

ANNEX V
RECOVERY

I. SITUATION AND ASSUMPTIONS

- A. Recovery from a disaster or emergency involves actions and resources from local jurisdictions to return the situation to normal, or as near pre-disaster conditions as possible.
- B. In the event a major disaster occurs or an emergency strikes the Commonwealth, affected jurisdictions shall require assistance and support in recovering from the damage and destruction caused by the event. Agencies of state government, along with private relief agencies, shall provide emergency operations support. Under certain situations the federal government shall provide support to recovery operations in restoring public property, critical services, and where applicable, assistance in the restoration of private property.
- C. Damage assessment teams shall be required to collect damage information following a disaster. Such information after confirmation shall provide the basis for further action by the Governor.
- D. Hazard mitigation projects may also be initiated by local jurisdictions to enable immediate and long term hazard mitigation measures to be implemented following a Presidential Disaster Declaration.
- E. In the event of a nuclear, chemical, biological, or conventional attack, state and local government shall provide assistance in treating the injured, interring the dead and restoring property. Assistance from the federal government shall be provided, depending on the situation and availability of resources. During the post attack period, action may be taken to restore the economy, continue the war effort, and/or discontinue evacuation of the risk area.
- F. In the event a catastrophic event activates the Federal Disaster Response Plan, the Disaster Field Office (DFO) shall be the primary field location for the coordination of response and recovery operations. The DFO shall house the Federal Coordinating Officer (FCO) and the staff of the Emergency Response Team, and shall be located in or near the affected area. The office shall operate 24 hours a day, or with a schedule sufficient to sustain the federal response operations. Except where facilities do not permit, the FCO shall collocate with the State Coordinating Officer in the DFO.

II. MISSION

To provide coordination and guidance for recovery operations to include restoration of damaged or destroyed public property, services and assistance to private citizens affected by a major disaster or emergency. To coordinate damage assessment activities, presidential declaration requirements and facilitate Damage Assessment Reports and Project Applications. To coordinate and administer the state's Public Assistance, Individual Family Grant and Hazard Mitigation Programs.

III. DIRECTION AND CONTROL

Ky DES through the Disaster Assistance Branch is the lead state agency to coordinate support and assistance for recovery operations throughout the Commonwealth. The Governor's Authorized Representative (GAR) shall represent the state with the federal government or other organizations responsible for recovery operations. Direction shall be provided by on-site staff personnel and through written directives.

IV. CONCEPT OF OPERATIONS

- A. Recovery operations shall be carried out in conformance with state and federal regulations governing disaster assistance programs.
- B. Recovery operations shall continue until otherwise directed by the state EOC.
- C. If directed by the appropriate authority recovery operations shall revert to preparedness, response, or increased readiness phase.
- D. Recovery operations shall be coordinated appropriate surrounding states.
- E. All agencies must insure that proper documentation and records are maintained throughout recovery operations.
- F. Local and state government must be prepared to continue recovery operations until all actions have been completed. Recovery operations may continue long after the emergency response workers have left the scene.
- G. As part of the recovery process, local jurisdictions should conduct Hazard Analysis and Vulnerability studies to determine if the jurisdiction can benefit from mitigation measures.

- H. In the event of a threatened or impending emergency or disaster, a County Judge/Executive, Mayor of a city, or Mayor of an urban-county government, or their designees may declare that a state of emergency exists in accordance with KRS 39.400. Tab V-1-3 contains instructions and blank forms for a Local Declaration of an Emergency.
- I. Federal Response Plan-Disaster Field Office (DFO)
1. If the Federal Response Plan is activated by a Presidential declaration a Federal Coordinating Officer (FCO) shall be appointed. The FCO shall work with the State Coordinating Officer (SCO) to identify needs and support requirements, and coordinate the requirements with the Emergency Support Functions.
 2. An Emergency Response Team (ERT) Advance Element, followed by a fully staffed ERT, shall deploy to the field to conduct response and recovery operations. When fully operational, FEMA's regional level response structure shall consist of the FCO supported by the ERT in the DFO. Emergency Support Functions (ESFs) shall deliver response and recovery operations in the field.
 3. The DFO shall be the primary field location for the coordination of response and recovery operations. It shall house the FCO, ERT and staff. The DFO shall be located in or near the disaster area and shall operate 24 hours a day, or on a sufficient schedule to maintain response and recovery operations. Unless facilities are limited the FCO and SCO shall be colocated in the DFO.
 4. The Federal Response Plan utilizes a functional approach to group the types of federal assistance under twelve Emergency Support Functions (ESFs). The twelve ESFs serve as the primary mechanism under which federal response assistance shall be provided to Kentucky. Each ESF is headed by a primary federal agency with other federal agencies providing support as necessary to carry out the function. Primary agencies have been assigned on the basis of having the most resources and capabilities in a particular functional area.
 5. Each ESF has been preassigned a number of missions under which assistance shall be provided. The primary agency, with one or more support agencies, shall be responsible for managing the

ESF operations. The ESF's major responsibilities are contained in Appendix A-6.

