



# DISASTER COST RECOVERY ANNEX

FUNCTIONAL ANNEX TO THE  
COUNTY OF SANTA CLARA EMERGENCY OPERATIONS PLAN



**PROCUREMENT  
DEPARTMENT**



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**Suggested citation for this planning document**

Office of Emergency Services. (2017). *Disaster cost recovery functional annex to the County of Santa Clara emergency operations plan*. San Jose, CA: County of Santa Clara.



## RECORD OF CHANGES

Number	Date	Section #	Description
01.	January 2017	NA	Initial Publication
02.			
03.			
04.			
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## MESSAGE FROM THE COUNTY EXECUTIVE

Over the past several years, the geographic area known as Santa Clara County has experienced numerous disasters of varying scale and impact. The Office of the County Executive relies upon the staff of the Office of Emergency Services, the Finance Agency, the Employee Services Agency - Risk Management, and the Procurement Department to establish and implement a framework for the internal control and management of the disaster cost recovery process. This Annex provides the necessary tools, templates, policy and procedural guidance necessary for County departments and agencies to implement financial management practices required to remain eligible for State and/or Federal disaster assistance and relief.

Key objectives to focus on:

- Outline the disaster cost recovery process, to include the establishment of necessary roles and responsibilities for County departments and staff with regard to:
  - Pre-planning
  - Risk management
  - Emergency accounting, procurement, and purchasing
  - Damage assessment and documentation
  - Project identification
  - State and Federal grant monitoring and reporting
  - Project closeout
  - State and Federal audits
- Prepare best practices for long-term recovery efforts, including best practices for project worksheet documentation
- Ensure compliance with all applicable State and Federal laws, regulations, and rules

I want to acknowledge County staff, particularly members of the Finance Agency, the Procurement Department, and the Office of Emergency Services for their long-hours of hard work to produce this Functional Annex to the County of Santa Clara Emergency Operations Plan. This document, and the support material contained herein, will serve as the primary guide for the County to establish an emergency financial management framework and the processes necessary to recover all eligible disaster-related costs and to eliminate the threat of State and/or Federal de-obligation of assistance or relief funds due to poor pre-planning or administrative system failure.

A handwritten signature in blue ink, appearing to read 'Jeffrey V. Smith', is written over a horizontal line.

**Jeffrey V. Smith, M.D., J.D.**  
County Executive



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## ACKNOWLEDGEMENTS

We would like to acknowledge contributions from the following cities and towns; special districts; county departments and agencies; state agencies; federal agencies; and other planning partners:

### County Departments

Office of Emergency Services\*  
Finance Agency\*  
Procurement Department\*  
County Executive's Office  
Emergency Medical Services  
Facilities and Fleet Department  
Information Services Department/GIS  
Planning and Development Department  
Roads and Airports Department

### Local Jurisdictions

City of Campbell  
City of Cupertino  
City of Gilroy  
City of Los Altos  
City of Milpitas  
City of Monte Sereno  
City of Mountain View  
City of Morgan Hill  
City of Palo Alto  
City of San Jose  
City of Santa Clara  
City of Saratoga  
City of Sunnyvale  
Town of Los Altos Hills  
Town of Los Gatos

### Special Districts

Santa Clara County Fire District  
South Santa Clara County Fire District  
Santa Clara Valley Water District  
Valley Transportation Authority

### Partner Jurisdictions

City of Foster, County of San Mateo  
City of San Mateo, County of San Mateo  
City of Houston

### State Agencies

Cal Fire  
Cal OES  
California Specialist Training Institute

### Federal Agencies

FEMA Region IX  
FEMA-Office of General Counsel

### Volunteer Organizations

American Red Cross  
Collaborating Agencies in Disaster Relief Efforts (CADRE)  
Community Emergency Response Team (CERT)

### Project Consultant

Michael Martinet, MS, CEM -  
The Martinet Group, LLC

\*Lead County Agencies for the development of the County of Santa Clara's Disaster Cost Recovery Annex



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## HOW TO USE THIS PUBLICATION

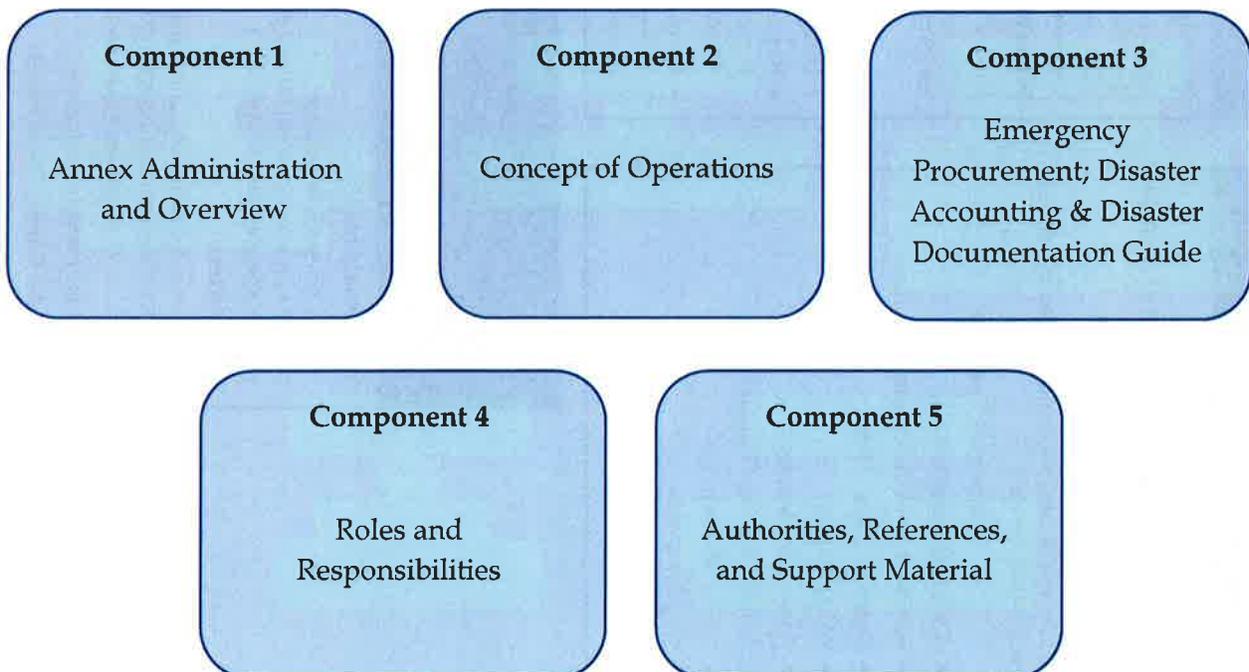
The Disaster Cost Recovery Functional Annex is organized into five components, as shown below; a summary of each component follows on the next several pages. This planning document is not meant to be read from beginning to end in just one sitting – or even several sittings. This publication was designed for a variety of audiences, operating under a broad range of emergency conditions, utilizing this document at various times throughout an extended – cost recovery process.

Each component is intended to be read by a particular audience at a particular time; for instance, the Roles and Responsibilities Component is organized by agency and is an excellent source of condensed information that relates to how each agency is tasked to perform actions within the scope of this planning document.

A summary of each component; including information related to when each component should be used, as well as their intended audiences follows on the next several pages.

**NOTE:** If this Annex has been activated, response and support personnel should utilize the following components (components are listed in descending priority order):

- **Component 2 – Concept of Operations:** to gain broad understanding and perspective
- **Component 3 – Emergency Procurement, Disaster Accounting, and Disaster Documentation Guidance:** as needed
- **Component 5 – Authorities, References, and Support Material:** as needed
- **Component 4 – Roles and Responsibilities:** to provide response and support personnel, both internal and external, with a brief synopsis of each agency’s role and responsibilities under the authority of this Annex



## Component 1

### Annex Administration and Overview

#### Who should read?

Agency planners & leaders; partner agencies and jurisdictions

#### When to read?

Before event; during training; during annex review and revision

#### Component Contents

- Acknowledgements
- Messages from the County Executive
- Notes on Use of Terms
- Promulgation
- Annex Development
- Annex Planning Organization
- Annex Maintenance
- Training & Exercises

## Component 2

### Concept of Operations

#### Who should read?

Agency planners & leaders; response/recovery directors, coordinators, and personnel (including EOC members and departmental staff); partner agencies and jurisdictions

#### When to read?

During training; during event through project close-out for context; during annex review and revision

#### Component Contents

- Purpose, Scope, and Assumptions
- Disaster Cost Recovery Group description
- Response – Illustrates the various relationships between active organizational entities during response, as it relates to disaster cost recovery
- Recovery – Illustrates the various relationships between active organizational entities during response, as it relates to disaster cost recovery

## Component 3

### Supplemental Guide: Emergency Procurement; Disaster Accounting and Disaster Documentation Guide

#### Who should read?

Agency planners; response/recovery directors coordinators, and personnel (including EOC members and departmental staff); partner agencies and jurisdictions

#### When to read?

During training; during event through project close-out as reference; during annex review and revision

#### Component Contents

- Emergency Procurement Policy
- Disaster Accounting Policy
- Disaster Documentation Requirements
- Local, State, and Federal Compliance Requirements

## Component 4

### Roles and Responsibilities

#### Who should read?

Agency planners & leaders; response/recovery coordinators/directors; partner agencies and jurisdictions

#### When to read?

Before event; during training; during event as refresher; during annex review and revision

#### Component Contents

- R&R for Local Jurisdictions
- R&R for County Departments
- R&R for Private Organizations
- R&R for State Agencies
- R&R for Federal Agencies

## Component 5

### Authorities, References, and Support Material

#### Who should read?

Agency planners, response/recovery coordinators, directors, and personnel (including EOC members and departmental staff), as needed; partner agencies and jurisdictions

#### When to read?

During training; during event through project close-out as reference; during annex review and revision

#### Component Contents

- Authorities and References
- Acronyms
- Support Material (i.e. required forms, etc.)



## COMPONENT 1: ANNEX ADMINISTRATION AND OVERVIEW

### Intended Audience

The intended audience for this component includes the following:

- Department leaders tasked with the implementation of this functional annex
- Departmental/ Agency/Jurisdictional planners within the Santa Clara County Operational Area likely to participate in, or contribute to, any disaster planning, response, and/or recovery activities
- State and federal auditors
- Partner and ancillary organizations and jurisdictions

### When to Read

This component is intended to be read:

- Before any emergency/disaster event to ensure compliance with established County policies with the ultimate intention of promulgation
- During plan review/revision cycle

### Summary

The purpose of *Component 1: Administration and Overview* is:

- For local jurisdictions to develop local cost recovery planning products in alignment with County policies and procedures
- For state and federal auditors to evaluate the comprehensiveness of the County’s cost recovery planning, as well as the effectiveness of the County’s cost recovery policies and procedures
- To inform partner and ancillary organizations of the County’s cost recovery policies and procedures
- To provide the following information, as required by County’s standard emergency management planning document format and local planning conditions. See table below:

County OES - Standard Annex Administration Component			
Record of Changes	pg 2	Table of Contents	pg 22
Message from the CEO	pg 4	Annex Administration	pg 28
Acknowledgements	pg 6	Annex Development	pg 28
How to Use this Publication	pg 8	Annex Planning Organization	pg 28
Notes on Use of Terms	pg 18	Annex Maintenance	pg 32
Promulgation	pg 20	Training and Exercises	pg 32



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## COMPONENT 2: CONCEPT OF OPERATIONS

### Intended Audience

The intended audience for this component include:

- Departmental/Agency/Jurisdictional planners within the Santa Clara County Operational Area likely to participate in, or contribute to, any disaster planning, response, and/or recovery activities
- State and federal auditors
- Partner and ancillary organizations and jurisdictions

### When to Read

This component is intended to be read:

- During training to educate annex stakeholders on the document's purpose, scope, and assumptions
- During training to educate annex stakeholders on the operational coordination concepts utilized by all defined organizational entities identified throughout the Cost Recovery Functional Annex
- During emergency or disaster event through project close-out for operational context;
- During plan review/revision cycle

### Summary

The purpose of *Component 2: Concept of Operations* is:

- For local jurisdictions to develop local cost recovery planning products in alignment with County policies and procedures
- For state and federal auditors to evaluate the comprehensiveness of the County's cost recovery planning, as well as the effectiveness of the County's cost recovery policies and procedures for compliance purposes
- To inform partner and ancillary organizations of the County's cost recovery policies and procedures

Component 2 begins with a description of the planning purpose and scope, as well as a catalog of the assumptions that County planners utilized as parameters for this planning document. Changes in the planning environment may alter the anticipated outcome of this document. Additionally, any operation that deviates from the stated planning purpose, scope, and assumptions (page 36) outlined in this publication may produce unintended or unanticipated outcomes.

Component 2 goes on to define the Disaster Cost Recovery Group, as this is the primary organizational entity tasked with the coordination of disaster cost recovery actions before, during, and after any applicable emergency/disaster. This component continues to detail for County leaders various activation considerations for this Functional Annex, and the Disaster Cost Recovery Group, as well as the County's notification policy.



**IMPORTANT:** This component outlines the relationship(s) between the various organizations that are associated with necessary disaster cost recovery actions under three conditions:

1. Event without an EOC Activation that requires cost recovery actions (page 43)
2. Event with an EOC Activation that requires cost recovery actions (page 44)
3. Transition from Response to Recovery (page 47)

*Component 2: Concept of Operations* continues with a thorough description of essential cost recovery actions, including:

- Departmental Accounting Process for Disaster Response (page 47)
- Damage Identification & Assessment Process (page 47)
- Input for Emergency Proclamation (page 51)
- Flowchart; Federal Public Assistance Process Flowchart (page 52)
- Flowchart: California Disaster Assistance Act Process Flowchart (page 53)
- Overview of Transition from Response to Recovery (page 54)
- Local Disaster Recovery Framework & Disaster Cost Recovery Activities (page 54)
- Departmental Accounting Process for Disaster Response (page 56)
- Summary of Funding – Primary Sources (page 57)
- Summary of Funding – Additional Sources (page 61)
- Insurance Claim Reimbursement Process (page 62)
- State Public Assistance via CDAA – Project Development Process (page 63)
- Federal Public Assistance – Project Development Process (page 66)
- Duplication of Benefits (page 71)

## **COMPONENT 3: EMERGENCY PROCUREMENT; DISASTER ACCOUNTING AND DISASTER DOCUMENTATION GUIDANCE**

### **Intended Audience**

The intended audience for this component include:

- Departmental/Agency/Jurisdictional planners within the Santa Clara County Operational Area likely to participate in, or contribute to, any disaster planning, response, and/or recovery activities
- State and federal auditors
- Partner and ancillary organizations and jurisdictions

### **When to Read**

Before event; during training; during event through project close-out; during plan revision/rewrite



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## Summary

The purpose of *Component 3: Emergency Procurement; Disaster Accounting and Disaster Documentation Guidance* is:

- For local jurisdictions to develop local cost recovery planning products in alignment with County policies and procedures
- For state and federal auditors to evaluate the comprehensiveness of the County's cost recovery planning, as well as the effectiveness of the County's cost recovery policies and procedures for compliance purposes
- To inform partner and ancillary organizations of the County's cost recovery policies and procedures

*Component 3: Emergency Procurement, Disaster Accounting, and Disaster Documentation – Supplemental Policy Guide* is intended to provide readers with the reference material necessary to accomplish the disaster cost recovery actions that are detailed within *Component 2: Concept of Information*.

The County's Emergency Procurement policy is the first subject for which detailed guidance is provided. **IMPORTANT:** Compliance with the guidance contained in this section is essential for the County to remain eligible for state and/or federal reimbursement of disaster-related costs. The emergency procurement issues addressed in this functional annex include:

- Contracts (page 76)
- Small Dollar Purchases (page 76)
- Sealed Bids (page 77)
- Informal Request for Quote (page 77)
- Competitive Proposals – Request for Proposal (page 77)
- Piggyback Contracts (page 77)
- Single/Sole Source Procurement (page 77)
- Federally Acceptable Procurement Methods (page 78)
- Emergency County P-Card (Emergency Credit Card) (page 78)

The next subject addressed in *Component 3* is the County's Disaster Accounting Policy. The information within this section outlines the accounting procedures to be implemented upon activation of this functional annex, including:

- Statistical Internal Order (page 79)
- Emergency Payroll (page 79)
- Funds Management (page 82)
- Insurance Claim Process/Settlement (page 83)

The final subject addressed in *Component 3* is Disaster Documentation Requirements. This content is intended to provide the reader with instructions on how to document the various cost recovery related activities described throughout *Component 2: Concept of Operations*, including:



- Contract Documentation (page 83)
- Contract Folder Checklist (page 83)
- Overview Damage Documentation (page 84)
- Work and Cost Documentation (page 85)
- Documentation for each Category of Work (page 90)
- Compliance (page 100)
- Record Keeping (page 102)
- Audits (page 102)

## COMPONENT 4: ROLES AND RESPONSIBILITIES

### Intended Audience

The intended audience for this component include:

- Departmental/Agency/Jurisdictional planners within the Santa Clara County Operational Area likely to participate in, or contribute to, any disaster planning, response, and/or recovery activities
- State and federal auditors
- Partner and ancillary organizations and jurisdictions

### When to Read

- Before event
- During event, as refresher (particularly if department and/or agency leader)
- During plan review/revision cycle

### Summary

The purpose of *Component 4: Roles and Responsibilities* is:

- For local jurisdictions to develop local cost recovery planning products in alignment with County policies and procedures
- For state and federal auditors to evaluate the comprehensiveness of the County's cost recovery planning, as well as the effectiveness of the County's cost recovery policies and procedures
- To inform partner and ancillary organizations of the County's cost recovery policies and procedures

*Component 4: Roles and Responsibilities* is intended to provide agency leaders with a quick point-of-reference to understand their organization's role and responsibilities in accordance with this planning document. The table below catalogues the various agencies that have been tasked to perform some action(s) in this functional annex.



<b>Agency Roles and Responsibilities</b>			
All local jurisdictions	p. 106		
<b>County of Santa Clara Departments and/or Agencies</b>			
All Operating Departments	p. 108	Planning and Development (PLN)	p. 118
Office of Emergency Services (OES)	p. 109	Information Services Department/Geographic Information Services (ISD/GIS)	p. 120
Finance Agency (FIN)	p. 111	Risk Management Division - County Executive Office (CEO - Risk Management)	p. 121
Procurement (PRC)	p. 113	Office of County Counsel (CCO)	p. 122
Roads and Airports (RDA)	p. 114	County Executive Office (CEO)	p. 123
Facilities and Fleet (FAF)	p. 116	County of Santa Clara Board of Supervisors (BOS)	p. 124
<b>Private Organizations</b>			
Private Non-Profits	p. 125	Private Property Owners	p. 125
<b>State Agencies</b>			
California Office of Emergency Services (Cal OES)	p. 126	California Office of the Governor	p. 126
<b>Federal Agencies</b>			
FEMA Region IX	p. 128	Office of the President of the United States of America	p. 129
FEMA Headquarters	p. 129		

## COMPONENT 5: AUTHORITIES, REFERENCES, AND SUPPORT MATERIAL

### Intended Audience

The intended audience for this component include:

- Departmental/Agency/Jurisdictional planners within the Santa Clara County Operational Area likely to participate in, or contribute to, any disaster planning, response, and/or recovery activities
- State and federal auditors
- Partner and ancillary organizations and jurisdictions



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## When to Read

- Before event
- During plan review/revision cycle

## Summary

The purpose of *Component 5: Authorities, References, and Support Material* is:

- For local jurisdictions to develop local cost recovery planning products in alignment with County policies and procedures
- For state and federal auditors to evaluate the comprehensiveness of the County's cost recovery planning, as well as the effectiveness of the County's cost recovery policies and procedures
- To inform partner and ancillary organizations of the County's cost recovery policies and procedures

The last component, *Component 5 References, Authorities, and Support Material*, provides users of this publication with a listing of all relevant authorities associated with this planning document (i.e., California Emergency Services Act, Chapter 7 of Division 1 of Title 2 of the Government Code) and applicable references (i.e., Public Assistance Program and Policy guide, April 2017) that may be used for further investigation and research.

Furthermore, this component provides the reader with a listing of documents and other support material (i.e., damage assessment forms) that emergency planners from the County anticipate as necessary to the efficient and successful recovery of any and all disaster-related costs that be eligible for reimbursement via state and/or federal funds.



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## NOTE ON USE OF TERMS

Discussions around Federal, State, and County government – not to mention the entire field of emergency management – are replete with jargon and acronyms. In an effort to make this planning document useful to the variety of staff needed to coordinate efforts in the event of a disaster, this section has been drafted to minimize jargon and acronyms wherever possible. For that purpose, full descriptive terms are spelled throughout the document. There are, however, several terms that would be repeated too often if spelled out throughout the document for which jargon or acronyms are included.

These commonplace terms are as follows:

- **DCRG** Disaster Cost Recovery Group
- **“Annex”** A component of a larger Plan, in this case, the Disaster Cost Recovery Plan (or Annex) is a functional annex to the County of Santa Clara Emergency Operations Plan
- **CalOES** California Office of Emergency Services
- **EOC** County Emergency Operations Center
- **FEMA** Federal Emergency Management Agency
- **SAP** County Accounting System (System Applications & Products)
- **P-Card** Procurement Card (County Visa Credit Card)
- **IDE** Initial Damage Estimate is the term used to describe the process by which local governments, including the County, estimate the damages and impacts from a disaster
- **“Joint” PDA** Joint Preliminary Damage Assessment is the term used to describe the process by which the Federal and State Governments jointly validate damage information at the applicants location

Additionally the terms “Disaster Cost Recovery Group” (DCRG) and “the Annex” are used throughout this document. Be advised that this document is considered to be “the Annex” which in its long-form name is “Disaster Cost Recovery Functional Annex to the County of Santa Clara Emergency Operations Plan.”

DCRG, a term specific to the County of Santa Clara. Based upon California’s Standard Emergency Management System (SEMS) Guidance for Multi-Agency Coordination Groups (MAC Groups), the DCRG is the multi-departmental working group that shepherds information and documentation from the actual disaster through to the recovery cost claiming process with the County, FEMA, and Cal OES.

The membership of the Group is ad hoc, but will likely include the following:

- Controller-Treasurer Department executive manager – usually the manager who served as the EOC Finance Section Chief during the disaster, assigned by the Controller-Treasurer
- Controller-Treasurer Department cost recovery accountant(s) – journey level accountant with training in claims for reimbursement from FEMA and Cal OES, assigned by the



#### Controller-Treasurer

- Procurement Department designee - specialist in emergency procurement practices assigned by the director
- County Office of Emergency Services designee(s) - emergency manager(s) assigned by the director
- Roads and Airports Department designee - specialist in damage identification/assessment and project development
- Facilities and Fleet Department designee - specialist in damage assessment/identification, and project development
- Representatives of the various operating departments impacted by the disaster



## PROMULGATION

The preservation of life, public health, improved property, and the environment are inherent responsibilities of local, State, and the Federal government. Additionally, history has demonstrated that government agencies must understand and strengthen their organization's disaster financial management and cost recovery procedures before and during times of disaster, in order to maintain and improve their ultimate charge to preserve life, public health, improved property, and the environment. While no plan can completely prevent error, reasonable plans - carried out by knowledgeable and well-trained personnel - can minimize loss of life, increase financial stability, and reduce negative impacts to improved property and the environment.

The County of Santa Clara Disaster Cost Recovery Functional Annex to the Emergency Operations Plan complies with California's Standardized Emergency Management System (SEMS), the National Incident Management System (NIMS), State and Federal procurement regulations, and Generally Accepted Accounting Principles (GAAP).

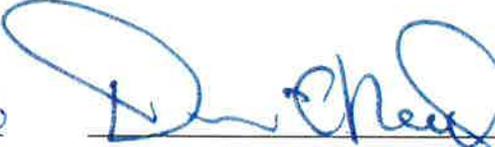
This Plan (or Annex), a functional annex to the Santa Clara County Emergency Operations Plan, establishes the emergency organization, assigns tasks, specifies policies and general procedures, and provides for coordination of planning efforts for respective staff.

This Annex will be reviewed and exercised periodically, and revised as necessary to satisfy changing conditions and needs.

The Office of the County Executive, the Office of Emergency Services, the Finance Agency, and the Procurement Department give their full support to this Annex and urge all officials, employees, and residents - individually and collectively - to do their share in the total emergency effort of the County of Santa Clara.

  
\_\_\_\_\_  
Garry Herceg  
Deputy County Executive  
Office of the County Executive

1/25/18  
Date

  
\_\_\_\_\_  
Dana Reed  
Director  
Office of Emergency Services

1/25/18  
Date

  
\_\_\_\_\_  
Emily Harrison  
Director  
Finance Agency

1/26/18  
Date

  
\_\_\_\_\_  
Jenti Vandertuig  
Director  
Procurement Department

12/5/17  
Date



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## ANNEX ADMINISTRATION



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## ANNEX ADMINISTRATION

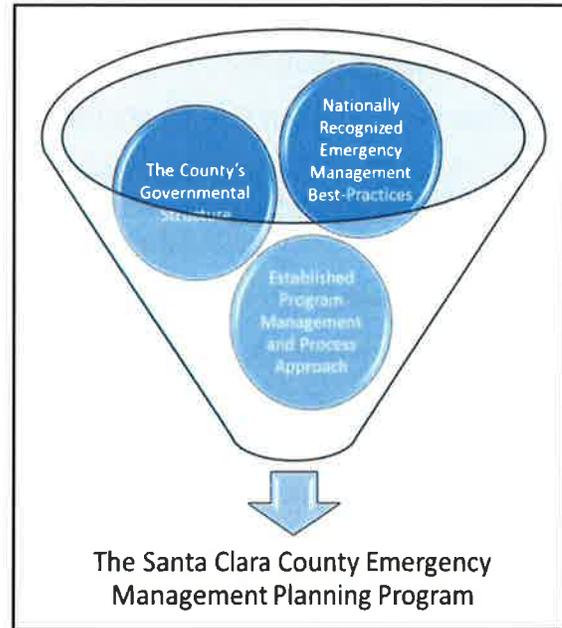
### ANNEX DEVELOPMENT

This Annex utilized a whole community planning approach consisting of the Operational Area Advisory Group for Emergency Planning, the Disaster Cost Recovery Annex Working Group, and four Sub-Working Groups, including:

1. Operational Coordination Sub-Working Group
2. Risk Management Sub-Working Group
3. Situational Awareness Sub-Working Group
4. Public Information and Warning Sub-Working Group

The County and other Operational Area stakeholder groups facilitated or participated in numerous events to gain insight, learn best-practices, and test the disaster cost recovery concepts detailed in this Annex, including:

- Hosted, and/or attended, a variety of training events:
  - Disaster Recovery (G270.4)
  - Disaster Cost Recovery Training (The Martinet Group, LLC)
  - Rapid Assessment Workshop (G557)
  - Procurement Under FEMA Awards
- Produced two event After-Action Reports:
  - Loma Fire
  - 2017 Winter Storms
- Conducted one workshop:
  - Disaster Cost Recovery Annex Working Group Meeting, November 2017



### ANNEX PLANNING ORGANIZATION

#### EMERGENCY OPERATIONAL AREA COUNCIL

The purpose of the Emergency Operational Area Council (EOAC) is to:

- Enhance planning and preparedness for large-scale emergencies
- Create partnerships in emergency planning, preparedness, and training and exercise within the Operational Area
- Consolidate activities of cities and special districts to participate more efficiently in



planning for future emergencies and disasters

- Provide access to public-private partners to participate in emergency planning preparedness
- Develop broad-based emergency preparedness and funding priorities and recommendations

The functional roles and responsibilities of the EOAC are:

- Coordinate, review, and recommend Board of Supervisor adoption of emergency and mutual-aid plans, as well as the ordinances, resolutions, rules, and regulations necessary to implement those plans and agreements
- Review and recommend disaster response policies, procedures, and funding priorities
- Ensure a unity of purpose in emergency plans, policies, and procedures
- Foster an effective flow of disaster information and emergency preparedness through training, uniformity in planning, response plans, and policies

The EOAC established disaster cost recovery as a planning priority after a demonstrated need for pre-planning was observed during the Loma Fire (2016) via communication with the County Executive's Office and the County Director of Emergency Services. This need was further underscored by the 2017 Winter Storm events.

### **SANTA CLARA COUNTY OPERATIONAL AREA ADVISORY GROUP FOR EMERGENCY PLANNING**

The Santa Clara County Operational Area (OA) Advisory Group for Emergency Planning is open to interested community stakeholders for participation; therefore, membership is dynamic. Members of the OA Advisory Group for Emergency Planning are composed of representatives from:

- Local jurisdictions (emergency managers, public works, public safety, etc.)
- Key County Departments (Fleets and Facilities, Roads and Airport, Chief Executive Office, Sheriff, etc.)
- Emergency managers, planners, and responders (from any sector, discipline, and organization/agency)
- Allied Agencies (i.e., Red Cross, CADRE, VTA, etc.)

The EOAC members served as a pool of subject-matter experts for the various topics covered under the provisions of the Disaster Cost Recovery Annex. Their participation was pivotal in the development of this Annex, without their dedication to public safety and fiscal stability and resiliency this planning document would not have been possible.

