COUNTY OF MONTEREY

OPERATIONAL AREA

EMERGENCY OPERATIONS PLAN

ANNEX I | DISASTER COST RECOVERY

SEPTEMBER 2019

[Page intentionally left blank.]

MONTEREY COUNTY OFFICE OF EMERGENCY SERVICES

GERRY MALAIS, EMERGENCY MANAGER

KELSEY SCANLON, EMERGENCY SERVICES PLANNER

LUBNA MOHAMMAD, EMERGENCY SERVICES PLANNER

PAT MOORE, EMERGENCY SERVICES PLANNER

TERESA MEISTER, SENIOR SECRETARY

O:\OES\Plans - Monterey County OES\ANNEX I Disaster Cost Recovery

1322 NATIVIDAD RD, SALINAS, CA

INFO.OES@CO.MONTEREY.CA.US

831-796-1905

IT IS THE POLICY OF THE COUNTY OF MONTEREY THAT NO PERSON SHALL BE DENIED THE BENEFITS OF OR BE SUBJECTED TO DISCRIMINATION IN ANY CITY PROGRAM, SERVICE, OR ACTIVITY ON THE GROUNDS OF RACE, RELIGION, COLOR, NATIONAL ORIGIN, ENGLISH PROFICIENCY, SEX, AGE, DISABILITY, RELIGION, SEXUAL ORIENTATION, GENDER IDENTITY, OR SOURCE OF INCOME. THE COUNTY OF MONTEREY ALSO REQUIRES ITS CONTRACTORS AND GRANTEES TO COMPLY WITH THIS POLICY.

[Page intentionally left blank.]

ACKNOWLEDGMENTS

THIS DOCUMENT HAS BEEN PREPARED BY A COLLABORATIVE, INTER-DISCIPLINARY TASK FORCE OF OPERATIONAL AREA (OA) PARTNERS AND STAKEHOLDERS REPRESENTATIVE OF THE WHOLE-COMMUNITY. THE FOLLOWING ORGANIZATIONS PARTICIPATED IN THE PLANNING EFFORT.

COUNTY OF MONTEREY ADMINISTRATOR'S OFFICE

Paul Lewis, *County Budget Director*

Walker T. Skinner, *Management Analyst*

Mike Derr, *Contracts/Purchasing Officer*

COUNTY OF MONTEREY AUDITOR CONTROLLER

Harvey Howells, *Chief Deputy Auditor-Controller*

Rupa Shah, *Auditor/Controller*

Burcu Mousa, *Chief Deputy Auditor-Controller*

COUNTY OF MONTEREY COUNSEL

Anne Brereton, *Deputy County Counsel*

COUNTY OF MONTEREY RISK MANAGEMENT

Satinder Kaur, *Senior Risk & Benefits Analyst*

COUNTY OF MONTEREY OFFICE OF EMERGENCY SERVICES

Gerry Malais, *Emergency Services Manager*

Teresa Meister, *Senior Secretary*

COUNTY OF MONTEREY RESOURCE MANAGEMENT AGENCY

Carl Holm, *Director*

Enrique Saavedra, *Assistant Director of Public Works*

Jessica Cordiero-Martinez, *Finance Manager*

John Snivley, *Management Analyst*

Ma Mon, *Finance Manager*

Shawne Ellerbee, *Deputy Director of Administrative Services*

COUNTY OF MONTEREY INFORMATION TECHNOLOGY

Eric Chatham, *Director*

[Page intentionally left blank.]

TABLE OF CONTENTS

1. INTRODUCTION 1
2. PURPOSE, SCOPE, SITUATION OVERVIEW, AND PLANNING ASSUMPTIONS 7
3. PROGRAM ADMINISTRATION 18
4. CONCEPT OF OPERATIONS 26
5. INFORMATION COLLECTION, ANALYSIS, AND DISSEMINATION 58
6. RECOVERY 92
APPENDIX A | GLOSSARY 117
APPENDIX B | REFERENCES 123
APPENDIX C | APPROVAL AND PROMULGATION 125
APPENDIX D | RECORD OF DISTRIBUTION 129
APPENDIX E | RECORD OF CHANGES 131
APPENDIX F | AUDIT TIPS 133
APPENDIX G| DISASTER COST RECOVERY FORMS 135
ATTACHMENT 1 | CONTRACT FOLDER CHECKLIST 137
ATTACHMENT 2 | STATE DISASTER COST RECOVERY FORMS 139
ATTACHMENT 3 | FEDERAL DISASTER COST RECOVERY FORMS 141

[Page intentionally left blank.]

MESSAGE FROM THE COUNTY ADMINISTRATIVE OFFICER

Over the past several years, the geographic area known as Monterey County has experienced numerous disasters of varying strength and damage. The County Administrative Office relies upon the staff of Budget and Analysis Division, the Auditor/Controller, the Contracts/Purchasing Division, and the Office of Emergency Services to establish and implement a framework for the internal control and management of the disaster cost recovery process. To that end, all County employees are Disaster Service Workers and have a role in the development of this Plan and the management of County disasters. This Plan provides the 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 roles and responsibilities for County departments and staff concerning:
- Pre-planning
  - County Counsel and Risk
  - Emergency accounting and documentation
  - Emergency contracts and purchasing
  - Damage assessment and documentation
  - Project identification
  - State and Federal grant monitoring and reporting and 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 Budget and Analysis Division, the Auditor/Controller, the Contracts/Purchasing Division, and the Office of Emergency Services for their long-hours of hard work to produce this Functional Plan to the County of Monterey 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.

_____

Lew Bauman, County Administrative Officer

[Page intentionally left blank.]

1. INTRODUCTION

MONTEREY COUNTY'S VULNERABILITY TO DISASTERS IS WELL KNOWN. SINCE 2010, THE COUNTY HAS EXPERIENCED SEVENTEEN INCIDENTS THAT RESULTED IN EMERGENCY PROCLAMATIONS BY THE COUNTY BOARD OF SUPERVISORS. OF THOSE PROCLAMATIONS, THREE RESULTED IN STATE DISASTER DECLARATIONS, AND TWO ULTIMATELY RESULTED IN FEDERAL DECLARATIONS. MANY OF THESE INCIDENTS RESULTED IN THE NEED FOR DOCUMENTING AND MANAGING COST CLAIMING PROCESSES WITH STATE AND FEDERAL PARTNERS.

DISASTERS HAVE THE POTENTIAL TO OVERWHELM OPERATIONAL AREA (OA) EMERGENCY RESPONSE CAPABILITIES RESULTING IN ELIGIBILITY FOR SEVERAL RESPONSE COST REIMBURSEMENT MECHANISMS THROUGH THE STATE AND FEDERAL GOVERNMENT, OTHER STATES, AND NONPROFIT AND PRIVATE-SECTOR ORGANIZATIONS. THE EFFECTIVENESS OF THE OPERATIONAL AREA (OA) FINANCIAL RESPONSE WILL AFFECT THE LONG-TERM RECOVERY OF MONTEREY COUNTY'S COMMUNITIES AND ECONOMY. AN EFFECTIVE RECOVERY OF RESPONSE COSTS WILL ONLY BE POSSIBLE IF COMPREHENSIVE PLANNING HAS TAKEN PLACE.

THIS PLAN IS AN ANNEX TO THE MONTEREY COUNTY OPERATIONAL AREA (OA) EMERGENCY OPERATIONS PLAN (EOP)(2014).

1.1 PLANNING PROCESS

The Monterey County Office of Emergency Services created the multi-departmental working group,Disaster Cost Recovery Work Group (DCRW), for the purpose of shepherding information and documentation from the actual disaster through to the recovery cost claiming process with FEMA and Cal OES.

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

- AUDITOR-CONTROLLER COST RECOVERY ACCOUNTANT(S)(ACO): ACO designee with training in claims for reimburse from FEMA and Cal OES
- BUDGET & ANALYSIS DIVISION (BAD): Usually the County Budget Director or his/her designee who may serve as the EOC Finance Section Chief during the disaster
- CONTRACTS/PURCHASING OFFICER (CPO) OR DESIGNEE: specialist in emergency Contracts/Purchasing practices assigned by the CPO
- COUNTY COUNSEL (CCO) OR DESIGNEE: Specialist in all legal issues including County Counsel and Risk and Insurance
- OFFICE OF EMERGENCY SERVICES (OES) DESIGNEE(S): Emergency Manager or acting Emergency Manager
- FACILITIES MANAGEMENT (RMA) DESIGNEE: Specialist in damage assessment/identification/assessment and project development
- RESOURCE MANAGEMENT AGENCY DESIGNEE: Specialist in damage identification/assessment and project development. May be representatives from Public Works, Environmental Services, and Planning and Building.
- OTHER: Representatives of the various operating departments impacted by the disaster

This Plan utilized a whole community planning approach consisting of the Monterey County Emergency Operational Area Disaster Council, the DCRW, and 4 Sub-Working Groups, including:

- Operational Coordination Sub-Working Group
- County Counsel and Risk Sub-Working Group
- Situational Awareness Sub-Working Group
- 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 Plan.

