitigation needs, and other recovery preparedness needs. Understanding these gaps and needs will also help tribes target capacity building efforts where they are most needed. FEMA's National Exercise Division has a robust exercise program designed to support our tribal partners in testing their recovery planning capabilities through the design, coordination, implementation, and evaluation of exercises.

Additional information is available at <https://www.fema.gov/national-exercise-program>.

Table 8: Planning Step 6 Recommended Actions

Planning Step 6: Recommended Actions	<p>Train all recovery plan stakeholders on their roles and responsibilities as listed in the recovery plan.</p>
	<p>Establish a regular schedule of document revision and updating to ensure that any newly identified vulnerabilities are addressed in the planning process and to account for changes in your tribe's vision, leadership, or organization.</p>
	<p>Document best practices and lessons learned from actual post-disaster recovery efforts.</p>
	<p>Participate in emergency exercises when possible to evaluate recovery plans, aid the community in understanding its role in recovery preparedness and plan implementation, and help identify gaps in policies, roles, partners, resources, and procedures. Communicate with government and non-government emergency management professionals to be aware of training and exercise opportunities.</p>

Checklist of Planning Step Activities



PLANNING STEPS	
1. Form a Collaborative Planning Team	<input type="checkbox"/>
2. Understand the Situation	<input type="checkbox"/>
3. Determine Goals and Objectives	<input type="checkbox"/>
4. Develop the Plan	<input type="checkbox"/>
5. Prepare, Review, and Approve the Final Plan	<input type="checkbox"/>
6. Implement and Maintain the Plan	<input type="checkbox"/>



WORKBOOK ACTIVITIES

Annex A: Workbook Activities

This workbook can be used to document vulnerabilities, key stakeholders, and partners. Upon completion of the workbook, it is recommended that tribes officially document workbook entries for record-keeping purposes. This will help lay the groundwork for taking on recommended planning activities or for developing a pre-disaster plan.

Summary of Workbook Activities

It is recommended that in addition to reading the summary of Workbook Activities below, users also review the discussions of the activities included in the first three sections of this document. *Note there are not Workbook Activities associated with all of the recovery planning activities discussed in this document.*

Basic Activities

Basic Activity 1 – Recovery Point Person: Document your key recovery stakeholders. These point people will be responsible for directing the recovery process. It is highly recommended that recovery point people include those with a planning background, as the scope of long-term recovery is broader than emergency management alone.

Basic Activity 2 – Training: Document your training needs, then visit the EMI website to review course selections that may relate to your training needs. Training needs may include planning, communications, building an organizational structure, etc. Note that many EMI courses are available entirely online.

Basic Activity 3 – Messaging: Document how you will get your community involved in preparing for recovery. Convey why preparing is important, and how you will solicit community involvement (e.g., media, via community events, through schools, etc.).

Basic Activity 4 – Critical Assets and Resources: Document key assets in your community. These may include public facilities, economic drivers, culturally significant sites, etc. Discuss why they are critical and how they are vulnerable (e.g., in a flood plain, constructed in such a way that makes them particularly vulnerable to storm or wind events, etc.).

Basic Activity 5 – Tribal Partners: Document your key internal stakeholders for recovery. This builds on Basic Activity 1 by documenting the whole community of partners who will be critical stakeholders in a recovery process. These may include local departments and agencies, schools, non-profits, key businesses, etc. Finally, diagram the relationships between internal stakeholders.

This will document the connections within your tribe, and the connections to outside stakeholders that can partner with your tribe to support recovery.

Basic Activity 6 – External Partnerships: Document your external partners. Describe the agencies, non-profits, or other entities with which your tribe has a relationship. These external partners may come from different levels of government or NGOs.

Recommended Activities

Recommended Activity 1 – Existing Plans: Document existing plans that may be in place, and for each, document the major goals. Plans may include mitigation plans, comprehensive plans, land use plans, capital budgets, etc. Documenting existing goals and building on them can make the recovery planning process easier.

Recommended Activity 4 – Priorities: Document your recovery priorities after a disaster. Consider any existing goals from Recommended Activity 1 and any other crucial elements of your community that would be priorities for recovery.

Planning Steps

Planning Step 1 – Core Capabilities: This builds on Basic Activity 6 but facilitates the documentation of key stakeholders and partners under the recovery core capabilities. It will also allow your tribe to see any gaps in your ability to address certain core capabilities.

Planning Step 3 – Determining Goals and Objectives: This builds on Recommended Activities 1 and 4. Document specific recovery goals and objectives by sector.

Planning Step 4 – Existing Policies: This builds on Recommended Activities 1 and 4. Review existing policies that may impede the recovery process (e.g., consider the existing process for obtaining a building permit – would this process facilitate expedient rebuilding after a disaster?) Consider changes or additions to existing policies as necessary (e.g., expediting permitting in a post-disaster environment).



Basic Activity 1: Recovery Point Person

Designate a point person and define an organizational structure for recovery planning.

Name	Department	Contact Information	Role
			e.g., Lead for Recovery
			e.g., Lead for PDAs



Basic Activity 2: Training Needs

Training Needs

Type of Training Needed	Corresponding Course	Source of Training

To review the tribal curriculum offered by EMI, visit <https://training.fema.gov/tribal/>.



Basic Activity 3: Messaging

Messaging

What messages should your tribe be prepared to send out during a disaster and what methods should you use to ensure effective communication for the whole community?

Critical Points to Get Across

Outlets that Will Be Used for Messaging to Ensure Whole Community Involvement



Basic Activity 4: Critical Assets and Resources

What are your most critical facilities or vulnerable sites?

Note: this worksheet can also be used for PDAs.



Basic Activity 5: Tribal Partners

Who are the key stakeholders for recovery in your tribe?



Basic Activity 5 (continued): Relationship Diagramming

Diagram the relationships between tribal stakeholders in an organizational chart.

Diagram the relationships between your tribe and federal, state, and local partners in an organizational chart.



Basic Activity 6: External Partnerships

Who are your external partners?



Recommended Activity 1: Existing Plans

What planning documents are already in place in your tribal community?

What are the goals, objectives, and outcomes listed in each plan?

List planning documents that are already in place in your tribal community.	What goals, objectives, and outcomes are listed in each of these plans?	What other information, references, or resources included in the plan are relevant to recovery?



Recommended Activity 4: Priorities

What are your tribe's recovery priorities?