6. State and local governments shall maintain direction and control of disaster response operations. Federal assistance is to supplement state and local response operations and shall be provided based on state identified requirements and priorities.
7. Each ESF shall establish a liaison in the DFO to work directly with its state counterpart to identify state resource requirements. These requirements shall be communicated to the FCO, who shall work with the ESFs, to ensure coordination of available resources.
8. A Primary Joint Information Center staffed with public affairs representatives from federal and state governments shall be established in the DFO. The center is to ensure the coordinated, timely and accurate release of information to the news media and public. On scene congressional relations staff shall also locate in or near the DFO.

V. ADMINISTRATIVE SUPPORT

- A. Administrative support shall be provided by state government cabinets or agencies which have been tasked to assist in recovery operations. Available Ky DES administrative support shall be utilized where appropriate.
- B. Augmentation and training shall be carried out as outlined in the applicable publications and directives listed in this Annex.

VI. GUIDANCE PUBLICATIONS

- A. Disaster Declaration Request Handbook, Ky DES.
- B. Public Assistance Program State Administrative Plan.
- C. Hazard Mitigation Grant Program State Administrative Plan.
- D. Post-Disaster Hazard Mitigation Planning Guidance For State and Local Governments, FEMA 1990.
- E. Local Hazard Mitigation Program Handbook, Ky DES 1991.
- F. Hazard Mitigation Grant Program Handbook, Ky DES

1990.

G. Hazard Mitigation Grant Program Administrative Handbook, Ky DES 1991.

H. Individual Family Grant Program State Administrative Plan.

VII. APPENDICES

- V-1 Damage Assessment.
- V-2 Requesting a Major Disaster or Emergency Declaration.
- V-3 Damage Survey Reports and Project Applications.
- V-4 Duties of the State Coordinating Officer.
- V-5 Disaster Application Centers.
- V-6 Individual and Family Grant Program.
- V-7 Public Assistance Program.
- V-8 Hazard Mitigation Grant Program.

APPENDIX V-1
DAMAGE ASSESSMENT

I. SITUATION AND ASSUMPTIONS

Should a natural or man made disaster occur within the state, an assessment of the extent of damages to both public and private property shall be required. Although initial reports of the situation may be received from many sources (individuals, police, amateur radio, etc.), the official report shall be that received from the local chief executive.

II. MISSION

To confirm through all available sources the damage resulting from a disaster. The result of the assessment and confirmation shall provide the basis for further action by the Governor.

III. DIRECTION AND CONTROL

Ky DES shall direct the conduct of damage assessments when damage has occurred within the Commonwealth as a result of natural, technological, or war disasters.

IV. CONCEPT OF OPERATIONS

- A. The Initial Disaster Assessment Report shall be made to the State EOC by the local chief executive and may be transmitted by telephone or FAX. Written reports should be submitted as soon as possible following the initial report. Tab V-1-1 contains the Initial Disaster Report utilized in the State EOC and should be used as a guide as to the types of information to be reported.
- B. Ky DES may conduct an on site inspection of the impacted area(s), or may request through the Adjutant General or the Governor's Office that a joint Preliminary Damage Assessment (PDA) be conducted.
- C. Should the on site inspection indicate that state or federal aid may be required, a Damage Assessment Report shall be necessary.
- D. State damage assessment teams shall, at the discretion of Ky DES, proceed to the disaster area to complete the assessment. Local government officials, assisted by the Area Coordinator(s) shall complete Damage Assessment Reports to the maximum extent possible prior to the arrival of the state assessment team(s). Tab V-1-1 contains forms utilized for on site inspections and should be used as a guide as to the types of information required by

the inspection teams.

- E. Ky DES shall determine the number of personnel required for a joint PDA and from which agencies they will be assigned. The number and size of the teams shall be governed by:
 - 1. Extent of damage,
 - 2. Size of the impacted area,
 - 3. Number of eligible categories of damage.
- F. The completed Damage Assessment Report and a letter requesting assistance (See Tab V-1-2) shall provide the basis for the Governor's decision to declare that an emergency exists as authorized by KRS 39.400. The letter must state that the emergency situation is beyond the capability of the local jurisdiction to resolve. During early recovery the initial assessment report shall be the basis for all allocations of state resources.
- G. Should the damage assessment reports indicate that the magnitude of the disaster warrants assistance from the federal government, as verified by the state assessment team, the reports shall form the basis for a request to the President for aid under the provisions of PL 93-288, as amended. In the event of a Presidential Disaster Declaration, local government officials shall also be required to submit a report of disaster related expenditures.
- I. Responsibilities
 - 1. Kentucky Disaster and Emergency Services shall:
 - a. Notify those agencies responsible for providing damage assessment team personnel.
 - b. Coordinate the efforts of the assessment teams.
 - c. Consolidate, if necessary, assessment reports for presentation to the Governor.
 - 2. Local government shall provide damage assessment teams to prepare preliminary reports, assist the state and federal damage assessment teams, and locate damaged areas on a map of the jurisdiction.

V. TABS

V-1-1 Damage Assessment Reports.