AFTER ACTION REPORTS *(Produced event 2 After-Action Reports)*	• Soberanes Fire - 2016 • 2017 Winter Storms
TRAINING *(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) • Contracts/Purchasing Under FEMA Awards
EXERCISES *(Conducted three functional exercises)*	• Mass Care and Shelter, Sept/Oct 2017 • Nacimiento Dam Failure, October 2018

1.1.1 SUPERSESSION

This is the first iteration of the Monterey County Emergency Operations Plan: Disaster Cost Recovery Annex.

2.1.1 WHOLE COMMUNITY

Monterey County has embraced FEMA's whole community approach to creating engaged and resilient communities by which residents, emergency management practitioners, community leaders, and government officials can understand and assess the needs of their respective communities and determine the best ways to organize and strengthen their assets, capabilities, and interests.

By engaging communities, we can understand the unique and diverse needs of a population including its demographics, values, norms, networks, and relationships. Monterey County is committed to ensuring that considerations are made for persons with access and functional needs (AFN) at every stage if the emergency management process.

1.2 AUTHORITIES AND REFERENCES

The Monterey County Disaster Cost Recovery Plan is a whole-community, all-hazard, function-specific annex to the Monterey County Emergency Operations Plan (EOP). The following local, State, and Federal authorities, regulations, and requirements apply to the preparation of this Plan and to mass care and sheltering operations that are conducted in the response to a large-scale incident resulting the care and shelter of mass quantities of Monterey County residents, guests, and visitors.

3.2.1 LOCAL

Local authorities for emergency response are described in the Monterey County Emergency Operations Plan. Additional authorities, regulations, and requirements that apply specifically to mass care and sheltering operations and interim housing are:

- County of Monterey Disaster Recovery Framework (Draft)
- County of Monterey Emergency Operations Plan
- County of Monterey Emergency Management Planning Program
- County of Monterey Field Purchase Order Manual
- County of Monterey Ordinance Code– Division 2.68.090 –Emergency Services
- County of Monterey P-Card Policy

4.2.1 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

5.2.1 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

6.2.1 MISCELLANEOUS

- Financial Disaster Recovery Manual, City of Houston, 2014
- Disaster Cost Recovery Plan, Santa Clara County, 2017
- 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

[Page intentionally left blank.]

2. PURPOSE, SCOPE, SITUATION OVERVIEW, AND PLANNING ASSUMPTIONS

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 PLAN, AND ALL ITS PROVISIONS, TO RECOVER ELIGIBLE COSTS EFFECTIVELY AND EFFICIENTLY INCURRED DURING A DECLARED DISASTER AND MEET STATE AND FEDERAL REIMBURSEMENT PROGRAM COMPLIANCE REQUIREMENTS.

2.1 PURPOSE

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

2.2 GOALS

- **GOAL 1:** Outline the local disaster proclamation process;
- **GOAL 2:** Outline the State disaster proclamation process;
- **GOAL 3:** Outline the Federal disaster/emergency declaration process; and
- **GOAL 4:** Describe State and Federal disaster assistance programs and associated program requirements, eligibility, and application process.

2.3 OBJECTIVES

- **OBJECTIVE 1:** Establish operational coordination protocols (policies) to manage damage and impact reporting, cost tracking, documentation, etc. during response and recovery.
- **OBJECTIVE 2:** Establish pre-disaster protocols (policies) for various County Departments.
- **OBJECTIVE 3:** Detail the County's process to obtain State and Federal disaster aid, assistance, and relief.
- **OBJECTIVE 4:** Review, update, and otherwise establish necessary disaster Contracts/Purchasing, accounting, and documentation policies for the County of Monterey, including:
    - Emergency Contracts and Purchasing
    - Emergency warrants (cash)
    - Internal orders
    - Insurance
    - Duplication of benefits
    - Departmental accounting procedures
    - Emergency payroll
    - Damage documentation
- **OBJECTIVE 5:** 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.

2.4 SCOPE

This Plan addresses pre-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 authority, private non-profit, special district, or private property owner seeking State or Federal disaster reimbursement via the County, as a pass-through entity.

2.5 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 Plan 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 Plan is intended to address the reimbursement process for all eligible disaster types.
- This Plan 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 Plan 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 Plan will be implemented and utilized as described.
- The Plan 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 1 of 3 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; AND**

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 Plan.
- If a stakeholder group is not aware of their role and responsibilities under this Plan because they were not identified during pre-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 Plan.
- 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 capability of this Plan, including, but not limited to:
    - Disaster Damage Identification and Assessment;
    - Operational Area Common Operating Picture;
    - Local Disaster Recovery Framework; and
    - Crisis Communication.

- This Plan is a dynamic document, with changes being made as needed, and then documented.
- In accordance with the specified plan maintenance, this Plan 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.

2.6 HAZARD ASSESSMENT

1.6.1 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. It is recommended that the Emergency manager 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 Plan has been drafted and published, County officials at all levels can employ the planning, training, and exercise cycle to build capacity and refine operations.

> **ALL DEPARTMENT HEADS SHALL DOCUMENT ANY ASSETS IN THEIR DEPARTMENTS THAT MAY SUSTAIN DISASTER DAMAGE, IN A PRE-DISASTER CONDITION, A MINIMUM OF ONCE EVERY 3 YEARS. (PHOTO DOCUMENTATION IS RECOMMENDED IN ADDITION TO CURRENT MAINTENANCE RECORDS).**

2.6.1 FINANCING FOR SHORT-TERM 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 more than their existing appropriation they shall notify the EOC Director and Finance Section Chief immediately. They will work with the County Administrative Officer and Budget and Analysis Division to ensure the impacted department receives needed spending authority.

3.6.1 DAMAGE IDENTIFICATION AND ASSESSMENT PROCESS

The County is currently developing a comprehensive damage identification and assessment plan that will serve as annex to the County of Monterey Emergency Operations Plans 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.

4.6.1 LOCAL INITIAL DAMAGE ESTIMATE FOR THE COUNTY OF MONTEREY

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 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 brief (2 pages).

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 Director, Emergency Services), and submitted by to the County.

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

PUBLIC ASSISTANCE (DAMAGE TO GOVERNMENT INFRASTRUCTURE):

- 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, or Other

INDIVIDUAL ASSISTANCE (DAMAGE TO PRIVATE RESIDENCES)

- Small Business Administration Loan Damages
- Agricultural Damage
- Federal Program Damages
- Federal Highway Administration – Emergency Relief Program
- U.S. Army Corps of Engineers
- Natural Resources Conservation Service
- Any other Federal agency assistance which may become available

The second step in the Damage Assessment process is to develop a 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 5 business days after the Damage Assessment form (as designated by the Controller-Treasurer. With regard to the damage site, all impacted and eligible jurisdictions, departments, and private non-profit organizations must:

- **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 ESTIMATE SEE "STATE PUBLIC ASSISTANCE (CDAA) – PROJECT FORMULATION AND COST ESTIMATION" SECTION, PG. 54 – 55)**
- **ASSIGN REPRESENTATIVE(S) FOR DAMAGE REPORTING**
- **PROVIDE UPDATES ON DAMAGE ASSESSMENTS**
- **PROPERLY PROCURE ALL CONTRACTS IN COMPLIANCE WITH TITLE 2 OF THE CODE OF FEDERAL REGULATIONS, PART 200**
- **MONITOR REPAIRS**
- **MAINTAIN ALL DOCUMENTATION, PRE AND POST-DISASTER (PHOTOS ARE PREFERABLE)**
- **PHOTOGRAPH ALL DAMAGES BEFORE AND AFTER REPAIRS ARE MADE**

5.6.1 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 and answer programmatic questions.

Once information has been verified and impacted jurisdictions are prepared, State emergency managers should coordinate with their leadership for action, and notify the FEMA Regional office for awareness. (www.co.monterey.ca.us/OES.com)

6.6.1 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 discussion on the general timeline for the Joint PDA.