What are your tribe's recovery priorities?



Planning Step 1: Core Capabilities

Revisit the key tribal stakeholders and partners you listed earlier. Who are the best stakeholders and partners for each core capability listed below?

PLANNING CORE CAPABILITY	Purpose: to engage the whole community in developing approaches to meet recovery goals and objectives.
Suggested Stakeholders and Partners	<ul style="list-style-type: none"> • People with experience engaging the entire community who are strategic thinkers. People with backgrounds in planning, public administration, architecture, and landscape architecture and with experience in accessibility and universal design are also desirable. • People involved in the mitigation plan/other community development planning. • Professional organizations – APA, American Institute of Architects (AIA), and American Society of Landscape Architects (ASLA). • Regulators (such as zoning and permitting, safety, Americans with Disabilities Act (ADA) coordinators).
Who are the potential stakeholders and partners in your community for the Planning Core Capability?	
PUBLIC INFORMATION AND WARNING CORE CAPABILITY	Purpose: to effectively communicate the role of community members in recovery, the actions being taken to address recovery needs, and the status of recovery initiatives.
Suggested Stakeholders and Partners	<ul style="list-style-type: none"> • Consider people with community outreach experience or expertise in effective and accessible mass communications, facilitation, and/or civic engagement. • Seek stakeholders that have experience in reaching out to populations with access and functional needs.
Who are the potential stakeholders and partners in your community for the Public Information and Warning Core Capability?	

OPERATIONAL COORDINATION CORE CAPABILITY	Purpose: put people and processes in place to coordinate and support the achievement of recovery goals and objectives.
Suggested Stakeholders and Partners	<ul style="list-style-type: none"> Consider involving community leadership to ensure that all recovery processes are integrated. Consider groups that may be at odds post-disaster to address coordination upfront.
Who are the potential stakeholders and partners in your community for the Operational Coordination Core Capability?	
ECONOMIC RECOVERY CORE CAPABILITY	Purpose: to return economic and business activities (including food and agriculture) to a healthy state and develop new business and employment opportunities that result in an economically viable community.
Suggested Stakeholders and Partners	<ul style="list-style-type: none"> Consider including economic development officials, representatives of community development corporations, major employers, business owners, representatives from employment and labor departments, labor organizations, and faculty from colleges and universities.
Who are the potential stakeholders and partners in your community for the Economic Recovery Core Capability?	
HEALTH AND SOCIAL SERVICES CORE CAPABILITY	Purpose: to restore and improve health and social services capabilities and networks to promote the resilience, independence, health (including behavioral health), and well-being of the whole community.
Suggested Stakeholders and Partners	<ul style="list-style-type: none"> Consider including representatives from government departments, medical professionals, school district superintendents, consumer and legal service organizations, non-profit leadership, and voluntary organizations that represent the service and support needs of all community members.
Who are the potential stakeholders and partners in your community for the Health and Social Services Core Capability?	

HOUSING CORE CAPABILITY	Purpose: to implement housing solutions that effectively support the needs of the whole community and contribute to its sustainability and resilience.
Suggested Stakeholders and Partners	<ul style="list-style-type: none"> Consider including developers, residential construction companies, fair or affordable housing advocates, homeless organizations, representatives of housing agencies, and housing department staff.
Who are the potential stakeholders and partners in your community for the Housing Core Capability ?	
INFRASTRUCTURE SYSTEMS CORE CAPABILITY	Purpose: to stabilize critical infrastructure functions, minimize health and safety threats, and efficiently restore and revitalize systems and services to support a viable, resilient community.
Suggested Stakeholders and Partners	<ul style="list-style-type: none"> Consider including public works officials and engineers, as well as public and private infrastructure operators. The American Society of Civil Engineers (ASCE) and other similar professional organizations are potential resources.
Who are the potential stakeholders and partners in your community for the Infrastructure Systems Core Capability ?	
NATURAL AND CULTURAL RESOURCES CORE CAPABILITY	Purpose: to protect natural and cultural resources and historic properties through appropriate planning, mitigation, response, and recovery actions to preserve, conserve, rehabilitate, and restore resources consistent with post-disaster community priorities and best practices and in compliance with applicable environmental and historic preservation laws and executive orders.
Suggested Stakeholders and Partners	<ul style="list-style-type: none"> Consider including historic preservation experts, environmental groups/organizations, non-profits, tribal elders, members of cultural, museum, library and archival organizations, stewards of landmarks, parks and tree boards, and parks and environmental protection department staff.
Who are the potential stakeholders and partners in your community for the Natural and Cultural Resources Core Capability ?	



Planning Step 3: Determining Recovery Goals and Objectives

Make a draft list of Tribal Recovery Goals, what core capability each supports, and a few objectives for each goal.

Recovery Goals	Recovery Core Capability	Objectives



Planning Step 4: Existing Policies

WORKBOOK
ACTIVITIES

List existing policies that may need to be altered either before or after a disaster to address recovery needs (e.g., expedited zoning and building code compliance review for rebuilding and expedited procurement or hiring policies). For each policy listed, who has the authority to make decisions about changes to those policies?

Policy	What needs to change?	Who has authority to change?

Annex B: Sample Outline for a Pre-Disaster Recovery Plan

Section 1: Pre-Disaster Recovery Plan Introduction

- A. Plan Purpose (narrative): Why is the tribal community preparing for recovery? Why is it important?
- B. Community Capacity Assessment (narrative): What recovery capabilities does the tribal community currently have, and how might they be compromised after a disaster? What are the known capability gaps and how will they be addressed?
- C. Risks and Vulnerabilities (narrative and table or bullet points): List the tribal community assets that would be at risk if a disaster struck. This section may also include different types of disasters likely to occur and how the impact on assets may vary, depending on the disaster. If a tribal mitigation plan currently exists, it should be referenced for risks and vulnerabilities already identified. If not, identifying risks and vulnerabilities as part of the pre-disaster recovery planning effort could feed into future mitigation plans.

Table 9: Sample Table of Risks and Mitigation Measures

Asset	Disaster Type A	Disaster Type B	Mitigation Measures?	Notes
A	Severe Impact	Moderate Impact	No	What mitigation measures could address the vulnerability?
B	Moderate Impact	Moderate Impact	No	What mitigation measures could address the vulnerability?
C	Moderate Impact	Severe Impact	In Progress	Briefly describe mitigation measure in progress.
D	Severe Impact	Severe Impact	Planned	Briefly describe planned mitigation measure.