V-1-2 Sample Letter Requesting State Assistance.

V-1-3 Sample Local Declaration of a State of Emergency.

**TAB V-1-1
DAMAGE ASSESSMENT REPORTS**

DES 24 Hour Phone No. (502) 564-7815

INITIAL DAMAGE ASSESSMENT REPORT

1) DATE _____ 2) POLITICAL SUBDIVISION _____
3) REPORTING OFFICIAL _____ 4) PHONE NUMBER _____

SUMMARY OF CASUALTIES

NUMBER OF:

5) DEAD _____ 6) EVACUATED _____
7) MISSING _____ 8) SHELTERED _____
9) HOSPITALIZED _____ 10) FAMILIES REQUIRING TEMPORARY HOUSING _____

RESIDENCES

11) DESTROYED _____ 12) UNINHABITABLE _____ 13) DAMAGED (HABITABLE) _____

NUMBER OF HOSPITALS

14) DAMAGED BUT USABLE _____ 15) NOT SERVICEABLE _____

UTILITIES

16) WATER SYSTEMS _____ 17) ELECTRICAL SYSTEMS _____
18) SEWER SYSTEMS _____ 19) NATURAL GAS SYSTEMS _____

DAMS AND LEVEES

20) DESTROYED _____ 21) DAMAGED _____ 22) THREATENED _____

PUBLIC BUILDINGS

23) DAMAGED _____ 24) DESTROYED _____

ROADS AND BRIDGES

25) ROADS/STREETS DAMAGED _____ 26) ROADS/STREETS BLOCKED _____
27) BRIDGES DAMAGED/USABLE _____ 28) BRIDGES DAMAGED/UNUSABLE _____
29) EMINENT THREATS OR HAZARDS _____

GENERAL SITUATION

DES Form 521
1 October 1988

INSTRUCTIONS ON BACK

INSTRUCTIONS

The purpose of this form is to expedite procedures for local government in reporting damages to the Division of Disaster and Emergency Services. When calling the State Emergency Operations Center while using this form, just say "Assessment Report" prior to giving the information.

- Block 1: Date (Self Explanatory)
- Block 2: Political Subdivision – Give name of the County and City(s) which are included in the report.
- Block 3: Reporting Official – Name of person calling in report. Should be either the County Judge, City Mayor, DES Director or Damage Assessment Team Leader.
- Block 4: Phone Number – Number at which the person making the report can be reached if further information is needed.
- Block 5: Dead – Number of confirmed dead due to the disaster or emergency.
- Block 6: Evacuated – Number of persons evacuated from the affected area.
- Block 7: Missing – Number of persons who cannot be accounted for due to the disaster or emergency.
- Block 8: Sheltered – Number of persons being fed and sheltered in group shelters.
- Block 9: Hospitalized – Number of persons hospitalized by injury or sickness caused by the specific disaster or emergency.
- Block 10: Families requiring temporary housing – Estimated number of persons needing temporary housing due to damages caused by the disaster or emergency.
- Block 11: Residences Destroyed – Number of homes/mobile homes which are beyond repair.
- Block 12: Residences Uninhabitable – Number of homes/mobile homes which are damaged and not usable at present time, but can be repaired.
- Block 13: Residences Damaged (Habitable) – Number of homes/mobile homes damaged but livable by occupants while being repaired.
- Block 14: Hospitals Damaged – Number of hospitals which sustained damage but can still render services to patients.
- Block 15: Hospitals Not Servicable – Number of hospitals which can no longer provide services to patients due to damages.
- Block 16: Water Systems – Number of those systems receiving damage or destroyed. (If possible include estimated number of people affected.)
- Block 17: Electrical Systems – Number of those systems damaged or destroyed. (If possible include number of people affected.)
- Block 18: Sewer Systems – Number of those systems damaged or destroyed. (If possible include estimated number of people affected.)
- Block 19: Natural Gas Systems – Number of those systems damaged or destroyed. (If possible include number of people affected.)
- Block 20: Dams Destroyed – Number of dams/levees which have been breached due to the disaster. (Give location if possible.)
- Block 21: Dams Damaged – Number of dams/levees which have received damage but are still stable. (Give location if possible.)
- Block 22: Dams Threatened – Number of dams/levees which have been topped, have cracks or are close to being breached. (Give location if possible.)
- Block 23: Public Buildings Damaged – Courthouses, Schools, etc. which receive damage to building and/or contents.
- Block 24: Public Buildings Destroyed – Courthouses, Libraries, Schools, etc. which are completely destroyed.
- Block 25: Roads/Streets Damaged – Number (and miles if possible) of roads damaged but passable.
- Block 26: Roads/Streets Blocked – Number of roads that are impassible due to damage or debris.
- Block 27: Bridges Damaged/Usable – Number of bridges damaged but usable with caution.
- Block 28: Bridges Damaged/Unusable – Number of bridges which are destroyed or determined unsafe for use.
- Block 29: Imminent Threats or Hazards – Any information about existing or developing situations which could pose a threat or hazard to the public.