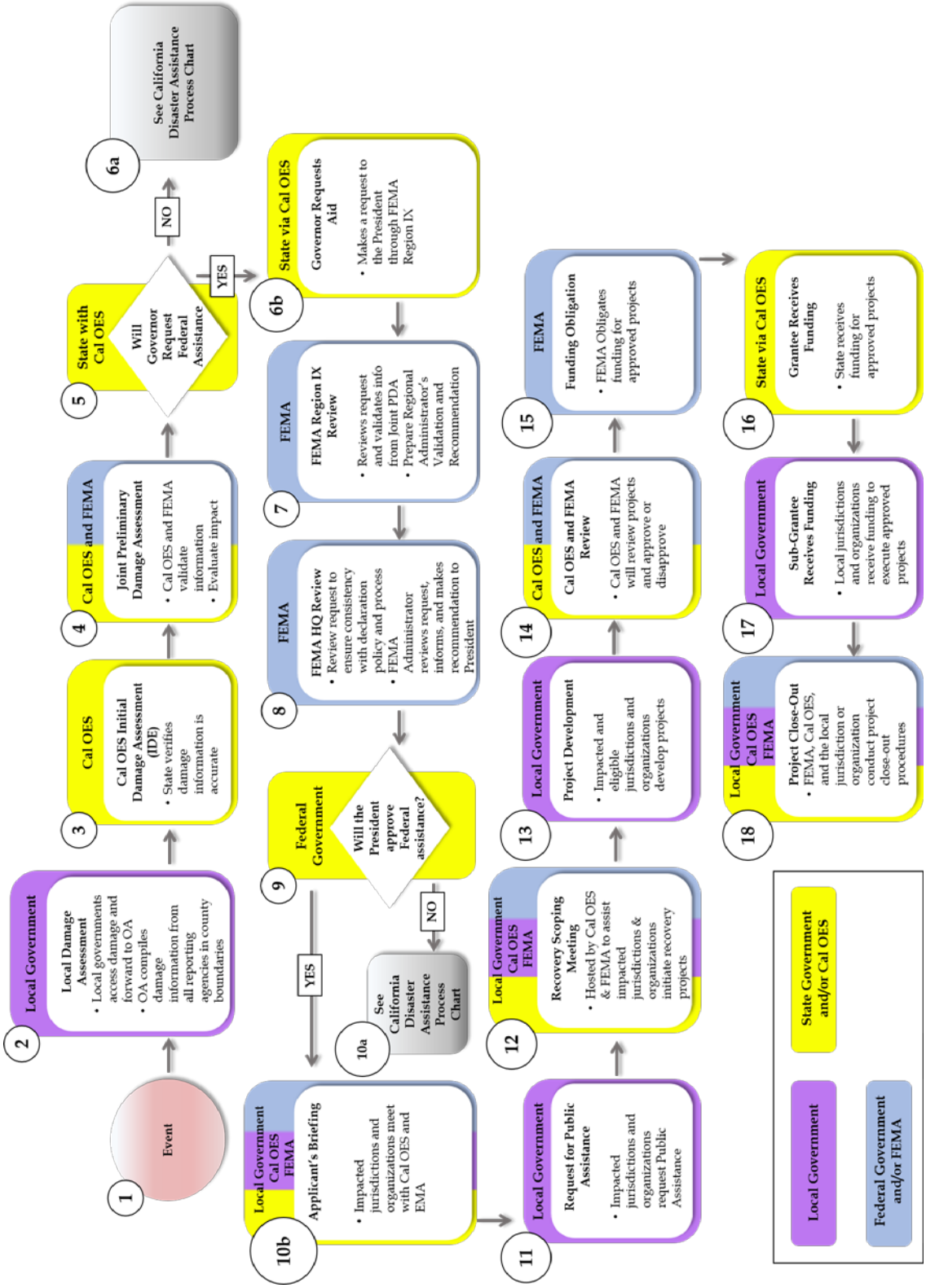
Once a Joint PDA start date is agreed upon, Cal OES should coordinate with the counties included in the Joint PDA request to schedule field assessments. This will give local and county emergency managers the time needed to coordinate with impacted jurisdictions so that personnel necessary to answer questions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

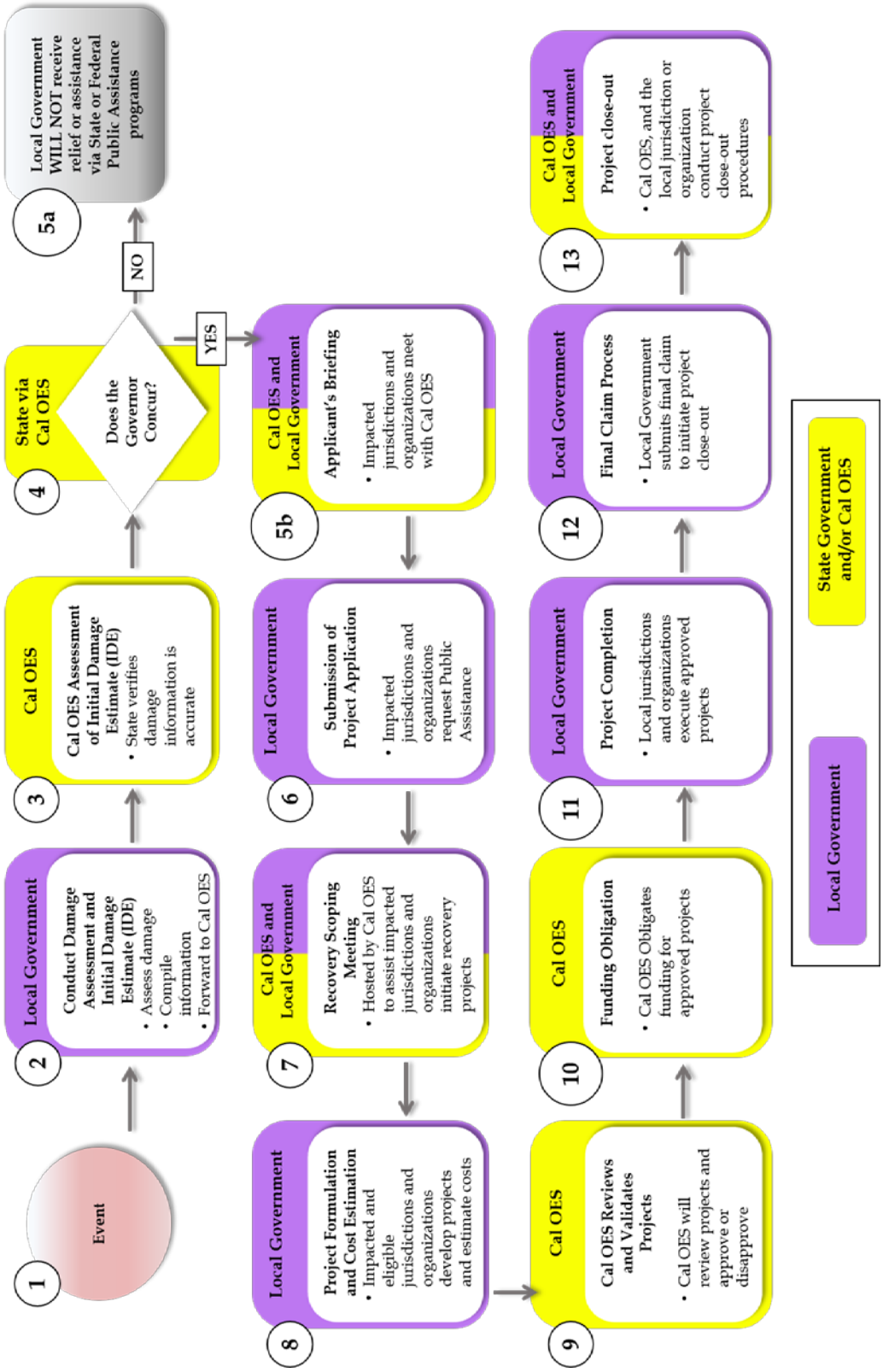
Joint PDA field teams should be composed of at least 1 representative of the Federal Government and one representative of the State. A local government representative, familiar with the extent and location of damage in their community, should also be included, if possible. Other State, federal agencies, and non-governmental agencies may also be asked to participate, as needed.

> **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; considering 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. It is best for technically trained personnel to accompany FEMA inspectors. (i.e. PW Engineers for roads and bridges).