### **DISASTER COST RECOVERY ANNEX WORKING GROUP**

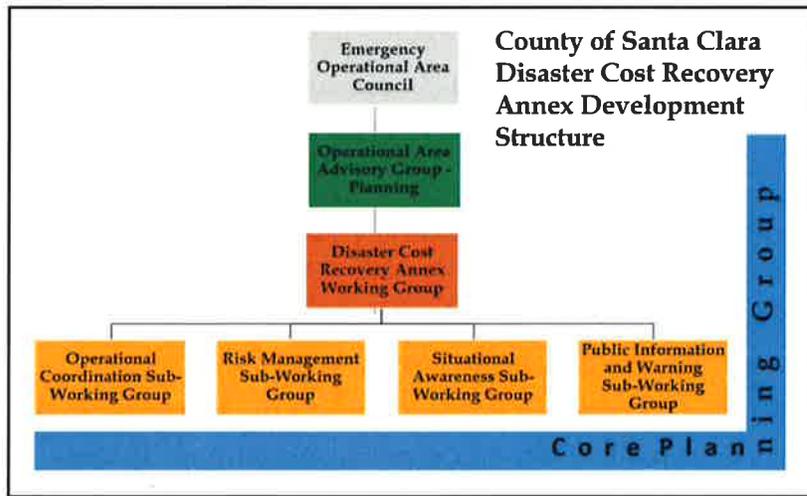
The Disaster Cost Recovery Annex Working Group was established as a temporary, multi-agency, inter-jurisdictional planning entity. The Working Group assisted with the development of the Annex framework, identified related subject matter experts, established divisions of labor, and developed work schedules necessary for the drafting of the Annex, as designated by the EOAC, and with assistance from the OA Advisory Group for Emergency Planning.



Below are some topics the Disaster Cost Recovery Annex Working Group investigated and contributed to throughout the planning process:

- Resource request process and tools
- P-Card protocols
- Asset tracking
- Purchase tracking
- Facility inventory
- Insurance claim process
- Operational Coordination Scenarios
- Disaster documentation
- County procurement policy
- Damage identification
- Damage assessment
- Public assistance process
- Individual assistance process
- Common operating picture/GIS platforms

The Disaster Cost Recovery Annex Working Group established four sub-working groups in order to collect, analyze, and synthesize information and resources necessary for the development of this Annex. Additionally, the sub-working groups, aligned with FEMA's core capabilities, were established to assist the County to identify program deficiencies and methodically enhance the County's EM capabilities.



Disaster Cost Recovery Annex Sub-Working Groups:

- Operational Coordination Sub-Working Group
- Risk Management Sub-Working Group
- Situational Awareness Sub-Working Group
- Public Information and Warning Sub-Working Group

### OPERATIONAL COORDINATION SUB-WORKING GROUP

The purpose of the Operational Coordination Sub-Working Group was to develop the decision-making framework that the Disaster Cost Recovery Group will employ before, during, and after an emergency or natural disaster to engage and manage applicable stakeholder groups - both internal and external - to effectively recover eligible disaster-related costs.

Developed Operational Coordination Scenarios:

- Operational Coordination Scenario #1 - An incident or event where the Disaster Cost Recovery Group, the OES Duty Officer, and no EOC activation was required
- Operational Coordination Scenario #2 - The Disaster Cost Recovery Group, the EOC,



operating departments, and external jurisdictions

- Operational Coordination Scenario #3 - The Disaster Cost Recovery Group and any Local Disaster Recovery organization

### **RISK MANAGEMENT SUB-WORKING GROUP**

The purpose of the Risk Management Sub-Working Group was to understand and incorporate the County's applicable insurance, emergency procurement and accounting, and disaster documentation to ensure adequate coverage, accurate damage assessment and documentation, and risk mitigation of State and Federal de-obligation of funding due to program non-compliance or a duplication of benefits. Additionally, this Sub-Working Group cataloged and systematized the County's disaster accounting and procurement policies to align with State and Federal laws, regulations, and rules.

### **SITUATIONAL AWARENESS SUB-WORKING GROUP**

The purpose of Situational Awareness Sub-Working Group was to evaluate the status of the Operational Area's Common Operating Picture (COP) for the purpose of accurate disaster cost recovery planning and to identify future planning needs. This Sub-Working Group was able to identify a definitive need to improve the Operational Area's COP. The Situational Awareness Sub-Working Group will continue planning efforts into the future with the goal of building a comprehensive COP. Any significant change to the Operational Area's COP should be made to this Annex and posted in the record of changes for future revisions.

### **PUBLIC INFORMATION AND WARNING SUB-WORKING GROUP**

The purpose of Public Information and Warning Sub-Working Group was to examine national best-practices and develop a public engagement strategy. The goal of the public engagement strategy is to create an access-point for the County residents and business-owners to report private property damage. Additionally, the Sub-Working Group will design tools to efficiently and effectively refer impacted private property owners to applicable disaster-assistance programs. Any future planning in the area should be incorporated, as part of any future revision.

### **CORE PLANNING GROUP**

The Disaster Cost Recovery Annex Core Planning Group (or simply, the Core Planning Group), consisted of personnel from the Office of Emergency Services (OES), the Finance Agency, and the Procurement Department. The Core Planning Group was responsible for coordination, leadership, and documentation of all advisory group, working group and sub-working group meetings. Additionally, the Core Planning Group was tasked to write, edit, and validate this Annex. As such, the Core Planning Group provides continuity, transparency, and a broad perspective in the drafting of all County and Operational Area planning products, including this Annex.

Over the course of approximately twelve months, the Core Planning Group held more than two dozen working meetings to:

- Investigate best-practices
- Review, and update, as necessary, existing County disaster-related procurement, accounting policies



- Incorporate lessons-learned from recent disaster events (Loma Fire, October 2016; Winter Storm, January 2017; Winter Storm, February 2017)
- Compose a planning document for County partnership and leadership review
- Finalize a Disaster Cost Recovery Annex for the County of Santa Clara

## ANNEX MAINTENANCE

The Office of Emergency Services (OES), in coordination with the Finance Agency, Procurement Department, and other essential stakeholders identified in this document from the County and the Operational Area, is responsible for the maintenance, review, and update of this Annex. They will—at a minimum—review this Annex every year and update the Annex every 3 years. It is essential that the Office of Emergency Services make revisions and updates, in collaboration with participating persons, local jurisdictions, and other planning partners identified in this Annex to ensure accuracy and validity. If this Annex requires an immediate change due to lessons learned from trainings, exercises, or actual incidents, County OES will identify a course of action for the review, update, and implementation of the necessary changes.

## TRAININGS AND EXERCISES

The County of Santa Clara Office of Emergency Services (OES) has established a Training and Exercise program to enhance the Santa Clara Operational Area's capability in the mission areas of prevention, mitigation, response, and recovery. The provisions of this planning document shall be incorporated into the County OES Training and Exercise – Annual Training Plan.

The nature of the training and exercise events is determined by the County OES Training and Exercise Section in collaboration with the County OES Planning Section and coordination with essential stakeholders identified in this planning document. Any lessons-learned via training/exercising should be documented and forwarded to the County OES Planning Section for planning product improvement.

## TYPES OF EXERCISES

Exercises are meant to test systems, plans, and procedures, not people. An exercise can be as simple as a topic discussion seminar or as complex as a full-scale, statewide exercise. It is the responsibility of the Training and Exercise team to determine the best method to use.

Exercises fall into the following classifications:

- Discussion-Based Exercises
  - Seminars
  - Workshops
  - Tabletop Exercises
  - Games
- Operations-Based Exercises
  - Drills
  - Functional Exercise
  - Full-Scale Exercises



**RELATED TRAINING COURSES**

<b>Local Training Courses</b>	
<b>Course ID</b>	<b>Course Title</b>
NA	Disaster Cost Recovery Annex Orientation (Local Course, to be developed)
<b>State Training Courses</b>	
G197	Integrating Access & Functional Needs into Emergency Planning
G270.4	Disaster Recovery
G235	Emergency Planning
G557	Rapid Assessment Workshop
LSEMSF-G611	Essential EOC Finance & Admin Section/Position Specific Training
LSEMSL-G611	Essential EOC Logistics Section/Position Specific Training
LSEMSO-G611	Essential EOC Operations Section/Position Specific Training
LSEMSP-G611	Essential EOC Planning & Intel Section/Position Specific Training
<b>Federal Training Courses</b>	
E480	Public Assistance Cost Estimating Format
E705	Fundamentals of Grants management Course
IS-403	Introduction to Individual Assistance (IA)
IS-556	Damage Assessment for Public Works
IS-559	Local Damage Assessment
IS-634	Introduction to FEMA's Public Assistance Program
IS-772	IA PDA Orientation
NA	Procurement under Grants 2.0 Webinar Series
NA	Procurement under FEMA Awards



## PURPOSE, SCOPE, AND ASSUMPTIONS



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## PURPOSE, SCOPE, AND ASSUMPTIONS

### PURPOSE

The purpose of this Functional Annex is to:

- Outline the local disaster proclamation process
- Outline the State disaster proclamation process
- Outline the Federal disaster/emergency declaration process
- Describe State and Federal disaster assistance programs and associated program requirements, eligibility, and application process
- Establish operational coordination protocols to manage damage and impact reporting, cost tracking, documentation, etc. during response and recovery
- Detail the County's process to obtain State and Federal disaster aid, assistance, and relief
- Review, update, and otherwise establish necessary disaster procurement, accounting, and documentation policies for the County of Santa Clara, including:
  - Emergency procurement
  - Emergency cash (warrants)
  - Internal orders
  - Insurance
  - Duplication of benefits
  - Departmental accounting procedures
  - Emergency payroll
  - Damage documentation
- Outline the County's obligation(s), as the Operational Area lead agency, to local jurisdictions, special districts, and eligible private non-profits through the disaster assistance and relief process

Unaided, disaster related expenditures could easily overwhelm the County's financial resources and threaten its financial stability. This financial instability would likely render the County unable to repair or maintain critical infrastructure, provide essential government services, or implement an effective disaster recovery program or regime. Therefore, it is critical that County officials review and implement this Annex, and all its provisions, to effectively and efficiently recover eligible costs incurred during a declared disaster and meet State and Federal reimbursement program compliance requirements.

If this Annex is effectively utilized, the County will have the ability to quickly and methodically seek reimbursement for any eligible expenditures associated with a State or Federally declared disaster via State and Federal disaster assistance programs – including costs associated with response, recovery, and mitigation actions.



## SCOPE

This Annex addresses planning, response, and recovery activities associated with disaster cost recovery protocols. The provisions of this document are applicable to all County departments and employees, as well as any local jurisdiction, private non-profit, special district, or private property owner seeking State or Federal disaster reimbursement via the County, as a pass-through entity.

## ASSUMPTIONS

Certain assumptions can be made about the disaster damage identification, assessment, and documentation process, the disaster declaration process, and the State and Federal disaster assistance application process and program requirements. These assumptions lay the foundation for this Annex and all associated financial management operations in preparation for, response to, and recovery from any potential disaster:

- Disaster related expenditures could easily overwhelm the County's financial resources and threaten its financial stability
- There are a variety of disaster types that pose serious threats to public health, property, the environment, and the local economy - this Annex is intended to address the reimbursement process for all eligible disaster types
- This Annex was developed using a whole community perspective that includes considerations for individuals with Access and Functional Needs (AFN) and Limited English Proficiency (LEP), as well as for animals and pets
- All County departments, sections, and employees tasked in this Annex have been notified of their roles and responsibilities, received appropriate training, and have been given access to the resources detailed in the following pages
- The provisions and resources established through the development of this Annex will be implemented and utilized as described
- The Annex will be activated and all identified stakeholder groups will be notified in accordance with the Activation and Notification section of this planning document
- The Disaster Cost Recovery Group will be activated under one of three likely operational coordination scenarios:
  1. When a limited, or small disaster results in damages to an eligible facility, equipment, or asset, but the circumstances on-scene ARE NOT complex enough to warrant Emergency Operations Center Activation
  2. When a disaster results in damages to an eligible facility, equipment, or asset, AND the emergency conditions on-scene ARE complex enough to warrant Emergency Operations Center Activation
  3. When the Emergency Operations Center transitions from response to recovery and has been Deactivated
- Any local jurisdiction, special district, private non-profit, or private property owner seeking State and/or Federal disaster reimbursement or assistance via the County as



a pass through entity – or coordinating agency – has been made aware of their role and responsibilities as outlined in this Annex

- If a stakeholder group is not aware of their role and responsibilities under this Annex because they were not identified during planning, they will be sent any needed reference or support material (i.e., damage reports, program applications, etc.) required to ensure their compliance with this planning document
- A major disaster can occur at any time, with little to no notice – underlining the importance of methodical pre-planning
- In any emergency or disaster, SEMS and NIMS will be utilized by response and support agencies
- Required personnel and equipment, described in this planning document, are available and operational at the time of a disaster that requires the activation of this Annex
- A local emergency or disaster may generate widespread public and media interest
- Local jurisdictions, special districts, private non-profits, or private property owners seeking State and/or Federal disaster reimbursement or assistance via the County as a pass through entity shall develop and implement local procedures for the identification and assessment of potential disaster damage within their jurisdictional boundaries or property via an Initial Damage Estimate and the Preliminary Damage Assessment process, as required by State and Federal law
- There are adjacent emergency management planning documents currently under development that may impact the operational outcomes of this Annex, including, but not limited to:
  - Disaster Damage Identification and Assessment
  - Operational Area Common Operating Picture
  - Local Disaster Recovery Framework
  - Crisis Communication
  - Emergency Management Annex
- This Annex is considered to be a dynamic document, with changes being made as needed, and then documented
- In accordance with the specified annex maintenance, this Annex will be updated to reflect any applicable statutory changes, incorporate recent lessons learned, and integrate nationally recognized best-practices to improve future disaster response and recovery endeavors



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# CONCEPT OF OPERATIONS



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## CONCEPT OF OPERATIONS

### PLANNING

#### COUNTY OF SANTA CLARA'S DISASTER COST RECOVERY GROUP (DCRG)

The County of Santa Clara's Disaster Cost Recovery Group (DCRG) was developed in accordance with California's SEMS guidance related to Multi-Agency Coordination Groups (MAC Groups). The SEMS Regulations define multi-agency or interagency coordination as "the participation of agencies and disciplines involved at any level of the SEMS organization working together in a coordinated effort to facilitate decisions for overall emergency response activities, including the sharing of (scarce) resources and the prioritization of incidents."

The DCRG provides the organizational structure to coordinate all necessary and/or appropriate activities related to the successful recovery of all eligible funds via local (e.g., insurance), State, and/or Federal disaster assistance program.

The Disaster Cost Recovery Group is responsible for:

- The aggregation of disaster-related costs and associated documentation
- Application for State Public Assistance (CDAA) via Cal OES Form 126
- Submission of List of Projects via Cal OES Form 95
- Application for Federal Public Assistance (PA) via FEMA 90-49
- The facilitation of funds management between external funders and internal County departments
- Provision of assistance to County departments with accounting entries and reporting
- Acting as liaison for audits and project closeouts

The DCRG may be convened by the County Executive, the EOC Director, or an authorized designee, to establish priorities among cost recovery actions, provide coordinated decision-making for cost recovery among cooperating agencies, harmonize agency policies, and offer strategic guidance and direction to support response or recovery management activities.

### RESPONSE

#### ACTIVATION AND NOTIFICATION

##### Activation

If the EOC has not been activated, this Annex and the Santa Clara County Disaster Cost Recovery Group can be activated at the discretion of the County Executive, or authorized designee, in consultation with the Director of the Office of Emergency Services and the Controller-Treasurer Department.

If the EOC has not been activated, this Annex and the Santa Clara County Disaster Cost Recovery Group can be activated at the discretion of the EOC Director (when EOC is activated) in consultation with the EOC Coordinator and the EOC General Staff (e.g., Operations Section Chief, Planning/Intelligence Section Chief, Logistics Section Chief, and Finance/Administration Section Chief).



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Considerations for Annex and County Disaster Cost Recovery Group activation:

- A disaster has occurred and likely resulted in damages to property, equipment, and assets owned by the County
- A disaster has occurred and likely resulted in expenditures related to emergency protective measures, debris removal, or work
- A disaster has occurred and likely resulted in damages to property, equipment, and assets owned by an eligible local jurisdiction, special district, private non-profit, or private property owner
- A disaster has occurred and likely resulted in expenditures related to emergency protective measures, debris removal, and work by an eligible local jurisdiction, special district, private non-profit, or private property owner

**Notification**

The Disaster Cost Recovery Group Coordinator will identify and notify the necessary personnel to report, whether in-person or via tele-conference, as well as provide Group members with guidance and direction on necessary actions. Notification will be performed by the best available means including, AlertSCC, e-mail, telephone, etc.

**OPERATIONAL COORDINATION SCENARIOS**

As previously stated, every disaster is different and will require a unique set of response and recovery actions. However, the Core Planning Group has developed coordination procedures based on the 3 most likely operational scenarios:

1. When a limited, or small disaster results in damages to an eligible facility, equipment, or asset, but the circumstances on-scene ARE NOT complex enough to warrant Emergency Operations Center Activation
2. When a disaster results in damages to an eligible facility, equipment, or asset, AND the emergency conditions ARE complex enough to warrant Emergency Operations Center Activation
3. When the Emergency Operations Center transitions from response to recovery and has been Deactivated

**Operational Coordination Scenario #1 - No EOC Activation**

When a limited, or small disaster results in damages to an eligible facility, equipment, or asset, but the circumstances on-scene ARE NOT complex enough to warrant Emergency Operations Center Activation, the OES Duty Officer will coordinate with the County of Santa Clara's Disaster Cost Recovery Group (DCRG) Coordinator to ensure successful:

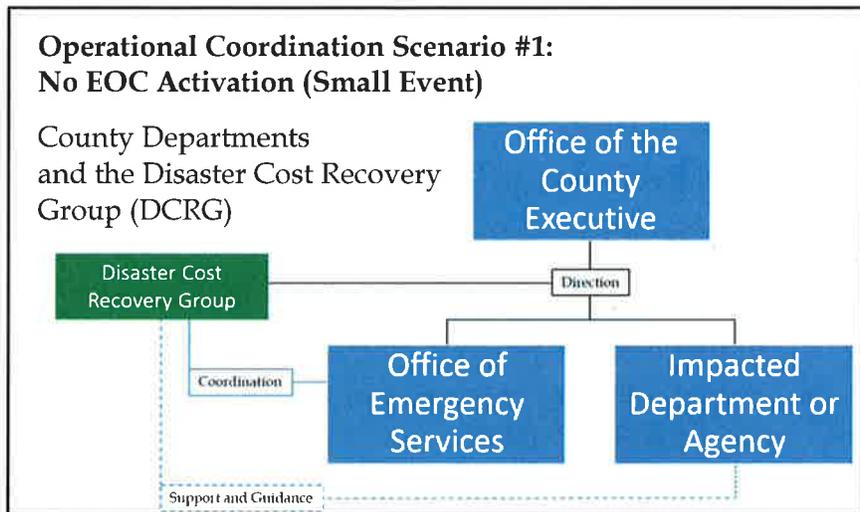
- Damage assessment
- Damage documentation
- Request for assistance
- Grant application
- Project monitoring



- Project reporting
- Project completion
- Any additional required actions

Potential supporting Departments, when EOC IS NOT activated:

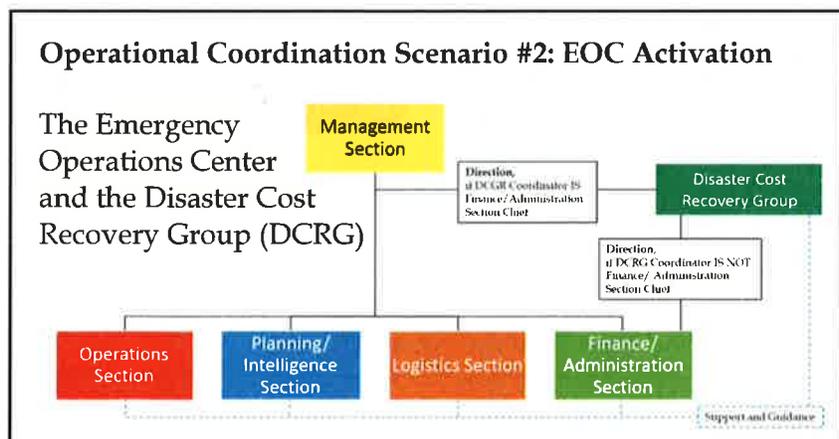
- Controller Treasurer Department
- Office of Emergency Services
- Planning and Development Department
- Information Systems Department/GIS
- CEO - Risk Management Division
- Fleet and Facilities Department
- Procurement Department
- Roads and Airports Department
- Any impacted department(s)



As previously stated, the final composition of the DCRG, when the EOC IS NOT activated (either due to the simplicity of the event or when the EOC has been deactivated when operations shift from response to recovery) is based upon the needs of each specific event and determined by the Disaster Cost Recovery Group Coordinator and approved by the County Executive, or authorized designee, in consultation with the Director of Emergency Services and the Local Disaster Recovery Manager (if appointed).

**Operational Coordination Scenario #2 -EOC Activation**

When a disaster results in damages to an eligible facility, equipment, or asset, AND the emergency conditions on-scene ARE complex enough to warrant Emergency Operations Center Activation, the County's DCRG Coordinator will report to:



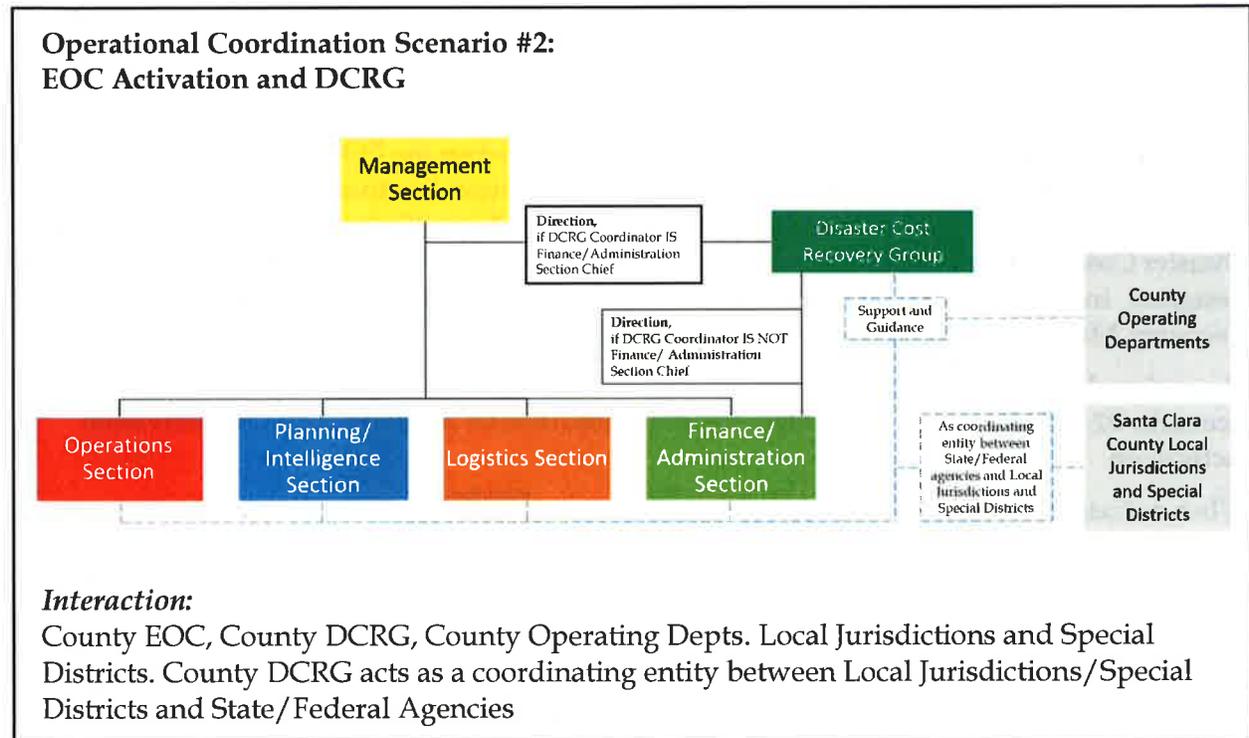


- If the DCRG Coordinator IS the Finance/ Administration Section Chief report to the EOC Director
- If the DCRG IS NOT the Finance Section Chief report to the Finance/ Administration Section Chief

In either case, the County’s DCRG Coordinator will direct all County actions to efficiently recover disaster related expenditures via all available means and operate in coordination with the duly appointed Local Disaster Recovery Manager (position will be filled by a representative from the Office of the County Executive (CEO) or the Office of to ensure a comprehensive, holistic recovery for all stakeholder groups – or the whole community. This means coordination with other active EOC positions, as well as any other required department, jurisdiction, agency, or organization required to successfully recover disaster-related cost.

Upon Activation, the Disaster Cost Recovery Group will:

- Identify Group membership
- Ensure disaster accounting, procurement, and documentation policies are adhered to
- Institute cost tracking procedures, in accordance with established policy
- Ensure continuity of the disaster cost recovery process from the response phase and into the recovery phase
- Serve as the pass through entity for all local jurisdictions, special districts, and private non-profits to access State and Federal reimbursement and assistance during recovery





Additionally, per California's Standardized Emergency Management System, the Disaster Cost Recovery Group Coordinator will act as a go-between for eligible and impacted Local Jurisdictions and Special Districts to request local disaster assistance.

Consider the following EOC positions for participation in the Disaster Cost Recovery Group:

- Primary Members
  - Finance/ Admin Section Chief
  - Planning/Intel Section Chief
  - Operations Section Chief
  - Logistics Section Chief
  - Damage Assessment Unit Leader
  - Comp/Claims Unit Leader (Recommended)
  - Cost Analysis Unit Leader (Recommended)
  - Recovery Unit Leader (Recommended)
  - Procurement Unit Leader (Recommended)
- Support Members
  - Construction and Engineering Branch Director
  - Public Information Officer
  - Situation Status Unit Leader
  - Documentation Unit Leader
  - GIS Technical Specialist Unit Leader
  - Advanced Plans Unit Leader
  - Fiscal Officers in most impacted departments/agencies (Recommended)

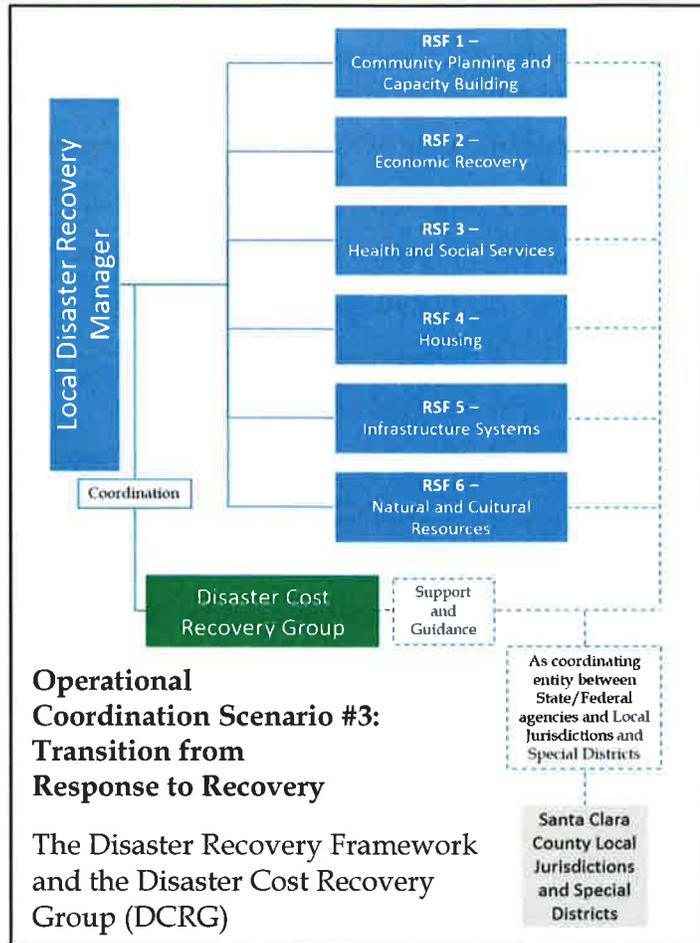
The final composition of the DCRG, when the EOC has been activated, is based upon the needs of each specific event and determined by the Disaster Cost Recovery Group Coordinator and approved by the EOC Director in consultation with the EOC Coordinator.



### Operational Coordination Scenario #3 – Transition from Response to Recovery

When the Emergency Operations Center transitions from response to recovery and has been Deactivated, the County’s DCRG Coordinator will report to the Local Disaster Recovery Manager following the appointment of the position by the EOC Director. The DCRG Coordinator will direct all County actions to efficiently recover disaster related expenditures via all available means, as well as operate in coordination with the duly appointed Local Disaster Recovery Manager to ensure a comprehensive, holistic recovery for all stakeholder groups – or the whole community.

Additionally, per California’s Standardized Emergency Management System, the Disaster Cost Recovery Group Coordinator will act as a go-between for eligible and impacted Local Jurisdictions and Special Districts to request local disaster assistance.