- D. Recovery Goals and Policies (narrative and table or bullet points): If a disaster strikes, which tribal community assets will be a priority for recovery?
- E. Implementation Process: How will the recovery strategies, goals, and policies be carried out? Develop action statements and timelines to assess progress.

- F. Recovery Administrative Structure: Who will lead the recovery process (use a position title not an actual name)? Which departments are responsible for which activities? Should the tribal government organization parallel federal and state disaster recovery frameworks?
- G. Community Engagement Strategy: Who are the local volunteer agencies active in disasters? Are there NGOs and educational organizations available? How should these organizations line up with the recovery team? What tribal associations or potential relationships are available to support recovery?
- H. Mitigation Measures (narrative and table or bullet points, building on the previous section): What, if any, mitigation measures have been implemented, are in progress, or are planned?

Section 2: Recovery Leadership

- A. Recovery Leadership (narrative and list): Who are the recovery leaders in the community? What roles have been assigned to each? How will progress be tracked?
- B. Authorities (narrative): What legislation or policy enables these leaders to manage recovery post-disaster? What are the limitations? Are authorities dependent on specific steps or circumstances?

Section 3: Recovery Operations

- A. Partners (narrative and table or bullet points): Which federal agencies, tribal agencies and organizations, regional/state agencies and organizations, and NGOs are recovery partners, and what are their recovery roles and responsibilities after a disaster?
- B. Activation of Personnel (narrative): How and when are personnel who are assigned to fill recovery roles activated?
- C. Assessment and Data Gathering (narrative): What types of assessment and data gathering should be happening after a disaster strikes? Before? Who is responsible for data collection? Are there pre-determined guidelines and forms to be used for data collection?
- D. Communication Guidelines (narrative and reference to organizational chart): How should recovery leaders and partners communicate with one another? What are the essential pieces of information that will need to be communicated? How often should they be communicating?
- E. Notification and Engagement of Recovery Partners (narrative and reference to organizational chart): How and when will recovery partners be notified and engaged post-disaster?
- F. Federal and State Engagement (narrative and reference to org chart): How will tribal recovery leadership communicate with the federal and state governments? What established partnerships or interfaces already exist? What areas need strengthening? Is your tribe positioned to communicate with potential federal and state recovery partners?
- G. Organizational Chart (diagram): How are recovery leadership and partners organized?
- H. Timelines (narrative and timeline): What are the projected timelines for activation of personnel, data gathering, engagement of partners, financial trigger points, etc.?

Section 4: Recovery Implementation

- A. Execution Strategy (narrative): Describes how the community will execute its strategy for pre-disaster recovery planning, taking into account operational items listed in Section 3. As appropriate, note reliance on existing plans.
- B. Priorities and Policy Alternatives (narrative): List priorities for recovery implementation as well as policy alternatives that may either be in place through existing partnerships or are legally authorized in emergency situations. Policy alternatives (e.g., expedited permit requests), if allowed, should also be mentioned in this section.
- C. Funding Strategies (narrative): List funding strategies that may either be in place through existing partnerships or legally authorized in emergency situations. These may include funding strategies such as providing known resource providers with up-to-date assessments of disaster impacts so initial funding requirements can be determined.

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Annex C: Financial Management

This Annex discusses aspects of cost recovery that are important to all tribes. Initial (short-term) cost recovery includes the process, recovery roles, and requirements for receiving reimbursement for eligible costs incurred immediately after a disaster. Long-term cost recovery includes measures to address impacts to revenue streams after a disaster, and the need for resources and management of expenditures required to support certain recovery and long-term reconstruction projects and initiatives. Note that sometimes, federal funds and programs for recovery may not be available for months after a disaster. Throughout the recovery process, both in the initial-term and the long-term, it is important to understand how to contract for services, equipment, and materials and manage grants properly after a disaster, to ensure that resources are used wisely and in accordance with applicable laws and regulations.

All of these cost recovery recommendations are especially relevant to ensure your tribe maintains eligibility for funding when FEMA provides PA support after a Presidentially Declared Disaster. However, PA requirements derive from the same federal requirements applicable to all sources of federal funding. Maintaining sound financial management, contracting, grants, and documentation management and controls will ensure your tribe is in a good position to seek and receive reimbursement for costs.

Information provided in this section is for general planning purposes only. You should consult the specific federal requirements or federal program as you define roles, responsibilities, and procedures.

Consult the following checklist of cost recovery considerations for the initial-term (emergency managers, financial staff, etc.):

- ✓ Reviewing pre-disaster recovery plans and identifying a recovery vision, goals, and objectives
- ✓ Assessing and justifying initial-term recovery needs and actions (e.g., debris removal)
- ✓ Documenting material and labor costs and their justification (e.g., creating disaster accounting systems and logging and tracking personnel time and expenses)
- ✓ Activating emergency procurement policies, issuing and managing purchases and contracts, and where feasible, having contracts already in place
- ✓ Ensuring compliance with federal requirements for reimbursement
- ✓ Updating policies and procedures to comply with federal requirements for reimbursement

Consult the following checklist of cost recovery considerations for the long-term (TDRMs, financial staff, etc.)

- ✓ Documenting and utilizing volunteer recovery programs
- ✓ Assessing potential (or actual) impacts to revenue streams
- ✓ Updating policies to encourage revenue generation (e.g., changing the structure of taxes and/or fees)
- ✓ Applying for and managing grants
- ✓ Ensuring compliance with federal (or other) grant requirements

Initial-Term Cost Recovery

Initial-term recovery depends heavily on actions taken by tribes and other local entities rapidly after a disaster that are often then reimbursed when resources become available. To ensure success with initial-term recovery, there are several areas of cost recovery that, at a minimum, should be addressed before a disaster. It is important for the preparer of the plan to understand and establish financial management policies, roles, and responsibilities to manage tribal actions, including contracting and financial procedures that will ensure eligibility for reimbursement of disaster-related costs under federal requirements.