7.6.1 CALIFORNIA DISASTER ASSISTANCE PROCESS OVERVIEW




1
Event
2
Local Government
Conduct Damage Assessment and Initial Damage Estimate (IDE)
• Assess damage
• Compile information
• Forward to Cal OES
3
Cal OES
Cal OES Assessment of Initial Damage Estimate (IDE)
• State verifies damage information is accurate
4
State via Cal OES
Does the Governor Concur?
NO
5a
Local Government WILL NOT receive relief or assistance via State or Federal Public Assistance programs
YES
5b
Cal OES and Local Government
Applicant's Briefing
• Impacted jurisdictions and organizations meet with Cal OES
6
Local Government
Submission of Project Application
• Impacted jurisdictions and organizations request Public Assistance
7
Cal OES and Local Government
Recovery Scoping Meeting
• Hosted by Cal OES to assist impacted jurisdictions and organizations initiate recovery projects
8
Local Government
Project Formulation and Cost Estimation
• Impacted and eligible jurisdictions and organizations develop projects and estimate costs
9
Cal OES
Cal OES Reviews and Validates Projects
• Cal OES will review projects and approve or disapprove
10
Cal OES
Funding Obligation
• Cal OES Obligates funding for approved projects
11
Local Government
Project Completion
• Local jurisdictions and organizations execute approved projects
12
Local Government
Final Claim Process
• Local Government submits final claim to initiate project close-out
13
Cal OES and Local Government
Project close-out
• Cal OES, and the local jurisdiction or organization conduct project close-out procedures
Local Government
State Government and/or Cal OES

3. PROGRAM ADMINISTRATION

THE PROCESS FOR MAINTAINING THE PLAN IS DESCRIBED IN THIS SECTION. THE DISCUSSION IDENTIFIES WHO WILL RECEIVE AND REVIEW THE PLAN, HOW UPDATES ARE TO BE INTEGRATED INTO THE PLAN, HOW THE PLAN WILL BE TESTED, WHAT TYPE OF TRAINING WILL BE DEVELOPED TO LEARN THE PLAN, AND HOW AFTER-ACTION REVIEW WILL BE CONDUCTED AFTER THE PLAN HAS BEEN IMPLEMENTED, WHETHER AS PART OF AN EXERCISE OR IN RESPONSE TO A REAL EMERGENCY.

The Operational Area Coordinating Council or Disaster Council established disaster cost recovery as a planning priority after a demonstrated need for pre-planning was observed during the Soberanes Fire (2016) via communication with the County Administrative Officer's Office and the County Office of Emergency Services. The 2017 Winter Storm events further underscored this need.

The purpose of the Disaster Council is to:

- Enhance planning and preparedness for large-scale emergencies
- Create partnerships in emergency planning, preparedness, as well as training and exercise with 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 Disaster Council are to:

- 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

1.1.1 DISASTER COST RECOVERY PLAN WORKING GROUP (DCRW)

The DCRW was established as a temporary, multi-agency, inter-jurisdictional planning entity. The DCRW assisted with the development of the Disaster Plan framework, identified related subject matter experts, established divisions of labor, and developed work schedules necessary to the drafting of the Plan, as designated by the EOADC. When this Plan is implemented, the DCRW can be referred to as the Disaster Cost Recovery Group (DCRG - See page 54 – Disaster Cost Recovery Organization).

Below are some topics the DCRW investigated and contributed throughout the planning process:

- **Resource Request Process And Tools**
- **Disaster Documentation**
- **P-Card Protocols**
- **County Contracts/Purchasing Policy**
- **Asset Tracking**
- **Damage Identification**
- **Purchase Tracking**
- **Damage Assessment**
- **Operational Coordination Scenarios**
- **Common Operating Picture/GIS Platforms**
- **Insurance Claim Process**
- **Public Assistance Process**
- **Facility Inventory**
- **Individual Assistance Process**

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

- **Operational Coordination Sub-Working Group**
- **County Counsel and Risk Sub-Working Group**
- **Situational Awareness Sub-Working Group**
- **Public Information and Warning Sub-Working Group**

3.2 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. For the purpose of this Plan, Contracts/Purchasing Division will lead this Sub-Working Group.

Developed Operational Coordination Scenarios:

- **Operational Coordination Scenario #1:** The Disaster Cost Recovery Group, the OES Duty Officer, and no EOC
- **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

2.2.1 COUNTY COUNSEL AND RISK SUB-WORKING GROUP

The purpose of the County Counsel and Risk Sub-Working Group was to understand, and incorporate, the County's applicable insurance, emergency Contracts/Purchasing and accounting, and disaster documentation to ensure adequate coverage, accurate damage assessment and documentation, and mitigate risk 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 Contracts/Purchasing policies to align with State and Federal laws, regulations, and rules. For the purpose of this Plan, County Counsel will lead this Sub-Working Group.

3.2.1 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 pre-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, of which the County would be a beneficiary. 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 Plan and posted in the record of changes. For the purpose of this Plan, OES will lead this Sub-Working Group.

4.2.1 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 soon as available. For the purpose of this Plan, the Public Information Officer (PIO) will lead this Sub-Working Group.

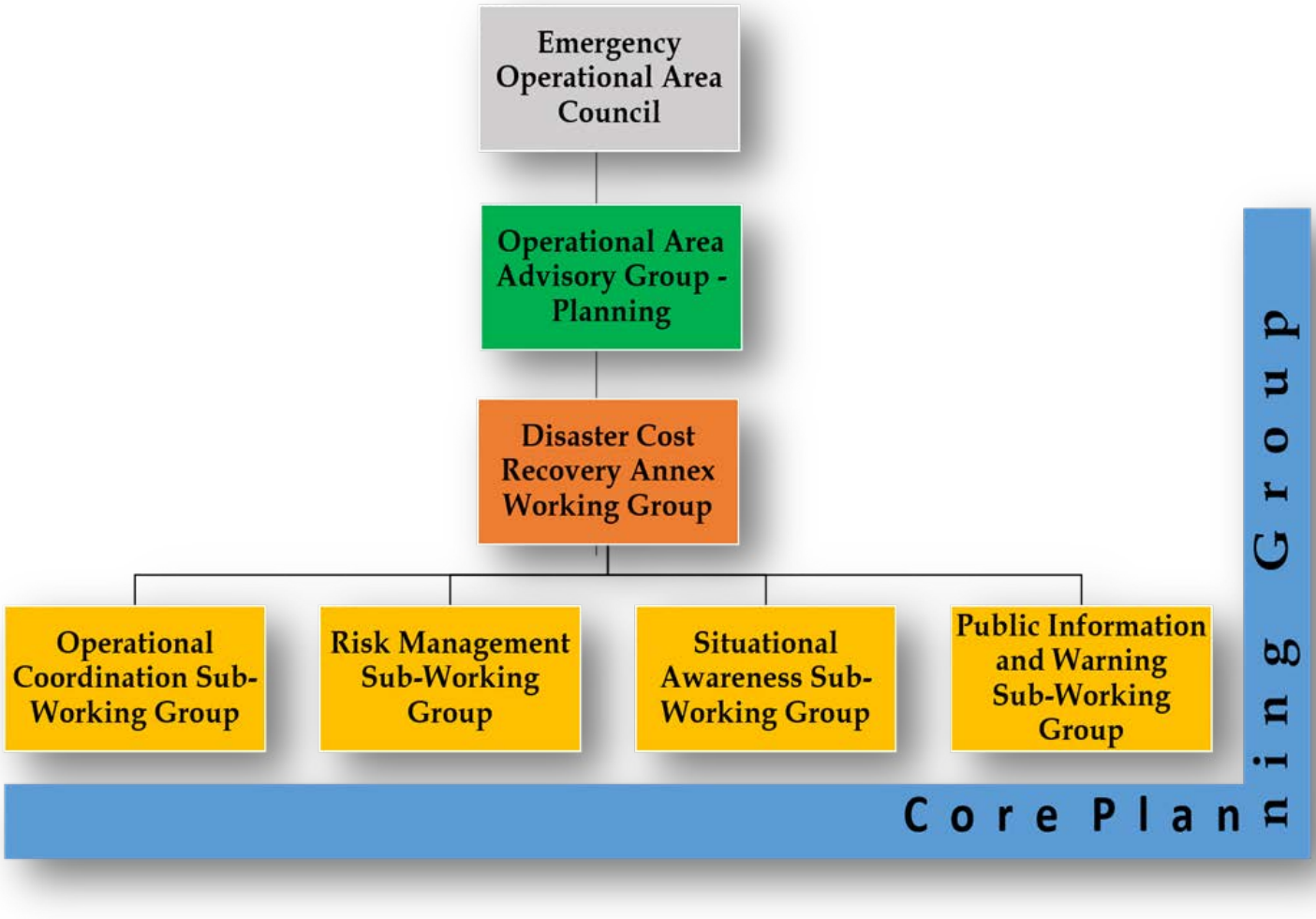
5.2.1 CORE PLANNING GROUP

The Disaster Cost Recovery Plan Core Planning Group (or simply, the Core Planning Group), consisted of personnel from the Office of Emergency Services (OES), the Budget and Analysis Division, RMA, Auditor/Controller, and the Contracts/Purchasing Division. The Core Planning Group was responsible for coordination, leadership, and documentation all advisory group, working group and sub-working group meetings.