### DEPARTMENTAL ACCOUNTING PROCESS FOR DISASTER RESPONSE

In the immediate moments following an emergency or natural-disaster, by necessity, any County department responding to an emergency or disaster will use its existing appropriated budget to pay for associated costs. If a responding department needs to expend funds in excess of their existing expenditure, they shall notify the EOC Director and Finance Section Chief immediately. They will work with the County Executive, Budget Director, and Finance Agency Director to ensure the impacted department receives needed spending authority.

### DAMAGE IDENTIFICATION AND ASSESSMENT PROCESS

The County is currently developing a comprehensive damage identification and assessment plan that will serve as an annex to the County of Santa Clara Emergency Operations Plan utilizing FEMA’s Damage Assessment Manual: A Guide to Assessing Damage and Impact (2016). The plan will likely include detailed guidance on how the County will perform initial damage identification, conduct detailed damage and safety assessments, describe the County’s GIS platform for damage and event information sharing, and provide the template for the County’s damage identification and damage summary report. The following procedures were generated using FEMA’s Damage Assessment Manual: A Guide to Assessing Damage and Impact, as it serves as the best available information at this time. This planning document should be updated to reflect any changes to the damage identification and assessment process described below upon completion of the damage identification and assessment plan currently under development.



## Pre-Incident Readiness and Planning

As with all emergency management planning and readiness activities, being prepared to conduct effective and efficient damage assessments begins by developing an understanding of risks, requirements, and current capacities. Information gathering and analysis through Geographic Information System (GIS) and other technologies can be used to identify high-risk areas and develop event triggers for planning and operational decision making.

Emergency managers often maximize time and resources available to conduct damage assessments by forming damage assessment teams made up of non-emergency management office staff or personnel who do not have responsibilities immediately following a disaster.

Once County staff are identified, and the damage identification and assessment annex has been drafted and published, County officials at all levels can employ the planning, training, and exercise cycle to build capacity and refine operations.

## Local Initial Damage Estimate for the County of Santa Clara

The local damage assessment process includes two steps that must be done in rather quick succession: completion and submission of the DA-X-1 and DA-X-2 forms.

The first step is the completion of an Initial Damage Assessment (IDE) form referred to by its designation of DA-X-1. It is understood that many details of the damage will be initially unclear which requires estimation on the part of staff doing the assessment. The numbers provided are known to be preliminary and departments will not be asked to use these exact same figures when later filing official claims for reimbursement. This form is fairly brief (two pages).

### Damage Assessment Form 1 (DA-X-1)

Initial Damage Estimate (DA-X-1)						
Event _____		Date _____				
<b>Declarations</b>						
City	Date Proclaimed		Date Requested		Date Granted	
County Concurrence						
Directors Concurrence						
Gubernatorial						
Small Business Administration						
Presidential						
Individual Assistance						
Public Assistance						
<b>Individual Assistance (IA) Damages</b>						
	Homes Destroyed	Major Damage	Minor Damage	Affected (no physical damage)	Estimated Loss \$	Estimated % covered by insurance
Primary residence (include mobile homes)						
Other (i.e. Outfalls, etc.)						
<b>Small Business Administration Loan Damages</b>						
	Businesses destroyed	Major Damage	Minor Damage	Affected (no physical damage)	Estimated Loss \$	Estimated % covered by insurance
Business (SBA)						
Private Nonprofit						
<b>Agricultural Damage</b>						
		Acres impacted	Number impacted	Estimated Loss \$		
Crops/Grazing Lands						
Farm Buildings & Machinery						
Livestock						
<small>*Homes and businesses unusable or closed because of utility outages or road closures.</small>						
<b>Public Assistance (PA) Damage</b>						
Category	Number of Sites	Estimated Loss \$				
Category A: Debris Removal & Disposal						
Category B: Emergency Protective Measures						
Category C: Road & Bridge Systems (non-Federal)						
Category D: Water Control Facilities (levees, dams & channels)						
Category E: Public Buildings & Equipment						
Category F: Public Utilities (water & power, etc.)						
Category G: Park/Recreational/Other						
Comments						
<b>Federal Program Damages</b>						Estimated Costs \$
Federal Highways (Emergency Relief Program)						
U.S. Army Corps of Engineers (PL 84-99)						
Natural Resources Conservation Service						
Other 1 (Specify)						
Other 2 (Specify)						
Other 3 (Specify)						
<b>Reporting Agency Point of Contact</b>						
Name	John Brown					
Phone	550-909-8825					
Fax	550-962-0131					
Alt. Phone	550-740-8456					
E-Mail	john.brown@mountainview.gov					
When known, enter estimated date to begin Preliminary Damage Assessments (PDA)						

The DA-X-1 is to be completed by each impacted jurisdiction, County department, and eligible private non-profit within 48 hours of a County proclamation, or the cessation of the emergency response (as designated by the Controller-Treasurer) and submitted by email to the County's Damage Assessment Tracking email box at [dat@oes.sccgov.org](mailto:dat@oes.sccgov.org).



The essential elements of the Damage Assessment form are the categories of FEMA allowable reimbursement:

1. Public Assistance (damage to government infrastructure)

Category A	Debris Removal & Disposal	Category E	Public Buildings & Equipment
Category B	Emergency Protective Measures	Category F	Public Utilities (water & power, etc.)
Category C	Road & Bridge Systems (non-Federal)	Category G	Park, Recreational, or Other
Category D	Water Control Facilities (levees, dams, & channels)		

2. Individual Assistance (damage to private residences)
3. Small Business Administration Loan Damages
4. Agricultural Damage
5. Federal Program Damages
  - o Federal Highway Administration – Emergency Relief Program
  - o U.S. Army Corps of Engineers
  - o Natural Resources Conservation Service
  - o Any other Federal agency assistance which may become available

The second step in the Damage Assessment process is to develop more refined cost information, down to a project level using the DA-X-2. Again the critical elements of this form mirror the FEMA categories above; however, the document is an electronic workbook with separate worksheets (spreadsheets) rolling up into a department or agency summary. This document is **usually due five business days after the Damage Assessment form (as designated by the Controller-Treasurer)** and submitted by email to the County’s Damage Assessment Tracking email box at [dat@oes.sccgov.org](mailto:dat@oes.sccgov.org).

**Damage Assessment Form 2 (DA-X-2) EXAMPLE**

Summary Tab



**NOTE:** Damage assessment forms are maintained in the OES Reference Library located in the County EOC.

**NOTE:** For more information related to disaster damage documentation requirements see Overview of Disaster Documentation section of this publication (page 84).

With regard to the damage site, all impacted and eligible jurisdictions, departments, and private non-profit organizations must:

1. Develop and maintain documentation on the preliminary damage for all property as a result of the disaster (for guidance related to project Scope of Work and Cost Estimation see "State Public Assistance (CDAA) - Project Formulation and Cost Estimation" Section, (page 65)
2. Assign representative(s) for damage reporting
3. Provide updates on damage assessments
4. Properly procure all contracts in compliance with Title 2 of the Code of Federal Regulations, Part 200
5. Monitor repairs
6. Maintain all documentation
7. Photograph all damages before and after repairs are made

### **Cal OES Verification of Assessment**

Cal OES will verify the submitted information is complete and consistent with programmatic assessment criteria prior to requesting a Joint Federal/State Preliminary Damage Assessment (hereinafter referred to as Joint PDA). This verification process can have a dramatic impact on accuracy and efficiency, and is essential to ensure that impacted jurisdictions are organized and prepared to participate in a Joint PDA.

Ideally the submitted information can be verified remotely; however, this phase often requires follow-up and/or in-person site visits. Technical assistance may be requested from FEMA, prior to a request for a Joint PDA, to support State Government efforts to evaluate the information submitted by local jurisdictions and analyze the need for a Joint PDA. This technical support may include GIS Analysts, Program Specialists, or other SMEs necessary to advise State emergency management representatives and answer programmatic questions.

Once information has been verified and impacted jurisdictions are prepared, State emergency managers will likely coordinate with their leadership for action, and notify the FEMA Regional office for awareness. Submit IDE to Cal OES via <http://caleoc.caloes.ca.gov/eoc7/default.aspx>.

### **Joint Preliminary Damage Assessment (Joint PDA)**

If the incident is of a severity and magnitude that resources needed to recover are expected to exceed local and State government capability, the Director of Cal OES may request a Joint PDA from the appropriate FEMA Regional Administrator to validate damage and evaluate impact. This request should include any counties to be assessed, and will begin to establish the general timeline for the Joint PDA.



Once a Joint PDA start date is agreed upon, Cal OES should coordinate with the counties included in the Joint PDA request to schedule field assessments. This will give local and county emergency managers the time needed to coordinate with impacted jurisdictions so that personnel necessary to answer questions can be made available and logistics for field assessments can be planned.

Joint PDA field teams should be composed of at least one representative of the Federal Government and one representative of the State. A local government representative, familiar with the extent and location of damage in their community, should also be included, if possible. Other State, federal agencies, and non-governmental agencies may also be asked to participate, as needed.

**NOTE:** The Joint PDA is intended to validate – not find – damage and impact information.

Cal OES is responsible for coordinating with local or county emergency management to ensure that they are prepared to discuss damage and guide field teams to residences, businesses, and/or damaged infrastructure to conduct site visits. Generally, Joint PDA teams ask to start with the most heavily damaged areas and work their way down; taking into account geography and travel time. When Joint PDAs are required to validate damage for the Public Assistance program, local or county emergency managers will need to schedule time with potential applicants to discuss damage, review supporting documentation, and conduct site visits.

### **Request for Federal Assistance**

Once the Joint PDA has been completed, Cal OES generally will review the validated information and make a recommendation to the Governor or Chief Executive on the need to request a Stafford Act declaration. Stafford Act declaration requests may be developed for one or both of the FEMA Recovery programs (Public Assistance and Individual [and Households] Assistance), as well as Hazard Mitigation.

All requests to the President for Stafford Act declarations must be made by the Governor of California. The Governor submits the request to the President through the appropriate FEMA Regional Administrator to ensure prompt acknowledgement and processing.

If the State of California decides that it does not want to request Stafford Act assistance from the President, information developed during the Joint PDA may be used to request assistance from other federal agencies (e.g., U.S. Small Business Administration), or to determine the need for State recovery programs.

### **INPUT FOR EMERGENCY PROCLAMATION**

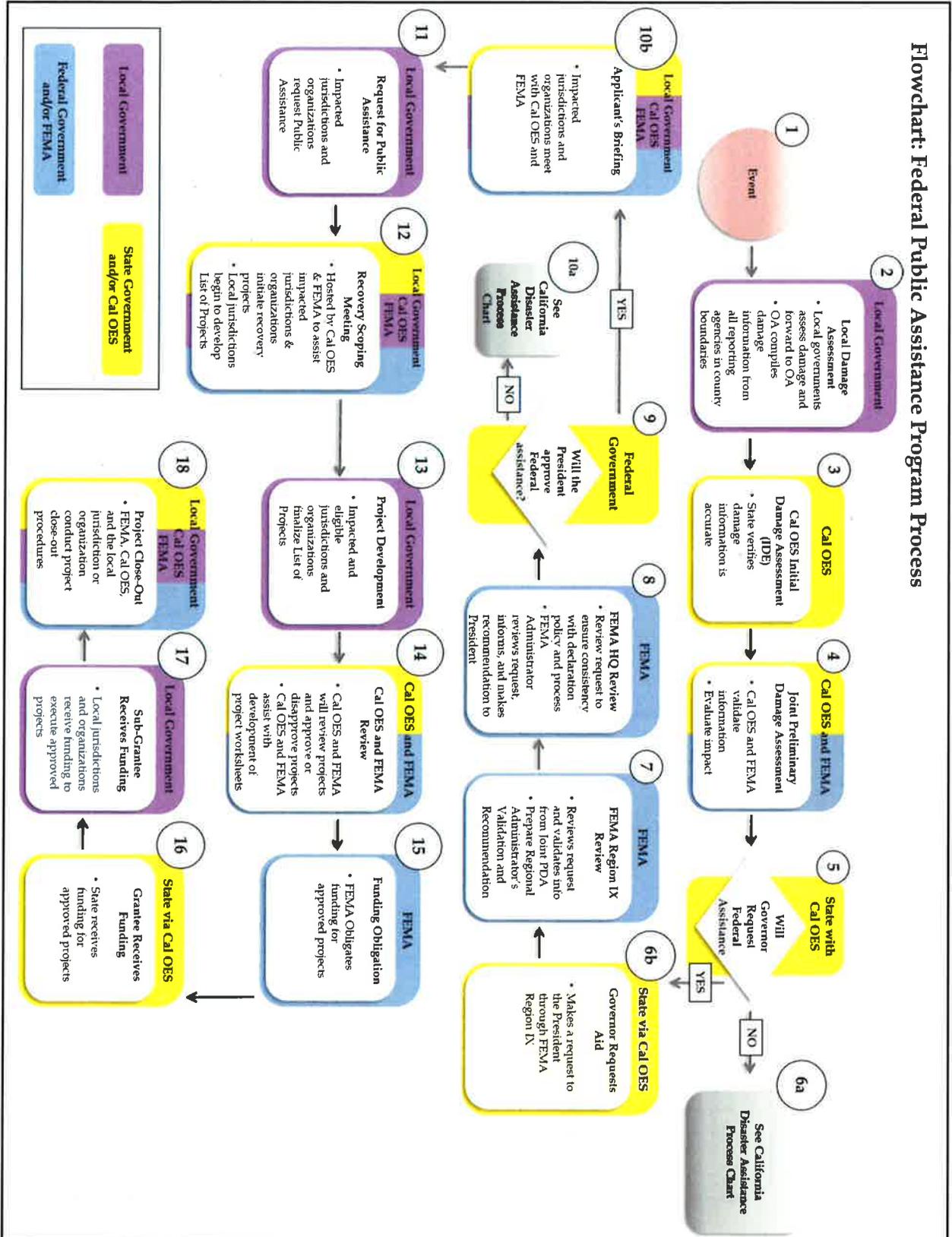
If conditions following a disaster warrant, the EOC Director, in consultation with the EOC Command Staff, County Counsel, and the County Board of Supervisors will use the information collected via means described above to develop a narrative statement that supports a Local Emergency Proclamation. Upon appropriate review, the Proclamation will then be forwarded and recommended to the County Board of Supervisors for passage pursuant to Section 8558 (c), Chapter 7 of Division 1 of Title 2 of the Government Code.

**NOTE:** Refer to the publication *EMERGENCY PROCLAMATIONS: A quick reference guide for Local Governments* (Cal OES, March 2014) for additional guidance related to the local proclamation process. Document is maintained in the OES Reference Library located in the County EOC and can be found at: [http://www.caloes.ca.gov/RecoverySite/Documents/](http://www.caloes.ca.gov/RecoverySite/Documents/Emergency%20Proclamation%0reference%20guide.pdf)

[Emergency%20Proclamation%0reference%20guide.pdf](http://www.caloes.ca.gov/RecoverySite/Documents/Emergency%20Proclamation%0reference%20guide.pdf).

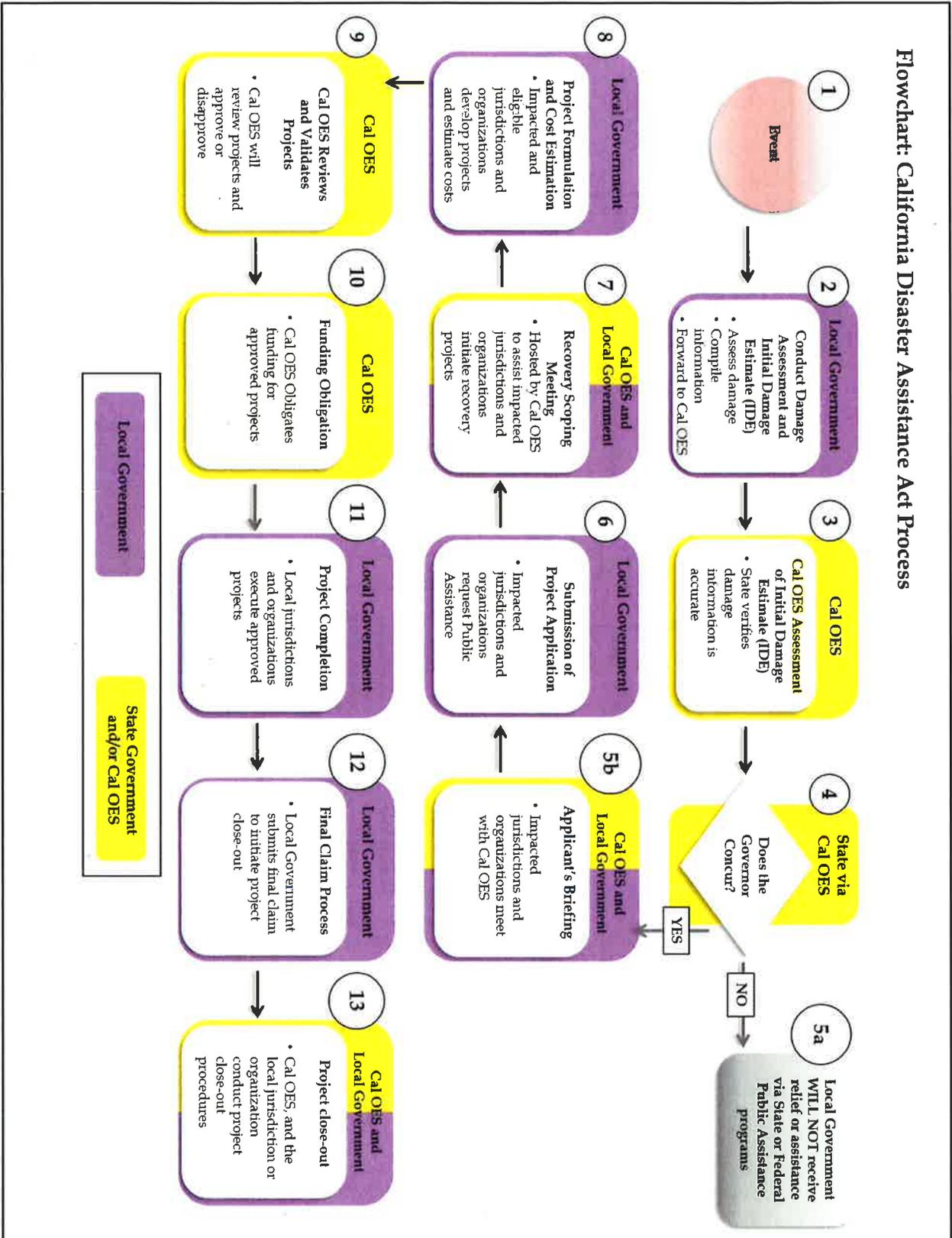


**FLOWCHART: FEDERAL PUBLIC ASSISTANCE PROCESS**





**FLOWCHART: CALIFORNIA DISASTER ASSISTANCE ACT PROCESS**

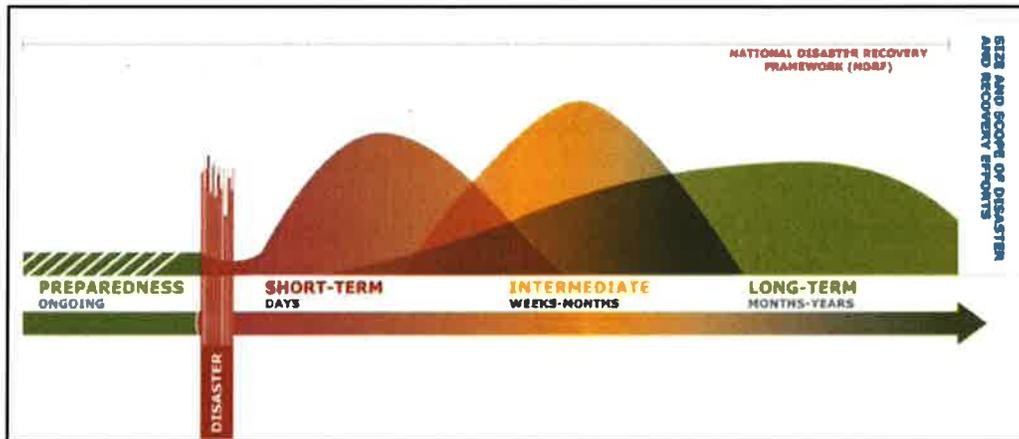




## RECOVERY

### OVERVIEW: TRANSITION FROM RESPONSE TO RECOVERY

Disaster operations vary based on the nature, scope, and complexity of the specific incident. Therefore, the timing of the transition from the response to initial recovery operations and then to intermediate and long-term recovery will vary from incident to incident.



Recovery activities begin quite soon after a major incident occurs and they frequently overlap with response activities. At some point in the response to a disaster, the emphasis of the activities shifts from response to recovery as the requirement to save lives, protect property, and protect the environment diminishes. In accordance with the Santa Clara County Disaster Recovery Framework (draft), during this operational transition the County will shift the management of recovery operations out of the Emergency Operations Center to a long-term recovery organization designed to facilitate recovery operations after the Emergency Operations Center has been deactivated. As part of this transition, leadership of recovery operations will transfer from Emergency Operations Center staff to the Local Disaster Recovery Group, appointed for the particular disaster incident.

**NOTE:** For the sake of continuity, County personnel assigned to the Emergency Operations Center, the Local Disaster Recovery Group, and the Disaster Cost Recovery Group overlap.

### THE LOCAL DISASTER RECOVERY FRAMEWORK AND DISASTER COST RECOVERY ACTIVITIES

The County's draft recovery framework considers short-, intermediate-, and long-term recovery priorities and provides guidance for restoration of critical community functions, services, vital resources, facilities, programs, and infrastructure to the affected area.

#### Short-term Recovery Priorities

Short-term recovery refers to the first days or weeks after the incident. This phase of recovery addresses health and safety needs beyond rescue, the assessment of damage and resource needs, the restoration of basic infrastructure, the activation of recovery organizations, and mobilization of resources.



For the purpose of disaster cost recovery, short-term recovery considerations include, but are not limited to:

- Damage documentation
- Disaster-related cost tracking
- The disaster proclamation process
- Request for State/Federal disaster assistance
- Recovery project(s) identification and application
- Mitigation project(s) identification and application
- Public communication

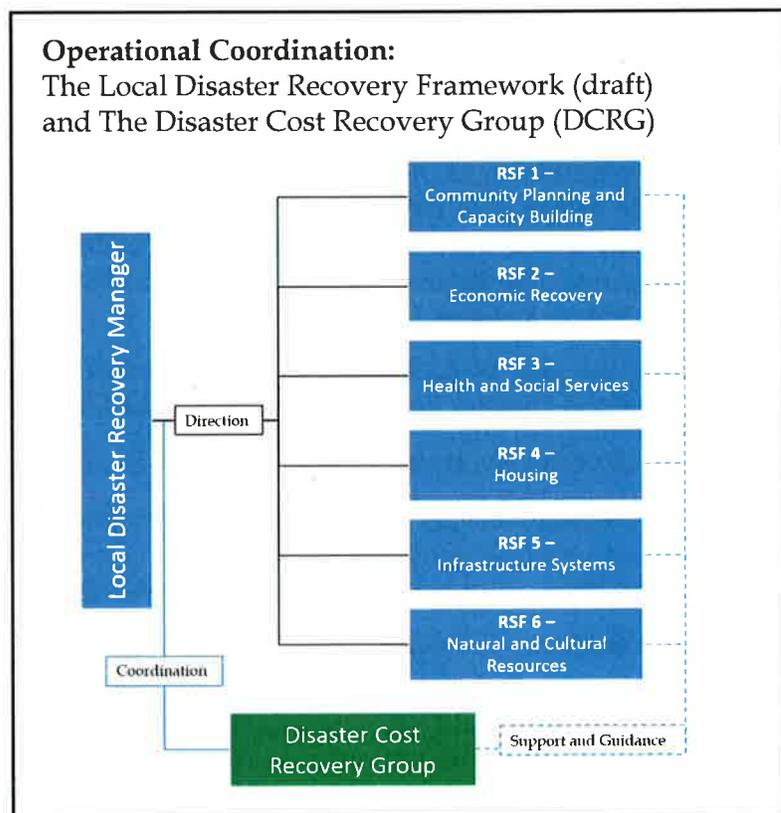
The reader may note that the actions detailed above are more frequently categorized as response oriented. However, the reader will also note that the *purpose* of these actions is not singularly response-centric; these actions are also intrinsic to the recovery process – especially the *cost recovery* process. Therefore, it is in the context of cost recovery planning, the County has categorized the above actions under *Recovery* because the process is initiated during response operations and completed during the recovery phase.

### Intermediate-term Recovery Priorities

Intermediate-term recovery refers to the weeks and months after the incident. This phase of recovery involves returning individuals, families, critical infrastructure, and essential government or commercial services to a functional state.

For the purpose of disaster cost recovery, intermediate-term recovery considerations include, but are not limited to:

- Recovery project(s) execution, monitoring and reporting
- Mitigation project(s) execution, monitoring, and reporting
- Individual Assistance and public communication





## Long-term Recovery Priorities

Long-term recovery refers to the months and years after the incident. This phase of recovery addresses the complete redevelopment and revitalization of the impacted area, the rebuilding or relocating of damaged or destroyed social, economic, natural, and built environments; and a move to self-sufficiency, sustainability, and resilience.

For the purpose of disaster cost recovery, long-term recovery considerations include, but are not limited to:

- Recovery project(s) close-out
- Mitigation project(s) close-out
- Each type of funding source (i.e., Public Assistance, Individual Assistance, etc.) has its own long-term project goals. See the specific State and/or Federal assistance program(s) for programmatic long-term recovery priorities

## DEPARTMENTAL ACCOUNTING PROCESS FOR DISASTER RECOVERY

As the operational tempo shifts from response to recovery, and the EOC is deactivated, the County Executive and the County Budget Director will determine if additional budget appropriation should be provided to the impacted department to “make them whole” from a budgetary perspective. Incidental costs will likely not be provided to the impacted department; however, if a department will not be able to continue its regular work due to having spent a large sum to respond to a disaster, the County Budget Director will work with the County Office of Budget and Analysis to bring an Appropriation Modification to the Board of Supervisors for approval.

**NOTE:** Any repairs undertaken prior to state/federal cost recovery/project approval should be limited to emergency protective measures and debris removal work (FEMA Categories A and B), as these are the only activities that may be initiated prior to FEMA/Cal OES approval through completion of Project Worksheets, most other recovery activities will wait to begin work or risk loss of State/Federal reimbursement.

If the President declares an emergency or disaster FEMA will designate a four-digit Disaster Declaration Number to correspond to the disaster. There will often be several recovery projects (referred to as “Project Worksheets”) under a given Disaster Declaration Number. The Disaster Declaration Number will likely encompass more than one County department, but each Project Worksheet will have a unique five-digit Reference Number that should not encompass more than one department.

**NOTE:** One department will often have more than one Project Worksheet. Additionally, it is understood that a single project can be broken into more than one Category of Work.

Each operating department must segregate accounting for recovery work from regular department work. To accomplish this, an operating department should set up a WBS Project in the County’s accounting system (SAP) that relates to each separate Project Worksheet Number and the Disaster Declaration Number. Concurrently, the Controller-Treasurer Department will create a separate Cost Center in the standing Disaster Cost Recovery Fund (fund #0204) relating to each Disaster Declaration Number. A separate Cost Center in the fund will be created to relate to each Disaster Declaration Number. When reimbursements arrive it will be deposited initially into the associated Cost Center with the Project Worksheet Number annotated in SAP.



It is anticipated that recovery work cannot be accomplished without providing additional funding to the operating departments that will perform the work. These funds may be needed in advance of funding from Cal OES and FEMA. It is also unlikely that the timing of the need for such funds will allow the annual County budget process to accommodate the need. Therefore, it is likely that a stand-alone bridge-funding request will need to be approved by the County Board of Supervisors. Such an effort would take the form of a Legislative File with an associated Appropriation Modification. The Director of Finance will work with the County Budget Director to bring a consolidated request for all departments to the Board for approval. The request to the Board will essentially ask for funds for departments by providing a one-time, up-front expenditure appropriation in an amount equal to the sum of the Project Worksheets. Equal revenue and expenditure would then be appropriated to the operating departments. Whether each operating department is provided resources for the entire cost of the project, inclusive of the 6.75% County share, or only the portion to be reimbursed by Cal OES and FEMA, will be decided on a case-by-case basis in the context of the Board approval of the Legislative File.

These funds are to be tracked in separate SAP Work Breakdown Structures (WBS) Projects aligned to the different Project Worksheets by the accounting staff of the operating department. When the recovery work spans across a given County fiscal year, the operating department will utilize existing budget rollover procedures to retain the funds through to project completion. When an operating department completes work associated with a given Project Worksheet, they will submit a claim with complete supporting documentation to the Controller-Treasurer for reimbursement from the Disaster Cost Recovery Fund. Once the accounting staff of the Controller-Treasurer Department have determined that the supporting documentation is sufficient to withstand audit, funds will be transferred from the Disaster Cost Recovery Fund to the operating department via SAP "Transfer In and Transfer Out."

When a department has completed all work associated with a given project worksheet, they will coordinate with the Finance Agency to close out the project in coordination with Cal OES. Upon successful close-out, Cal OES will issue an "Audit Waiver Letter." All supporting documents associated with a given Disaster Declaration Number will be retained for the required minimum three-years from the date of the Audit Waiver Letter for possible audit by State or Federal agencies.