Disaster Cost Recovery Roles

- **Recipient (Grantee):** A non-federal entity that receives a federal award directly from a federal awarding agency to carry out an activity under a federal program. The term recipient does not include subrecipients.
- **Subrecipient (Subgrantee):** A non-federal entity that receives a subaward from a pass-through entity to carry out part of a federal program. This does not include an individual that is a beneficiary of such program. A subrecipient may also be a recipient of other federal awards directly from a federal awarding agency.
- **Subapplicant:** The jurisdiction or eligible applicant that submits a subapplication to the applicant for FEMA assistance. Once funding is awarded, the subapplicant becomes the subrecipient.
- **Pass-Through Entity:** A non-federal entity that provides a subaward to a subrecipient to carry out part of a federal program.
- **Subaward:** An award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.
- **Contractor:** An entity that receives a contract as defined in 2 C.F.R. § 200.22. Contract means a legal instrument by which a non-federal entity purchases property or services needed to carry out the project or program under a federal award. The term as used in this part does not include a legal instrument, even if the non-federal entity considers it a contract, when the substance of the transaction meets the definition of a federal award or subaward.

Many initial-term recovery projects and activities may be eligible for reimbursement, such as applicant labor, equipment/purchased equipment, supplies, contracted work, etc. It is critical for your tribe to understand the laws and regulations that apply to the reimbursement programs and have procedures in place and the capacity to effectively comply with those laws and regulations.

There are several key labor and cost documentation related policies and procedures to capture and define in your recovery plan:

- Formalize a documented labor policy to help determine whether or not and how much reimbursement may be authorized when you use tribal government, volunteer, or other sources of labor.
- Establish procedures and requirements for documenting time and labor costs, either that of tribal government employees or others.
- Establish procedures, roles, and a system to capture disaster-related costs that start as soon as an event occurs. This includes labor as mentioned above, but also equipment costs, supplies, and contracts. These examples are especially relevant to PA.

Review the following resources for more information about PA.

- PA Program and Policy Guidance: <https://www.fema.gov/media-library/assets/documents/111781>

Long-Term Cost Recovery

Long-term considerations include disaster impacts to revenue streams and securing resources to address long-term recovery and rebuilding needs.

Before a disaster, consider your tribe's current revenue streams. Businesses, including those that are tribally owned and those that are not, may be important revenue sources. Consider what the economic impact would be if a disaster impacted those businesses. Also, consider how jobs may be lost after a disaster and how that will impact tribal members' ability to support the local/tribal economy. Direct and indirect impacts can have a significant influence, such as the loss of access to a portion of tribal land critical to an entire tribe's economy. Finally, consider other sources of revenue such as sales tax (if applicable) or other fees that could be negatively impacted after a disaster. Understanding these impacts and how to address them in the context of pre-disaster planning will help your tribe establish priorities for recovery. A rainy day fund or new borrowing authorities may need to be considered depending on the potential impacts to your tribe's financial position.

Part of the pre-disaster recovery planning process is understanding what recovery resources exist to support long-term recovery projects or initiatives after a disaster. Note that this goes beyond the grants mentioned in the previous subsection. Depending on your tribe's recovery priorities, there may both internal and other external resources which could support long-term recovery needs in the face of diminished revenues.

It is highly recommended that your tribe pursue the hiring of a TDRM after a disaster strikes. Ideal candidates for a TDRM position have experience in planning, government finance, and strategy development, and understand long-term impacts to resources versus needs after a disaster. The TDRM can help add the capacity necessary to strategically pursue recovery projects, formulate

partnerships, and conduct the wide-ranging outreach necessary for successful recovery. In some cases, federal funding may be available to support the hiring of a TDRM for a two-year term.

Review the following resources for more information about long-term cost recovery:

- FEMA Effective Coordination of Recovery Resources for State, Tribal, Territorial, and Local Incidents: <https://www.fema.gov/media-library/assets/documents/101940>
- NCAI – Emergency Management: <http://www.ncai.org/policy-issues/tribal-governance/emergency-management>
- TDRM Responsibilities: https://www.fema.gov/pdf/recoveryframework/tribal_disaster_recovery_managers.pdf
- Disaster Assistance Resources: <https://www.disasterassistance.gov/get-assistance/other-recovery-help>

Contracting

Understanding how to initiate contracts is applicable both pre-event and post-disaster. To be eligible for reimbursement of recovery costs, contracts must be written, awarded, and managed according to federal and program requirements. Understanding basic federal contracting requirements is critically important, regardless of how contracts are funded. When contracting under a Federal award, there are federal requirements that must be followed.⁵

Scope(s) of work should be clear, and only be as flexible as needed to ensure the adequate delivery of services. Establishing agreed-upon scope(s) of work ensures that your tribe receives the services required and the contractor understands expectations.

Pricing must also be considered. For example, costs for contracted goods and services may not be eligible for PA reimbursement unless an applicant can demonstrate that costs are reasonable. Note that in some cases, noncompetitive procurement (i.e., sole-sourcing) is necessary, especially when there are a limited number of service providers available to address a specific need. There are four circumstances that allow an applicant to award a non-competitive procurement:

- 1) The item is only available from one source;
- 2) An emergency or exigent circumstance will not permit a delay caused by the competitive process;
- 3) Awarding agency or pass-through entity approval; and
- 4) Inadequate competition.

In general, sole-sourcing is not allowed unless there is documentation that demonstrates urgency in performing the work. Additionally, awarding time and materials contracts without a cost ceiling can lead to an audit and potential loss of PA funds. T&M contracts can only be used by Indian tribal governments if they can demonstrate that no other contract type is suitable, if they set a contract ceiling that the contractor exceeds at their own risk, and they have a high level of oversight over the contractor. The federal procurement under grant rules require that applicants conduct a cost or price analysis in connection with every contract action that exceeds the simplified acquisition threshold (as of June 2018, set at \$250,000). Understanding PA

⁵ 2 C.F.R. §§ 200.318- 200.326

requirements early can ensure compliance with the law is maintained and maximizes the potential reimbursement of funds.⁶

Although the federal procurement under grant rules require that applicants conduct their procurement transactions in a manner providing for “full and open competition,” Indian preferences may be permissible if certain requirements are met under the Indian Self-Determination and Education Assistance Act. The Indian Self-Determination and Education Assistance Act sets forth federal policy allowing Indian Tribal Governments to apply preference in the award of contracts and subcontracts to “Indian organizations” or “Indian-owned economic enterprises” in connection with the administration of a Public Assistance award. Indian Tribal Governments using a permissible preference are required to document that they have met the requirements under the Indian Self-Determination and Education Act.