Additionally, the Core Planning Group was tasked to write, edit, and validate this Plan. 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 Plan. Over the course of many months, the Core Planning Group held many working meetings to:

- **INVESTIGATE BEST-PRACTICES**
- **REVIEW, AND UPDATE, AS NECESSARY, EXISTING COUNTY DISASTER-RELATED CONTRACTS/PURCHASING, ACCOUNTING POLICIES**
- **INCORPORATE LESSONS-LEARNED FROM RECENT DISASTER EVENTS (SOBERANES FIRE, JUNE - 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 PLAN FOR THE COUNTY OF MONTEREY**

- FIGURE 1 COUNTY OF MONTEREY DISASTER COST RECOVERY PLAN DEVELOPMENT STRUCTURE



3.3 PLAN DISTRIBUTION

As a support annex to the Monterey County Emergency Operations Plan, the Monterey County Disaster Cost Recovery Plan is intended for the Operational Area (OA) that includes the County and all governmental jurisdictions (cities/special districts) contained within. Copies of this plan, when complete, will be distributed to all Monterey County Operational Area (OA) response partners and stakeholders with roles in mass care and sheltering operations in the County.

3.4 PLAN UPDATES

The Monterey County Office of Emergency Services, in coordination with the Budget and Analysis Division, Contracts/Purchasing Division, and other essential stakeholders identified in this document from the County and the Operational Area, is responsible for the maintenance, review, and update this Plan. They will—at a minimum—review this Plan every year and update the Plan 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 Plan to ensure accuracy and validity. If this Plan 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.

3.5 PLAN TESTING, TRAINING, AND EXERCISES

The Monterey County Office of Emergency Services has established a Training and Exercise program, (updated every 3 years), to enhance the Monterey Operational Area's capability in the mission areas of prevention, protection, mitigation, response, and recovery.

The provisions of this planning document shall be incorporated into the 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 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 OES (training and exercise coordinator) for planning product improvement.

6.5.1 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:

7.5.1 DISCUSSION-BASED EXERCISES

- SEMINARS
- WORKSHOPS
- TABLETOP EXERCISES

9.5.1 OPERATIONS-BASED EXERCISES

- DRILLS - GAMES
- FUNCTIONAL EXERCISE
- FULL-SCALE EXERCISES

RELATED TRAINING COURSES

LOCAL TRAINING COURSES	
Course ID	**Course Title**

NA	Disaster Cost Recovery Training (The Martinet Group, LLC)
STATE TRAINING COURSES	
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
FEDERAL TRAINING COURSES	
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	Contracts/Purchasing under Grants 2.0 Online-Webinar Series
NA	Contracts/Purchasing under FEMA Awards

3.6 AFTER-ACTION REVIEW

Monterey County conducts all after-action reviews of drills and exercises in compliance with the FEMA Homeland Security Exercise and Evaluation Program.

[Page intentionally left blank.]

4. CONCEPT OF OPERATIONS

THE DISASTER COST RECOVERY PLAN AND WORKING GROUP WAS DEVELOPED IN ACCORDANCE WITH THE CALIFORNIA STATEWIDE MULTI-AGENCY COORDINATION SYSTEM (MAC SYSTEM). 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
- Development of Project Worksheets and obligations
- Tracking and coordinating Project obligations

- 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 ADMINISTRATIVE OFFICER, THE EOC DIRECTOR OR DEPUTY 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.**

4.1 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.

1.1.1 CITIES (INCORPORATED AREAS) AND SPECIAL DISTRICTS

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

> **THIS FUNCTIONAL DISASTER COST RECOVERY PLAN CONSTITUTES THE COUNTY OF MONTEREY'S PRE-PLANNING EFFORT TO ENSURE SUCCESSFUL DISASTER COST RECOVERY, UNDER ITS OBLIGATIONS AS A LOCAL JURISDICTION. IT IS RECOMMENDED THAT MONTEREY COUNTY CONSTITUENT JURISDICTIONS AND SPECIAL DISTRICTS DEVELOP AND IMPLEMENT LOCALLY CRAFTED DISASTER COST RECOVERY MEASURES, WHILE USING THIS DOCUMENT AS A REFERENCE.**

PRE-PLANNING

While the County may play a support role, local jurisdictions are responsible for the all local pre-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
- PRE-DISASTER DOCUMENTATION
- 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.

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

- EMERGENCY PROTECTIVE MEASURES OPERATIONS
- DEBRIS REMOVAL AND MANAGEMENT
- DAMAGE IDENTIFICATION/ASSESSMENT
- LOCAL DISASTER PROCLAMATION
- DAMAGE DOCUMENTATION
- DAMAGE REPORTS TO OPERATIONAL AREA EMERGENCY OPERATIONS CENTER
- COMPLIANCE WITH ALL APPLICABLE LOCAL, STATE, AND FEDERAL LAWS, REGULATIONS, AND RULES PERTINENT TO EMERGENCY CONTRACTS/PURCHASING, 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 Plan and implement appropriate changes determined via the After-Action process

2.1.1 MONTEREY COUNTY OPERATIONAL AREA (OA) - ALL

PRE-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 Plan and reference it frequent 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 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 under the authority of this Plan.

> **IT CANNOT BE OVERSTATED AS TO THE IMPORTANCE OF PRE-DISASTER DOCUMENTATION OF COUNTY FACILITIES AND INFRASTRUCTURE AS THIS IS USED TO DETERMINE PRE-DISASTER CONDITIONS.**

RESPONSE

- Comply with prescribed Departmental Accounting Procedures for Disaster Response
- Report and document damage to County facilities or assets due to a natural-disaster
- Comply with all provisions of the County's Emergency Contracts/Purchasing; Disaster Accounting and Documentation Policy Guide
- Recovery

- Comply with prescribed Department Accounting Procedures for Disaster Recovery (page 39)
- 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 Plan and implement appropriate changes determined via the After-Action process

3.1.1 OFFICE OF EMERGENCY SERVICES (OES)

The County of Monterey OES is the lead Operational Area agency through all 4 phases of emergency management which include, mitigation, preparedness, response, and recover. Specifically, OES is responsible for ensuring the development, implementation, and maintenance of a comprehensive Emergency Operations Plan and associated Planes – including this Plan.

PRE-PLANNING

OES facilitated the development of this planning document in tight collaboration with subject matter experts representing the Auditor/Controller, Budget and Analysis Division, and Contracts/Purchasing Division, and was reviewed by County Counsel.

OES will lead any future Disaster Plan update effort, due to lessons-learned or scheduled maintenance, as well as develop and deliver Plan socialization efforts, training events, and periodic, integrated exercises in collaboration with the Auditor/Controller, Budget and Analysis Division, and the Contracts/Purchasing Division.

RESPONSE

OES will advise the County Administrative Officer, or authorized designee, on when this Plan will be activated and how the Monterey County Disaster Cost Recovery Group will be employed. Upon Plan activation, OES may meet its response obligations under the provisions of this Plan through all available means and methods deemed necessary. Most likely, OES will:

- If a disaster causes damage, BUT the scope and complexity of the event DOES NOT warrant an EOC activation, the Manager of Emergency Services may direct the OES Duty Officer to coordinate with the Budget and Analysis Division 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 Monterey County Disaster Cost Recovery Group.
- 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 Monterey County Disaster Cost Recovery Group Coordinator, (may be personnel from OES, BAD, or ACO), in accordance with this Plan.