General Situation: Provide any additional information deemed necessary specifying:

1. What is the situation?
2. What you are doing to respond to the situation?
3. What assistance from state resources is needed?
4. What are priority problems?

INSTRUCTIONS

DES Form 501 is used to report damages to **publicly-owned** (including medical, custodial care, educational, emergency or utility private non-profit) facilities. This information will help determine the need for state and federal disaster assistance.

INCIDENT NUMBER: For state DES use only.

CITY: Enter the name of the city where damages occurred. City officials should not report any damages which are outside their jurisdiction.

COUNTY: Enter the name of the county where damages occurred. County officials should not report any damages which are outside their jurisdiction.

TYPE OF DISASTER: Indicate type of event. If not listed, check block 4 and enter specific event.

DAMAGE Enter the names of the people who conducted the survey.

DATE: Enter the date of the survey.

LOCATION: Enter the name or location of the damaged facility or site, such as City Hall or C.R. 33, 1.6 miles north of city limits. Be specific.

DESCRIPTION OF DAMAGE: Describe damage to facility or site.

MAP NO: Mark location of facility on map.

CATEGORY: Estimate disaster-related costs at each site for:

- A - debris removal
- B - warning signs, barricades, sandbags, etc.
- C - streets, roads and bridges
- D - dams and levees
- E - libraries, schools, city halls, courthouses, fire stations, etc. and equipment
- F - sewer, water, gas and electrical utilities
- G - swimming pools, playgrounds, ballparks, bleachers, fences, scoreboards, etc.

INS: Estimate that portion of damages that will be covered by insurance.

TOTALS: Add amounts in each column.

TAB V-1-2
LETTER REQUESTING STATE ASSISTANCE

Date of Letter

The Honorable (Name)
Governor, Commonwealth of Kentucky
The Capitol
Frankfort, Kentucky 40601

Dear Governor (Name):

This is to advise you that County/City has experienced a devastating (Flood, Tornado, etc.) on (Date) causing considerable human suffering and widespread damages to public and private property and to vital public facilities.

I have have expended the maximum amount of equipment, time and personnel effort that the (County/City) is capable of providing to alleviate suffering and now find that the situation is beyond the capability of the (County/City) for adequate response A State of Emergency was declared on (Date).

As a consequence, I have declared, under KRS Chapter 39, that a State of Emergency exists in (County/City) and request assistance from the state as detailed on the attached Damage Assessment Report.

Sincerely,

(Signature of Judge/Executive
or Mayor)
(Name of County or City)

Attachment

TAB V-1-3
SAMPLE LOCAL DECLARATION OF A STATE OF EMERGENCY

DECLARATION OF A LOCAL STATE OF EMERGENCY

(Date Declaration is Effective)

WHEREAS, on (Dates Emergency/Disaster Occurred) a
(Flood, Tornado, etc.) occurred in (County/City), Kentucky; and

WHEREAS, (Brief Description of the Damages) _____

_____ ;and

WHEREAS, this situation creates a considerable hardship
for the citizens of (County/City); and

WHEREAS, local government has the responsibility to
protect the public health, safety and welfare, and to mitigate
the effects of such events.

NOW, THEREFORE, I (Name and title of the Chief Executive Issu-
ing the Order), by the authority vested in me by KRS 39.409(2)
and KRS 39.416(1), do hereby declare that a State of Emergency
exists in (County/City) for the period (Duration of the State
of Emergency), and direct that:

1. The local Emergency Operations Plan shall be fully
executed;

2. The (Title of the DES/CD Coordinator/Director) shall
direct the (Type of DES/CD Organization) to provide such as-
sistance as can be delivered from available local resources
and shall coordinate all agencies of local government to
provide assistance to (County/City);

3. All agencies of (County/City) shall cooperate to the ful-
lest extent with (Type of DES/CD Organization) and shall
provide such assistance as may be required for response to
this emergency.

4. Under this State of Emergency, as provided in KRS
39.409(2)(d) and 45A.380(1)(7) (Title of Chief Executive) can
waive procedures and formalities otherwise required by the law
pertaining to: a) performance of public work, b) entering into
contracts, c) incurring obligations, d) employment of permanent

and temporary workers, e) utilization of volunteer workers, f) rental of equipment, g) appropriation and expenditure of public funds.

(Signature of Chief
Executive)
(County/City)

(Name and Title of Clerk
of the Promulgating
Jurisdiction)

APPENDIX V-2
REQUESTING A MAJOR DISASTER OR EMERGENCY DECLARATION

I. SITUATION AND ASSUMPTIONS

The Federal Emergency Management Agency (FEMA) monitors developing and/or existing disaster or emergency situations. When it becomes evident that federal assistance to supplement state and local capabilities may be required, the Governor or the DES Executive Director shall contact the FEMA Regional Director for assistance and advice regarding federal programs and resources which may be available. In any case, only the Governor or acting Governor may request a Presidential Disaster Declaration.

II. MISSION

To outline procedures to be followed when requesting a Presidential Disaster Declaration.