Review the following resources for more information about contracting:

- “Top 10 Procurement Under Grant Mistakes Leading to Audits and Potential Loss of FEMA PA Funding” https://www.fema.gov/media-library-data/1506978167717-61cdf0784cbba7f976f8a66700f04f3e/Top_10_FEMA_Grant_Procurement_Mistakes_20170928.pdf
- PA Contracting Requirements Checklist: <https://www.fema.gov/media-library/assets/documents/135802>
- FEMA Debris Contracting Guidance: <https://dps.mn.gov/divisions/hsem/disaster-recovery/Documents/dmp-appendix-i.pdf>
- “Key Points for Non-State Entities on How to Avoid the Top 10 Procurement Under Grant Mistakes”: <https://www.fema.gov/media-library-data/1557347000457-1eb78c466ff98f5a58eb6ca7a67ff73b/PDATTOPuGMistakesFlyer.pdf>

Grants Management

Grants to support long-term recovery may come from multiple sources after a disaster, including FEMA, the U.S. Department of Housing and Urban Development (HUD), and the U.S. Department of Agriculture (USDA) Rural Development (RD) program, among others. It is important to understand grant requirements, as there are both general Office of Management and Budget (OMB) requirements that apply to all federal grant dollars as well as individual agency requirements.

In addition to the specific requirements of grant providers, many tribes who successfully win grants will likely then have to manage larger-than-normal budgets. This can cause challenges, especially when the capacity of tribal government staff is strained. It is therefore important for tribes to establish or expand existing financial management systems before pursuing grants. This is an important consideration when developing a pre-disaster recovery plan: increasing staff to properly manage grants and knowing who will be responsible for the overall administration and management of grants received.

Review the following resources for more information about grants management:

- FEMA Grants Management Toolkit: <https://www.fema.gov/grants-management-toolkit>

⁶ PA Program and Policy Guide: <https://www.fema.gov/media-library/assets/documents/111781>

- Disaster Recovery Staffing Framework and Guide: [https://www.lmi.org/en/About-LMI/LMI-Research-Institute-\(1\)/Reports-Articles/Disaster-Recovery-Staffing-Framework/Disaster-Recovery-Staffing-Framework](https://www.lmi.org/en/About-LMI/LMI-Research-Institute-(1)/Reports-Articles/Disaster-Recovery-Staffing-Framework/Disaster-Recovery-Staffing-Framework)
- PA Program and Policy Guide: <https://www.fema.gov/media-library/assets/documents/111781>
- HUD Community Development Block Grant (CDBG) Program: <https://www.hudexchange.info/programs/cdbg-dr/>
- USDA RD Programs: <https://www.rd.usda.gov/programs-services/all-programs>
- Federal Grant Policies (general): <https://www.grants.gov/web/grants/learn-grants/grant-policies.html>
- OMB Uniform Administrative Requirements: <https://www.grants.gov/learn-grants/grant-policies/omb-uniform-guidance-2014.html>

Annex D: Resources

Note: printed copies of this and other FEMA documents listed may be available on a limited basis. Contact your Regional Tribal Liaison if you require printed copies.

General Guidance

The NDRF. Available at: <http://www.fema.gov/national-disaster-recovery-framework>

The National Preparedness Goal. Available at: <https://www.fema.gov/national-preparedness-goal>

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

Damage Assessment Operations Manual. Available at: <https://www.fema.gov/media-library-data/1459972926996-a31eb90a2741e86699ef34ce2069663a/PDAManualFinal6.pdf>

Effective Coordination of Recovery Resources for State, Tribal, Territorial and Local Incidents. FEMA. 2015. Available at: <https://www.fema.gov/media-library/assets/documents/101940>

FEMA National Integration Center Technical Assistance Program. Available at:
<https://www.fema.gov/fema-technical-assistance-program>

Recovery FIOP. Available at: <https://www.fema.gov/federal-interagency-operational-plans>

NIMS Guideline for Resource Management and Mutual Aid. Available at:
<https://www.fema.gov/resource-management-mutual-aid>

NFIP Community Rating System. Available at: <https://www.fema.gov/national-flood-insurance-program-community-rating-system>

FEMA and Tribal Nations: A Pocket Guide. Available at: <https://www.fema.gov/media-library/assets/documents/99643>

FEMA Tribal Affairs. Available at: www.fema.gov/fema-tribal-affairs

TDRM Responsibilities. Available at:
https://www.fema.gov/pdf/recoveryframework/tribal_disaster_recovery_managers.pdf

Key Disaster Declaration Resources

FEMA Non-Stafford Act Recovery Guide. Available at: https://www.fema.gov/media-library-data/20130726-1910-25045-8797/non_stafford_act_recovery_guide.pdf

Tribal Declarations Pilot Guidance, January 2017. Available at: <https://www.fema.gov/media-library/assets/documents/128307>

Overview: Process for Tribal Governments to Request a Presidential Declaration. Available at:
<http://www.fema.gov/media-library/assets/documents/85146>

Frequently Asked Questions for Tribal Governments to Request a Presidential Declaration. Available at: <http://www.fema.gov/frequently-asked-questions-current-process-tribal-governments-request-presidential-declaration>

Request for Presidential Disaster Declaration Major or Emergency. Available at:
<http://www.fema.gov/media-library/assets/documents/28122>

Tribal Declaration and Disaster Assistance Resources. Available at: <http://www.fema.gov/tribal-declaration-and-disaster-assistance-resources>

Preparedness and Planning Support

Comprehensive Preparedness Guide 101 – Developing and Maintaining Emergency Operations Plans. Version 2, 2010. Available at: <http://www.fema.gov/media-library/assets/documents/25975?id=5697>

THIRA Guidance. Available at: <https://www.fema.gov/threat-and-hazard-identification-and-risk-assessment>

Core Capabilities. Available at: <http://www.fema.gov/core-capabilities>

Long-Term Community Recovery Planning Process – A Self Help Guide. Available at: <http://www.fema.gov/pdf/rebuild/ltrc/selfhelp.pdf>

SPR Guidance. Available at: <https://www.fema.gov/stakeholder-preparedness-review>

Tribal Homeland Security Grant Program. Available at: <https://www.fema.gov/tribal-homeland-security-grant-program>

Pre-Disaster Recovery Planning Guide for Local Governments. Available at: <https://www.fema.gov/media-library/assets/documents/129203>