IN ACCORDANCE WITH SEMS, IF A DISASTER HAS IMPACTED MORE THAN 1 CONSTITUENT JURISDICTION OR SPECIAL DISTRICT, THE COUNTY OF MONTEREY WILL ACT AS, AND BE REFERRED TO AS, THE MONTEREY 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 Assistant County Administrative Officer in charge of OES and the Budget and Analysis Division, 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 OES.
- Act as a pass-through 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 all 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 Plan and implement appropriate changes determined via the After-Action process

4.1.1 BUDGET AND ANALYSIS DIVISION (BAD) AND AUDITOR/CONTROLLER (ACO)

PRE-PLANNING

OES is responsible for the development, implementation, and maintenance of this Plan relative to Cost Recovery. As the County of Monterey's financial management subject matter experts, the BAD, ACO, and Contracts/Purchasing Division shall be consulted prior to any Plan changes.

The Office of Emergency Services will be responsible for training internal Department personnel on the proscribed actions contained in this Plan as required.

The BAD or ACO, with concurrence by County Counsel, will notify OES 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 that they have responsibility for, as soon as possible.

RESPONSE

The BAD may be needed to advise the Manager of OES, the County Administrative Officer, or authorized designee, (depending on the disaster type), on the severity of financial impact to determine when this Plan is activated and how the Monterey County Disaster Cost Recovery Group should be employed.

Upon Plan activation, the BAD may meet its response obligations under the provisions of this Plan through all available means and methods deemed necessary. Most likely, the BAD will confer with the OES Manager and:

- If a disaster causes damage, BUT the scope and complexity of the event DOES NOT warrant an EOC activation, the BAD and the OES Manager will confer and determine that the OES Duty Officer coordinate with the BAD in accordance with this Plan
- 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 Monterey County Disaster Cost Recovery Group Coordinator, (may be personnel from OES, BAD, or ACO), in accordance with this Plan

- If the EOC has been activated, the EOC Finance Section Chief will request a Major Program Code (MPC) for all County departments and agencies. The MPC will be designated and setup by the ACO. This MPC 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 Administrative Officer, 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 the President declares an emergency or disaster
    - The ACO or BAD, if 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 Monterey County – this report is a composite of the whole County; therefore, this compilation will not detail the costs for each separate entity
    - 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 and document in the County's Web EOC software program.
    - Ensure with ACO the 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 OES, if a State or Federal disaster or emergency declaration makes funding available via Public Assistance, as the County of Monterey will act as a pass-through entity for all local jurisdictions and special districts
- 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 Plan and implement appropriate changes determined via the After-Action process

- Retain all necessary documentation for required timeline of 3 years after the date of the final Financial Status Report (using FEMA Form 112-0-1 located in Attachment 3)
- Conduct internal audits, as necessary and fill any Requests for Information from the Cal OES and/or FEMA

5.1.1 CONTRACTS/PURCHASING DIVISION (CPD)

PRE-PLANNING

As the County of Monterey's Contracts/Purchasing subject matter experts, the CPD is a supporting County agency, with OES and the BAD, for the development, implementation, and maintenance of this Plan.

The CPD will be responsible for training internal department personnel on the prescribed actions contained in this Plan.

The CPD will notify OES 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 CPD will contribute to any future Plan update, due to lessons-learned or scheduled maintenance, as well as develop and deliver Plan socialization efforts, training events, and periodic, integrated exercises in collaboration with the BAD and OES.

RESPONSE

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

- If a disaster causes damage, BUT the scope and complexity of the event DOES NOT warrant an EOC activation, the BAD may request of the Director of Contracts/Purchasing a departmental representative to coordinate with the BAD or the County Disaster Cost Recovery Group Coordinator, in accordance with this Plan
- If a disaster causes damage, AND the scope and complexity of the event warrants an EOC activation, the EOC Director, or authorized designee, in consultation with the EOC Coordinator may appoint a representative from the CPD to serve in the EOC or the Monterey County Disaster Cost Recovery Group in accordance with this Plan
- 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 Contracts/Purchasing Card (P-Card)
- Contribute to event After-Action Report to detail improvements to be made to this Plan 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

6.1.1 RESOURCE MANAGEMENT AGENCY (RMA), PUBLIC WORKS (RMA-PW)

PRE-PLANNING

The mission of RMA-PW, a Division within the RMA, is to preserve, operate, and enhance the County's expressways, unincorporated roads, and bridges to meet the needs of the traveling public. To support that mission, the RMA is currently working with OES to develop a damage assessment planning document that may impact the performance of this Plan. Upon the adoption of any damage identification, assessment, or reporting plan, RMA will work with the Office of Emergency Services to incorporate any relevant changes into this Plan.

RMA-PW will be responsible for training internal department personnel on the proscribed actions contained in this Plan.

RMA will notify OES, if/ when it 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, RMA-PW 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 Plan activation, RMA may meet its response obligations under the provisions of this Plan through all available means and methods deemed necessary. Most likely, RMA will:

- If a disaster causes damage, BUT the scope and complexity of the event DOES NOT warrant an EOC activation, the Budget and Analysis Division may request of the Director of RMA a departmental representative coordinate to with the Budget and Analysis Division or the County Disaster Cost Recovery Group Coordinator, in accordance with this Plan
- 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 RMA to serve in the EOC as the Damage Assessment Branch Director in accordance with this Plan

- 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, (DCRG)

RECOVERY

- Participate in the cost recovery process through attendance of applicable briefings, meetings, and workshops
- With the Monterey County DCRG, identify applicable State and Federal disaster assistance programs and develop a 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 Monterey County DCRG, as appropriate
- Continually communicate with the Monterey County DCRG 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 Monterey County DCRG
- Contribute to any event After-Action Report to detail improvements to be made to this Plan and implement appropriate changes determined via the After-Action process
- Retain all necessary documentation until notified of further instruction by the DCRG

7.1.1 RMA - FACILITIES

PRE-PLANNING

The goal of the RMA - Facilities is to deliver facilities assets to client departments that enables them to meet the needs of a dynamic community, provide quality services, and promote a healthy, safe, and prosperous community for all – this especially true during an emergency or natural-disaster. To meet that goal, the Division is currently working with OES 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 OES to incorporate any relevant changes into this Plan.

- The RMA - Facilities Division will be responsible for training internal department personnel on the proscribed actions contained in this Plan

- The RMA - Facilities Division will notify OES if/when the Division 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 Division is capable.

Finally, the RMA - Facilities Division 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 Plan activation, the RMA - Facilities Division may meet its response obligations under the provisions of this Plan through all available means and methods deemed necessary. Most likely, the RMA - Facilities Division and Fleet Management will:

- If a disaster causes damage, BUT the scope and complexity of the event DOES NOT warrant an EOC activation, the BAD may request of the RMA - Facilities Division, a departmental representative coordinate to with the BAD or the County Disaster Cost Recovery Group Coordinator, in accordance with this Plan
- 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 RMA - Facilities Division to serve in the EOC, in accordance with the Emergency Operations Plan and this Plan
- 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 Monterey County Disaster Cost Recovery Group, identify applicable State and Federal disaster assistance programs and develop a 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 Monterey County Cost Recovery Group, as appropriate
- Continually communicate with the Monterey 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 Monterey County Disaster Cost Recovery Group
- Contribute to any event After-Action Report to detail improvements to be made to this Plan 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

8.1.1 RMA - PLANNING AND BUILDING (RMA - PLN), LAND USE AND COMMUNITY DEVELOPMENT

PRE-PLANNING

The RMA - PLN is currently working with OES 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 Division will work with the Office of Emergency Services to incorporate any relevant changes.
- The RMA - PLN will be responsible for training internal department personnel on the proscribed actions contained in this Plan.
- The RMA - PLN will notify OES 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 Division is capable.