III. DIRECTION AND CONTROL

The Governor, Adjutant General, DES Executive Director with the Disaster Assistance Branch Manager shall provide the guidance and direction to be followed when requesting a Presidential Disaster Declaration.

IV. CONCEPT OF OPERATIONS

A. When determining to request a major disaster declaration, the Governor must rely on damage assessment reports, other reports from state and local officials, and confirmed information from other sources (insurance agencies and adjusters, Red Cross, etc.). Ky DES personnel shall assist in the decision making process by:

1. Preparing a concise summary of the extent of public and private damages and the number of people affected.
2. Determining the extent of the area affected by the incident.
3. Preparing an estimate of the types and extent of federal assistance required.
4. Conferring with FEMA regarding eligibility for federal assistance.

B. The decision to request a declaration must be made with full consideration of assistance available through federal agencies (e.g. USDA) under the continuing authority of those agencies. Before, or

concurrent with the request, the Governor must declare a State of Emergency in the Commonwealth and direct execution of the State Emergency Operations Plan.

C. When it has been determined that a major disaster declaration is necessary, the Governor shall submit a written request to the President via FEMA. The request should be based upon the finding that because of the severity and magnitude of the disaster effective response is beyond state and local capabilities and that federal assistance is required. The Governor's request must include:

1. A preliminary estimate of the extent and severity of damages listed by type, such as private non-agricultural, agricultural and public.
2. A statement of actions pending or taken by state and local governments in response to the situation.
3. Certification that for the current disaster state and local obligations and expenditures shall constitute a reasonable part of state and local funds for alleviating disaster related damage, loss, hardship, or suffering. This certification must include the following:
 - a. Pursuant to Federal Emergency Management Agency regulations, I certify that the total of expenditures and obligations for this disaster for which no federal reimbursement shall be requested are expected to exceed \$ XXXXX in accordance with the following table.

Category of Assistance	State	Local
Individual Assistance		
Housing	\$	\$
Individual and Family Grant	\$	\$
Mass Care	\$	\$
Other (Specify)	\$	\$
Total	\$	\$
Public Assistance		
Debris and Wreckage Removal	\$	\$
Protective Work	\$	\$
Restoration of Public Facilities	\$	\$

Water Control Facilities	\$	\$
Public Buildings	\$	\$
Public Utilities	\$	\$
Recreational Facilities	\$	\$
Other (Specify)	\$	\$
Total	\$	\$

- 4. An estimate of the extent and nature of federal assistance needed in the state, listed by category of public or individual assistance, for each affected area for which federal assistance is requested. This shall include the estimated federal funds required for each category.
- 5. Certification that a State of Emergency exists in the state and that the State Emergency Operations Plan has been executed.
- D. The Governor's request for a Presidential Disaster Declaration does not automatically include the Hazard Mitigation Grant Program authorized in PL 93-288, as amended. This program for mitigation must be specifically requested by the Governor's Authorized Representative, if it is found necessary, within sixty days of the Presidential declaration.
- E. The wide range of federal assistance authorized by a major disaster declaration may not be requested in those situations requiring limited assistance. In some cases, the Governor may request an emergency declaration by which specialized or limited federal assistance may be provided for specific needs.
- F. FEMA upon receipt of the Governor's request shall evaluate the situation and the information submitted to determine whether a major disaster declaration is appropriate. This evaluation shall include review of the Governor's request and information obtained in the joint PDA. Since the decision to approve or to deny the request, as well as, the types of assistance available if approved, shall be determined by this evaluation, state and local officials must collect accurate and reliable damage reports and must be able to show federal survey teams the areas of damage.
- G. Upon completion of the evaluation, the Governor's request shall be approved or denied. It may be approved for all or part of the assistance requested and for all or some of the jurisdictions included. After approval is given, the FEMA Regional Director

shall forward to the Governor the Federal-State Agreement under which the assistance programs shall be administered. This agreement shall specify the period of incidence of the disaster and the counties approved for assistance. Exhibit A of the agreement shall specify the conditions under which financial assistance is provided. Exhibit B of the agreement shall designate state representatives authorized to execute duties on behalf of the Commonwealth.

V. TAB

V-2-1 Items Evaluated During the Review of a Major Disaster Request.

TAB V-2-1

ITEMS EVALUATED DURING THE REVIEW OF A MAJOR DISASTER REQUEST

1. GENERAL

All information and data in the state request and regional summary along with the recommendation shall be reviewed and evaluated by the Federal Emergency Management Agency.

2. STATE AND LOCAL COMMITMENT

- A. What is the percent of state commitment and percent of local commitment?
- B. What are the state and local governments doing to correct the damage and damage related problems?
- C. What are the state and local governments doing with respect to mitigation and contingency planning?
- D. What additional resources are being committed by state and local governments?
- E. What is the relationship between the state and locals?
- F. Is the state treating this event like a major disaster?
- G. Are the local governments treating this event like a major disaster?
- H. What are the authorities of COE, FHWA, DOED, SCS and other federal agencies?
- I. What can voluntary agencies, private citizens and private companies do to assist?