**NOTE:** After the required minimum three-year period the Controller-Treasurer Department will destroy all associated documentation.

### **SUMMARY OF FUNDING – PRIMARY SOURCES**

The following sources of disaster recovery funds are the primary means that the County will utilize following damage to any eligible county-owned assets, equipment, facilities, or infrastructure due to a major disaster.

#### **Insurance Policy - County of Santa Clara**

As previously stated, the Disaster Cost Recovery Group is activated to determine the extent of disaster-related damage and to recommend appropriate actions. The Director of the County's Risk Management Division is an essential member of this Group. While activated, the Group will communicate daily with the EOC (or the appropriate response/recovery organization - i.e., OES Duty Officer, Local Disaster Recovery Manager, etc.) with updates on damage, damage estimates, and ongoing investigations.



The Disaster Cost Recovery Group will coordinate County actions to ensure that an insurance claim is filed, in accordance with policies and procedures established by the CEO's Risk Management Division. When the policy claim has been processed successfully, actual expenses are first reconciled against the final settlement, the claim payment will then be applied to the County's policy deductible, and finally deposited into a Disaster Recovery Fund and managed by the Controller-Treasurer Department.

**NOTE:** Cal OES and/or FEMA should be notified of any insurance settlement to prevent duplication of benefits.

### **California State Public Assistance via Cal OES**

The California Disaster Assistance Act (CDAA) provides a method for the State of California to provide financial assistance to local governments, special districts, and certain eligible private non-profit agencies for response and recovery from a declared emergency in the form of a local, State, and Federal (if applicable) cost share regime. Under the Act's provisions the State share for any eligible financial assistance project is limited to no more than 75%, including:

- Overtime and associated wage additive costs for emergency response personnel
- Actual travel per diem
- Supplies, materials, and equipment
- Repair, permanent restoration, and replacement costs for public facilities
- The cost of basic engineering services when necessary for construction projects
- Indirect and administrative costs (10% of approved state share)
- Cost for work performed under interagency assistance agreements for which an eligible applicant is legally obligated to pay
- The local cost share required under federal public assistance programs

**NOTE:** Visit the Cal OES Recovery website (<http://www.caloes.ca.gov/cal-oes-divisions/recovery/public-assistance/california-disaster-assistance-act>) for more information regarding California Disaster Assistance and the application process.

### **Federal Public Assistance via FEMA**

In a catastrophic disaster, and if the Governor requests, Federal resources may be mobilized through the U.S. Department of Homeland Security's Federal Emergency Management Agency (FEMA) for Federal assistance to State or local governments to pay part of the cost of rebuilding a community's damaged infrastructure. FEMA coordinates with Cal OES to implement the Public Assistance (PA) Grant Program.

Federal Public Assistance Grant funds may be used to fund:

- Debris removal
- Emergency protective measures and public services
- Repair or replacement of damaged public property
- Loans needed by communities for essential government functions and public schools



The Stafford Act provides for two types of declarations, a Major Disaster Declaration and an Emergency Declaration:

1. Major Disaster Declaration (DR) – The President can declare a DR for any natural event the President believes has caused damage of such severity and magnitude that it is beyond the combined capabilities of State and local governments and disaster relief organizations to respond. A DR provides a wide range of Federal assistance programs for individuals and public infrastructure, including funds for both emergency and permanent work
2. Emergency Declaration (EM) – An EM can be declared for any occasion or instance the President determines Federal assistance is needed to supplement State and local efforts and capabilities to save lives and protect property, public health and safety, or to lessen or avert the threat of a catastrophe. The amount of an EM declaration is capped at \$5 million per single event unless continued assistance is needed to alleviate the threat to lives, public health, and safety

**NOTE:** It is recommended that County response and recovery personnel reference FEMA’s Public Assistance Program and Policy Guide, located in the OES Reference Library located in the County EOC, and FEMA’s Public Assistance reference website:

<https://www.fema.gov/public-assistance-policy-and-guidance>.



**FEMA Public Assistance vs California Disaster Assistance Comparison**

Issue	State - CDAА		Federal Declaration	
	Governor's Proclamation	Director's Concurrence	FEMA	CDAА (Cost Share)
<b>Application Deadline</b>	60 days from local emergency date	60 days from local emergency date	30 days from the declaration date	
<b>Emergency Work</b>	Eligible (ONLY OVERTIME salary and some benefits for public safety and emergency services personnel)	Not Eligible	Eligible (ONLY OVERTIME salary and some benefits for public safety and emergency services personnel)	Straight Cost Share
<b>Permanent Work</b>	Eligible	Eligible	Eligible	Straight Cost Share
<b>Completion Deadlines (Emergency Work)</b>	6 months	NA	6 months	
<b>Completion Deadlines (Permanent Work)</b>	18 months	18 months	18 months	
<b>Cost Share with Other Federal Agencies (i.e., National Resources Conservation Service, U.S. Army Corps of Engineers)</b>	May be eligible for straight cost share with other Federal Agencies	May be eligible for straight cost share of permanent work ONLY with other Federal Agencies	NA	Straight Cost Share with other Federal Agencies
<b>Appeals (1<sup>st</sup> and 2<sup>nd</sup>)</b>	NA	NA	Applicant must submit request within 60 days from receipt of determination	
<b>Fair Hearing Request (1<sup>st</sup> and 2<sup>nd</sup>)</b>	Applicant must submit request 60 days from receipt of Cal OES determination letter	Applicant must submit request 60 days from receipt of Cal OES determination letter	NA	NA
<b>Net Small Project Overrun (NSPO) Appeal (1<sup>st</sup> and 2<sup>nd</sup>)</b>	NA	NA	Applicant must submit request within 60 days of completion of last small project	NA
<b>Application Closeout Deadline</b>	60 days from the completion of all projects	60 days from the completion of all projects	Within 60 days of completions of all projects	60 days from the date of transmittal of FEMA Appeal determination

References: CDAА: Sections 8685-8587.8  
 Title 19 CCR, Sections 2970, 2980, and 2990



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## SUMMARY OF FUNDING – ADDITIONAL SOURCES

The following sources of disaster recovery funds are additional resources that the County will consider utilizing following damage to any eligible county-owned assets, equipment, facilities, or infrastructure due to a major disaster.

### Individual Assistance via FEMA

The Individual and Households Program – otherwise referred to as Individual Assistance (IA) – is a federal program that provides financial assistance and direct services to eligible individuals and households who have uninsured or underinsured necessary expenses and serious needs. IA is not a substitute for insurance and cannot compensate for all losses caused by a disaster; it is intended to meet basic needs and supplement disaster recovery efforts.

Individual and Household Assistance is limited to 18 months following the date of the disaster declaration. **The period of assistance begins at the date of the Presidential declaration and not the date on which the disaster is designated for IA.** The President may, at the State’s request, extend the period of assistance due to extraordinary circumstances.

Additionally, the U.S. Small Business Administration (SBA) may extend a low-interest rate disaster loan to qualifying individuals and businesses that have been impacted by a local disaster and have suffered an economic hardship as a result. The SBA requires that a minimum of five businesses and/or the residents of 25 private dwellings can demonstrate hardship due to a disaster to qualify for a disaster loan.

**NOTE:** For information about FEMA’s Individual Disaster Assistance visit <https://www.fema.gov/individual-disaster-assistance>

### Federal Highway Administration – Emergency Relief

The Federal Highway Administration (FHWA) has authority to restore public roads under the Emergency Relief (ER) Program. Roads that are eligible for ER assistance are identified as Federal-aid routes, which include highways on the Federal-aid highway system and all other public roads not classified as local roads or rural minor collectors.

Debris removal from Federal-aid routes may be considered; however, emergency repairs and permanent restoration of Federal-aid routes are not considered during FEMA Public Assistance damage assessments regardless of whether the ER Program is activated. When a potential applicant is unsure if a damaged road is a Federal-aid route, the location of damage should be documented and coordinated with the State, FHWA, and/or FEMA to evaluate authorities for restoration.

**NOTE:** For additional information regarding the Federal Highway Administration – Emergency Relief Program reference the Emergency Relief Manual (Federal-Aid Highways, May 31, 2013) maintained in the OES Reference Library located in the County EOC and visit FHWA’s Emergency Relief program website at <https://www.fhwa.dot.gov/programadmin/erelief.cfm>.

### Programs of Other Federal Agencies

FEMA considers programs of Other Federal Agencies’ (OFA) during damage assessments. Additionally, 44 CFR 206.226 (a) states that disaster assistance generally will not be made available under the Stafford Act when an OFA has specific authority to restore facilities damaged or destroyed by a Major Disaster event.



When it appears that a damaged facility may be within the authority of an OFA, FEMA will ask the specific Federal agency with responsibility to review the damage and advise FEMA whether the work would be eligible under that agency's authority. In most cases, decisions made for the purpose of damage assessments can be made quickly over e-mail or the telephone. If the work falls outside the statutory authority of an OFA, FEMA will include the work in its program cost estimate.

#### *Eligible Private Nonprofit (PNP) Applicants*

Following a Major Disaster Declaration, the Small Business Administration (SBA) can provide disaster loans to individuals and businesses for facility restoration. PNPs that provide non-critical services must first apply for a disaster loan from the SBA for Permanent Work. Therefore, FEMA will only consider Permanent Work costs that a SBA loan will not cover for those PNPs. Emergency Work costs submitted by PNPs providing non-critical services, and both Emergency Work and Permanent Work costs submitted by PNPs providing critical services will be considered.

#### *Flood Control Works and Stream*

Debris removal from streams, that meet FEMA's program eligibility requirements, is considered even where debris removal would also be eligible under the authority of the National Resources Conservation Service (NRCS), unless NRCS has provided assistance for the debris removal. FEMA and NRCS should coordinate during damage assessments to evaluate damage and maximize the effectiveness of their independent programs.

Debris removal and flood fighting activities for flood control works are considered even if they are associated with a facility that is eligible for the U.S. Army Corps of Engineers (USACE) Rehabilitation and Inspection Program (RIP), as USACE cannot reimburse applicants for flood control works under the specific authority of NRCS.

Emergency repairs or permanent restoration of flood control works that are under the authority of NRCS or USACE are not considered by FEMA during damage assessments, even if these OFAs do not provide sufficient funding or do not provide assistance.

#### *Federally Maintained Navigable Waterways*

Debris removal from federally maintained navigable waterways is not considered by FEMA during damage assessments, as it falls under the authority of the U.S. Coast Guard and the USACE.

#### *Hazardous Material Removal*

The Environmental Protection Agency (EPA) and the U.S. Coast Guard (USCG) have the specific authority to remove hazardous materials. EPA is responsible for removing such material from inland zones and USCG is responsible for coastal zones.

### **INSURANCE CLAIM REIMBURSEMENT PROCESS**

The Finance Agency - Controller/Treasurer Division will:

- Submit requests to FEMA/Cal OES for claim reimbursements on Project Worksheet authorized amounts for the small projects written by the County or State OES and for large projects written by FEMA
- Receive and distribute FEMA/Cal OES payments to the appropriate project accounts



- Coordinate with departments to receive claims and supporting documentation
- Manage and file project worksheet authorized amounts, costs and supporting documents from departments, FEMA/Cal OES payments received and distributed.
- Coordinate with Risk Management Division – County Executive Office, ESA Fiscal, impacted departments, and FEMA/Cal OES for providing supplemental documentation. as requested by FEMA/Cal OES
- Track, manage, and coordinate the appeal process on disapproved or de-obligated project worksheets
- File supplemental requests for additional project funding when costs exceed approved project worksheet funding
- Coordinate final FEMA/Cal OES inspection and project closeout
- Submit application for and distributes final claim reimbursements
- File and retain claim supporting documentation and coordinate with Risk Management Division – County Executive Office and departments as necessary during the eventual final inspection and audit of claim reimbursement amounts received by the County

The ESA Fiscal Division Accountant will:

- Participate in the management of disaster claims together with Risk Management Division – County Executive Office and the Finance Agency - Controller Treasurer Office
- Track insurance payments for each separate project worksheet and advise FEMA when insurance payments are received against each project
- Maintain a running log of the current status of insurance payments (paid in full, partial payments received, in negotiations, in litigation, etc.) for each project
- Prepare periodic schedules comparing Risk Management Division – County Executive Office paid claim amounts and those submitted for FEMA/Cal OES reimbursements
- Provide comparison schedules to the Finance Agency and Risk Management Division – County Executive Office
- Participate in claim status meetings with the Finance Agency, departments, Risk Management Division – County Executive Office
- Maintain a current list of all County properties, including both insured and uninsured facilities

**NOTE:** The schedule of insured property is used to identify insured properties to assist in assessment of impact(s) to County is maintain in the OES Reference Library located in the County EOC.

### **STATE PUBLIC ASSISTANCE VIA CDAA – PROJECT DEVELOPMENT PROCESS**

#### **State Public Assistance – Cal OES Director’s Concurrence and Governor’s Proclamation**



A request for a Governor's Proclamation (accomplished via adoption of local emergency proclamation by the County Board of Supervisors) means that the emergency is beyond the control/capabilities of the local jurisdiction. Concurrence by the Cal OES Director means that the request for authorization of state disaster assistance is accepted by Cal OES. A Governor's Proclamation of a state of emergency authorizes Cal OES to provide financial funding through the California Disaster Assistance Act (CDAA) for allowable costs.

### **State Public Assistance (CDAA) - Applicant's Briefing**

Any local jurisdiction, special district, or eligible private non-profit is known as an "applicant." The Applicant's Briefing is usually held within a month of the emergency, is conducted by Cal OES, and informs applicants of available assistance and eligibility requirements for obtaining state assistance under the declared event.

During the briefing, Cal OES presents information related to:

- The incident period
- A description of the declared event,
- Applicant cost eligibility
- Funding options
- Record keeping
- Documentation requirements
- Project formulation

It is recommended that the Disaster Cost Recovery Group attend this meeting to ensure successful and maximum reimbursement.

### **State Public Assistance (CDAA) - Submission of Project Application**

The Project Application Form for CDAA (Cal OES Form 126) is used by local agencies to apply for disaster assistance. Cal OES Form 126 must be submitted to Cal OES with **60 days** of the date of local proclamation by the local jurisdiction. The form's requirements are extensive, but the overriding concern is timely submittal. The List of Projects (Cal OES Form 95) is also used when filing an application for assistance. Cal OES Form 95 list the applicant's projects for which financial assistance is being requested and should be filed along with Cal OES Form 126. The form may be delivered in-person at the Applicant's Briefing, sent by mail, faxed, or by email (if signed and scanned). In the event of a Federal declaration, the State application deadline for assistance may be subsumed by the Federal deadline which is 30 days after the adoption of the local emergency proclamation.

Additionally, the County will be required to submit a "Designation of Applicant's Agent Resolution" via Cal OES Form 130. This form is used to file a resolution designating an applicant's authorized representative to whom all official correspondence and funding will be directed.

**NOTE:** Cal OES Form 130 must be updated every three years - funding will be not be made available until the jurisdiction is compliant with this requirement.

**NOTE:** See Appendix A for location of State disaster assistance forms.

### **State Public Assistance (CDAA) - Scoping Meeting**



Cal OES will appoint a representative with expertise to assist the County with project development and application. The Kick-Off Meeting is the first in a series of four key meetings between Cal OES and the applicant. At the Kick-Off Meeting, the Cal OES appointed representative and the County will:

1. Determine eligible damages to include on the project worksheet
2. Review and critique the initial documentation
3. Establish course of action for recovery

**NOTE:** If agreement is not reached, rebuttal provisions of the CDAA are employed.

### **State Public Assistance (CDAA) – Project Formulation and Cost Estimation**

Cost estimation and project formulation are collaborative processes between Cal OES, the applicant, and FEMA (if Federal declaration). The exact process can vary considerably depending on the circumstances of each event. Project formulation is a grouping of projects to efficiently process and categorize the project worksheets for funding. The Disaster Cost Recovery Group should be prepared to provide cost estimates based on historic costs for similar work within the County.

Eligible costs include:

- Eligible overtime and associated wage additive costs for emergency response personnel
- Actual travel and per diem
- Supplies, materials, and equipment
- Repair, permanent restoration, and replacement costs for public facilities
- The cost of basic engineering services, when necessary for construction projects
- Indirect and administrative costs (10% of total approved State share)
- Costs performed under Mutual Aid agreements for which the County is legally obligated to pay
- The local cost share required under Federal public assistance programs

Additionally, per the Emergency Services Act, when the Director of Cal OES determines that there are mitigation measures that are cost-effective and that substantially reduce the risk of future damage, hardship, loss, or suffering in the area indicated in the State emergency proclamation, the Director of Cal OES may authorize the implementation of mitigation measures.

Scope of Work – the scope of eligible work necessary to repair the damage must be completely described and correspond directly to the cause of damage. It is the basis for the cost estimate and should establish:

- Direct connections between the cause of the damage and the repair work required
- A detailed description of the costs, by line item

If part of the work is completed prior to project approval, the work that has been completed should be tracked and reported separately from the work remaining to be done.



Cost Estimate – funding will be approved on the basis of actual costs, estimates based on work to be completed or a combination of both. The three primary methods for determining costs are:

1. Time and materials (limited use only – not recommended)
2. Unit costs
3. Job completion contracts

The cost estimate should provide a detailed line item budget for the proposed activity. If more than one activity is proposed, then the cost estimate should be broken out by the activities identified. If the project consists of work in multiple FEMA categories (A – G) then each category of work done must be tracked separately.

### **State Public Assistance (CDAA) – Project Review and Validation**

Cal OES will validate that the County’s projects and recovery course of action are eligible, compliant, and accurate. The result will be a funding agreement between the State and the County for State public assistance grants toward the approved projects. The criteria used by Cal OES to determine approval under CDAA are:

- Damage must be direct result of the disaster
- Facility must be located in the state designated disaster area
- Facility must fall under the legal authority of the County
- Project must be necessary and reasonable
- Project complies with all standards of procurement, building code, and labor laws

### **Obligation of Funds and Required Documentation for Payment**

The County must have file Cal OES Form 130 (Designation of Applicant Agent Resolution). If the application will also be filed with FEMA, due to a Federal declaration, then FEMA Form 90-49 (Request for Public Assistance) must also be on file.

## **FEDERAL PUBLIC ASSISTANCE – PROJECT DEVELOPMENT PROCESS**

### **Federal Public Assistance – Applicant’s Briefing**

In the event of a Federal disaster/emergency declaration, the Federal and State Applicants’ Briefings will be combined. The briefing occurs after an emergency or major disaster has been declared by the President.

During the briefing, Cal OES presents information related to:

- The incident period
- A description of the declared event,
- Applicant cost eligibility
- Funding options
- Record keeping
- Documentation requirements
- Project formulation



The State representative is responsible for notifying potential applicants of the date, time, and location of the briefing. The size of the disaster area and the number of possible applicants will determine whether more than one briefing is held.

FEMA personnel participate in the briefing to clarify issues regarding:

- Floodplain management
- Insurance requirements
- Environmental and historic preservation considerations
- Hazard mitigation
- Federal procurement standards

### **Federal Public Assistance – Request for Public Assistance**

The Request for Public Assistance (FEMA Form 90-49), is the applicant’s official notification to FEMA of their intent to apply for public assistance. The Reader may note that the FEMA Form 90-49 is similar to the Cal OES Form 126. Additionally, a Project Application for Federal Assistance (Cal OES Form 89) is used to inform Cal OES of the applicant’s request for Federal assistance, as a result of a federally declared disaster.

Typically, the request form is submitted at the Applicant’s Briefing. If an applicant is unable to submit the request form at the briefing, the applicant must submit the form within 30 days of the date the area was designated eligible for public assistance. Federal and State personnel will review each request form to ensure applicant eligibility. Once a request form has been submitted, the project formulation process can begin.

**NOTE:** The applicant need not wait until all damage is identified before requesting assistance.

### **Federal Public Assistance – Recovery Scoping Meeting**

The first meeting between the applicant (represented by the Disaster Cost Recovery Group), FEMA, and Cal OES is called the Recovery Scoping Meeting. The meeting is held with each applicant to assess the applicant’s individual needs, discuss disaster related damage, and set forth a course of action for repair of the applicant’s facilities, equipment, assets, or improved property.

At a minimum, the Disaster Cost Recovery Group should be prepared with:

- DUNS number
- Completed Cal OES Form 130 (Authorized Agent)
- Completed Request for Public Assistance Forms – Cal OES Form 126, Cal OES Form 89, and FEMA Form 90-49
- Completed List of Projects Cal OES Form 95

**NOTE:** Each impacted and eligible jurisdiction/special district will develop their own List of Projects.

**NOTE:** Applicants have 60 days following Recovery Scoping Meeting to identify damages and submit project information.

**NOTE:** See Appendix A for location of State disaster assistance forms.



## Federal Public Assistance – Project Formulation and Cost Estimation

Project Formulation is a process employed to identify eligible facility, work, and cost for repair of damages. This process allows applicants to administratively consolidate multiple work items into single projects to expedite approval and funding, and to facilitate project management. Project formulation begins at the Recovery Scoping Meeting, but may continue after that initial meeting, as additional damages are identified.

Following the Recovery Scoping Meeting and project formulation, Project Worksheets (PWs) will be written for eligible costs associated with emergency work and facility repair with assistance from Cal OES and FEMA. The PW Form 90-91 is the primary form used to document and request FEMA reimbursement on each project. The scope of work section is the most important part of the PW because it establishes the basis for eligible reimbursement.

**NOTE:** Work performed outside of the scope of work will not be reimbursed.

Projects are categorized as large or small based on the eligible damage cost of the approved PW and the annual threshold identified in 44 CFR 206.203. FEMA will apply the threshold that was current at the date of the declaration – regardless of when the project was approved or when the work was performed.

As of January 3, 2017, this threshold is:

- Small Project = under \$120,000
- Large Project = over \$120,000

**NOTE:** This threshold is updated annually and published in the U.S. Code of Federal Regulations and can be found under Section 206.302 at [https://www.govregs.com/regulations/title44\\_chapterI\\_part206](https://www.govregs.com/regulations/title44_chapterI_part206).

The applicant may prepare PWs for small projects independently; however, large projects must be developed in collaboration with FEMA and Cal OES support staff. Therefore, funding methods for small and large projects differ.

FEMA Public Assistance grant amounts are based on actual costs of the work completed by the applicant at the time the request for assistance is made. However, for work that has not been completed by the time the request for assistance is made, a cost estimate must be used.

Project costs may be derived from any of the following methods, generally ranked in order of accuracy:

- Actual costs on work completed – reasonable, actual costs for properly procured eligible work are considered the best source for the PW cost estimate
- Contract cost – estimated costs from a properly procured contract for completion of eligible work are also a good source for the PW cost estimate
- Contractor bids – bids received in response to a request for proposal to complete eligible work are acceptable sources for the PW cost estimate
- Local vendor quotes – solicitations from local vendors for quotes is another method for developing a PW cost estimate
- RS means – RS Means unit price guides are widely used by FEMA and the construction industry to estimate costs for most building components



- FEMA cost code – FEMA maintains a national price listing for a number of common disaster-related work items. FEMA cost codes may be used to develop PW cost estimates when costs derived from contracts, bids, quotes, or RS Means are not available

FEMA has developed a Cost Estimating Format (CEF) tool that can be used to develop a more uniform method of estimating costs for certain large permanent work projects. The tool is designed to account for costs incurred across the entire spectrum of eligible work (from project design to completion) and is intended for use on projects that are less than 50% complete or will take four or more months to reach 90% completion.

**NOTE:** Cal OES and FEMA will explain the advantages and disadvantages of the different project formulation methods.

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

- Reasonable and necessary to accomplish the work
- Compliant with Federal, State, and local procurement requirements
- Reduced by all applicable credits, such as insurance proceeds and salvage values

Reasonable costs can be established through:

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

An applicant may not receive funding from two Federal sources to repair the same disaster damage. Such a duplication of benefits is prohibited by the Stafford Act. Insurance proceeds, donated grants from banks, private organizations, trust funds, and contingency funds MUST be evaluated individually to determine whether they constitute a duplication of benefits. The eligible cost criteria referenced above, applies to all direct costs, including: labor, materials, equipment, and contracts awards for the performance of eligible work.

### **Federal Public Assistance – Project Review and Validation**

The purpose of validation is to confirm the eligibility, compliance, accuracy, and reasonableness of small projects formulated by the applicant and to ensure that the applicant receives the maximum amount of assistance available under the law.

FEMA uses a computer-based case management file that contains all the project plans for tracking, including:

- Form 90-91 Series
- Form 90-120 “Special Considerations Questions”
  - Details related to floodplain management, insurance, hazard mitigation measures, and compliance with Federal laws and regulations like environmental and historical preservation



- Form 90-118 - "Validation Worksheet" (used as the basis for the validation process)
- Form 90-119 - "Validation Form" (also used as the basis for the validation process)

**NOTE:** See Appendix A for location of Federal disaster assistance forms.

The applicant may prepare project reviews for small projects without assistance from FEMA or Cal OES. Validation is conducted for those applicants who prepare their own small project PWs. The validation procedures apply only to small projects and ensure that the:

- Applicant has developed complete and accurate scopes of work
- Work and costs included in the PWs are eligible for public assistance
- Cost estimates are accurate and reasonable

Typically, 20% of an applicant's small projects are assessed in the validation process. However, if significant discrepancies are found in the sample, a second sample of 20% is assessed. If discrepancies are again found, the applicant will be provided with technical assistance for review of small projects.

Large projects are funded using a final accounting of actual costs. The steps for processing a large project are described below:

- A PW is prepared, FEMA approves funding using the estimate and obligates the Federal share of the funds to the State of California
- As the project proceeds, the applicant periodically requests funds from Cal OES to meet expenses that have been incurred or that are expected in the near future. It may take time to process a request for funds through the State systems, and the applicant should take this into account when timing requests for funds
- When the project is complete, Cal OES will determine the final cost associated with eligible work, often performing inspections or audits to do so. Then Cal OES submits a report on the completed project to FEMA, certifying that the applicant's costs were incurred in the completion of eligible work
- After reviewing the State's report, FEMA will consider adjusting the amount of the grant to reflect the actual cost of the eligible work

While proceeding with the project, the applicant must ensure that grant funds are used only for eligible work. When reviewing final costs, the State cannot provide funds for costs that are outside the FEMA-approved scope of work. The applicant should contact Cal OES, if changes to the scope of work are foreseen or identified during the performance of the work.

Similarly, an applicant may find during construction that FEMA's initial cost estimate is too low. If this happens, the Applicant should request an increase in the funds FEMA has made available for the work. As with changes to scopes of work, the applicant should request funding level increases through Cal OES, as soon as the need becomes apparent.



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## Federal Public Assistance - Final Claim and Inspection

Payment for small projects is made at the time of project approval and is based on the cost estimate. The State is required to make payment of the Federal share to the applicant, as soon as practical after FEMA has obligated the funds.

Due to the nature of most large projects, work typically is not complete at the time of project approval; therefore, FEMA obligates grants based on an estimated cost. Grant funds may not be immediately drawn down by the State. Instead, progress payments are made to the applicant, as actual costs are documented. Upon completion of a large project, an applicant must submit documentation to the State to account for all incurred costs. The State is responsible for ensuring all incurred costs are associated with the approved scope of work and for certifying the work has been done in accordance with FEMA standards and policies. The State then submits documentation of project costs to FEMA for review. FEMA may conduct a final inspection, as part of this review. Once the review is complete, FEMA determines whether funds should be obligated or unobligated for the project.

**NOTE:** See Appendix A for location of Federal disaster assistance forms.

### DUPLICATION OF BENEFITS

Following a disaster, the County often looks for assistance from insurance carriers, but may also seek out assistance from Federal and State agencies, or donations from the community, to help rebuild infrastructure. With multiple entities providing assistance, it is possible for different sources to allocate funds to repair the same project. This action, of allotting funds to the same project, will likely constitute a duplication of benefits. Any such funding sources require special handling to avoid FEMA de-obligation of grant funds.

**NOTE:** This includes volunteer time donated to the response and recovery effort.

Section 312(a) of the Stafford Act, states that no entity will receive assistance for any loss for which financial assistance has already been received from any other program, insurance or any other source. The use of Federal and/or State funds granted for the same purpose clearly constitutes a duplication of benefits. Grant or cash donations provided by a third party constitute a duplication of benefits.

Disaster assistance will not be provided for damages covered by insurance. When Cal OES and FEMA provide assistance it is intended to supplement assistance from other sources. Insurance proceeds should be the applicant's first source for disaster reimbursement.

It is the responsibility of the Disaster Cost Recovery Group and County operating departments expending funds in response to a disaster, to properly account and certify for all State and Federal funds allocated to a project for which a Project Worksheet is written.