Pre-Disaster Recovery Planning Guide for State Governments. Available at: <https://www.fema.gov/media-library/assets/documents/128572>

Effective Coordination of Recovery Resources for State, Tribal, Territorial, and Local Incidents. Available at: <https://www.fema.gov/media-library/assets/documents/101940>

Long-Term Community Recovery Toolbox. Available at: https://www.fema.gov/media-library-data/20130726-1841-25045-2720/ltrc_toolbox_508compliant_062112.pdf

FEMA National Exercise Program. Available at: <https://www.fema.gov/national-exercise-program>

Community Recovery Management Toolkit. Available at: <https://www.fema.gov/community-recovery-management-toolkit>

FEMA CNMS Tool. Available at: <https://msc.fema.gov/cnms>

Preparedness and Planning Support (Non-FEMA Resources and Studies)

APA Website. Available at: www.planning.org

APA Planning for Post-Disaster Recovery: Next Generation. Available at: <https://www.planning.org/research/postdisaster/>

NTEMC Website. Available at: <http://ntemc.org/>

U.S. Department of Health and Human Services (HHS) – American Indian and Alaskan Native Disaster Preparedness Resource. Available at: <https://www.phe.gov/Preparedness/planning/abc/Pages/tribal-preparedness.aspx>

NCAI – Emergency Management. Available at: <http://www.ncai.org/policy-issues/tribal-governance/emergency-management>

NCAI – Taxation. Available at: <http://www.ncai.org/policy-issues/tribal-governance/taxation>

Community and Regional Resilience Institute Website. Available at: <http://www.resilientus.org/>

Daniel J. Weiss and Jackie Weidman. Disastrous Spending: Federal Disaster-Relief Expenditures Rise Amid More Extreme Weather (Washington: Center for American Progress, 2013). Available at: <https://www.americanprogress.org/wp-content/uploads/2013/04/WeissDisasterSpending-1.pdf>

Fairfax County Emergency Plans. Available at:

<https://www.fairfaxcounty.gov/emergencymanagement/emergency-plans>

Hillsborough County Post-Disaster Redevelopment Plan (PDRP). 2010. Available at:

<http://www.hillsborough.org/en/residents/public-safety/emergency-management/post-disaster-redevelopment-plan>

How to Make Cities More Resilient. 2012. Available at:

http://www.unisdr.org/files/26462_handbookfinalonlineversion.pdf

Hurricane Sandy Rebuilding Strategy. 2013. Available at:

<http://portal.hud.gov/hudportal/documents/huddoc?id=HSRebuildingStrategy.pdf>

Long-Term Community Recovery Plan, City of Galveston, TX. 2009. Available at:

<http://www.cityofgalveston.org/DocumentCenter/View/192>

Long-Term Recovery Guide, NVOAD, 2012. Available at: <https://www.nvoad.org/mdocs-posts/long-term-recovery-guide/>

Motion to Approve a Mutual Aid Agreement with the Seminole Tribe of Florida for Law Enforcement Services. City of Pembroke Pines, FL. Available at:

<https://ppines.legistar.com/MeetingDetail.aspx?ID=600370&GUID=090743C0-FDAD-4FD6-906D-2F6FDA1B8FE1&Search=>

New York City Hurricane Sandy After Action Report, 2013. Available at:

https://www1.nyc.gov/assets/housingrecovery/downloads/pdf/2017/sandy_aar_5-2-13.pdf

Panama City PDRP, 2008. Available at:

<https://www.floridadisaster.org/globalassets/importedpdfs/panama-city-post-disaster-redevelopment-plan.pdf>

Post-Disaster Redevelopment Planning: State of Florida Initiative. Available at:

<https://www.floridadisaster.org/globalassets/importedpdfs/post-disaster-redevelopment-planning-workshop.pdf>

Pre-Disaster Planning for Post-Disaster Recovery: Case Studies. Community Service Center at the University of Oregon. 2010. Available at: http://redevelopment.net/wp-content/uploads/2010/09/CRS-Case-Studies_Final.pdf

Planning for Post-Disaster Recovery: Next Generation. Available at:

<https://www.planning.org/research/postdisaster/>

Rebuilding Greensburg, Kansas as a Model Green Community: A Case Study. National Renewable Energy Laboratory (NREL) Technical Report/TP-6A2-45135. November 2009. Available at: <http://www.nrel.gov/docs/fy10osti/45135-1.pdf>

FEMA Grant Recipient Guidance

FEMA New Recipients of Disaster Grants Guide. Available at: <https://www.fema.gov/media-library/assets/documents/179496>

PA Resources

FEMA Debris Contracting Guidance. Available at: <https://dps.mn.gov/divisions/hsem/disaster-recovery/Documents/dmp-appendix-i.pdf>

PA Program and Policy Guide. Available at: <https://www.fema.gov/media-library/assets/documents/111781>

PA: Local, State, Tribal, and Private Non-Profit. Available at: <http://www.fema.gov/public-assistance-local-state-tribal-and-non-profit>

Top 10 Procurement Under Grant Mistakes Leading to Audits and Potential Loss of FEMA PA Funding. Available at: https://www.fema.gov/media-library-data/1506978167717-61cdf0784cbba7f976f8a66700f04f3e/Top_10_FEMA_Grant_Procurement_Mistakes_20170928.pdf

PA Administrative Plan Template. Available at: <https://www.hsl.org/?abstract&did=732819>

PA Contracting Requirements Checklist. Available at: <https://www.fema.gov/media-library/assets/documents/135802>

PDAT Website: <https://www.fema.gov/procurement-disaster-assistance-team>

Top 10 Procurement Under Grants Mistakes: <https://www.fema.gov/media-library-data/1557347000457-1eb78c466ff98f5a58eb6ca7a67ff73b/PDATTop10PuGMistakesFlyer.pdf>

Supplement to the PDAT Field Manual: <https://www.fema.gov/media-library-data/1466525379386-2a9382db5b667def50cf9f2f7b482ee8/FEMAProcurementUnderGrantsFieldManualSupplementFinal.pdf>

"PA Fact Sheet: Procurement Conducted Under Exigent or Emergency Circumstances": https://www.fema.gov/media-library-data/1537192764124-4c99f98f8cf5b63584ac80d252b0a9b5/EE_Procurement_PA_Fact_Sheet_1-18-2018_508_FINAL.pdf