3. EVENT DESCRIPTION

- A. What is the magnitude of the event?
- B. Is it localized or widespread?
- C. What was the type of hazard(s)-flash flooding, slow rise flooding, tornadoes, earthquakes, hurricane, series of storms?
- D. Did the event impact a rural or urban area?
- E. When was the last damaging event in the impacted area (declared or undeclared)?
- F. What actions have the state and local governments taken that shall lessen future damages?
- G. Is there any action that was agreed to or required for

a previous disaster that was not done that caused damage?

H. What is the state's disaster or damaging events history?

4. EXTENT OF DAMAGES

- A. Are the damages localized or widespread?
- B. Damages by categories (debris, emergency measures, road systems, utilities systems, parks, etc.).
- C. Is the damage only to roads or is there damage to many public facilities?
- D. Are the facilities destroyed or damaged and not usable?
- E. What is the average cost per site for road repair, bridge repair and other facility repair?
- F. Have any of these facilities been damaged before by a disaster?
- G. What is the insurance coverage?

5. IMPACT ON POPULATION AND PROPERTY

- A. What are the impacts to people and improved property?
- B. What are the impacts with respect to health and safety?
- C. If so, how many and where are people isolated?
- D. What type of people are impacted-elderly, poor, unemployed?
- E. Is there raw sewage discharges or sewer system shutdown? Is the water system shutdown? How long before emergency repairs are complete and what are the impacts?
- F. How many bridges are destroyed or nonpassable and what is the detour length? How long before emergency repairs are complete? How long before permanent repairs are complete? What is the impact on school bus and mail routes?

6. BUDGET CONSIDERATIONS

- A. What is the state's total budget?
- B. Does the state have an emergency fund for such purposes and how has it been utilized in the past?

- C. What is the major affected local government's total budget?
 - D. Is there any item in the budget which caused an imbalance?
 - E. What is the total budget for the major damage (usually roads)? What are the components of that budget?
 - F. Comparison of budgets with other counties-do the budgets provide adequate coverage?
 - G. What is the budget cycle?
7. POPULATION STATISTICS
- A. What is the population of the state?
 - B. What percent of the population is impacted by this event?
 - C. Population of the county, town, or city?
8. ECONOMIC CONDITIONS
- A. General economic climate to include the unemployment situation.
 - B. Age and type of affected population? Income of affected population, and degree of unemployment?

APPENDIX V-3
DAMAGE SURVEY REPORTS AND PROJECT APPLICATIONS

SITUATION AND ASSUMPTIONS

Damage Survey Report (DSR) and Project Application (PA) preparation and submission are accomplished through the combined efforts of federal, state and local officials each having specific responsibilities at each step of the process.

I MISSION

To define responsibilities at all levels of government and provide guidance and assistance as needed for the preparation and submission of Damage Survey Reports and Project Applications.

II DIRECTION AND CONTROL

While accomplishment of these actions is the joint responsibility of federal, state and local government, the coordination of resources and support of the federal effort shall be provided by the Disaster Assistance Branch.

I CONCEPT OF OPERATIONS

A. A briefing shall be conducted in the disaster area by the Governor's Authorized Representative (GAR) to inform local officials of the types of assistance available, application procedures, funding options and responsibilities of the applicant. This briefing should be held as early as possible after the declaration.

1. Responsibilities of Local Officials

- a. Ensure attendance of designated local representatives who are familiar with all types of damages in the jurisdiction.
- b. Complete a Notice of Interest (FEMA Form 90-49) to show types of damages incurred and to permit assignment and scheduling of damage survey teams. A sample form is in Tab V-3-3.

2. State (DES) Responsibilities

- a. In coordination with the Federal Coordinating Officer (FCO), select the time and location for the applicant's briefing.
- b. Ensure availability of a meeting place.

- c. Notify local officials of the date, time, place and purpose of the meeting.
- d. Ensure attendance by appropriate state and federal officials.
- e. Confirm date, time and place with local officials.
- f. Provide briefing for state agencies when appropriate.
- g. Advise local officials in selection of an Applicant's Agent.
- h. Meet with the Applicant's Agents to discuss detailed record keeping requirements.

B. Damage Survey Reports (DSRs) (FEMA Form 90-91)

- 1. Survey teams, each having one federal, one state and one local representative, shall inspect damages and disaster related expenditures and shall prepare a DSR for each item. These DSRs shall form the basis for project applications, and should describe the item inspected, location, work proposed or required and estimated costs. Tab B-3-4 contains a sample DSR.
- 2. Local Responsibility
 - a. Identify for the survey, all damage sites and disaster related costs for which federal assistance is to be requested.
 - b. Assign knowledgeable local representatives to the Damage Survey Teams.
 - c. Instruct local representatives to sign each DSR and to indicate agreement or disagreement with the findings of the state and federal inspectors.
- 3. Ky DES Responsibility
 - a. Coordinate with the appropriate state agencies, as determined by the nature of damages to be surveyed, for assignment of personnel for damage survey teams.
 - b. Ensure that state agency representatives attend the Inspector's Briefing.

- c. Coordinate with the FCO to schedule damage surveys and to determine the number of survey teams required.