RESPONSE

Upon Plan activation, the RMA - PLN may meet its response obligations under the provisions of this Plan through all available means and methods deemed necessary. Most likely, the RMA - PLN will:

- If a disaster causes damage, BUT the scope and complexity of the event DOES NOT warrant an EOC activation, the BAD may request of the Director of RMA - PLN a departmental representative to coordinate with the BAD or the County Disaster Cost Recovery Group Coordinator, in accordance with this Plan
- 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 to assist with the coordination of damage and safety assessments, in accordance with this Plan

- Conduct Safety Assessments and/or Inspections in accordance with local, State, and Federal regulations (i.e., ATC-20), departmental standard operating procedures, and this Plan

RECOVERY

- Complete needed safety assessments in accordance with departmental standard operating procedures and this Plan
- Identify and recommend land-use practices, building codes 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 OES, as appropriate
- Continually communicate with the Monterey 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 Monterey County Disaster Cost Recovery Group
- Contribute to any event After-Action Report to detail improvements to be made to this Plan 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

9.1.1 INFORMATION TECHNOLOGY DEPARTMENT/GEOGRAPHIC INFORMATION SERVICES (ITD/GIS)

PRE-PLANNING

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

- ITD/GIS will be responsible for training internal department personnel on the proscribed actions contained in this Plan.
- ITD/GIS will notify OES 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 Plan activation, ITD/GIS may meet its response obligations under the provisions of this Plan through all available means and methods deemed necessary. Most likely, ITD/GIS will:

- If a disaster causes damage, BUT the scope and complexity of the event DOES NOT warrant an EOC activation, the BAD may request of the Director of ITD a representative to coordinate with the BAD or the County Disaster Cost Recovery Group Coordinator, in accordance with this Plan
- 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 ITD/GIS to serve in the EOC as the Technical Specialist – GIS Unit, in accordance with this Plan
- 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 Plan

RECOVERY

- Support the Local Disaster Recovery Manager and the Monterey 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 Plan 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

10.1.1 COUNTY COUNSEL (CCO)

PRE-PLANNING

As a component of the County of Monterey's emergency management planning process, CCO reviews all Plans as part of the County's Emergency Operations Plan – including this Disaster Cost Recovery Plan. CCO should review all procedures related to emergency contracts, emergency orders and procedures under the Brown Act, and insurance claims reporting to ensure compliance with applicable insurance policy requirements.

RESPONSE

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

- If a disaster causes damage, BUT the scope and complexity of the event DOES NOT warrant an EOC activation, the BAD may request of the CCO a representative to coordinate with the BAD or the County Disaster Cost Recovery Group Coordinator, in accordance with this Plan
- 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 CCO to serve in the EOC to provide necessary legal advice – including drafting any necessary local disaster/emergency proclamation, in accordance with this Plan
- Advise on compliance with all applicable local, State, and Federal laws, regulations, and rules pertinent to emergency contracts/purchasing, insurance claims activities, and Brown Act emergency procedures
- Notify County OES and the BAD of any applicable changes to the County's insurance policies and/or procedures that may have an operational impact to this Plan
- Advise on compliance with all applicable local, State, and Federal laws, regulations, and rules pertinent to emergency contracts/purchasing, insurance claims activities, and Brown Act emergency procedures
- 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 EOC Director and CCO may recommend that the Board of Supervisors proclaim a local emergency or disaster

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 Monterey Disaster Cost Recovery Group Coordinator
- Contribute to any event After-Action Report to detail improvements to be made to this Plan 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

- Continually communicate 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 Monterey County Disaster Cost Recovery Group
- Continually communicate with the Disaster Cost Recovery Group concerning all cost recovery activities

11.1.1 COUNTY ADMINISTRATIVE OFFICE (CAO)

PRE-PLANNING

As a component of the County of Monterey's emergency management planning process, the CAO approves and promulgates all Planes to the County's Emergency Operations Plan – including this Disaster Cost Recovery Plan

RESPONSE

The CAO, or an authorize designee, is responsible for the activation of this Plan and on how the Monterey County DCRG will be employed, in consultation with the Director of the Emergency Services and the BAD.

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

- CAO, or authorized designee, will serve as EOC Director, in accordance with this Plan 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 then then the EOC Director/OES Manager and CCO may recommend that the County BOS proclaim a local emergency or disaster

RECOVERY

- Employ and direct the DCRG and local Disaster Recovery Manager, as appropriate
- Continually communicate with the DCRG 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 Monterey County DCRG
- Contribute to any event After-Action Report to detail improvements to be made to this Plan and implement appropriate changes determined via the After-Action process, as available
- Retain all necessary documentation until notified of further instruction by the DCRG

12.1.1 COUNTY OF MONTEREY BOARD OF SUPERVISORS (BOS)

PRE-PLANNING

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

RESPONSE

Upon Plan activation, the County of Monterey Board of Supervisors may meet its response obligations under the provisions of this Plan 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 adopt the EOC Director and CCO 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/OES Manager and CCO recommendation to proclaim a local emergency or disaster

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 CAO and the DCRG, direct the development and implementation of an effective recovery strategy

13.1.1 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 pre-planning to determine the necessary actions they should take to ensure successful cost recovery under CDAA and/or PA.

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.

RESOURCE: 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: https://www.fema.gov/media-library/assets/documents/111781

14.1.1 PRIVATE PROPERTY OWNERS

PRE-PLANNING

Private property owners are responsible for the maintenance and upkeep of their land, property, and assets 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.)

15.1.1 CALIFORNIA GOVERNOR'S 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.

PRE-PLANNING

This Plan 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 Plan was transmitted to the Cal OES Recovery Division for review. The County of Monterey would welcome any comment or wish 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, 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 Plan

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

16.1.1 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 1 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.

PRE-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 Plan was transmitted to FEMA Region IX for review. The County of Monterey 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 CA
- 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-private organizations, and private businesses

17.1.1 FEMA HEADQUARTERS

PRE-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 Plan. Any changes or updates to FEMA's Public Assistance Program and Policy Guide should be reflected in this Plan.

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

18.1.1 OFFICE OF THE PRESIDENT OF THE UNITED STATES OF AMERICA

PRE-PLANNING

As the Nation's Chief Executive, the President has directed 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

4.2 OA EMERGENCY OPERATIONS CENTER-(EOC)

19.2.1 ACTIVATION AND NOTIFICATION

ACTIVATION

If the EOC has not been activated, this Plan and the Monterey County Disaster Cost Recovery Group can be activated at the discretion of the County Administrative Officer, or authorized designee, in consultation with the Manager of Emergency Services and the Auditor-Controller.

If the EOC has been activated, this Plan and the Monterey County Disaster Cost Recovery Group can be activated at the discretion of the EOC Director or Deputy Director in consultation with the EOC Manager and the EOC General Staff (e.g., Operations Section Chief, Planning/Intelligence Section Chief, Logistics Section Chief, and Finance/Administration Section Chief).

Considerations for Plan and 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 will select a Coordinator. The 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, AlertMonterey, e-mail, telephone, social media.

20.2.1 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 (Emergency Services Act).

> *RESOURCE: Refer to the publication EMERGENCY PROCLAMATIONS: A quick reference guide for Local Governments (Cal OES, March 2014) for additional guidance: http://www.caloes.ca.gov/RecoverySite/Documents/EmergencyProclamationreferenceguide.pdf.*

4.3 DIRECTION, CONTROL AND COORDINATION--

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 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**

21.3.1 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 or OES Manager will coordinate with the County of Monterey's Disaster Cost Recovery Group (DCRG) Coordinator to ensure successful:

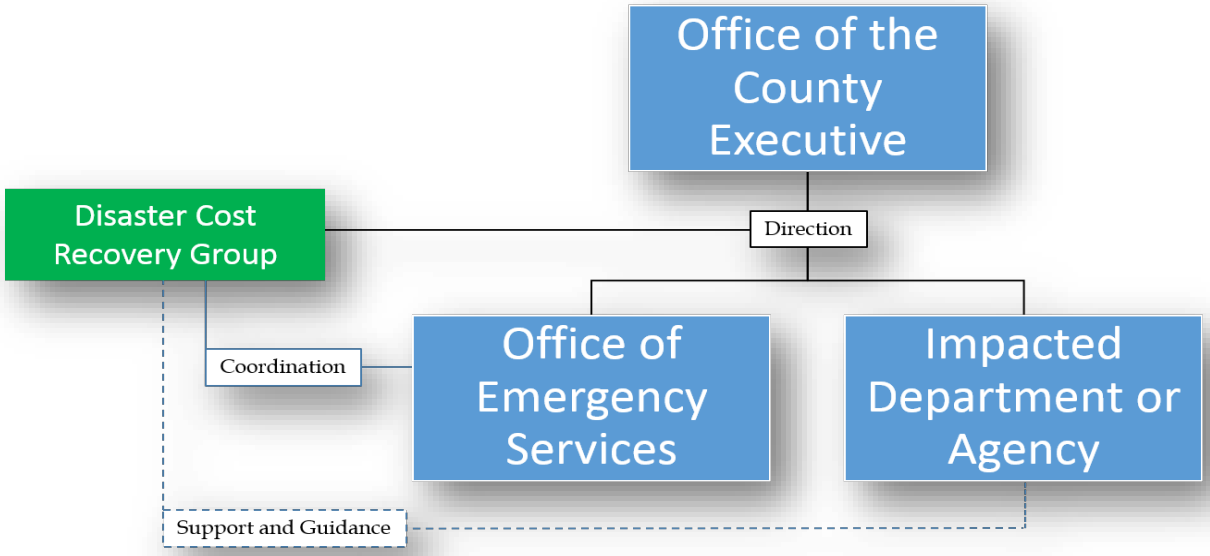
- **Damage assessment**
- **Damage documentation**
- **Request for assistance**
- **Grant application**
- **Project monitoring**
- **Project reporting**
- **Project completion**
- **Any additional required actions**

Potential supporting Departments, when EOC IS NOT activated:

- **Auditor-Controller**
- **Office of Emergency Services**
- **RMA (Public Works, Facilities, Planning Services, Building Services)**
- **Information Systems Department/GIS**
- **County Counsel and Risk**
- **Fleet Management**
- **Health Department**
- **Contracts/Purchasing**
- **Any impacted department(s)**

As previously stated, the final composition of the DCRW, 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 Administrative Officer, or authorized designee, in consultation with the Manager of Emergency Services.