"PA Fact Sheet: Reasonable Cost Evaluation"- https://www.fema.gov/media-library-data/1539879525279-d00ae1c43f9765c5a4b415e1a31202c5/PA_Reasonable_Cost_Evaluation_Job_Aid_508_FINAL_1-0-16-2018.pdf

IA Resources

IA Program and Policy Guide. Available at: <http://www.fema.gov/individual-assistance-program-and-policy-guide>

IHP Unified Guidance. Available at: <https://www.fema.gov/media-library/assets/documents/124228>

IA Program Tools. Available at: <https://www.fema.gov/individual-assistance-program-tools>

IHP and ONA Administrative Plan. Available at: <http://www.fema.gov/media-library/assets/documents/31206>

Hazard Mitigation Resources

Hazard Mitigation Planning. Available at: <https://www.fema.gov/hazard-mitigation-planning>

Local Mitigation Planning Handbook. Available at:
<http://www.fema.gov/library/viewRecord.do?id=7209>

Pre-Disaster Mitigation Grant Program. Available at: <https://www.fema.gov/pre-disaster-mitigation-grant-program>

Tribal Mitigation Plan Review Guide. Available at: [http://www.fema.gov/media-library/assets/documents/18355](https://www.fema.gov/media-library/assets/documents/18355)

Tribal Mitigation Planning Resources. Available at: <https://www.fema.gov/tribal-mitigation-planning-resources>

Tribal Mitigation Planning Handbook: <https://www.fema.gov/media-library/assets/documents/179207>

Grants

FEMA Grants Management Toolkit. Available at: <https://www.fema.gov/grants-management-toolkit>

FEMA PA Program and Policy Guide. Available at: <https://www.fema.gov/media-library/assets/documents/111781>

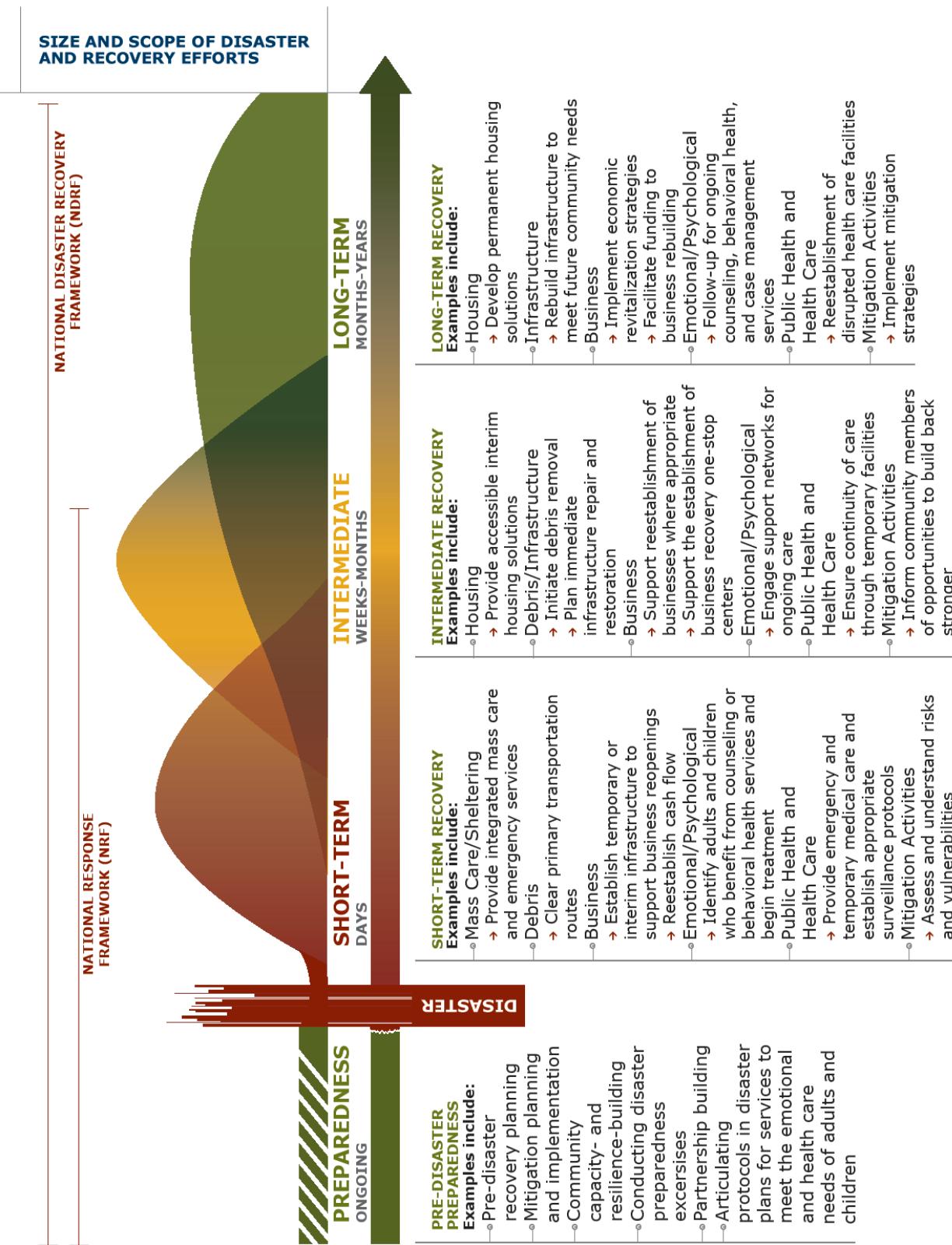
HUD CDBG Disaster Recovery Program. Available at:
<https://www.hudexchange.info/programs/cdbg-dr/>

USDA RD Programs. Available at: <https://www.rd.usda.gov/programs-services/all-programs>

Federal Grant Policies. Available at: <https://www.grants.gov/web/grants/learn-grants/grant-policies.html>

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Annex E: Recovery Timeline



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Annex F: Typical FEMA Recovery Programs

FEMA's New Recipients of Disaster Grants Guide is a consolidated resource guide that outlines all the regulatory and policy deadlines and requirements of the disaster grants process. The FEMA New Recipients Guide is a useful reference tool for recipients with limited to no experience navigating the IA, PA, and HMGP. To access the guide, visit <https://www.fema.gov/media-library/assets/documents/179496>.