C. Project Applications (PA) (FEMA Form 90-4)

1. After DSRs are completed, multiple copies shall be delivered to the FCO by the participating federal agency and a copy shall be given to the appropriate local officials. After FCO review and approval, the DSRs shall be forwarded to the GAR for distribution to local officials.
2. Local Responsibilities
 - a. Designate an Applicant's Agent by completing DES Form 500. Tab V-3-2 contains a sample form.
 - b. Review each DSR for accuracy of damage descriptions, cost estimates and eligibility recommendation.
 - c. Determine, with assistance from the GAR and on the basis of the DSRs, the funding option to be selected.
 - d. Review information provided during the Applicant's Briefing.
 - e. Determine if additional damage surveys are required.
 - f. Submit signed PA and other required documents to the GAR.
3. Ky DES Responsibilities
 - a. Review each DSR for accuracy of cost estimates, damage description and work proposed as eligibility recommendation.
 - b. Advise the Applicants' Agents in the selection of funding options on the basis of DSRs and local needs.
 - c. Explain cost sharing requirements to local officials.
 - d. Return disapproved PAs to the Applicants' Agents with an explanation of disapproval.

- e. Upon disapproval, advise the applicant of the reasons for the disapproval and determine if there are reasonable grounds for an appeal.
- f. Explain the requirements for completion dates, inspections, documentation of cost and compliance with bid and contract law.

D. Inspections

- 1. Final inspection of large projects is required by FEMA regulation to ensure that work is performed in accordance with the PA and that assistance funds are properly expended. In addition, interim inspections may be made by federal or state representatives.

- 2. Local Responsibilities

- a. Be prepared for interim inspection by complying with starting and completion date requirements, and documentation requirements.
- b. Request interim inspections if necessary.
- c. Upon completion of large projects, notify the GAR and provide documentation of cost.
- d. Provide local representatives for final inspection.
- e. Complete a project listing and send it to the GAR.

- 2. Ky DES Responsibilities

- a. Make or request interim inspection, as appropriate.
- b. Coordinate with appropriate state and federal agencies to schedule interim and final inspections.
- c. Ensure completion of final inspections within a reasonable period after request.

E. Documentation and Audits

- 1. Each applicant receiving over \$25,000 in federal funds in a fiscal year shall have an audit made in accordance with 44 CFR Part 14 and the Single Audit Act.

2. Local Responsibilities

- a. Maintain complete documentation of expenditures for approved items of work, identifying costs by DSR number and category.
- b. For large projects approved under Sections 403,406,407, or 502 submit to the GAR a Summary of Documentation (DES Form 508) and all supporting documentation for state review. Tab V-3-4 contains a sample Summary of Documentation.
- c. When approved under Section 422, maintain documentation for possible audit and submit a completed project listing.

3. Ky DES Responsibilities-GAR and SCO

- a. Advise and assist local officials in the preparation and maintenance of documentation and preparation of records for audit.
- b. Review documentation to assure identification of costs with items of work.
- c. Review audit reports to insure compliance with program regulations and guidelines.
- d. Prepare a voucher analysis after completion of work.
- e. Submit voucher analyses and projecting listing to FEMA for closeout.

V. TABS

- V-3-1 DSR Preparation and Project Application Submission.
- V-3-2 Designation of Applicant's Agent.
- V-3-3 Notice of Interest.
- V-3-4 Sample DSR.
- V-3-5 Summary of Documentation.

TAB V-3-1
DSR PREPARATION AND PROJECT APPLICATION SUBMISSION

I. SITUATION AND ASSUMPTIONS

Damage Survey Reports (DSRs) (FEMA Form 90-91) form the basis for all Project Applications (PAs) and supplemental applications. Disaster related expenditures and damages which are not reported in a DSR shall not be considered for federal reimbursement. For this reason, the applicant and state must ensure that all such expenditures and damages are reported and included in damage surveys for DSR preparation.

II. MISSION

To ensure that Damage Survey Reports are properly prepared and that they include all expenditures and damages related to the incident or disaster.

III. DIRECTION AND CONTROL

Local officials are responsible for reviewing Damage Survey Reports when submitting a Project Application(PA) to ensure that all requirements are met. The applicant and the state must ensure that all disaster related expenditures and damages are reported and included in the damage surveys for DSR preparation.

IV. CONCEPT OF OPERATION

- A. Local officials should ensure that all damaged facilities are included in the Notice of Interest (FEMA Form 90-49) which is completed at the Applicant's Briefing. Tab V-3-3 contains a sample notice.
- B. Local representatives on damage survey teams should sign each DSR and indicate their agreement or disagreement with the findings of the federal and state inspectors. Any subsequent appeals of eligibility findings, cost estimates and/or scope of work shall depend significantly upon this point.
- C. DSRs substantiate work to be done under the Project Application. The amount of approved federal funding shall be determined by DSR estimates. Local officials should review each DSR to ensure the accuracy of cost estimates, work proposed and eligibility determination.
- D. Federal policy requires that each applicant appoint an agent to act on behalf of the applicant in all matters relating to federal disaster assistance. Tab V-3-2 contains DES Form 500, Designation of

Applicant's Agent.