Below are some categories of items that constitute non-Federal assistance that County departments must account for on the Duplication of Benefits form:

- Project worksheet number
- Insurance claims received
- Anticipated insurance proceeds
- Grant funds received



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- Contractor credits or refunds
  - Disposition of equipment
  - Salvageable materials
  - Other funds received
  - Total non-Federal funds received



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# EMERGENCY PROCUREMENT, DISASTER ACCOUNTING, AND DISASTER DOCUMENTATION POLICY GUIDE



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# EMERGENCY PROCUREMENT, DISASTER ACCOUNTING AND DISASTER DOCUMENTATION – POLICY GUIDE

## EMERGENCY PROCUREMENT POLICY

An emergency procurement arises when a purchase is required to address an immediate threat to life-safety, public health, and/or property. Such purchases should be made based on an open and competitive process to the extent feasible under the circumstances. However, under emergency conditions sole source purchases may be made, but must be carefully documented using the Single/Sole Source approval process (See Appendix A for location of Disaster Cost Recovery Forms). To address emergency conditions, the County may make limited use of “Time and Materials” contracts in the moments immediately following a disaster but must use the appropriate and detailed documentation, including a cost or price analysis. All “Time and Materials” contracts must be carefully monitored by Procurement staff or the operating department’s purchasing staff, particularly when and where debris clearance work is concerned.

There is a clear distinction between “emergency” purchasing for FEMA Category A and B work and purchasing for FEMA Category C through G “permanent” work. The County has limited latitude in procurement during the response phase of a disaster due to the need for rapid action. However, once the response phase of the disaster is over, all permanent work costing more than \$150,000 – as well as any remaining Category A debris clearance work, must be done through sealed bid contract through the County’s regular procurement process, even though the work is necessitated by the disaster. All permanent work which costs more than \$3,500 and less than \$150,000 must be procured with at least three fully documented quotations.

**NOTE:** For additional information see FEMA Fact Sheet 9580.4, Emergency Work Contracting (<https://www.fema.gov/it/media-library/assets/documents/20828>).

## CONTRACT WORK

### Contracts

All contracts, except those made to immediately protect the public health or environment, must always be competitively bid or justified via a Single/Sole Source approval process and must comply with all applicable Federal, State, and County procurement standards – whichever are *most* restrictive. Not all emergency work is time sensitive to the point that competitive bidding is infeasible. Contract Release Purchase Orders can be issued against these Agreements and shall reflect the contract pricing as it appears in the signed contract document.

### Small Dollar Purchases

Field Purchase Orders can be executed by individual departments, if the amount is less than \$3,500 (as opposed to \$5,000 during non-emergencies) which is the Federal “micro-purchase threshold”. It is a violation of County policy to place numerous Field Purchase Orders with the same vendor for the same product if the total exceeds \$25,000, requests will need to be accomplished by negotiating a service agreement. Additionally, in accordance with the Field Purchase Order Policy, orders exceeding \$3,500 (\$5,000 in non-emergencies) cannot be split among several Field Purchase Orders, as this would also be in direct violation of County policy.



## Sealed Bids

A Sealed Bid is a formal method in which bids are publicly solicited through databases like *Ariba* or *BidSync*. In the case of an Invitation to Bid (ITB) or a Request for Quote (RFQ), contracts are awarded to the most responsive and responsible bidder who submits the lowest bid.

## Informal Request for Quote

When emergency conditions are present there may be an urgent need for a product or service and a formal bid would be too lengthy to satisfy the request in time, Procurement has the discretion to perform an Informal Request for Quote. This requires three bids for the desired product of service, based upon the specifications defined by the end-user and communicated to the Procurement representative assigned to handle the task.

In this instance, three vendors are given the opportunity to send pricing quotes for the same product or service by the deadline provided to them by the Procurement representative. The Procurement representative then evaluates each quote and conducts an equal comparison of the product or service offered and ultimately awards a “Standard Purchase Order” or “Priority Purchase Order” based upon the lowest price.

A justification memo from the Procurement representative must accompany the subsequent Purchase Order to obtain full approval from the Director of Procurement. While this authorized modification of the bidding process is not frequently recommended – and not ideal, it provides an expedited solution in the event of an emergency.

## Competitive Proposals – Requests for Proposal (RFP)

A formal bidding method, similar to sealed bid, but the contract is awarded based on contractor qualifications – not solely on price.

## “Piggyback Contracts”

Piggyback contracts are generally NOT eligible for reimbursement. Piggyback contracts expand existing contracts previously awarded to a vendor. The County’s practice of “piggybacking” another County or a Group Purchasing Organization’s competitive process does not meet Federal procurement requirements due to a potentially inappropriate price structure per FEMA interpretation.

**NOTE:** For additional information see 2 Code of Federal Regulation 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (<https://www.gpo.gov/fdsys/granule/CFR-2014-title2-vol1/CFR-2014-title2-vol1-part200/content-detail.html>).

## Single/Sole Source Procurement

In the event that only one vendor (or one specific type of product or service) can satisfy a need, the Procurement Department can coordinate with the operating department requestor to determine the product or service specifications and requirements, as well as justify the authorized modification to competitive bidding process in favor of the singular option.

This scenario requires that the end-user complete a Single/Sole Source Justification Form (see Appendix A for location of form) The designated Procurement representative then verifies the operating department’s claim thoroughly via a third party verification method or benchmark



research and authors a justification for Procurement leadership to review and approve or disapprove.

If the Single/Sole Source is verified and approved, an Agreement may be awarded to that vendor following pricing and legal negotiations of terms and conditions.

### FEDERALLY ACCEPTABLE PROCUREMENT METHODS

FEMA accepts four methods of procurement:

1. **Lump sum contracts** – for work within a prescribed boundary with a clearly defined scope and total price.

**NOTE:** This is the preferred method of contracting when there is a well-defined scope of work

2. **Unit price contracts** – for work done on an item-by-item basis with cost determined per unit. Unit price contracts require extensive documentation to clearly document the exact quantities of work performed under contract

3. **Cost, plus fixed fee contracts** – either lump sum or unit price contracts with a fixed contractor fee added into the price

4. **Time and materials contracts** – while acceptable these SHOULD BE AVOIDED. These are allowable in the moments immediately following a disaster and when a clear scope of work cannot be developed.

- FEMA has strict regulations and requirements to qualify for FEMA reimbursement when these contracts are used
- Independent monitoring is required and a competitive process should still be used to include labor and equipment rates
- All Time and Materials contracts must have a “not to exceed” limit, which the contractor exceeds at their own risk
- Once a Time and Materials contract is signed, no employee shall be authorized to approve contract extensions of any kind or for any reason

**NOTE:** Cost, plus Percentage of Cost contracts are NOT reimbursable.

### EMERGENCY COUNTY P-CARD (EMERGENCY CREDIT CARD)

The Director of Procurement has the authority to raise the Single Transaction Limit and Monthly Transaction Limit to any amount deemed necessary to mitigate any declared emergency or natural disaster, as defined by the California Government Code, section 8550 et seq., and Division A8 of the County Ordinance Code. In cases, involving the immediate threats to life-safety, public health, or property, staff assigned to the Emergency Operations Center are allowed to obtain after-the-fact approval for exceptions. Documentation for all transactions must follow the guidelines, as established by this Annex and implemented by the Disaster Cost Recovery Group Coordinator.



## Emergency Warrants

In addition to the Emergency P-Card, emergency warrants are also set aside when a local disaster or emergency has been proclaimed by the County Board of Supervisors and are used to assist departments with access to cash for use in disaster response and recovery. Such emergency warrants are paper checks held in the Controller-Treasurer Department for use only when the County's SAP Accounting system and/or warrant printing capability is inoperative. To document transactions, journal entries must be made with emergency warrant receipts for all expenditures. Emergency warrant purchases are limited to goods or services that cannot reasonably be accommodated through P-Card and serve to directly assist in disaster response and/or recovery.

**NOTE:** For information related to the P-Card Policy, please reference the County of Santa Clara P-Card Policy Manual, maintained in the OES Reference Library located in the County EOC.

## DISASTER ACCOUNTING POLICY

### STATISTICAL INTERNAL ORDER (SIO)

A Statistical Internal Order (SIO) number is established by the Controller-Treasurer Department upon activation of the EOC and distributed to all departments to track disaster-related expenditures and revenues associated with an emergency or natural disaster. Disaster-related expense transactions are entered into the County Accounting System (SAP) or the County's Time Tracking System (Kronos) and coded to the applicable SIO number, fund, budget unit, and cost center, as assigned.

All supporting documentation related to any transaction (i.e., work orders, receipts, invoices, etc.) should be maintained by departmental contacts for future audits and inquiry. Copies should be provided to the Finance Section of the EOC or the Disaster Cost Recovery Group Coordinator, as appropriate. All supporting documentation should clearly identify the site location and date of the work done.

**NOTE:** Supporting documentation for projects is to be maintained for at least three years after the date that the Audit Waiver Letter was issued by Cal OES and received by the Disaster Cost Recovery Group for the disaster, as a whole.

**REMEMBER:** When in doubt, **DON'T** throw it out!

### EMERGENCY PAYROLL

The Controller-Treasurer Department has two payroll related missions during an emergency or natural disaster:

1. The Payroll Unit will ensure that all County employees continue to receive their proper remuneration during and after the emergency or natural disaster
2. General Accounting Unit will ensure all employee time spent in preparation for, response to, and/or recovery from an emergency or natural disaster is properly recorded in the Kronos timekeeping system and SAP to maximize any reimbursement that the County may be entitled via State and Federal assistance and relief programs

Success of these missions is reinforced and achieved through the procedures outlined in this planning document.



Kronos is an automated, time and attendance system. Kronos has the capability to annotate time that was worked in relation to an emergency or natural disaster by use of special pay codes and SIO numbers. Special instructions regarding the use of special pay codes and SIO numbers will be disseminated prior to, during, or immediately after the “response” phase.

If a department or agency is unable to utilize Kronos to capture disaster related expenditures, paper documentation must be provided to the Disaster Cost Recovery Group in a timely manner.

In order for the County of Santa Clara to maximize its cost recovery, all disaster-related time should be recorded in Kronos and supporting documentation must be prepared and maintained by the individual operating department.

In the event that communication is lost between Kronos time-clocks and the Kronos server, as long as the units are powered, the time-clocks will store all time-stamps and will transmit the stored information once communication is re-established. Employees and supervisors should take extra-care in their review of electronic time-cards to ensure that the time-stamp data was accurately recorded during the emergency or natural disaster and make any needed corrections.

It is not enough for County employees to clock-in and clock-out of Kronos for time worked in preparation for, response to, or recovery from an emergency or natural disaster. In order to fulfill State and Federal requirements, departments must also maintain detailed logs of hours worked for all employees performing disaster-related duties. The hours logged and submitted for reimbursement on timesheets must coincide with the hours reported on the Kronos electronic time-card. Additional paper-based time and expenditure tracking and reporting tools may be required in the event of a large, multi-faceted event. In such instances, the EOC Finance Section Chief (with the Disaster Cost Recovery Group Coordinator, if appointed) will make such determination, then disseminate the required documentation and guidance to the operational and fiscal staff of the impacted departments and agencies.

### **Payroll Scenarios**

There are three different disruption scenarios that may affect the procedures for processing and capturing payroll costs:

1. If County primary payroll network systems are functional, the Payroll Unit will:
  - a. Disseminate any special payroll processing instructions, such as: special pay codes and/or SIO numbers or paper timesheets
  - b. All supervisors are required to review and approve staff time-cards, as appropriate
2. If the County primary payroll network systems are not functional, the County secondary payroll network systems at Valley Medical Center will be activated. The Payroll Unit will follow the same action as item number one above.
3. If County network systems ARE NOT functional, in accordance with the County established Continuity of Operations and Continuity of Government Program procedures, and with authorization from the Controller-Treasurer, or authorized designee, the Payroll Unit will:
  - a. Repeat the previous payroll period’s banking instructions to the County’s operational bank



- b. Disseminate special instructions, such as timesheets, to document reconciliations post-event

### Kronos – County’s time tracking system

#### Entering the SIO in KRONOS

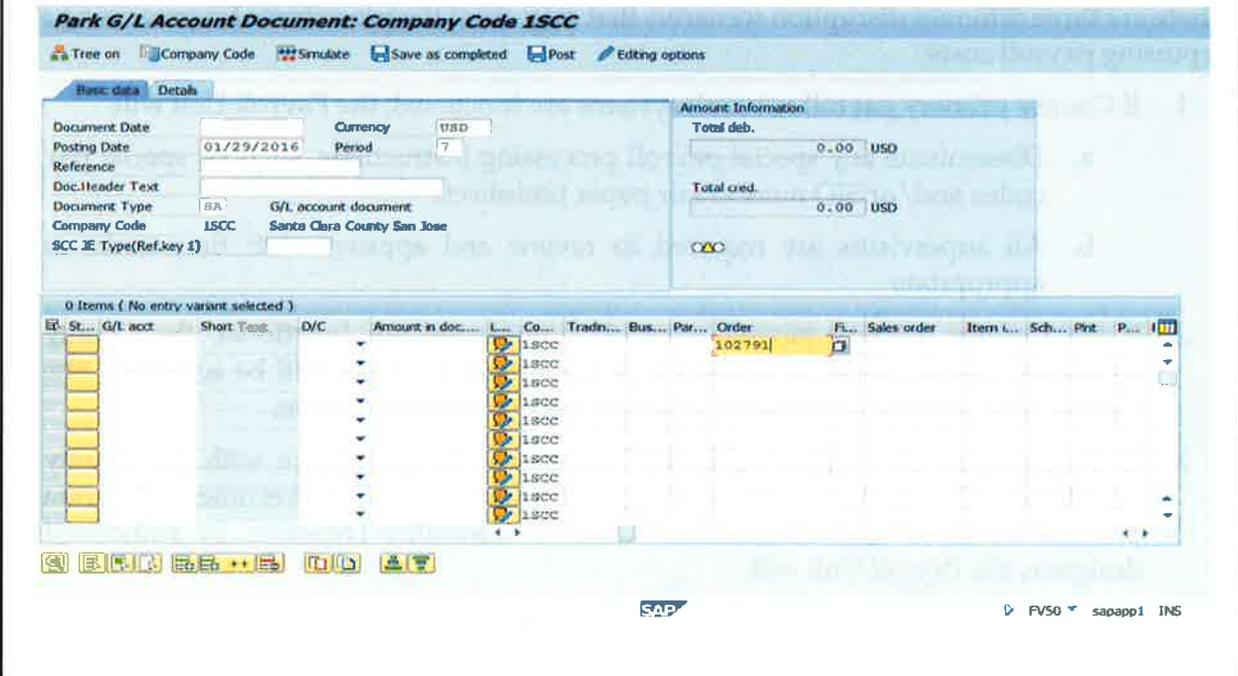
During the initial entry of the SIO, click on the drop-down menu under the “Transfer” column.



### SAP – County’s accounting system

#### Entering the SIO in SAP

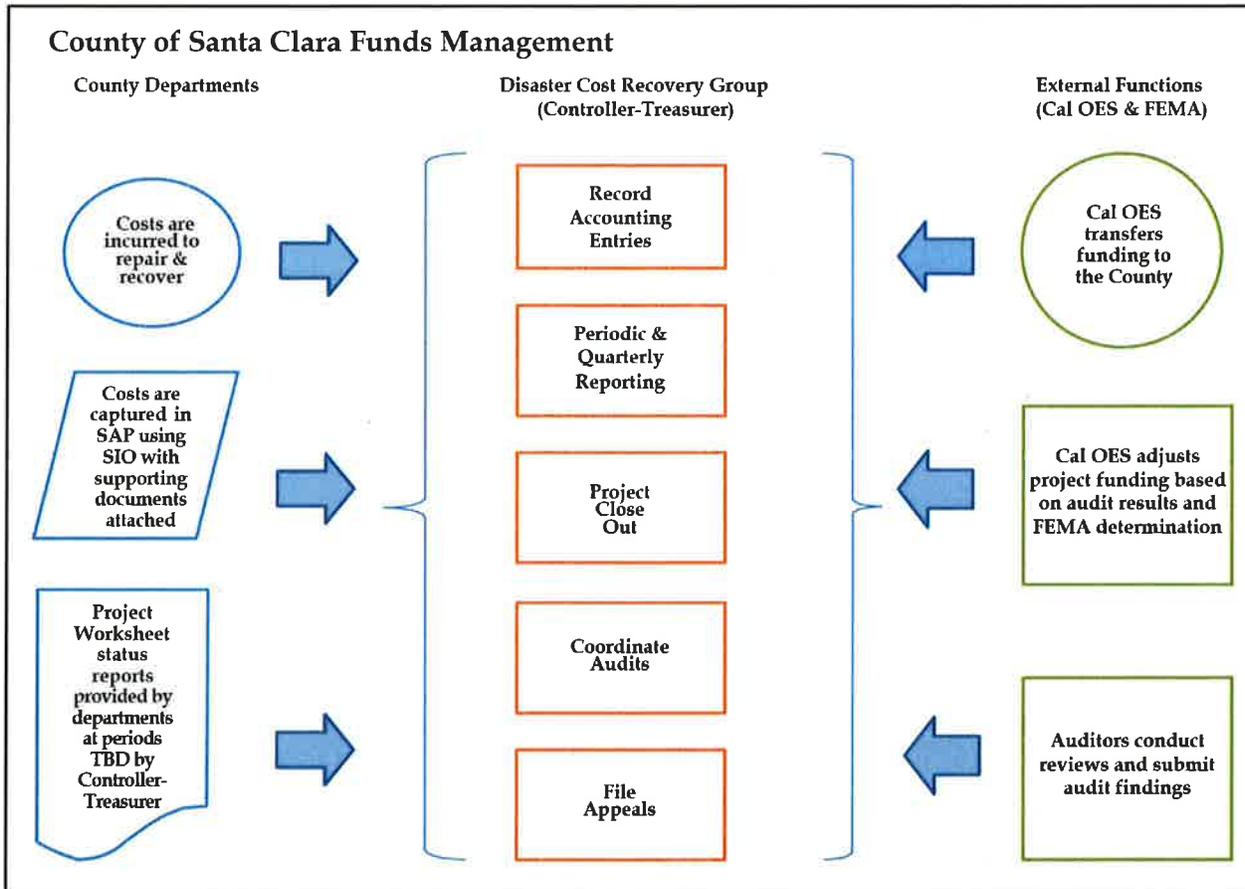
Enter the SIO number under the “Order” column in SAP. The following uses FV50 as an example.





## FUNDS MANAGEMENT

Eligible costs are typically reimbursed by FEMA and Cal OES based on percentages which determine the Federal and State share. The remaining portion or percentage is paid by the County (usually Federal = 75%, State = 18.75%, and County = 6.25%).



The Disaster Cost Recovery Group will:

- Apply for State Public Assistance (CDA) via Cal OES Form 126
- Submit List of Projects via Cal OES Form 95
- Apply for Federal Public Assistance (PA) via Form 90-49
- Manage fund transfers between all external funding sources and internal County departments
- Assist County departments with accounting entries and reporting
- Serve as liaison for audits and project closeouts

Funds management is an ongoing process that requires effective coordination with departmental contacts for cost reporting, as well as communication with external parties, like Cal OES and FEMA, for reimbursement related issues.



### Insurance Claim Process/Settlement

Once the actual expenses are reconciled against the final settlement, the claim payment will first be applied to the County’s policy deductible, and then deposited into a disaster recovery fund to be managed by the Controller-Treasurer Department.

**NOTE:** Extraordinary care must be taken to avoid insufficient funding as a result of any insurance settlement that fails to cover the full face value of the policy – in these cases FEMA will not cover the difference.

## DISASTER DOCUMENTATION REQUIREMENTS

### CONTRACT DOCUMENTATION

The documentation required by the Procurement Department includes, but is not limited to, the following:

1. Contract Folder Checklist (See table below)
2. Purchase Order documentation to be included in separate files, as record of the purchase
3. Sole Source Purchase Justification
4. Price Analysis Form
5. Cost Saving Form

### CONTRACT FOLDER CHECKLIST

Below is a checklist for filing documents in a contract file folder. As a reminder, non-California Public Records Act (CPRA) exempted contents of the file folders are public records. Support staff must create and affix labels to file folders prior to filing.

Divider 1 - Contractual Documents		Yes	No
A.	Agreement, including incorporated documents		
B.	Amendment, including incorporated documents		
<i>Instructions: Use Post-It Tabs to divide each set of documents</i>			
Divider 2 - Supporting Documents or Information		Yes	No
A.	Emails from vendors, customers, sources		
B.	Copy of SAP Requisition (RFQ)		
C.	Email from customer to extend, delete, terminate, not renew, add, renew, etc.		
D.	Internal/External notes		
E.	Supplier Quotes		
F.	Copy of Cost Savings Form		
G.	Copy of SAP contract usage to verify total spend		



H.	Memo to file: request/justification for price increases, change to Scope of Work/Specifications, etc. via Contract Amendment		
<i>Instructions: Staple/clip together the documents relating to each particular Contract/Agreement or Amendment and identify the Amendment using a Post-It Note</i>			
<b>Divider 3 - Insurance Documents</b>		<b>Yes</b>	<b>No</b>
A.	Print screen showing insurance compliance by Periculum		
B.	Copy of Waiver by Risk Management		
C.	Copy of Self-Waiver by Supplier		
<b>Divider 4 - Justification to Award &amp; Solicitation Document</b>		<b>Yes</b>	<b>No</b>
A.	Copy of Exception Request		
B.	Copy of Recommendation to Award Report (RFP)		
C.	Copy of Bid Analysis/ Abstract (ITB/RFQ)		
D.	Copy of an "Approved" Board Transmittal and Delegation of Authority (DOA) form		
E.	Unmarked copy of Final Solicitation Document (ITB/RFP)		
F.	Unmarked copy of any Addenda (ITB/RFP)		
<i>Instructions: If Solicitation file is too large, exclude Exhibits</i>			
Adapted from <i>Contract File Folder Checklist v1</i> , July 16, 2010			

**OVERVIEW OF DAMAGE DOCUMENTATION**

See Appendix A for County of Santa Clara’s Facility Damage Assessment Form.

**Damage Documentation Considerations for Insurance Claim Process**

The following considerations should be reviewed by response and recovery personnel to ensure accurate and timely reimbursement of eligible disaster-related damages to County facilities and equipment:

1. Identification of damages, including a Schedule of Insured Property

County of Santa Clara - Initial Damage Report (Facility)

<b>1. Assessor/Inspector Information</b>			
1a. Assessor/Inspector's Name			
1b. Assessor/Inspector's Department, Agency, or Org			
1c. Assessor/Inspector's Contact Info (phone and email)			
<b>2. Facility Information</b>			
2a. Facility Name			
2b. Facility Description			
2c. Facility Location			
2d. ATC-20 Status	<input type="checkbox"/> Green	<input type="checkbox"/> Yellow	<input type="checkbox"/> Red <input type="checkbox"/> Unknown
<b>3. Disaster Information</b>			
3a. Disaster/Event Title/Name		3b. Disaster Date	
3c. Disaster Description			



2. Location of damages, including an address and Insurance Key Number
3. Damage estimates, including:
  - o The building and all permanently installed fixtures and machinery
  - o Contents (i.e., furniture, fixtures, supplies, computers, etc.) for all County departments
4. Damage documentation, including:
  - o Emergency repairs
  - o Permanent repairs
  - o Photographs of damage upon discovery
5. Damage inspections
  - Remember, there are multiple inspections for a variety of purposes
6. Description of damaged vehicles and designated a vehicle contact person
7. Initial insurance claim
8. Request for State and/or Federal disaster assistance with filing deadlines
9. Mobilization of resources

### WORK AND COST DOCUMENTATION

In order to organize work related information, FEMA divides each applicant’s work into logical groupings. These groupings first separate activities into two primary work types, Emergency Work and Permanent Work. These work types are further divided into Categories of Work (A-G).

This grouping structure is illustrated in the chart below:

Type	Category of Work	
Emergency Work	A	Debris Removal
	B	Emergency Protective Measures
Permanent Work	C	Roads and Bridges
	D	Water Control Facilities
	E	Building and Equipment
	F	Utilities
	G	Parks, Recreation, and Other

Information describing work and cost should be broken down by Category of Work (Category). If a potential applicant is unsure of the category, work and cost required to restore the facility should still be documented so that a category can be assigned at the time of the Joint PDA.

Work and costs associated with completed work can be summarized and supported, when necessary, with the documentation described in this section. Estimates will need to be developed



for work yet to be completed. Work and cost estimate calculations should be provided for all work to be completed to allow validation of estimates and ensure that it meets program eligibility requirements. When damage to a facility is complex or beyond that ability of a potential applicant to estimate, FEMA technical experts may be requested by the State to estimate work and cost.

**NOTE:** For accuracy, a member of a potential applicant's staff that is familiar with the damaged facility and regularly develops estimates for similar work, or a qualified professional should develop estimates.

The following are common general methods used to accomplish disaster related work and estimate cost. The information and documentation discussed are intended to assist potential applicants and emergency managers to prepare work and cost estimations and are applicable across all Categories of Work.

### **Labor (Force Account)**

FEMA refers to potential applicant's personnel as "force account." Force account labor claimed should be based on hourly rates plus the cost of certain fringe benefits (see FEMA's Public Assistance Program and Policy Guide for details). Overtime, premium pay, and compensatory time claimed by potential applicants should be consistent with pre-disaster written policies. Cost related to stand-by time will be considered when incurred in preparation for and directly related to actions necessary to save lives, protect property, and protect the environment. Hours claimed for force account employees need to be reasonable and necessary.

FEMA's criteria for considering straight-time and overtime labor costs differ depending on the type of employee and whether that employee is performing emergency work or permanent work.

- *Emergency Work* - only overtime is considered for budgeted employees. For unbudgeted employees performing emergency work, both straight-time and overtime are considered (Due to program allowances available through the alternate procedures debris removal pilot, authorized by the Sandy Recovery Improvement Act, both straight-time and overtime labor costs will be considered for both budgeted and unbudgeted employees engaged in debris removal work)
- *Permanent Work* - both straight-time and overtime labor costs are considered for budgeted and unbudgeted employees

For the purpose of damage assessments, potential applicants may choose to use average pay rates for groups of force account employees performing similar work, if calculating the actual cost for individual employees is time-prohibitive. In either case, the rate claimed needs to be reasonable for the type of work performed.

Potential applicants claiming force account labor costs during damage assessments should document the number of employees performing a given task, type of employee (budgeted or unbudgeted), type of work being performed, regular time and overtime hours worked, and the hourly rate claimed in a summary. Timesheets, labor policies, and documentation to support wage rates claimed are reasonable for the work.

Additional information related to a potential applicant's force account labor can found in Chapter 2, Section V (A) of the Public Assistance Program and Policy Guide located in the OES Reference Library located in the County EOC or at <https://www.fema.gov/media-library/assets/documents/111781>



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## Equipment (Force Account)

FEMA refers to equipment owned by a potential applicant as force account equipment. FEMA considers the cost of using force account equipment, including permanently mounted generators, based on hourly rates. Only time that the equipment was in use will be considered unless it was used intermittently for more than half of the day.

Potential applicants that have estimated the cost of force account equipment during damage assessments, should specifically document the type of equipment being used, type of work being performed, hours used/miles driven, and the equipment rate used in a summary. Activity logs and equipment rate documents are not typically necessary during damage assessments as long as the time and rates claimed are reasonable for the work

Information related to a potential applicant's force account equipment, including FEMA's policies on purchased equipment, can be found in Chapter 2, Section V (B) of the Public Assistance Program and Policy Guide located in the OES Reference Library located in the County EOC or at <https://www.fema.gov/media-library/assets/documents/111781>.

## Leased Equipment

When a potential applicant leases equipment, FEMA will generally consider costs submitted based on the terms of the lease.

Potential applicants that wish to claim leased equipment cost should specifically document the type of equipment that was leased, type of work being performed, and the cost of the lease equipment in a summary.

Additional information related to leased equipment can be found in Chapter 2, Section V (C) of the Public Assistance Program and Policy Guide located in the OES Reference Library located in the County EOC or at <https://www.fema.gov/media-library/assets/documents/111781>.

## Supplies

FEMA will consider the cost of supplies, including materials, if:

- The supplies or materials are or will be purchased and are justifiably needed to effectively respond to and/or recover from the incident, or
- The supplies are or will be taken from the potential applicant's stock, used for the incident, and properly documented

For the purpose of damage assessments, potential applicants should document any materials or supplies required for emergency work or permanent work in a summary. Minor supplies and materials may be listed as miscellaneous; however, significant expenditures should be specifically noted and include unit costs.

The cost of supplies and materials should be based on invoices, a potential applicant's established methods for pricing supplies and materials, historic prices for materials, or prices from area vendors. Unless it is a large project, it is not typically necessary for potential applicants to provide invoices or other supporting documentation to support supply cost estimations during damage assessments.

Additional information related to supplies and materials can be found in Chapter 2, Section V (D) of the Public Assistance Program and Policy Guide located in the OES Reference



Library located in the County EOC or at <https://www.fema.gov/media-library/assets/documents/111781>.

### **Contract Services**

FEMA will consider the cost of contract services based on the terms of the contract. While procurement methods and contract requirements are generally not reviewed during damage assessments, potential applicants should note that complying with procurement standards and contract requirements are conditions for receiving Public Assistance funding.

**NOTE:** Failure to adhere to these standards and requirements could jeopardize Public Assistance funding if a disaster is declared.

For the purpose of damage assessments, potential applicants should document all contract work and cost in a summary. The estimate, bid, or contract should also be made available as supporting documentation when the cost is above the large project threshold.