Individual-Oriented Resources

FEMA provides assistance to individuals and households through the IA program, which includes the following components:

Crisis Counseling Assistance and Training Program (CCP)

CCP is a supplemental assistance program that provides community-based outreach and psycho-educational services. Supplemental funding for crisis counseling is available through two grant mechanisms: (1) the Immediate Services Program, which provides funds for up to 60 days of services immediately following a disaster declaration; and (2) the Regular Services Program, which provides funds for up to nine months following a disaster declaration.

More information about this program can be found here: <https://www.fema.gov/recovery-directorate/crisis-counseling-assistance-training-program>

Disaster Unemployment Assistance (DUA)

DUA is available for tribal governments to provide unemployment benefits and reemployment services to individuals who are unemployed as a result of a Presidential Disaster Declaration, and who are not eligible for regular State Unemployment Insurance. The U.S. Department of Labor (DOL) oversees this program.

More information about this program can be found here:

<https://workforcesecurity.dolleta.gov/unemploy/disaster.asp>

Disaster Legal Services (DLS)

DLS provides assistance to low-income individuals who, prior to or because of the disaster, are unable to secure legal services adequate to meet their disaster-related needs. DLS staff are not FEMA employees, but volunteer attorneys who can help with insurance claims, legal papers lost during the disaster, home repair contacts/contractors, landlord problems, proof of ownership, and FEMA appeals.

More information about the program can be found here: <https://www.disasterassistance.gov/get-assistance/forms-of-assistance/4464>

Disaster Case Management (DCM)

DCM is a time-limited program between a case manager and a disaster survivor to develop and carry out a Disaster Recovery Plan. The plan includes resources, services, decision-making priorities, progress reports, and the goals needed to achieve case closure. This program is administered by FEMA in partnership with the HHS Administration for Children and Families (ACF). When implementing DCM, the state has three options: Direct Federal DCM Services Only

(lasts up to 180 days from the date of declaration), State DCM Grant Only (lasts up to 24 months from the date of declaration), or Direct Federal and State DCM Grant (Direct Federal lasts 180 days while State can last 18 months, not to exceed 24 months from the disaster declaration).

More information about this program can be found here:

<https://www.acf.hhs.gov/ohsepr/resource/dcm-fact-sheet>

Individuals and Households Program (IHP)

IHP provides financial assistance and direct services to eligible individuals and households who have uninsured or underinsured necessary expenses and serious needs. It is not a substitute for insurance and won't compensate for all losses caused by a disaster. IHP is limited to 18 months following the date of a disaster declaration. The period of assistance begins at the date of presidential declaration and not the date on which the disaster is designated for IA. The President may extend this.

Housing Assistance (HA)

FEMA provides 100% of federal HA costs. Financial housing assistance comes in the forms of lodging expense reimbursement, rental assistance, repair, and replacement. Direct housing assistance comes in the form of multi-family lease and repair, manufactured housing units, and permanent or semi-permanent housing construction.

Other Needs Assistance (ONA)

ONA is subject to a cost share between FEMA and the tribal government. FEMA covers 75% of eligible ONA costs and the tribal government is responsible for the remaining 25%. ONA is divided into two categories that can be dependent or non-dependent on the individual's ability to secure a U.S. Small Business Administration (SBA) loan. Non-SBA-dependent types may include funeral, medical, dental, childcare, and assistance for miscellaneous items. People who do not qualify for an SBA loan (which provides a low-interest loan to cover personal property, transportation, and moving/storage during a disaster) may also be eligible for assistance that covers personal property, moving and storage, and transportation assistance.

More information about ONA and how to apply can be found here:

<https://www.disasterassistance.gov/get-assistance/forms-of-assistance/4473>

Community-Oriented Resources

FEMA provides assistance to communities through PA and Hazard Mitigation Assistance.

Public Assistance (PA)

PA provides grants to tribal governments and certain types of private non-profit organizations so that communities can quickly respond to and recover from major disasters and emergencies. Through the program, FEMA provides supplemental federal grant assistance for debris removal, life-saving emergency protective measures, and the repair, replacement, or restoration of disaster-damaged publicly owned facilities and the facilities of certain private non-profit organizations. The federal cost share is not less than 75% of the eligible cost. The recipient (in this case, the tribal government) determines how the non-federal share (up to 25%) is split with subrecipients (eligible applications). Applicants must file a request for PA within 30 days after the disaster declaration. More information on PA can be found here: <https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit>

- **Emergency Work**
 - Category A: Debris Removal and 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, and Category G: Parks, Recreational, and Other Facilities.

Public Assistance Alternative Procedures- Section 428

SRIA introduced Section 428 into the Stafford Act (42 U.S.C. 5121 et seq). Section 428 authorizes alternative procedures for the PA program under sections 403(a)(3)(A), 406, 407, and 502(a)(5). Section 428 allows greater flexibility in the administration of assistance. It also allows for an upfront cost calculation for multiple PA-eligible projects that facilitates more flexibility for the applicant. More information on this program can be found here:

<https://www.fema.gov/alternative-procedures>

Hazard Mitigation Assistance

FEMA funds mitigation measures to prevent or lessen the effects of a future disaster through HMGP (described further below). Building in resilience enables tribes to build back better and be better protected from the impacts of future disasters.

Section 404 – HMGP

Section 404 Mitigation refers to funding available for damaged and non-damaged facilities based on a percentage of dollars obligated to the PA and IA programs. HMGP assists in implementing long-term hazard mitigation planning and projects following a Presidential Disaster Declaration. Applicants must file a request for HMGP funds within 30 days of a disaster.

More information on this program can be found here: <https://www.fema.gov/hazard-mitigation-grant-program-guide-federally-recognized-tribal-governments>

Section 406 – Mitigation Programs:

Section 406 Mitigation is available for disaster-damaged facilities only, but unlike Section 404, Section 406 does not have a funding cap. Mitigation measures under Section 406 are funded under the PA program. The Section 406 program provides discretionary authority to fund mitigation measures in conjunction with the repair of the disaster-damaged facilities. As a result, the program is limited to declared counties and eligible damaged facilities. Applicants who have questions about Section 406 mitigation should contact the Tribal PA Officer assigned to their project(s).

More information on this program can be found here: <https://www.fema.gov/95261-hazard-mitigation-funding-under-section-406-stafford-act>