1. The Applicant's Agent must be appointed by the action of the local governing authority (Fiscal Court, City Council, etc.)
2. The appointing document (DES Form 500) must be forwarded to the Governor's Authorized Representative (GAR).
3. All payments of funds for the applicant shall be paid by state treasury check payable to the applicant in care of the Applicant's Agent.
4. The Applicant's Agent must sign all documentation (PAs, payment requests, etc.) related to the assistance program.
5. The Applicant's Agent should be familiar with all damages incurred.
6. The Applicant's Agent shall have the authority to select funding options, alternate projects and to make other required decisions.

E. Funding Options

1. Under provisions of PL 93-288, as amended, applicants for disaster assistance may, within specific limitation, select from three funding options. Because the benefits of this program depend heavily upon the proper selection of funding, local officials should carefully consider this decision in regard to local considerations and needs. The following information shall assist both state and local officials. Selection of a funding option is the responsibility of the Applicant's Agent.
2. If an applicant wishes to make improvements but still restore the predisaster function of a damaged facility, the GAR's approval must be obtained. Federal and state funding for improved projects shall be based on the approved DSR estimate of eligible costs.
3. When an applicant decides that the public welfare would not be best served by restoring a damaged public facility, the GAR may request that the FEMA Region Director approve an alternate project.
 - a. This option may be taken only on permanent work.

- b. Federal funding is limited to 90% of the federal share of the approved DSR estimate.
- c. Before beginning construction of any alternate project, the applicant shall submit to the GAR for approval by the FEMA Region Director the following:
 - 1) Description of the proposed work,
 - 2) Schedule of work,
 - 3) Projected cost of the project.

4. Project Funding

- a. Large Projects. When the approved estimate of eligible costs for an individual project is \$38,500 or greater, federal funding shall equal the federal share of actual eligible costs documented by the applicant.
- b. Small Projects. When the approved estimate of costs for an individual project is less than \$38,500, federal funding shall equal the federal share of the approved estimate of eligible costs.

**TAB V-3-2
DESIGNATION OF APPLICANT'S AGENT**

DESIGNATION OF APPLICANT'S AGENT

BE IT RESOLVED BY: _____ OF: _____
Governing Body City, County, Other Entity

THAT _____
Name of Designated Agent Official Position

is hereby authorized to execute for and in behalf of _____
City, County, Other Entity

a public entity established under the laws of the State of Kentucky, applications for the purpose of obtaining and administering certain federal financial assistance under the Disaster Relief Act of 1974 (Public Law 93-288) and to file them in the appropriate state office.

PASSED AND APPROVED THIS _____ DAY OF _____, 19 _____

_____ Name and Title	_____ Name and Title
_____ Name and Title	_____ Name and Title
_____ Name and Title	_____ Name and Title

CERTIFICATION

I, _____, duly appointed _____
Title
of _____, do hereby certify that the above is a true and correct copy of a resolution passed and approved by the _____
Governing Body
of _____ on the _____ day of _____, 19 _____

Date Signature

DES Form 500
1 March 1982

LOCAL APPLICANT'S AGENT

Each city or county included in a Presidential disaster declaration under Public Law 93-288 may be eligible for federal assistance to repair or replace damaged public facilities (such as roads and bridges, water systems, libraries, etc.) or to provide reimbursement for the cost of disaster response (such as debris removal, evacuation, sand bagging, etc.). When this happens, the local government must designate an Applicant's Agent who will be authorized by the Fiscal Court or the City Council/Commission to represent the county or city with federal and state agencies managing these public assistance programs.

Much of the work of an Applicant's Agent will start as soon as the disaster occurs. To save time in the first few days following a disaster, DES recommends that the Applicant's Agent be designated BEFOREHAND. By doing this, the county or city will give the person selected a chance to become familiar with these programs and to establish local procedures and systems before the disaster occurs.

The court or council/commission should be particularly selective in naming an Applicant's Agent. The designation must be made by the action of the full body and should be recorded in the official record as any other ordinance or resolution would be. The court or council should carefully select a person who is able to perform the duties that will be assigned.

The person picked must also be able to spend the major amount of time required to do the job. Once the Applicant's Agent is selected the court or council must give the agent their support and help.

In simplest terms, the Applicant's Agent will represent the local government in managing the county or city project applications for federal disaster assistance funds. The agent will be the contact person for state and federal agencies dealing with the disaster programs. This person will be responsible for managing federal funds provided for the community, for following state and local bid and contract procedures, for maintaining auditable records and for seeing that all work is accomplished before the completion dates are reached.

The position of Applicant's Agent is highly responsible and requires a good deal of time and strong managerial skills. The person selected must have the full confidence of the Fiscal Court or the Council/Commission and must be given sufficient authority to take the steps required under Federal regulations.

Some counties and cities have appointed the County Judge Executive or Mayor to serve as agent. Others have named the County Engineer, County Treasurer, City Manager or others. The choice is entirely up to the city or the county.