Additional information related to Federal procurement and contracting requirements can be found in Chapter 2, Section V (G) of the Public Assistance Program and Policy Guide located in the OES Reference Library located in the County EOC or at <https://www.fema.gov/media-library/assets/documents/111781> and 2 CFR 200

### **Mutual Aid Agreements**

When a potential applicant requests resources from another jurisdiction through a mutual aid agreement, FEMA will consider costs incurred by the potential applicant. Agreements and costs should be consistent with past practices for mutual aid.

For the purpose of damage assessments, potential applicants or States submitting mutual aid costs should provide labor, equipment, supply, and/or material costs (including costs for meals and lodging) in a summary as previously described.

Additional information related to mutual aid, including post incident agreements and eligibility, can be found in Chapter 2, Section V (H) of the Public Assistance Program and Policy Guide located in the OES Reference Library located in the County EOC or at <https://www.fema.gov/media-library/assets/documents/111781>.

### **Other Public Assistance Program Documentation Considerations**

Other public assistance program considerations can have a substantial impact on work and cost estimates. The information and documentation discussed below are intended to assist potential applicants and emergency managers to prepare work and cost estimates, and are applicable across multiple permanent work categories (C-G).

#### *Codes and Standards*

Generally, damage assessment work and cost estimations should be focused on what is required to restore the facility to its pre-disaster design and condition. Improvements required by current applicable codes, specifications, and standards (hereinafter referred to as "standards") may be considered when a facility restoration triggers the upgrade requirement, and when the standard:

- Applies to the type of restoration required
- Is appropriate to the pre-disaster use of the facility
- Is reasonable, in writing, formally adopted by the State or local government, and



implemented by the potential applicant at the time of the disaster, or is a legal federal requirement

- Applies uniformly, and
- Was enforced during the time it was in effect

If a potential applicant would like to include upgrades required by standards, the upgrades will be evaluated according to the five criteria above. When a code or standard will dramatically increase the cost of restoration, potential applicants should provide the specific code or standard to be considered, in writing, as early as possible to Cal OES and FEMA damage assessors for consideration.

Additional information related to codes and standard can be found in Chapter 2 Section VII (C) of the Public Assistance Program and Policy Guide located in OES Reference Library located in the County EOC or at <https://www.fema.gov/media-library/assets/documents/111781>.

#### *Repair vs. Replacement*

If the cost of repairing a facility is estimated to exceed 50% of the replacement cost, an estimate based on the replacement of the facility may be considered. If a potential applicant would like a facility to be considered for replacement, they should provide information and documentation used to develop their estimate to Cal OES and FEMA technical experts for review and validation. **This practice does not apply to individual structural or mechanical components of a facility.**

#### *Landslides and Slope Stabilization*

If a facility is located on a slope and is damaged as a result of a landslide or slope instability triggered by the incident, FEMA determines the stability of the slope that supports the facility before it considers costs required to restore facility. Site inspections and limited geotechnical assessments to determine site stability and to obtain technical opinion of the cause of the slope failure may be considered. The cost of restoring integral ground (ground necessary to physically support a facility) may be considered. Permanent work to stabilize natural ground that is not integral to an eligible facility's function is not considered.

Additional information regarding landslide and slope stabilization work can be found in Chapter 2, Section VII (H)(6) located in the OES Reference Library located in the County EOC or at <https://www.fema.gov/media-library/assets/documents/111781>

#### **Costs Not Considered**

Costs that are not eligible for public assistance funding will not be considered in the calculation of the estimated cost assistance. Examples include, but are not limited to:

- Capital improvements not required by codes and standards
- Loss of revenue
- Loss of useful service life of facilities
- Tax assessments
- Increased operating expenses (with limited exceptions for specific emergency health and safety tasks)
- General surveys to assess damage



- Cost of restoring facilities that were not in active use at the time of the disaster

## DOCUMENTATION FOR EACH CATEGORY OF WORK

As discussed previously, FEMA divides work into seven categories (A-G). Each category of work has specific considerations and policies that should be taken into account when conducting a damage assessment. To assist emergency managers and potential applicants in addressing these and collecting appropriate information and documentation during damage assessments, the following sections will examine each of the FEMA Public Assistance Categories of Work. Where additional policy related information may be required, references are provided.

### Category A - Debris Removal

Debris removal activities, such as clearance, removal, and disposal will be considered during damage assessments if they do not fall under the authority of another federal agency and the removal is in the public interest. Public interest is based on whether the work:

- Eliminates immediate threats to life, property, and the environment
- Eliminates immediate threats of significant damage to improved public or private property, or
- Ensures economic recovery of the affected community to the benefit of the community at large

The types of debris considered include, but are not limited to:

- Vegetative debris
- Construction and demolition debris
- Sand
- Mud
- Silt
- Gravel
- Rocks
- Boulders
- Vehicle/vessel wreckage

#### Example of Documentation Requirement Category A - Debris Removal

Vegetative debris on roadways:

- Total miles of road impacted = 65 miles (map)
- Average amount of debris per mile = 230cy/mile (photographs and locations provided)
- Cost removal and disposal = \$12/cy (contract provided)
- 75% work complete - locations of work to be completed provided (map)
- Cost calculation = (65 mi x 230cy/mile = 14950 cy) x \$12/cy = \$179,400
- Locations for reduction and disposal sites (map)

**Total estimated cost = \$179,400**



- Contaminated debris

Removal of debris from improved public property and public right-of-ways, including Federal-aid roads, will be considered. Local jurisdictions may authorize residents to place incident-related debris on public right-of-ways, FEMA will consider the cost of removing the debris from the right-of-ways for a **limited period of time**.

**NOTE:** Removal of debris placed on the public right-of-way from commercial properties will not be considered. Removal of materials related to the construction, repair, or renovation of either residential or commercial structures will not be considered.

FEMA has defined specific eligibility criteria and documentation requirements for hazardous trees, limbs, and stumps. While costs associated with the removal of these hazards will be considered, potential applicants are encouraged to review FEMA's policy located in Chapter 2, Section VI (A)(2) of the Public Assistance Program and Policy Guide to avoid jeopardizing Public Assistance funding should a disaster be declared.

Debris removal from the following locations/areas WILL NOT be considered:

- Federally maintained navigable channels and waterways
- Flood control works under the authority of the Natural Resources Conservation Service (NRCS)
- Agricultural land
- Natural, unimproved land, such as heavily wooded areas and unused areas

Debris removal from waterways that is necessary to eliminate the immediate threat to life, public health and safety, or property will be considered when not under the authority of another federal agency. For navigable waterways this may include the removal and disposal of debris that obstructs the passage of vessels, to specific depths defined by FEMA. For non-navigable waterways and flood control works this may include debris that is causing or could cause flooding to improved public or private property during the occurrence of a five-year flood. Removal of debris in a waterway that does not meet these immediate threat criterion will not be considered, even if the debris is deposited by the incident. All work in waterways should be noted to assist in the early identification of potential environmental requirements.

When debris removal is required to restore the pre-disaster carrying or storage capacity of engineered channels, debris and sediment basins, storm water detention and retention basins, and reservoirs it may be considered as Permanent Work under Category D, if information and documentation is provided to show that it meets program eligibility requirements.

Additional information can be found in Chapter 2, Section VII (H)(2) of the Public Assistance Program and Policy Guide located in the OES Reference Library located in the County EOC or at <https://www.fema.gov/media-library/assets/documents/111781>

Work requirements developed for damage assessments should include the type and estimated amount of debris that will need to be removed in units (cubic yards or tons). Potential applicants should survey the damage and estimate the total amount of debris that will need to be removed. For damage assessments, a rough estimate can be developed by first estimating the amount of debris that needs to be removed for an area or length of road that represents a *typical or average* amount of debris. This estimated quantity can then be divided by the area, or length of road to



yield an average unit estimate. This unit estimate can then be used to estimate the total amount of debris in the jurisdiction. These calculations should be provided to support estimates. Locations where these estimates were developed should be documented and photographs should be taken to aid in verifying estimates.

Once a debris estimate has been developed, the cost of removal must be calculated. Costs for the pick-up, staging/ transferring, separating, reducing, and disposing of debris should be taken into account.

Potential applicants may also use cubic yard rates supplied by contracts or historic costs to estimate costs. Unit costs for debris removal can also be calculated by dividing the amount of debris removed by the cost of removal. Calculations used to estimate the cost of debris removal should be provided to support estimates.

If a potential applicant still has work to be completed, a total estimated cost of removal can be calculated by multiplying the unit cost developed for completed work by the cubic yards of debris still requiring removal. If work is partially complete at the time of the Joint PDA, locations where typical amounts of debris can be measured should be provided to validate estimates for the remaining work.

Potential applicants should document the location of all temporary and permanent debris sites, including temporary debris staging and reduction sites. These locations are important to validate quantity estimates and the early identification of potential environmental requirements.

Potential applicants should be aware of environmental requirements for the disposal of debris and take appropriate measures to ensure that disposal sites and methods comply with applicable laws and regulations. This is particularly important when debris removal operations may impact:

- Waterways
- Floodplains
- Wetlands
- Federally listed threatened and endangered species
- Critical habitats
- Historic properties
- When amount of debris will challenge existing certified temporary debris staging and reduction locations

While these requirements do not typically impact damage assessment cost estimates, failure to adhere to local, State, and Federal environmental and historic preservation laws could jeopardize Federal funding if a disaster is declared.

Additional information related to debris removal can be found in Chapter 2, Section VI (A) of the Public Assistance Program and Policy Guide located in the OES Reference Library located in the County EOC or at <https://www.fema.gov/media-library/assets/documents/111781>



## Category B - Emergency Protective Measures

Emergency Protective Measures are actions taken before, during, and after a disaster to eliminate or lessen immediate threats to life, public health, or safety, or to eliminate or lessen threats of significant additional damage to improved public and private property in a cost effective manner.

### *Saving lives or Protecting Public Health and Safety*

- Transporting and pre-positioning equipment and other resources for response
- Flood fighting
- Emergency Operations Center-related costs
- Emergency access
- Supplies and commodities
- Medical care and transport
- Evacuation and sheltering costs
- Childcare
- Safety inspections
- Search and rescue
- Fire fighting
- Security, such as barricades, fencing, or law enforcement
- Use or lease of temporary generators for facilities that provide essential community services
- Dissemination of information to the public to provide warnings and guidance about health and safety hazards

### *Protecting Improved Property*

The following are emergency protective measures to protect improved property that may be considered when specific requirements are met. This list is not all-inclusive.

- Constructing emergency berms or temporary levees to provide protection from floodwaters or landslides
- Emergency repairs necessary to prevent further damage, such as covering a damaged roof to prevent infiltration of rainwater
- Buttressing, shoring, or bracing facilities to stabilize them or prevent collapse
- Temporary slope stabilization

### **Example of Documentation Requirement Category B - Emergency Protective Measures**

#### **Sandbagging of County Buildings**

- Force Account labor - 60 overtime hours @ \$35/hour avg. = \$2,100
- Force Account equipment - (1) 15 cy dump truck for 60hrs @ \$65/hr = \$3,900
- Materials - sand and sandbags = \$3,100

**Total estimated cost = \$9,100**



- Mold remediation
- Removal and storage of contents from facilities that meet program requirements for the purpose of minimizing additional damage
- Extracting water and clearing mud, silt, or other accumulated debris from facilities that meet program requirements

For potential private non-profit applicants, emergency protective measures considered are generally limited to activities associated with preventing damage to facilities that meet program requirements.

Information and documentation collected by potential applicants during damage assessments to describe required emergency protective measures are generally focused on documenting the type of actions taken, force account mutual aid or contract resources employed, and cost.

**NOTE:** Only overtime will be considered for permanent employees engaged in emergency protective measures. Stand-by force account labor costs will be considered when it directly relates to actions necessary to save lives and protect public health and safety. Stand-by time for equipment is not considered.

Photographs should be included to verify damage and work required at sites where emergency construction is necessary. Because actions taken for emergency protective measures can be widespread, annotated maps would be particularly helpful in capturing and describing actions taken.

Additional information related to emergency protective measures can be found in Chapter 2, Section III of the Public Assistance Program and Policy Guide located in the OES Reference Library located in the County EOC or at <https://www.fema.gov/media-library/assets/documents/111781>

### Category C - Roads and Bridges

Permanent work required to restore roads (paved, gravel, and dirt), bridges, and their components to their pre-disaster design and function is considered unless the restoration falls under the authority of another federal agency. Permanent restoration of private roads, including homeowners' association roads, are not eligible for FEMA Public Assistance funding, and thus ARE NOT considered.

Road components include, but may not be limited to:

- Surfaces
- Bases
- Shoulders
- Ditches

#### Example of Documentation Requirement Category C - Roads and Bridges

Lake Arnold Bridge Washout - CR 233 (map)

- Two span, 80ft long x 24ft wide, concrete beam and deck structure
- Restoration cost estimate = \$240/sqft (historic costs provided by county engineer)
- Cost calculation = 80ft x 24ft x \$240/sqft = \$460,800; engineering (15%) = \$69,120; geotechnical (1.5%) = \$6,912

**Total estimated cost = \$536,832**



- Drainage structures, such as culverts
- Low water crossings
- Associated facilities, such as lighting, sidewalks, guardrails, and signs

Bridge components include, but may not be limited to:

- Decking
- Guardrails
- Girders
- Pavement
- Abutments
- Pier
- Slope protection
- Approaches
- Associated facilities, such as lighting, sidewalks, and signs

Damage must be the result of the disaster to be considered. Work to repair potholes or fatigue cracking is generally not considered, as this type of damage is rarely caused directly by a single incident.

When a system is damaged (i.e., road system) work and cost should be documented by site but may be combined into a single summary for evaluation. However, to simplify review by technical specialists, bridge restoration work should be separated from other roadwork. For large projects in which the pre-disaster condition may impact estimates, potential applicants will be asked to provide bridge inspection/safety reports to verify pre-disaster condition. If deficiencies identified in these reports were addressed, documentation supporting work performed should also be provided.

Work to repair scour or erosion damage to a channel or stream bank will be considered if the repair is necessary to restore the structural integrity of a road, culvert, or bridge. Any work required in a waterway should be noted to promote the early identification of environmental requirements.

Additional information related to road and bridge work can be found in Chapter 2, Section VII (H)(1) of the Public Assistance Program and Policy Guide OES Reference Library located in the County EOC or at <https://www.fema.gov/media-library/assets/documents/111781>



### Category D – Water Control Facilities

Work done to restore publicly-owned water control facilities that do not fall under the authority of another federal agency may be considered. Water control facilities are those facilities built for the following purposes:

- Channel alignment
- Recreation
- Navigation
- Land reclamation
- Irrigation
- Maintenance of fish and wildlife
- Interior drainage
- Erosion prevention
- Flood control
- Storm water management

They include:

- Dams and reservoirs
- Levees and floodwalls
- Lined and unlined engineered drainage control channels
- Canals
- Aqueducts
- Sediment and debris basins
- Storm water retention and detention basins
- Coastal shoreline protective devices
- Irrigation facilities
- Pumping facilities
- Navigational waterways and shipping channels

Restoring the pre-disaster carrying or storage capacity of engineered channels, debris and sediment basins, storm water detention and retention basins, and reservoirs may be considered, but only if the potential applicant can establish:

- The pre-disaster capacity of the facility
- The facility was maintained on a regular schedule

### Example of Documentation Requirement Category D – Water Control Facilities

#### Fish Creek Debris Basin Restoration

- Basin dimensions: 300ft x 200ft x 10ft
- Estimated depth of debris = 1.5ft
- Amount of debris attributable to flood = 80% (basin last cleaned 3 months earlier @ \$20/cy)
- Force Account labor and equipment
- Cost calculation =  $0.8 \times (300\text{ft} \times 200\text{ft} \times 1.5\text{ft}) \times (1\text{cy}/27 \text{ cubic ft}) \times \$20/\text{cy} = \$53,333$

**Total estimated cost = \$53,333**



Flood control works, such as levees, floodwalls, flood control channels, and water control structures generally fall under the authority of the U.S. Army Corps of Engineers or the Natural Resources Conservation Service. For work to restore these facilities to be considered, it must first be confirmed that it does not fall under the authority of these other federal agencies. Secondary levees riverward of the primary levee are not considered, unless they protect human life.

Additional information related to the eligible repair or replacement of damaged water control facilities can be found in Chapter 2, Section VII (H)(2) of the Public Assistance Program and Policy Guide located in the OES Reference Library located in the County EOC or at <https://www.fema.gov/media-library/assets/documents/111781>

### Category E - Buildings and Equipment

#### *Buildings*

Work required to restore damaged buildings will be considered along with upgrades required by codes and standards. This includes all structural and non-structural components, including mechanical, electrical, and plumbing systems, as well as contents, furnishing and equipment within the building.

Mold remediation and removal of mud, silt, or other accumulated debris will be considered as Permanent Work when conducted for the purpose of restoring the facility. When this work is required to eliminate or lessen an immediate threat, it will be considered but captured under Category B - Emergency Protective Measures

Environmental and historic preservation requirements are common to the restoration of public buildings. Potential applicants are encouraged to identify damaged facilities over 45 years old, and any work that may be environmentally or culturally sensitive to avoid jeopardizing Federal funding should a disaster be declared.

Specific policy guidance related to the restoration of files, research-related contents, animals, irreplaceable collections and individual objects, and library books and publications can be found in Chapter 2, Section VII (H)(2) of the Public Assistance Program and Policy Guide located in the OES Reference Library located in the County EOC or at <https://www.fema.gov/media-library/assets/documents/111781>

#### *Equipment*

Work related to restore damaged equipment will be considered. This includes any vehicles and construction equipment. When equipment is not repairable, potential applicants may use “blue book” values or similar price guides to estimate the cost of replacing the damaged equipment with equivalent items – similar age, condition, and capacity. If the cost to replace damaged

**Example of Documentation Requirement  
Category E - Buildings and Equipment**

Building #212 - 123 City Center (map)

- 4 stories each = 120ft x 100ft
- Built 1998
- Basement and first floor – flood debris removal, building mechanical systems, damaged furniture removal and replacement, interior wall repair and painting
- Repairs to be performed by contract services
- Estimated cost to repair = \$840,000 (contract provided)
- Insurance = \$700,000 (policy provided)

**Total estimated cost = \$140,000**



equipment is less than the cost to repair it, the estimate should be based on the replacement cost as it represents the lowest cost option.

Equipment that is damaged performing Emergency Work, will be considered under the appropriate Emergency Work Category (A or B).

**NOTE:** Additional information related to the restoration of damaged public buildings and equipment can be found in Chapter 2, Section VII (H)(3) of the Public Assistance Program and Policy Guide located in the OES Reference Library located in the County EOC or at <https://www.fema.gov/media-library/assets/documents/111781>.

### Category F - Utilities

Work required to restore damaged utility facilities to pre-disaster design and function will be considered under Category F. This includes:

- Water storage facilities, treatment plants, and delivery systems
- Power generation, transmission, and distribution facilities, including, but not limited to: wind turbines, generators, substations, and power lines
- Natural gas transmission and distribution facilities
- Sewage collection systems and treatment plants
- Communication systems

#### Example of Documentation Requirement Category F - Utilities

##### Common Electric

- 14 utility poles destroyed – conductor will be re-hung (photos)
- Force Account labor, equipment, and materials
- Estimated cost of repair = \$4,750/pole (historic cost)
- Work has begun on 5 of 14 poles
- Cost calculation = 14 poles x \$4,750/pole = \$66,500

**Total estimated cost = \$66,500**

Restoration work that will be considered includes, but is not limited to:

- Permanent restoration of any component of the system, including buildings, structures, or systems, even if not contiguous
- Electrical conductor replacement (subject to specific criteria)
- Inspection or assessment of damaged components of a system (**note:** general surveys to identify damage are not considered)
- Inspection or assessment of an inaccessible structure or component of a system (e.g. underground systems), but only when there is evidence of damage

FEMA will consider the cost of limited clearance of disaster-related debris from a right-of-way to enable access to the facility. Additionally, if trees in the vicinity of the facility were damaged by the incident and an arborist confirms that the trees cause an immediate threat of further damage to the facility (e.g. overhead power lines), FEMA will consider the cost of removing those trees. Any further clearance of debris from the right-of-way will not be considered.

Work and cost estimates should be based on specific disaster related damage. As an example, if there is evidence of a broken sewer line between A and B Streets, potential applicants should not



estimate complete replacement between A and B Streets, but use an appropriate length of repair given the above ground indicators. Likewise, potential applicants should include sites where damage is suspected, but not confirmed.

If an electric utility cannot effectively repair damaged conductors and would like to have conductor replacement work considered, information supporting the need should be provided for review, in writing, as early as possible to Cal OES and FEMA damage assessors for consideration.

**NOTE:** The cost of obtaining an alternative source of power because of the shutdown of a power generation plant will not be considered as it is an increased operating expense. Similarly, FEMA cannot provide funds for revenue lost if a utility is shut down.

**NOTE:** Additional information related to the restoration of damaged public utilities can be found in Chapter 2, Section VII(H)(4) of the Public Assistance Program and Guide located in the OES Reference Library located in the County EOC or at <https://www.fema.gov/media-library/assets/documents/111781>.

**Category G - Parks, Recreation Facilities, and Other**

Eligible publicly owned facilities in this category include:

- Mass transit facilities such as railways
- Beaches
- Parks
- Playground equipment
- Swimming pools
- Bath houses
- Tennis courts
- Boat docks
- Piers
- Picnic tables
- Golf course
- Ball fields
- Fish hatcheries
- Ports and harbors
- Other facilities that do not fit in Categories C - F

**Example of Documentation  
Requirement Category G - Parks,  
Recreation Facilities, and Other**

Springfield Park

- Clean/repair: 10 wooden picnic tables, playground apparatus, 4 benches, 16 trash receptacles, 2 sets of bleachers (photo)
- Replace: 400 playground safety play surface tiles @ \$24.50/tile - verbal quote (photos)
- Force Account labor = 20 regular hours @ \$25/hr avg (with benefits) = \$500
- Playground safety tiles = 400 tiles @ \$24.50/tile = \$9,800

**Total estimated cost = \$10,300**

Unimproved natural features are not eligible. The cost of replanting trees, shrubs, and other vegetation will be considered when they are part of the restoration of an eligible facility and are needed for erosion control, to minimize sediment runoff, or to stabilize slopes, including dunes on eligible improved beaches. Grass and sod replacement will be considered if it is integral to the



facility. Vegetation replacement necessary to restore the function of the facility (e.g. if vegetation is a component of a sewage filtration system) will also be considered. Long-term monitoring to ensure vegetative growth is not considered. Plantings ineligible for replacement include, but are not limited to:

- Replacement of trees, shrubs, and other vegetation not required for erosion control
- Replacement of destroyed crops
- Cosmetic or aesthetic vegetation, such as landscaping around public facilities or in median strings along roadways. This restriction applies even when the vegetation is damaged during performance of eligible work, such as when repairing underground utilities within landscaped areas.

**NOTE:** Environmental and historic requirements are common to parks and recreation facilities. Potential applicants are encouraged identify damaged facilities over 45 years old, any work in waterways, and to other potential restoration work that may have environmental or historic preservation requirements early to avoid jeopardizing Federal funding should a disaster be declared.

**NOTE:** Additional information related to the restoration of damaged parks, recreation facilities, and other items - including replacement of sand on beaches - can be found in Chapter 2, Section VII(H)(5) of the Public Assistance Program and Policy Guide located in the OES Reference Library located in the County EOC or at <https://www.fema.gov/media-library/assets/documents/111781>.

## COMPLIANCE

### REPORTING

The County utilizes both internal and external reporting to communicate project status. The Disaster Cost Recovery Group coordinates project status reports to ensure projects are staying on schedule, within guidelines, and to decrease the opportunities for potential issues. Progress reports are critical to ensuring that FEMA and the State have up-to-date information on Public Assistance program grants.

Operating departments verify supporting documentation to transactions entered in SAP. Costs by project are reported by each department to the Disaster Cost Recovery Group. Total Costs reported should be reconciled to SAP with any discrepancies or cost overruns identified for further research and approval.

Quarterly reports are required to be submitted to Cal OES for all projects that have not been closed out. The reports are due the first full quarter after the closure of the Joint Field Office.

The following dates are deadlines for submitting reports to Cal OES:

- March 31st
- June 30th
- September 30th
- December 31st

Information included on the quarterly report:



- Status of the project, such as percentage of construction completed
- Time extensions granted, if any
- Projected completion date
- Amount of expenditures and payment for each project
- Problems or circumstances that could delay the project or result in noncompliance with the conditions of the FEMA approval

**PROJECT EXTENSIONS AND CLOSEOUT**

**Project Extensions**

Extension requests can be generated, if additional time is required beyond the established timeframes. In that event, the status of both large and small outstanding projects are reported to Cal OES, as an extension request each 6 months after the disaster date.

Justification for an extension must be detailed and project specific explaining:

- Cause of the delays and why the extension is needed
- How similar delays will be avoided in the future
- All projects involved with the request

Both large and small eligible projects are to be completed within the timeframes below:

Type of Work	Months
Debris Clearance	6
Emergency Work	6
Permanent Work	18

**Project Completion Report**

When all work has been performed on a project, and the project is reported as 100% complete, the operating department coordinates with the Disaster Cost Recovery Group to complete a claim summary form. The submission of the Claim Summary and Project Completion Form (See Appendix A for location of Cal OES Form 4a) serve as notification to Cal OES that the project is complete and ready for audit.

The CDAA Form 4a is an internal document for Cal OES placed in the County file that states:

- All work and costs claimed are eligible
- All work claimed has been completed
- All expenses for work claimed and deemed eligible have been paid in full
- No further claims for damages



## RECORD KEEPING

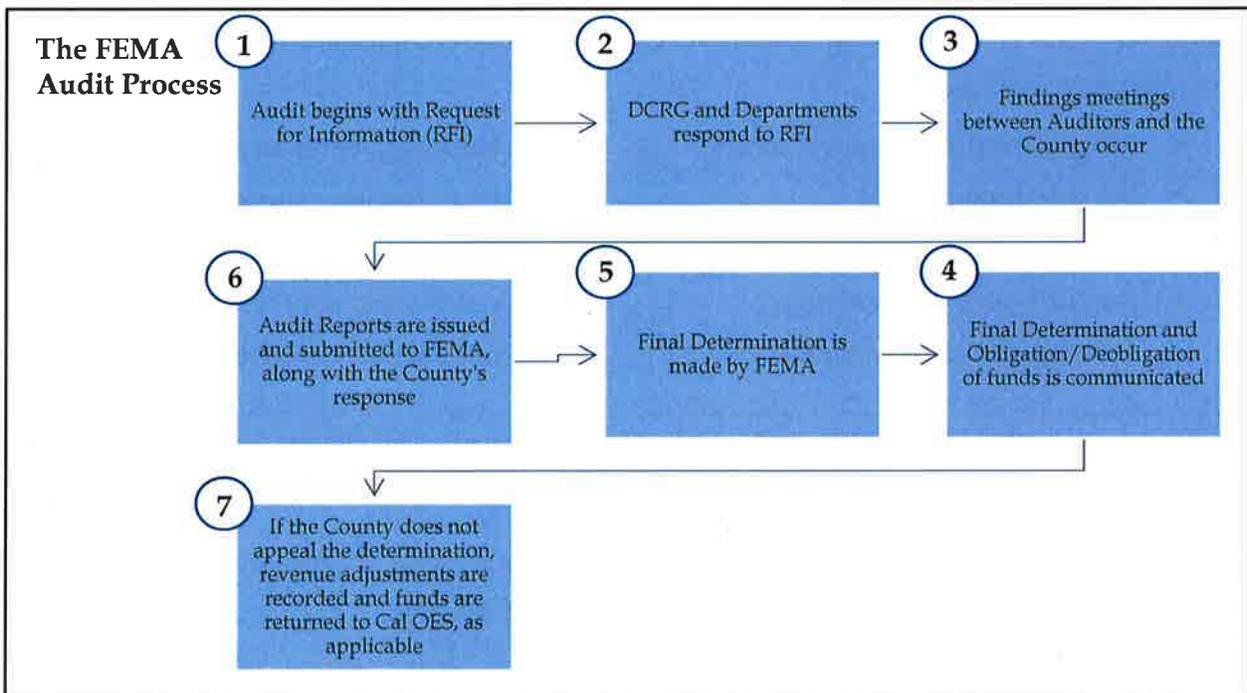
Upon completion of the CDAA Form 4a, the operating department will transfer all documentation to the Controller-Treasurer Department, General Accounting Unit, and the Cost Recovery Accountant. This documentation must include a clear audit trail of all documentation and expenditures to be provided to any inspection team, reviewers and/or auditors. This documentation is critical for the County to receive reimbursement for eligible disaster related costs.

Specific documentation and procedures are based on the requirements of the Federal Office of Management and Budget and other Federal agencies. All of the documentation pertaining to a project should be filed with the corresponding Project Worksheet and maintained by the Controller-Treasurer Department, General Accounting Unit, and the Cost Recovery Accountant, as the permanent record of the project. These records become the basis for verification of the accuracy of project cost estimates during validation of small projects, reconciliation of costs for large projects and audits.

Supporting documents should **NOT** be destroyed until three years after the date that the **Audit Waiver Letter** is issued by Cal OES and received by the Cost Recovery Accountant. Even if a State audit has been completed on your projects, the project is still subject to further audit requests, for example by FEMA Office of Inspector General, and records should still be retained.

## AUDITS

Audits and quarterly reviews are conducted on all projects that have not received final payment. However, all approved projects are also subject to random audits. These audits may be performed in conjunction with a financial statement audit, internal audit or other forms of attestation engagement.





Currently, the **Single Audit Act** requires an audit of grant recipients expending greater than \$750,000. Even though a single audit must be performed, grant recipients also are subject to additional audits by FEMA's, Office of Inspector General, and State auditors for items not covered by the Single Audit Act.

The County may be audited by all or one of the following:

- California Office of Emergency Services (Cal OES)
- Office of Inspector General (OIG)
- Federal Highway Administration
- Internal Auditors
- External Auditors

Generally, audits are performed by Cal OES to verify eligibility and compliance with all applicable FEMA regulations.

When projects are submitted for closing, Cal OES begins auditing projects. A listing of projects that will be opened for audit is communicated by State auditors to the County Controller-Treasurer Department. A Request for Information is then provided to the Disaster Cost Recovery Group. The Request for Information (RFI) lists all documents that the auditor will need to begin the audit including supporting documentation for the reported costs.

The Disaster Cost Recovery Group identifies which requested items require input from County departments. Documentation provided to the Disaster Cost Recovery Group should clearly identify the Project Worksheet and associated costs. The responses are then compiled for review and are submitted to the auditors. Finding meetings are held between the OA and auditors throughout the process.

**NOTE:** Throughout the audit period, the Request for Information is often updated with additional items or follow-up questions that are needed to complete the audit.

Common audit findings are:

- Missing overtime approval forms
- Pay rate discrepancies
- Ineligible invoices or receipts
- Duplicate invoices or billings
- Overstated invoice amounts
- Timesheet discrepancies
- Missing receipts/documentation
- Costs outside scope of work
- Contract/bid approval deviations
- Time & materials contracts

State auditors review the claim and submit an audit report along with a final funding recommendation to Federal agencies for review and approval. The Federal agencies review the claim and make any necessary funding adjustments. Final reimbursement is made, or in some cases, a refund of excess advances is required.

**NOTE:** Negative audit findings may result in de-obligation (return) of funds by Federal and State agencies which will have an adverse impact on the County budget.



## ROLES AND RESPONSIBILITIES



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## ROLES AND RESPONSIBILITIES

This section provides basic guidance on the roles and responsibilities of the various jurisdictions, County departments/agencies, and other partners within the Operational Area prior to, during, and after all emergencies or natural disasters.

### LOCAL JURISDICTIONS – INCLUDING SPECIAL DISTRICTS

In accordance with SEMS, local jurisdiction refers to the cities and towns that are encompassed within the geographical borders of the County of Santa Clara. In the case of unincorporated areas, local jurisdiction refers to the County itself. Local jurisdictions participate in ongoing operational area planning and training.

**NOTE:** This Functional Annex constitutes the County of Santa Clara’s pre-planning effort to ensure successful disaster cost recovery, under its obligations as a local jurisdiction. It is recommended that Santa Clara County constituent jurisdictions develop and implement locally crafted disaster cost recovery measures, while using this document as a reference.

#### Planning

While the County may play a support role, local jurisdictions are responsible for all local planning activities related to disaster cost recovery.

Pre-planning topics to consider as part of local disaster cost recovery planning include, but are not limited to:

- Emergency protective measures
- Debris removal and management
- Damage identification/assessment
- Damage documentation
- Emergency Operations Center procedures
- Local disaster recovery strategy – including cost recovery procedures
- State and Federal program application, and project development, monitoring, reporting, and close-out procedures

#### Response

Local jurisdictions are responsible for the implementation and management of most response activities related to disaster cost recovery.

Coordinate with the County’s Disaster Cost Recovery Group (DCRG), contact County OES if DCRG is not activated, for State and/or Federal emergency/disaster reporting and assistance

The actions that local jurisdictions are responsible for during response include, but are not limited to:

- Operations in support of emergency protective measures
- Debris removal and management
- Damage identification/assessment



- Local disaster proclamation
- Damage documentation
- Damage reports to Operational Area Emergency Operations Center
- Compliance with any and all applicable local, State, and Federal laws, regulations, and rules pertinent to emergency procurement, disaster cost recovery activities, documentation, and project development and execution

### Recovery

Again, local jurisdictions are responsible for the implementation and management of most recovery activities related to disaster cost recovery. The actions that local jurisdictions are responsible for during recovery include, but are not limited to:

- Implementation of a local disaster recovery strategy - including cost recovery procedures
- Arrange Site Visits to survey damage to local assets with the following:
  - For State IDE Verification - (1) Local emergency management representative, (1) County OES representative, as the Operational Area (if available), and (1) Cal OES representative
  - For Joint PDA - (1) Local emergency management representative, (1) County OES representative, as the Operational Area (if available), (1) Cal OES representative, and (1) FEMA representative
- State and Federal disaster assistance program application, and project development, execution, monitoring, reporting, and close-out
- Conduct an event After-Action Report to detail improvements to be made to this Annex and implement appropriate changes determined via the After-Action process



## COUNTY OF SANTA CLARA DEPARTMENTS/AGENCIES

### FOR ALL OPERATING DEPARTMENTS

#### Planning

All County departmental leaders and staff that may likely be operational during an emergency event should review and become familiar with the provisions of this Annex and reference it frequently throughout the course of any disaster that may be potentially eligible for reimbursement via the funding sources detailed in the Summary of Funding section of this planning document.

If, upon review, discrepancies in the planning document are revealed, departmental leaders and/or staff should note the discrepancy and report it to County OES for adjudication.

It is recommended that County departmental leaders use this planning document to train staff members that may be tasked during an emergency via implementation of this Annex.

#### Response

- Comply with prescribed Departmental Accounting Procedures for Disaster Response (page 47)
- Report and document damage to County facilities or assets due to a natural-disaster
- Comply with all provisions of the County's Emergency Procurement; Disaster Accounting and Documentation Policy Guide

#### Recovery

- Comply with prescribed Department Accounting Procedures for Disaster Recovery (page 56)
- Participate in Site Visits with County OES, Cal OES, and/or FEMA (if Joint PDA), as necessary
- Develop recovery and mitigation projects in collaboration with the Disaster Cost Recovery Group and/or the Local Disaster Recovery Manager (if appointed)
- Execute, monitor, and report progress of recovery and mitigation projects, as directed, to the Disaster Cost Recovery Group and/or the Local Disaster Recovery Manager (if appointed), and Cal OES
- Initiate project close-out procedures, using CDAA Form 4a , in collaboration with the Disaster Cost Recovery Group and/or the Local Disaster Recovery Manager (if appointed)
- Retain all necessary documentation until notified of further instruction by the Disaster Cost Recovery Group
- Properly account and certify for all State and Federal recovery and mitigation funds
- Contribute to any event After-Action Report to detail improvements to be made to this Annex and implement appropriate changes determined via the After-Action process



## OFFICE OF EMERGENCY SERVICES (OES)

The County of Santa Clara Office of Emergency Services (OES) is the lead Operational Area agency through all four phases of emergency management which include, mitigation, preparedness, response, and recovery. Specifically, the Office of Emergency Services is responsible for ensuring the development, implementation, and maintenance of a comprehensive Emergency Operations Plan and associated annexes – including this Annex.

### Planning

The Office of Emergency Services facilitated the development of this planning document in tight collaboration with subject matter experts representing the Finance Agency and Procurement Department.

The Office of Emergency Services will lead any future Annex update effort, due to lessons-learned or scheduled maintenance, as well as develop and deliver Annex socialization efforts, training events, and periodic, integrated exercises in collaboration with the Finance Agency and the Procurement Department.

### Response

The Office of Emergency Services, in coordination with a Finance Agency representative, will advise the County Executive, or authorized designee, on when this Annex will be activated and how the Santa Clara County Disaster Cost Recovery Group will be employed.

Upon Annex activation, the Office of Emergency Services may meet its response obligations under the provisions of this Annex through all available means and methods deemed necessary. Most likely, the Office of Emergency Services will:

- If a disaster causes damage, BUT the scope and complexity of the event DOES NOT warrant an EOC activation, the Director of Emergency Services may direct the OES Duty Officer to coordinate with the Finance Agency or the County Disaster Cost Recovery Group Coordinator
- If a disaster causes damage AND the scope and complexity of the event DOES warrant an EOC activation, the EOC Director, or authorized designee, in consultation with the EOC Coordinator may appoint a representative from the Office of Emergency Services to serve on the Santa Clara County Disaster Cost Recovery Group

**NOTE:** In accordance with SEMS, if a disaster has impacted more than 1 constituent jurisdiction or special district, the County of Santa Clara will act as, and be referred to as, the Santa Clara County Operational Area. In these cases, the County will serve as a pass-through entity to Cal OES for all damage assessments and assistance requests.

### Recovery

- Coordinate all County departmental cost recovery activities with the Finance Agency as a component of the Disaster Cost Recovery Group
- Provide representative to serve as the Local Disaster Recovery Manager, if necessary
- As the operational tempo of the event transitions from *Response* to *Recovery*, the EOC Director, or authorized designee, in consultation with the EOC Coordinator may appoint a Local Disaster Recovery Manager from the Office of Emergency Services



- With the Finance Agency, act as a coordinating entity for all local jurisdictions and special districts for State and/or Federal emergency/disaster reporting and assistance
- Arrange Site Visits to survey damage to County assets with the following:
  - For State IDE Verification - (1) Local emergency management representative, (1) County OES representative, as the Operational Area (if available), and (1) Cal OES representative
  - For Joint PDA - (1) Local emergency management representative, (1) County OES representative, as the Operational Area (if available), (1) Cal OES representative, and (1) FEMA representative
- Assist with the arrangement of, and participate in, if available, the State IDE verification and/or Joint PDA
- Promote individual assistance programs via appropriate methods of communication to impacted public, including: business/home-owners, and any eligible private non-profit organization, if IA funding is made available by a State proclamation and/or a Federal declaration
- Produce an event After-Action Report to detail improvements to be made to this Annex and implement appropriate changes determined via the After-Action process



## FINANCE AGENCY (FIN)

### Planning

As the County of Santa Clara’s financial management subject matter experts, the Finance Agency – specifically the Office of the Controller-Treasurer – is the lead County agency, with the County Office of Emergency Services and the Procurement Department, for the development, implementation, and maintenance of this Annex.

The Finance Agency will be responsible for training internal agency personnel on the prescribed actions contained in this Annex.

The Finance Agency will notify the Office of Emergency Services if/when the Agency has been made aware of any County, State, or Federal change in law, rule, or regulation related to the actions described in this planning document, as soon as the Agency is capable.

Finally, the Finance Agency will contribute to any future Annex update, due to lessons-learned or scheduled maintenance, as well as develop and deliver Annex socialization efforts, training events, and periodic, integrated exercises in collaboration with the Procurement Department and the Office of Emergency Services.

### Response

The Finance Agency, in coordination with the Director of Emergency Services, will advise the County Executive, or authorized designee, on when this Annex should be activated and how the Santa Clara County Disaster Cost Recovery Group will be employed.

Upon Annex activation, the Finance Agency may meet its response obligations under the provisions of this Annex through all available means and methods deemed necessary. Most likely, the Finance Agency will:

- If a disaster causes damage, BUT the scope and complexity of the event DOES NOT warrant an EOC activation, the Finance Agency may request of the Director of Emergency Services that the OES Duty Officer coordinate with the Finance Agency or the County Disaster Cost Recovery Group Coordinator, in accordance with this Annex
- If a disaster causes damage, AND the scope and complexity of the event DOES warrant an EOC activation, the EOC Director, or authorized designee, in consultation with the EOC Coordinator may appoint a Santa Clara County Disaster Cost Recovery Group Coordinator, in accordance with this Annex
- If the EOC has been activated, the EOC Finance Section Chief will designate a Statistical Internal Order (SIO) to all County departments and agencies provided by the Controller-Treasurer Department. This SIO should be used to track all expenditures related to that specific disaster, including labor, purchases, replenishment of stock, contracts, etc. and communicated by email to the following groups:
  - Department Heads
  - Departmental Fiscal Officers
  - Jurisdictions, agencies, and organizations from the Operational Area listed on the event conference call roster



- If the County Board of Supervisors, or the County Executive, as an authorized designee, issues an emergency proclamation, additional cost tracking steps will be initiated to ensure that reimbursement will be forthcoming, if the Governor also proclaims an emergency and/or the President declares an emergency or disaster
- The Controller-Treasurer Department, acting as the Finance Section Chief or the Disaster Cost Recovery Group Coordinator (if appointed), will also serve as the Operational Area Lead Agency for the compilation of disaster-related expenditures and damages for all jurisdictions, special districts, and private non-profits in the geographic boundaries of Santa Clara County – this report is a composite of the whole County; therefore, this compilation will not detail the costs for each separate entity
- The Controller-Treasurer Department, acting as the Finance Section Chief or the Disaster Cost Recovery Group Coordinator (if appointed), will report the consolidated data to the State of California via the online information-sharing platform known as Cal EOC
- Ensure continuity of County payroll functionality
- Initiate process for additional appropriation of funding, if necessary

### Recovery

- Coordinate cost recovery activities, with the Local Disaster Recovery Manager (if appointed) or Office of Emergency Services, if a State or Federal disaster or emergency declaration makes funding available via Public Assistance, as the County of Santa Clara will act as a pass-through entity for all local jurisdictions and special districts
- With County OES, act as a coordinating entity for all local jurisdictions and special districts for State and/or Federal emergency/disaster reporting and assistance
- Coordinate activities necessary to efficiently and effectively file and secure insurance coverage, as appropriate
- Comply with all applicable local, State, and Federal laws, rules, and regulations as it relates to State and Federal grant application, project monitoring, reporting, and close-out requirements, in collaboration with any eligible, impacted County Department, local jurisdiction, or special district
- Contribute to any event After-Action Report to detail improvements to be made to this Annex and implement appropriate changes determined via the After-Action process
- Retain all necessary documentation for required timeline of three years after the date of the final Financial Status Report via FEMA Form 112-0-1( See Appendix A for location of FEMA Form 112-0-1
- Conduct internal audits, as necessary and fill any Requests for Information from Cal OES and/or FEMA



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## PROCUREMENT DEPARTMENT (PRC)

### Planning

As the County of Santa Clara's procurement subject matter experts, the Procurement Department is a supporting County agency, with the County Office of Emergency Services and the Finance Agency, for the development, implementation, and maintenance of this Annex.

The Procurement Department will be responsible for training internal department personnel on the prescribed actions contained in this Annex.

The Procurement Department will notify the Office of Emergency Services if/when the Agency has been made aware of any County, State, or Federal change in law, rule, or regulation related to the actions described in this planning document, as soon as the agency is capable.

Finally, the Procurement Department will contribute to any future Annex update, due to lessons-learned or scheduled maintenance, as well as develop and deliver Annex socialization efforts, training events, and periodic, integrated exercises in collaboration with the Finance Agency and the Office of Emergency Services.

### Response

Upon Annex activation, the Procurement Department may meet its response obligations under the provisions of this Annex through all available means and methods deemed necessary. Most likely, the Procurement Department will:

- If a disaster causes damage, BUT the scope and complexity of the event DOES NOT warrant an EOC activation, the Finance Agency may request of the Director of Procurement a departmental representative to coordinate with the Finance Agency or the County Disaster Cost Recovery Group Coordinator, in accordance with this Annex
- If a disaster causes damage, AND the scope and complexity of the event DOES warrant an EOC activation, the EOC Director, or authorized designee, in consultation with the EOC Coordinator may appoint a representative from the Procurement Department to serve in the EOC or the Santa Clara County Disaster Cost Recovery Group in accordance with this Annex
- Raise P-Card single and/or monthly limits, if necessary and appropriate
- Gather and document informal quotes, as necessary and appropriate

### Recovery

- In coordination with the County's Disaster Cost Recovery Group, reconcile all authorized, disaster-related purchases made using an authorized Government Procurement Card (P-Card)
- Contribute to any event After-Action Report to detail improvements to be made to this Annex and implement appropriate changes determined via the After-Action process
- Retain all necessary documentation until notified of further instruction by the Disaster Cost Recovery Group



## ROADS AND AIRPORTS (RDA)

### Planning

The mission of the Roads and Airports Department (RDA) is to preserve, operate, and enhance the County's expressways, unincorporated roads, and three general aviation airports to meet the needs of the traveling public. To support that mission, the Department is currently working with the Office of Emergency Services to develop a damage assessment planning document that may impact the performance of this Annex. Upon the adoption of any damage identification, assessment, or reporting plan, the Department will work with the Office of Emergency Services to incorporate any relevant changes into this Annex.

The Roads and Airports Department will be responsible for training internal department personnel on the prescribed actions contained in this Annex.

The Planning and Development Department will notify the Office of Emergency Services if/when the Department has been made aware of any County, State, or Federal change in law, rule, or regulation related to the actions described in this planning document, as soon as the Department is capable.

Finally, the Roads and Airports Department should, to the greatest extent possible:

- Catalog all County-owned transportation infrastructure and associated facilities,
- Delineate between Federal-aid and non-Federal-aid roadways
- Document pre-disaster conditions
- Maintain documentation related to scheduled or emergency maintenance
- Identify and maintain historic documentation that can be used to justify labor, material, and equipment costs

### Response

Upon Annex activation, the Roads and Airports Department may meet its response obligations under the provisions of this Annex through all available means and methods deemed necessary. Most likely, the Roads and Airports Department will:

- If a disaster causes damage, BUT the scope and complexity of the event DOES NOT warrant an EOC activation, the Finance Agency may request of the Director of Roads and Airports a departmental representative to coordinate with the Finance Agency or the County Disaster Cost Recovery Group Coordinator, in accordance with this Annex
- If a disaster causes damage, AND the scope and complexity of the event DOES warrant an EOC activation, the EOC Director, or authorized designee, in consultation with the EOC Coordinator may appoint a representative of the Roads and Airports Department to serve in the EOC as the Damage Assessment Branch Director in accordance with this Annex
- Identify, assess, report, and document disaster damage to County facilities, equipment, assets, or improved property and relay collected information to the Disaster Cost Recovery Group



## Recovery

- Participate in the cost recovery process through attendance of applicable briefings, meetings, and workshops
- With the Santa Clara County Disaster Cost Recovery Group, identify applicable State and Federal disaster assistance programs and develop Notice(s) of Intent, as appropriate
- Develop and submit Notice(s) of Intent and sub-applications for applicable Hazard Mitigation Grant Program projects in coordination with the Local Disaster Recovery Manager (if appointed) or the Office of Emergency Services, as appropriate
- Develop and submit restoration project applications in coordination with Santa Clara County Cost Recovery Group, as appropriate
- Continually communicate with the Santa Clara County Disaster Cost Recovery Group concerning all cost recovery activities
- Complete necessary steps to efficiently and effectively file and secure insurance coverage, as appropriate
- Comply with all applicable local, State, and Federal laws, rules, and regulations as it relates to State and Federal grant application, project monitoring, reporting, and close-out requirements, in collaboration with the Local Disaster Recovery Manager and the Santa Clara County Disaster Cost Recovery Group
- Contribute to any event After-Action Report to detail improvements to be made to this Annex and implement appropriate changes determined via the After-Action process
- Retain all necessary documentation until notified of further instruction by the Disaster Cost Recovery Group



## FACILITIES AND FLEET (FAF)

### Planning

The goal of the Facilities and Fleet Department is to deliver facilities and fleet assets to client departments that enable them to meet the needs of a dynamic community, provide quality services, and promote a healthy, safe and prosperous community for all – this is especially true during an emergency or natural-disaster. In order to meet that goal, the department is currently working with the Office of Emergency Services to develop a damage assessment planning document that may impact the performance of this planning document. Upon the adoption of any damage identification, assessment, or reporting plan, the Department will work with the Office of Emergency Services to incorporate any relevant changes into this Annex.

The Facilities and Fleet Department will be responsible for training internal department personnel on the prescribed actions contained in this Annex

The Facilities and Fleet Department will notify the Office of Emergency Services if/when the Department has been made aware of any County, State, or Federal change in law, rule, or regulation related to the actions described in this planning document, as soon as the Department is capable.

Finally, the Facilities and Fleet should, to the greatest extent possible:

- Catalog all County-owned facilities and associated equipment and assets,
- Document pre-disaster conditions
- Maintain documentation related to scheduled or emergency maintenance
- Identify and maintain historic documentation that can be used to justify labor, material, and equipment costs

### Response

Upon Annex activation, the Facilities and Fleet Department may meet its response obligations under the provisions of this Annex through all available means and methods deemed necessary. Most likely, Facilities and Fleet will:

- If a disaster causes damage, BUT the scope and complexity of the event DOES NOT warrant an EOC activation, the Finance Agency may request of the Facilities and Fleet Department a departmental representative coordinate to with the Finance Agency or the County Disaster Cost Recovery Group Coordinator, in accordance with this Annex
- If a disaster causes damage, AND the scope and complexity of the event DOES warrant an EOC activation, the EOC Director, or authorized designee, in consultation with the EOC Coordinator may appoint a representative of Facilities and Fleet to serve in the EOC, in accordance with the Emergency Operations Plan and this Annex
- Identify, assess, report, and document disaster damage to County facilities, equipment, assets, or improved property



## Recovery

- Participate in the cost recovery process through attendance of applicable briefings, meetings, and workshops
- With the Santa Clara County Disaster Cost Recovery Group, identify applicable State and Federal disaster assistance programs and develop Notice(s) of Intent, as appropriate
- Develop and submit Notice(s) of Intent and sub-applications for applicable Hazard Mitigation Grant program projects in coordination with the Local Disaster Recovery Manager (if appointed) or the Office of Emergency Services, as appropriate
- Develop and submit restoration project applications in coordination with Santa Clara County Cost Recovery Group, as appropriate
- Continually communicate with the Santa Clara County Disaster Cost Recovery Group, concerning all cost recovery activities
- Complete necessary steps to efficiently and effectively file and secure insurance coverage, as appropriate
- Comply with all applicable local, State, and Federal laws, rules, and regulations as it relates to State and Federal grant application, project monitoring, reporting, and close-out requirements, in collaboration with the Local Disaster Recovery Manager and the Santa Clara County Disaster Cost Recovery Group
- Contribute to any event After-Action Report to detail improvements to be made to this Annex and implement appropriate changes determined via the After-Action process
- Retain all necessary documentation until notified of further instruction by the Disaster Cost Recovery Group



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## PLANNING AND DEVELOPMENT DEPARTMENT (PLN)

### Planning

The Planning and Development Department is currently working with the Office of Emergency Services to develop a damage assessment planning document that may impact the performance of this planning document. Upon the adoption of any damage identification, assessment, or reporting plan, the Department will work with the Office of Emergency Services to incorporate any relevant changes.

The Planning and Development Department will be responsible for training internal department personnel on the prescribed actions contained in this Annex.

The Planning and Development Department will notify the Office of Emergency Services if/when the Department has been made aware of any County, State, or Federal change in law, rule, or regulation related to the actions described in this planning document, as soon as the Department is capable.

### Response

Upon Annex activation, the Planning and Development Department may meet its response obligations under the provisions of this Annex through all available means and methods deemed necessary. Most likely, the Planning and Development Department will:

- If a disaster causes damage, BUT the scope and complexity of the event DOES NOT warrant an EOC activation, the Finance Agency may request of the Director of Planning and Development a departmental representative to coordinate with the Finance Agency or the County Disaster Cost Recovery Group Coordinator, in accordance with this Annex
- If a disaster causes damage, AND the scope and complexity of the event DOES warrant an EOC activation, the EOC Director, or authorized designee, in consultation with the EOC Coordinator may appoint a representative of the Planning Department to serve in the EOC to assist with the coordination of damage and safety assessments, in accordance with this Annex
- Conduct Safety Assessments and/or Inspections in accordance with local, State, and Federal regulations (i.e., ATC-20), departmental standard operating procedures, and this Annex

### Recovery

- Complete needed safety assessments in accordance with departmental standard operating procedures and this Annex
- Identify and recommend land-use practices, building code upgrades, and any other planning and development best-practices to the Local Disaster Cost Recovery Manager
- Develop and submit Notices of Intent and sub-applications for applicable Hazard Mitigation Grant Program projects in coordination with the Local Disaster Recovery Manager (if appointed) or the Office of Emergency Services, as appropriate



- Continually communicate with the Santa Clara County Disaster Cost Recovery Group, concerning all cost recovery activities
- Comply with all applicable local, State, and Federal laws, rules, and regulations as it relates to State and Federal grant application, project monitoring, reporting, and close-out requirements, in collaboration with the Local Disaster Recovery Manager and the Santa Clara County Disaster Cost Recovery Group
- Contribute to any event After-Action Report to detail improvements to be made to this Annex and implement appropriate changes determined via the After-Action process
- Retain all necessary documentation until notified of further instruction by the Disaster Cost Recovery Group



## INFORMATION SERVICES DEPARTMENT/GEOGRAPHIC INFORMATION SERVICES (ISD/GIS)

### Planning

As the County of Santa Clara's geographic information systems subject matter experts, the Information Systems Department (ISD) Office of Geographic Information System (GIS) develops, implements, and maintains the County's digital mapping systems.

ISD/GIS will be responsible for training internal department personnel on the prescribed actions contained in this Annex.

ISD/GIS will notify the Office of Emergency Services if/when the Department has been made aware of any County, State, or Federal change in law, rule, or regulation related to the actions described in this planning document, as soon as the Department is capable.

### Response

Upon Annex activation, ISD/GIS may meet its response obligations under the provisions of this Annex through all available means and methods deemed necessary. Most likely, ISD/GIS will:

- If a disaster causes damage, BUT the scope and complexity of the event DOES NOT warrant an EOC activation, the Finance Agency may request of the Director of Information Systems a representative to coordinate with the Finance Agency or the County Disaster Cost Recovery Group Coordinator, in accordance with this Annex
- If a disaster causes damage, AND the scope and complexity of the event DOES warrant an EOC activation, the EOC Director, or authorized designee, in consultation with the EOC Coordinator may appoint a representative of ISD/GIS to serve in the EOC as the Technical Specialist - GIS Unit, in accordance with this Annex
- Support situational awareness, damage identification, damage assessment, damage documentation, and crisis communication through mapping operations in accordance with departmental standard operating procedures, the event needs, and this Annex

### Recovery

- Support the Local Disaster Recovery Manager and the Santa Clara County Disaster Cost Recovery Group Coordination through the development of GIS products
- Contribute to any event After-Action Report to detail improvements to be made to this Annex and implement appropriate changes determined via the After-Action process
- Retain all necessary documentation until notified of further instruction by the Disaster Cost Recovery Group



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## COUNTY EXECUTIVE OFFICE – RISK MANAGEMENT DIVISION (CEO – RISK MANAGEMENT)

### Planning

The County Executive Office’s Risk Management Division (CEO - Risk Management) reviewed all procedures related to damage assessment, damage documentation, and damage reporting to ensure compliance with applicable insurance policy requirements.

### Response

Upon Annex activation, the CEO - Risk Management Division may meet its response obligations under the provisions of this Annex through all available means and methods deemed necessary. Most likely, the CEO - Risk Management Division will:

- Initiate and direct any necessary processes to recuperate eligible costs for damages to County facilities, equipment, or assets protected by insurance coverage in accordance with this Annex in collaboration with the Disaster Cost Recovery Group
- Notify County OES and the Finance Agency of any applicable changes to the County’s insurance policies and/or procedures that may have an operational impact to this Annex

### Recovery

- Continually communicate with the Disaster Cost Recovery Group concerning all cost recovery activities
- Comply with all applicable local, State, and Federal laws, rules, and regulations, as it relates to State and Federal to insurance claim process, in collaboration with the Local Disaster Recovery Manager and the Santa Clara County Disaster Cost Recovery Group
- Contribute to any event After-Action Report to detail improvements to be made to this Annex and implement appropriate changes determined via the After-Action process, as available
- Retain all necessary documentation until notified of further instruction by the Disaster Cost Recovery Group



## OFFICE OF COUNTY COUNSEL (CCO)

### Planning

As a component of the County of Santa Clara's emergency management planning process, County Counsel reviews all Annexes to the County's Emergency Operations Plan - including this Disaster Cost Recovery Annex.

### Response

Upon Annex activation, the Office of County Counsel may meet its response obligations under the provisions of this Annex through all available means and methods deemed necessary. Most likely, the Office of County Counsel will:

- If a disaster causes damage, BUT the scope and complexity of the event DOES NOT warrant an EOC activation, the Finance Agency may request of the Office of County Counsel a representative to coordinate with the Finance Agency or the County Disaster Cost Recovery Group Coordinator, in accordance with this Annex
- If a disaster causes damage, AND the scope and complexity of the event DOES warrant an EOC activation, the EOC Director, or authorized designee, in consultation with the EOC Coordinator may appoint a representative of the Office of County Counsel to serve in the EOC to provide necessary legal advice - including drafting any necessary local disaster/emergency proclamation, in accordance with this Annex
- If a disaster has occurred and hazardous conditions exist that threaten life, property, and/or the environment AND the County has exhausted all available resources then the EOC Director and County Counsel may recommend that the County Board of Supervisors proclaim a local emergency or disaster

**NOTE:** The Board of Supervisors is required to review and re-new any local emergency/disaster proclamation every 30 days, if emergency conditions continue to persist.

### Recovery

- Advise on all applicable local, State, and Federal laws, rules, and regulations as it relates to the grant application process, project monitoring, reporting, and close-out requirements, in collaboration with the Local Disaster Recovery Manager and the County of Santa Clara Disaster Cost Recovery Group Coordinator
- Contribute to any event After-Action Report to detail improvements to be made to this Annex and implement appropriate changes determined via the After-Action process
- Retain all necessary documentation until notified of further instruction by the Disaster Cost Recovery Group



## COUNTY EXECUTIVE OFFICE (CEO)

### Planning

As a component of the County of Santa Clara's emergency management planning process, the Office of the County Executive approves and promulgates all Annexes to the County's Emergency Operations Plan - including this Disaster Cost Recovery Annex

### Response

The CEO, or an authorize designee, is responsible for the activation and implementation of this Annex, to include how the Santa Clara County Disaster Cost Recovery Group will be employed, in consultation with the Director of the Office of Emergency Services and the Finance Agency.

Upon Annex activation, the Office of the County Executive may meet its response obligations under the provisions of this Annex through all available means and methods deemed necessary. Most likely, the Office of the County Executive will:

- County Executive, or authorized designee, will serve as EOC Director, in accordance with this Annex and other established emergency management plans, procedures, and processes
- If a disaster has occurred and hazardous conditions exist that threaten life, property, and/or the environment AND the County has exhausted all available resources then the EOC Director and County Counsel may recommend that the County Board of Supervisors proclaim a local emergency or disaster

**NOTE:** The Board of Supervisors is required to review and re-new any local emergency/disaster proclamation every 30 days, if emergency conditions continue to persist.

### Recovery

- Employ and direct the Local Disaster Recovery Manager and the Santa Clara County Disaster Cost Recovery Group, as appropriate
- Continually communicate with the Disaster Cost Recovery Group concerning all cost recovery activities
- Comply with all applicable local, State, and Federal laws, rules, and regulations as it relates to State and Federal grant application, project monitoring, reporting, and close-out requirements, in collaboration with the Local Disaster Recovery Manager and the Santa Clara County Disaster Cost Recovery Group
- Contribute to any event After-Action Report to detail improvements to be made to this Annex and implement appropriate changes determined via the After-Action process, as available
- Retain all necessary documentation until notified of further instruction by the Disaster Cost Recovery Group



## COUNTY OF SANTA CLARA BOARD OF SUPERVISORS (BOS)

### Planning

As it relates to emergency management, the County of Santa Clara Board of Supervisors is the ultimate authority for the County of Santa Clara's disaster readiness and compliance with local, State, and Federal laws, regulations, and rules. Consequently, the Board of Supervisors has reviewed and adopted the County of Santa Clara Emergency Operations Plan (EOP); the Disaster Cost Recovery Functional Annex was developed under the authority of the Board approved Emergency Operations Plan.

### Response

Upon Annex activation, the County of Santa Clara Board of Supervisors may meet its response obligations under the provisions of this Annex through all available means and methods deemed necessary. Most likely, the Board of Supervisor will:

- If a disaster has occurred and damages are likely to meet the indicator thresholds established by the State and Federal Governments for assistance then the Board of Supervisors will likely review and approve the EOC Director and County Counsel recommendation to proclaim a local emergency or disaster
- If a disaster has occurred and hazardous conditions exist that threaten life, property, and/or the environment AND the County has exhausted all available resources then then the Board of Supervisors will likely review and adopt the EOC Director and County Counsel recommendation to proclaim a local emergency or disaster

**NOTE:** The Board of Supervisors is required to review and re-new any local emergency/disaster proclamation every 30 days, if emergency conditions continue to persist.

### Recovery

- In coordination with the Office of County Executive and the Local Disaster Recovery Manager, direct the development and implementation of an effective recovery strategy



## PRIVATE ORGANIZATIONS

### PRIVATE NON-PROFITS

Only certain Private Non-Profits (PNPs) are eligible applicants for both the California Disaster Assistance Act (CDAA) and FEMA Public Assistance (PA) programs. PNPs must demonstrate eligibility with (1) a current ruling letter from the U.S. Internal Revenue Service (IRS) granting tax exemption under sections 501(c), (d), or (e) of the Internal Revenue Code of 1954 or (2) documentation from the State substantiating it is a non-revenue producing, nonprofit entity organized or doing business under State law. If the applying PNP is eligible per CDAA and FEMA requirements, the PNP is encouraged to conduct planning to determine the necessary actions they should take to ensure successful cost recovery under CDAA and/or PA.

**NOTE:** Following a Major Disaster Declaration, the U.S. Small Business Administration (SBA) can provide loans to individuals and businesses for facility restoration. For PNPs that provide non-critical, essential governmental services, FEMA only provides PA funding for eligible Permanent Work costs that an SBA loan will not cover. Therefore, non-critical PNPs must also apply for a disaster loan from the SBA.

Additional information related to the eligibility of Private Non-Profits can be found in Chapter 2, Section II (D) of the Public Assistance Program and Policy Guide located in the OES Reference Library located in the County EOC or at <https://www.fema.gov/media-library/assets/documents/111781>

### PRIVATE PROPERTY OWNERS

#### Planning

Private property owners are responsible for the maintenance and upkeep of their land, property, and assets in order to prevent and/or minimize any negative impact(s) to their own land, property, and assets – as well as, any potential collateral damage to their neighbor's land, property, and assets

#### Response

It is assumed by response and recovery personnel that private property owners will:

- Inspect and assess damages to private property and assets
- Make all appropriate reimbursement claims against any existing insurance policies
- Report unmet needs to local response and recovery officials

#### Recovery

- Apply for applicable disaster assistance and relief programs (i.e., FEMA Individuals and Households Assistance, SBA disaster loan, charitable organizations, etc.)



## STATE AGENCIES

### CALIFORNIA OFFICE OF EMERGENCY SERVICES (CAL OES)

Cal OES is responsible for the coordination of overall state agency response to large-scale disasters in support of local jurisdictions. The Office is responsible for assuring the State's readiness to respond to and recover from all hazards—natural, manmade, war-caused emergencies and disasters—and for assisting local jurisdictions in their emergency preparedness, response, recovery, and hazard mitigation efforts.

#### Planning

This Annex was developed in reference to a variety of Cal OES planning products, which can be found at <http://www.caloes.ca.gov/cal-oes-divisions/recovery>.

Additionally, a copy of this Annex was transmitted to the Cal OES Recovery Division for review. The County of Santa Clara would welcome any Cal OES comment or desire to participate in future emergency management planning.

#### Response

In the event of an emergency or natural disaster, Cal OES will likely focus on the following topics (this list is not all inclusive):

- Identify immediate, unmet needs for all Regions and Operational Areas
- Collect and review damage and impact information received from Operational Area reports
- Provide California Disaster Assistance Act, as appropriate
- Advise the Governor of California regarding any State emergency or disaster proclamation and
- Aid, advise, and otherwise assist any Region, Operational Area, local jurisdiction, or special district that has made a request for assistance
- Facilitate regional mutual aid requests to deliver effective aid

#### Recovery

- Prepare Project Worksheets for State and/or Federal disaster recovery funding in collaboration with the County Disaster Cost Recovery Group and with impacted local jurisdictions and special districts
- Administer CDAA funding for authorized projects, as appropriate
- Administer applicable PA funds received from the Federal government
- Contribute to any event After-Action Report to detail improvements to be made to this Annex



## CALIFORNIA OFFICE OF THE GOVERNOR

In the event of an emergency or natural disaster, the Governor of California, or authorized designee will:

- Assist and aid impacted jurisdictions with immediate, unmet needs, including:
- Review damage and impact information
- Provide California Disaster Assistance Act, as appropriate
- Proclaim a State of Emergency or Disaster and request Federal assistance, if necessary
- Receive funding from FEMA, as appropriate, and distribute funds to applicable sub-applicants (i.e., local jurisdictions, special districts, eligible PNPs)

### Recovery

- Delegate the administration of CDAA authorized projects, as appropriate
- Promote hazard mitigation programs



## FEDERAL AGENCIES

### FEMA REGION IX

The Federal Emergency Management Agency supports citizens and first responders to ensure that as a Nation we work together to build, sustain, and improve our capability to prepare for, protect against, respond to, recover from, and mitigate all hazards. FEMA Region IX, headquartered in Oakland, California, is one of 10 Regional Offices. The people of the Federal Emergency Management Agency serve the United States by providing help to people impacted by disasters, working with state, local, and tribal governments.

#### Planning

On call 24/7, FEMA's public servants are experts in the various fields of emergency management. FEMA Region IX supports the development of a regional, all-hazards, risk-based emergency management system of preparedness, prevention, protection, recovery, and mitigation through close working relationships that draw on the talents and assets of federal agencies, State, tribal nations, localities, business and industry, and State and local volunteer organizations and faith-based groups.

Additionally, a copy of this Annex was transmitted to FEMA Region IX for review. The County of Santa Clara would welcome any comment or wish to participate in future emergency management planning.

#### Response

In the event of an emergency or natural disaster, FEMA Region IX will likely focus on the following topics (this list is not all inclusive):

- Identify immediate, unmet State needs in the State of California
- Collect and review damage and impact information received from the State of California
- Receive Governor's Request for Federal Assistance and ensure event meets all required program conditions and thresholds
- Forward request for Federal Assistance to FEMA Headquarters
- Aid, advise, and otherwise assist any State, in Region IX's area of responsibility, that has made an approved request for assistance

#### Recovery

- Review PA Program project applications
- Administer PA funding for authorized projects, as appropriate
- Review IA (Individuals and Households Assistance) applications for private property owners, private non-private organizations, and private businesses
- Administer IA (Individuals and Households Assistance) funding for approved private property owners, private non-profit organizations, and private businesses



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## FEMA HEADQUARTERS

### Planning

FEMA Planners have developed and published a variety of documents related to disaster cost recovery. The primary reference for FEMA's disaster assistance programs is the "Public Assistance Program and Policy Guide" (2017), which was referenced extensively throughout the development of this Annex. Any changes or updates to FEMA's Public Assistance Program and Policy Guide should be reflected in this Annex.

### Response

In the event of an emergency or natural disaster, FEMA Headquarters will likely focus on the following topics (this list is not all inclusive):

- Review Governor's request of Federal assistance for consistency with program guidance and compliance all applicable laws, regulations, and rules
- Advise the President on decision to declare an Emergency or Major Disaster

### Recovery

- Allocate PA funding, as appropriate
- Oversee PA Program
- Allocate IA (Individuals and Households Assistance) funding, as appropriate
- Oversee IA Program, as appropriate

## OFFICE OF THE PRESIDENT OF THE UNITED STATES OF AMERICA

### Planning

As the Nation's Chief Executive, the President has directed the FEMA Administrator to develop and implement the Public Assistance and Individuals and Households Assistance programs to deliver necessary aid and relief to States, territories, and individuals following a catastrophic disaster or event.

### Response

In the event of an emergency or natural disaster, the Office of the President will likely focus on the following topics (this list is not all inclusive):

- Review Governor's request for Federal assistance with the advice of the FEMA Administrator.
- Decide to (or not to) Declare an Emergency or Major Disaster
- Authorize federal-aid via Federal assistance sources (i.e., PA, IA, FHWA-ER, etc.)

### Recovery

- Direct FEMA, and other applicable federal agencies, to render assistance, relief, and aid to impacted States, territories, and individuals following a catastrophic disaster or event



## AUTHORITIES AND REFERENCES



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## AUTHORITIES AND REFERENCES

Emergency response, like all governmental action, is based on legal authority and with nationally recognized best-practices. The Disaster Cost Recovery Annex is a functional annex to the overall County of Santa Clara Emergency Operations Plan, and follows local, state, and federal guidelines.

### LOCAL

Ariba Buyer – Procurement User Guide, Release 9r1, Document Version 11

County of Santa Clara Disaster Recovery Framework (Draft)

County of Santa Clara Emergency Operations Plan

County of Santa Clara Emergency Management Planning Program

County of Santa Clara Field Purchase Order Manual

County of Santa Clara Ordinance Code- Division A8 – Civil Protection and Emergency Services

County of Santa Clara P-Card Policy

### STATE

Accessibility to Emergency Information and Services, Government Code 8593.3

California Disaster Assistance Act (CDAA)

California Disaster and Civil Defense Master Mutual Aid Agreement

California Emergency Services Act, Chapter 7 of Division 1 of Title 2 of the Government Code

California Government Code, Title 1, Division 4, Chapter 8, Sections 3100, 3101, and 3102, and California Labor Code Section 3211.92

California Specialized Training Institute, Disaster Recovery (G270.4) Participant Guide

California Specialized Training Institute, Rapid Needs Assessment Workshop (G557) Student Manual

California Governor’s Office of Emergency Services (Cal OES) – Recovery Section

Standardized Emergency Management System Regulations (SEMS) California Code of Regulations, Title 19, Division 2, Chapter 1

State of California Emergency Plan

State of California Disaster Recovery Framework

### FEDERAL

Damage Assessment Operations Manual: A Guide to Assessing Damage and Impact

Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency

Executive Order 13347, Individuals with Disabilities in Emergency Preparedness

Homeland Security Act



Homeland Security Exercise and Evaluation Program (HSEEP)  
Homeland Security Presidential Directive (HSPD) 5  
National Flood Insurance Program Fact Sheet  
National Incident Management System (NIMS)  
National Response Framework (NRF)  
National Disaster Recovery Framework  
Pets Evacuation and Transportation Standards (PETS) Act  
Post-Disaster Safety Assessment Program: Guideline to the Activation and Utilization of Program Resources  
Post-Katrina Emergency Management Reform Act (PKEMRA)  
Presidential Policy Directive (PPD) 8: National Preparedness  
Public Assistance Program and Policy Guide, April 2017  
Public Assistance Policy 9580: Job Aids and Fact Sheets  
Public Law 920: Federal Civil Defense Act of 1950  
Robert T. Stafford Disaster Relief and Emergency Assistance Act  
Sandy Recovery Improvement Act  
Single Audit Act  
Title 44 Emergency Management and Assistance

## **MISCELLANEOUS**

Financial Disaster Recovery Manual, City of Houston, 2014  
Finance and Administration Section Disaster Cost Recovery Manual, Santa Clara Valley Water District, 2017  
Project Management International, Project Management Fundamentals  
Disaster Cost Recovery Training Program, the Martinet Group, LLC  
Disaster Recovery Framework and Recovery Support Function Guide, Bay Area Urban Area Security Initiative, April 2015



## ACRONYMS



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## ACRONYMS

<b>AFN</b>	Access and Functional Needs
<b>Annex</b>	Disaster Cost Recovery Functional Annex
<b>ATC-20</b>	Applied Technology Council – 20
<b>BOS</b>	Board of Supervisors, County of Santa Clara
<b>Cal OES</b>	California Governor’s Office of Emergency Services
<b>CBO</b>	Community-Based Organization
<b>CCO</b>	Office of County Counsel, County of Santa Clara
<b>CDAAs</b>	California Disaster Assistance Act
<b>CEF</b>	Cost Estimating Format
<b>CEO</b>	County Executive Office, County of Santa Clara
<b>COP</b>	Common Operating Picture
<b>CPRA</b>	California Public Records Act
<b>County</b>	County of Santa Clara
<b>DCRG</b>	Disaster Cost Recovery Group, County of Santa Clara
<b>DR</b>	Major Disaster Declaration
<b>EOC</b>	Emergency Operations Center
<b>EM</b>	Emergency Declaration
<b>EOP</b>	County of Santa Clara Emergency Operations Plan
<b>EPA</b>	Environmental Protection Agency
<b>ER</b>	Emergency Relief
<b>FAF</b>	Fleet and Facilities, County of Santa Clara
<b>FBO</b>	Faith Based Organization
<b>FE</b>	Functional Exercise
<b>FEMA</b>	Federal Emergency Management Agency
<b>FIN</b>	Finance Agency, County of Santa Clara
<b>FHWA</b>	Federal Highway Administration
<b>FSE</b>	Full Scale Exercise
<b>GAAP</b>	Generally Accepted Accounting Practices
<b>GIS</b>	Geographic Information System
<b>HSEEP</b>	Homeland Security Exercise and Evaluation Program
<b>HSPD</b>	Homeland Security Presidential Directive



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<b>IA</b>	Individual Assistance
<b>ICS</b>	Incident Command System
<b>IDE</b>	Initial Damage Estimate
<b>IHA</b>	Individuals and Household Assistance
<b>ISD</b>	Information Services Department, County of Santa Clara
<b>ITB</b>	Invitation to Bid
<b>Joint PDA</b>	Preliminary Damage Assessment
<b>LEP</b>	Limited English Proficiency
<b>NGO</b>	Non-Governmental Organization
<b>NSPO</b>	Net Small Project Overrun
<b>MACG</b>	Multi-Agency Coordination Group
<b>MAC System</b>	Multi-Agency Coordination System
<b>MSEL</b>	Master Schedule of Events Listing
<b>NIMS</b>	National Incident Management System
<b>NOI</b>	Notice of Intent
<b>NRCS</b>	National Resources Conservation Service
<b>NRF</b>	National Response Framework
<b>OA</b>	Operational Area
<b>OA EOC</b>	Operational Area Emergency Operations Center
<b>OES</b>	Office of Emergency Services, County of Santa Clara
<b>OES DO</b>	Office of Emergency Services Duty Officer, County of Santa Clara
<b>OFA</b>	Other Federal Agencies
<b>OIG</b>	Office of Inspector General
<b>PA</b>	Public Assistance
<b>P-Card</b>	County Purchase Card
<b>PETS</b>	Pets Evacuation and Transportation Standard Act
<b>PKEMRA</b>	Post-Katrina Emergency Management Reform Act
<b>Plan</b>	Disaster Cost Recovery Functional Annex
<b>PLN</b>	Planning and Development Department, County of Santa Clara
<b>PNP</b>	Private Non-Profit
<b>PPD</b>	Presidential Policy Directive
<b>PRC</b>	Procurement Department, County of Santa Clara
<b>PW</b>	Project Worksheet



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<b>RFI</b>	Request for Information
<b>RFQ</b>	Request for Quote
<b>RFP</b>	Request for Proposal
<b>RSF</b>	Recovery Support Function
<b>RDA</b>	Roads and Airports, County of Santa Clara
<b>RIR</b>	Rehabilitation and Inspection Program
<b>SAP</b>	Systems, Applications, and Products – Software Solutions
<b>SBA</b>	Small Business Administration
<b>SEMS</b>	Standardized Emergency Management System
<b>SimCell</b>	Simulation Cell
<b>SIO</b>	Statistical Internal Order
<b>SME</b>	Subject Matter Exercise
<b>SOP</b>	Standard Operating Procedure
<b>SWG</b>	Sub-Working Group
<b>TTX</b>	Table-Top Exercise
<b>USACE</b>	U.S. Corps of Engineers
<b>USCG</b>	U.S. Coast Guard
<b>WBS</b>	Work Breakdown Structure
<b>WG</b>	Working Group



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# APPENDIX A: DISASTER COST RECOVERY SUPPORT AND REFERENCE MATERIAL



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## Disaster Cost Recovery Support and Reference Material

DISASTER COST RECOVERY FUNCTIONAL ANNEX		
Local Support References and Material		
	Title	Location
1	Form DA-X-1 <i>Initial Damage Assessment</i>	a. County OES Reference Library located in the County EOC
		b. EOCsharelib>Finance>_Reference_Documents>Disaster Cost Recovery Annex Materials>Local
2	Form DA-X-2 <i>Damage and Needs Assessment Summary</i>	a. County OES Reference Library located in the County EOC
		b. EOCsharelib>Finance>_Reference_Documents>Disaster Cost Recovery Annex Materials>Local
3	Form DA-X-3 <i>Disaster Impact Financial Summary</i>	a. County OES Reference Library located in the County EOC
		b. EOCsharelib>Finance>_Reference_Documents>Disaster Cost Recovery Annex Materials>Local
4	Form DA-X-4 <i>Disaster Loss Estimation Guide</i>	a. County OES Reference Library located in the County EOC
		b. EOCsharelib>Finance>_Reference_Documents>Disaster Cost Recovery Annex Materials>Local
5	Form DA-X-5 <i>Private Property Damage Report (A-D)</i>	a. County OES Reference Library located in the County EOC
		b. EOCsharelib>Finance>_Reference_Documents>Disaster Cost Recovery Annex Materials>Local
6	Facility Damage Assessment Form	a. County OES Reference Library located in the County EOC
		b. EOCsharelib>Finance>_Reference_Documents>Disaster Cost Recovery Annex Materials>Local
7	Single/Sole Source Justification Form	a. County OES Reference Library located in the County EOC
		b. EOCsharelib>Finance>_Reference_Documents>Disaster Cost Recovery Annex Materials>Local
8	County Procurement Guidance	a. County OES Reference Library located in the County EOC
		b. EOCsharelib>Finance>_Reference_Documents>Disaster Cost Recovery Annex Materials>Local
9	Local v. State v. Federal Procurement Policy Matrix	a. County OES Reference Library located in the County EOC
		b. EOCsharelib>Finance>_Reference_Documents>Disaster Cost Recovery Annex Materials>Local
10	List of Insured Property	a. County OES Reference Library located in the County EOC
		b. EOCsharelib>Finance>_Reference_Documents>Disaster Cost Recovery Annex Materials>Local



**DISASTER COST RECOVERY FUNCTIONAL ANNEX**  
**State Support References and Material**

	Title	Location
1	CDA Form 4a <i>Project Summary Certification of Documentation</i>	a. County OES Reference Library located in County EOC b. EOCsharelib>Finance>_Reference_Documents> Disaster Cost Recovery Annex Materials>State c. <a href="http://www.caloes.ca.gov/cal-oes-divisions/recovery/forms">http://www.caloes.ca.gov/cal-oes-divisions/recovery/forms</a>
2	Cal OES Form 89 <i>Project Assurances for Federal Assistance</i>	a. County OES Reference Library located in County EOC b. EOCsharelib>Finance>_Reference_Documents> Disaster Cost Recovery Annex Materials>State c. <a href="http://www.caloes.ca.gov/cal-oes-divisions/recovery/forms">http://www.caloes.ca.gov/cal-oes-divisions/recovery/forms</a>
3	Cal OES Form 95 <i>List of Projects</i>	a. County OES Reference Library located in County EOC b. EOCsharelib>Finance>_Reference_Documents> Disaster Cost Recovery Annex Materials>State c. <a href="http://www.caloes.ca.gov/cal-oes-divisions/recovery/forms">http://www.caloes.ca.gov/cal-oes-divisions/recovery/forms</a>
4	CDA Form 126 <i>Project Application California Disaster Assistance Act Program</i>	a. County OES Reference Library located in County EOC b. EOCsharelib>Finance>_Reference_Documents> Disaster Cost Recovery Annex Materials>State c. <a href="http://www.caloes.ca.gov/cal-oes-divisions/recovery/forms">http://www.caloes.ca.gov/cal-oes-divisions/recovery/forms</a>



<b>DISASTER COST RECOVERY FUNCTIONAL ANNEX</b>	
<b>Federal Support References and Material</b>	
<b>Title</b>	<b>Location</b>
<b>1</b> Form 90-49 <i>Request for Public Assistance</i>	<ul style="list-style-type: none"> <li>a. County OES Reference Library located in County EOC</li> <li>b. EOCsharelib&gt;Finance&gt;_Reference_Documents&gt; Disaster Cost Recovery Annex Materials&gt;Federal</li> <li>c. <a href="https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit">https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit</a></li> </ul>
<b>2</b> Form 90-91 <i>Public Worksheet</i>	<ul style="list-style-type: none"> <li>a. County OES Reference Library located in County EOC</li> <li>b. EOCsharelib&gt;Finance&gt;_Reference_Documents&gt; Disaster Cost Recovery Annex Materials&gt;Federal</li> <li>c. <a href="https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit">https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit</a></li> </ul>
<b>3</b> Form 90-91a <i>Damage Description and Scope</i>	<ul style="list-style-type: none"> <li>a. County OES Reference Library located in County EOC</li> <li>b. EOCsharelib&gt;Finance&gt;_Reference_Documents&gt; Disaster Cost Recovery Annex Materials&gt;Federal</li> <li>c. <a href="https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit">https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit</a></li> </ul>
<b>4</b> Form 90-91b <i>Cost Estimate</i>	<ul style="list-style-type: none"> <li>a. County OES Reference Library located in County EOC</li> <li>b. EOCsharelib&gt;Finance&gt;_Reference_Documents&gt; Disaster Cost Recovery Annex Materials&gt;Federal</li> <li>c. <a href="https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit">https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit</a></li> </ul>
<b>5</b> Form 90-91c <i>Maps and Sketches</i>	<ul style="list-style-type: none"> <li>a. County OES Reference Library located in County EOC</li> <li>b. EOCsharelib&gt;Finance&gt;_Reference_Documents&gt; Disaster Cost Recovery Annex Materials&gt;Federal</li> <li>c. <a href="https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit">https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit</a></li> </ul>
<b>6</b> Form 90-91d <i>Photo Sheet</i>	<ul style="list-style-type: none"> <li>a. County OES Reference Library located in County EOC</li> <li>b. EOCsharelib&gt;Finance&gt;_Reference_Documents&gt; Disaster Cost Recovery Annex Materials&gt;Federal</li> <li>c. <a href="https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit">https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit</a></li> </ul>
<b>7</b> Form 90-118 <i>Validation Worksheet</i>	<ul style="list-style-type: none"> <li>a. County OES Reference Library located in County EOC</li> <li>b. EOCsharelib&gt;Finance&gt;_Reference_Documents&gt; Disaster Cost Recovery Annex Materials&gt;Federal</li> <li>c. <a href="https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit">https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit</a></li> </ul>



<b>DISASTER COST RECOVERY FUNCTIONAL ANNEX</b>	
<b>Federal Support References and Material Continued</b>	
<b>Title</b>	<b>Location</b>
<b>8</b> Form 90-119 <i>Project Validation Form</i>	a. County OES Reference Library located in County EOC b. EOCsharelib>Finance>_Reference_Documents> Disaster Cost Recovery Annex Materials>Federal c. <a href="https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit">https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit</a>
<b>9</b> Form 90-120 <i>Special Considerations</i>	a. County OES Reference Library located in County EOC b. EOCsharelib>Finance>_Reference_Documents> Disaster Cost Recovery Annex Materials>Federal c. <a href="https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit">https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit</a>
<b>10</b> Form 90-122 <i>Historic Considerations</i>	a. County OES Reference Library located in County EOC b. EOCsharelib>Finance>_Reference_Documents> Disaster Cost Recovery Annex Materials>Federal c. <a href="https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit">https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit</a>
<b>11</b> Form 90-123 <i>Force Account Labor Summary Record</i>	a. County OES Reference Library located in County EOC b. EOCsharelib>Finance>_Reference_Documents> Disaster Cost Recovery Annex Materials>Federal c. <a href="https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit">https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit</a>
<b>12</b> Form 90-124 <i>Material Summary Record</i>	a. County OES Reference Library located in County EOC b. EOCsharelib>Finance>_Reference_Documents> Disaster Cost Recovery Annex Materials>Federal c. <a href="https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit">https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit</a>
<b>13</b> Form 90-125 <i>Rented Equipment Summary</i>	a. County OES Reference Library located in County EOC b. EOCsharelib>Finance>_Reference_Documents> Disaster Cost Recovery Annex Materials>Federal c. <a href="https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit">https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit</a>
<b>14</b> Form 90-126 <i>Contract Work Summary</i>	a. County OES Reference Library located in County EOC b. EOCsharelib>Finance>_Reference_Documents> Disaster Cost Recovery Annex Materials>Federal c. <a href="https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit">https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit</a>
<b>15</b> Form 90-127 <i>Force Account Equipment Summary</i>	a. County OES Reference Library located in County EOC b. EOCsharelib>Finance>_Reference_Documents> Disaster Cost Recovery Annex Materials>Federal c. <a href="https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit">https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit</a>



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**Federal Support References and Material Continued**

Title	Location
<p><b>16</b> Form 90-128 <i>Benefits Application</i></p>	<p>a. County OES Reference Library located in County EOC                      b. EOCsharelib&gt;Finance&gt;_Reference_Documents&gt; Disaster Cost Recovery Annex Materials&gt;Federal                      c. <a href="https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit">https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit</a></p>
<p><b>17</b> Form 112-0-1 <i>Financial Status Report</i></p>	<p>a. County OES Reference Library located in County EOC                      b. EOCsharelib&gt;Finance&gt;_Reference_Documents&gt; Disaster Cost Recovery Annex Materials&gt;Federal                      c. <a href="https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit">https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit</a></p>
<p><b>18</b> Rented Equipment Summary Record</p>	<p>a. County OES Reference Library located in County EOC                      b. EOCsharelib&gt;Finance&gt;_Reference_Documents&gt; Disaster Cost Recovery Annex Materials&gt;Federal                      c. <a href="https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit">https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit</a></p>
<p><b>19</b> Public Assistance Policy Guide</p>	<p>a. County OES Reference Library located in County EOC                      b. EOCsharelib&gt;Finance&gt;_Reference_Documents&gt; Disaster Cost Recovery Annex Materials&gt;Federal                      c. <a href="https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit">https://www.fema.gov/public-assistance-local-state-tribal-and-non-profit</a></p>