FIGURE 2 OPERATIONAL COORDINATION SCENARIO #1:



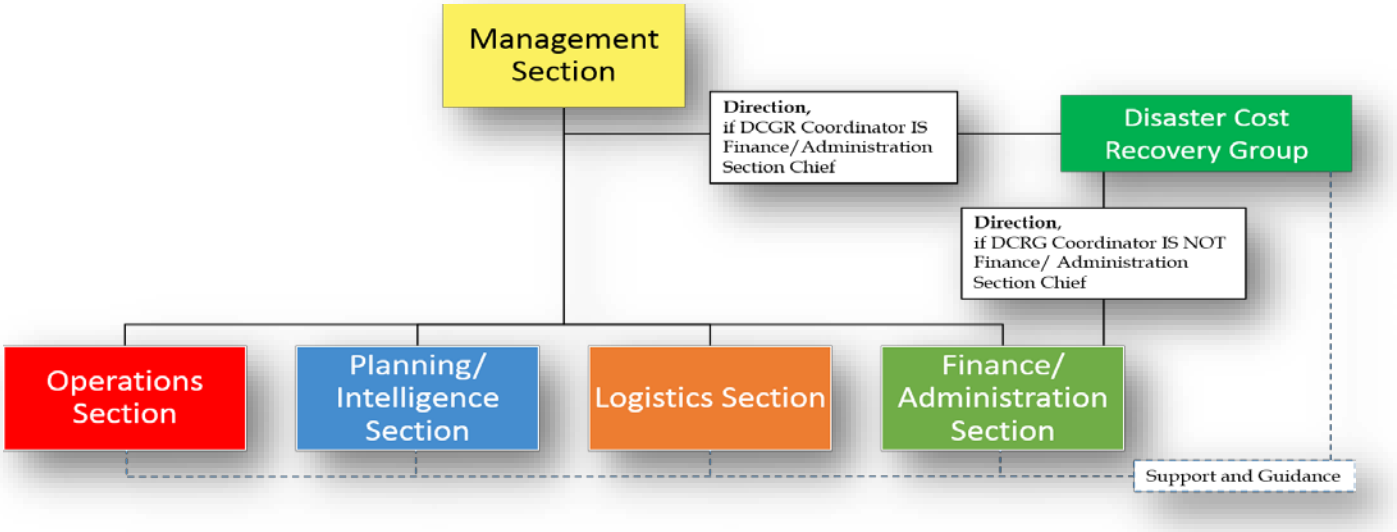
22.3.1 OPERATIONAL COORDINATION SCENARIO #2 – EOC ACTIVATION

For the purpose of this Plan, Contracts/Purchasing Division will lead this Sub-Working Group. 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 DCRG Coordinator will report to:

> **IF ALSO ACTING AS THE FINANCE/ADMINISTRATION SECTION CHIEF, THE DCRG COORDINATOR SHOULD REPORT TO THE EOC DIRECTOR.**

The 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 County Administrative Office or OES 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.

FIGURE 3 OPERATIONAL COORDINATION SCENARIO #2: EOC ACTIVATION



Upon Activation, the Disaster Cost Recovery Group will:

- **IDENTIFY GROUP MEMBERSHIP**
- **ENSURE DISASTER ACCOUNTING, CONTRACTS/PURCHASING, AND DOCUMENTATION AND RECOVERY 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 LOCAL JURISDICTIONS, SPECIAL DISTRICTS, AND PRIVATE NON-PROFITS TO ACCESS CA AND FEDERAL REIMBURSEMENT AND ASSISTANCE DURING RECOVERY**

23.3.1 OPERATIONAL COORDINATION SCENARIO #2: EOC ACTIVATION AND DCRG, AS A PASS-THROUGH ENTITY

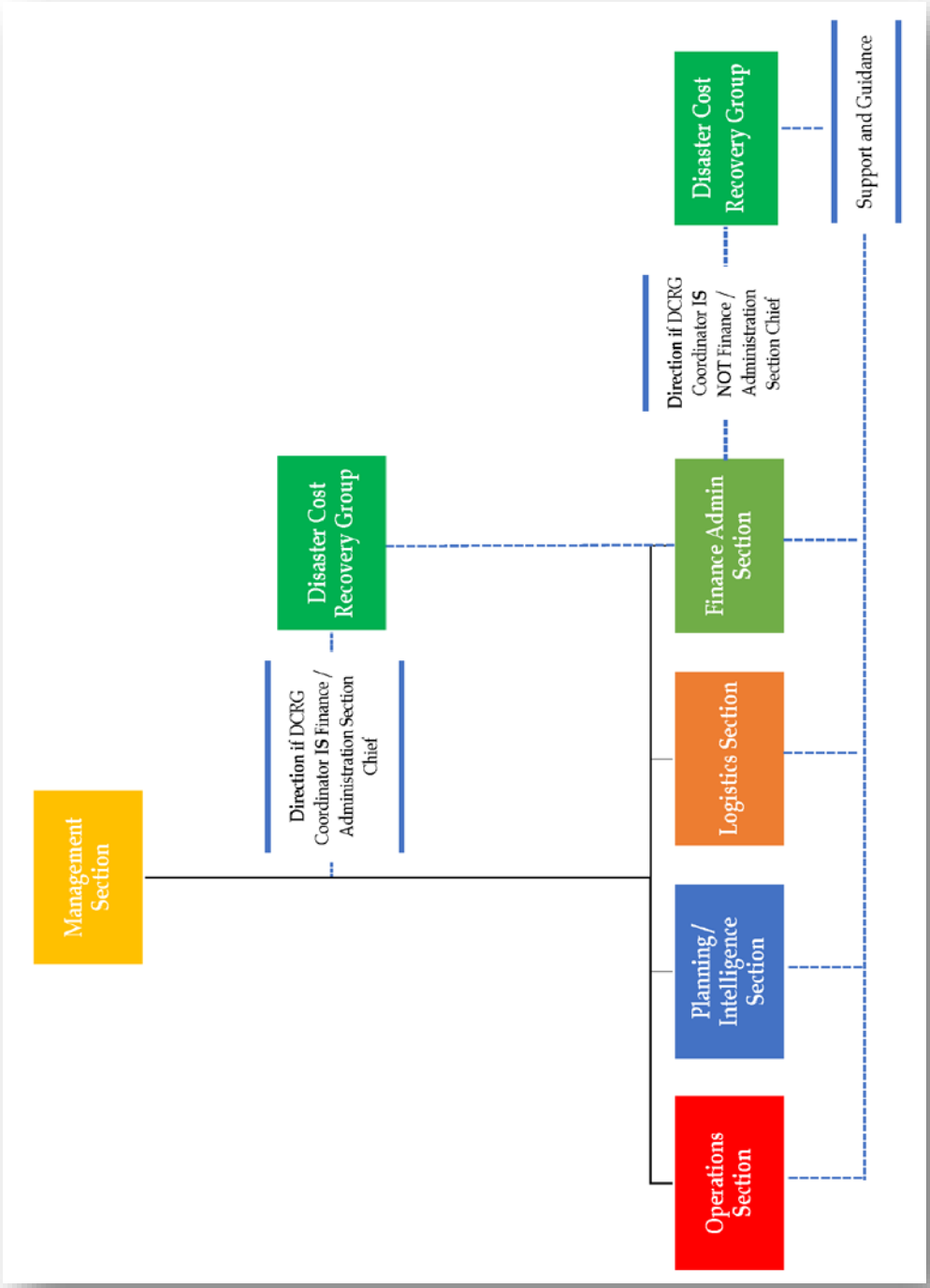
- **INTERACTION:** County EOC, County DCRG, County Operating Depts. Local Jurisdictions and Special Districts

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)
  - Contracts/Purchasing 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.

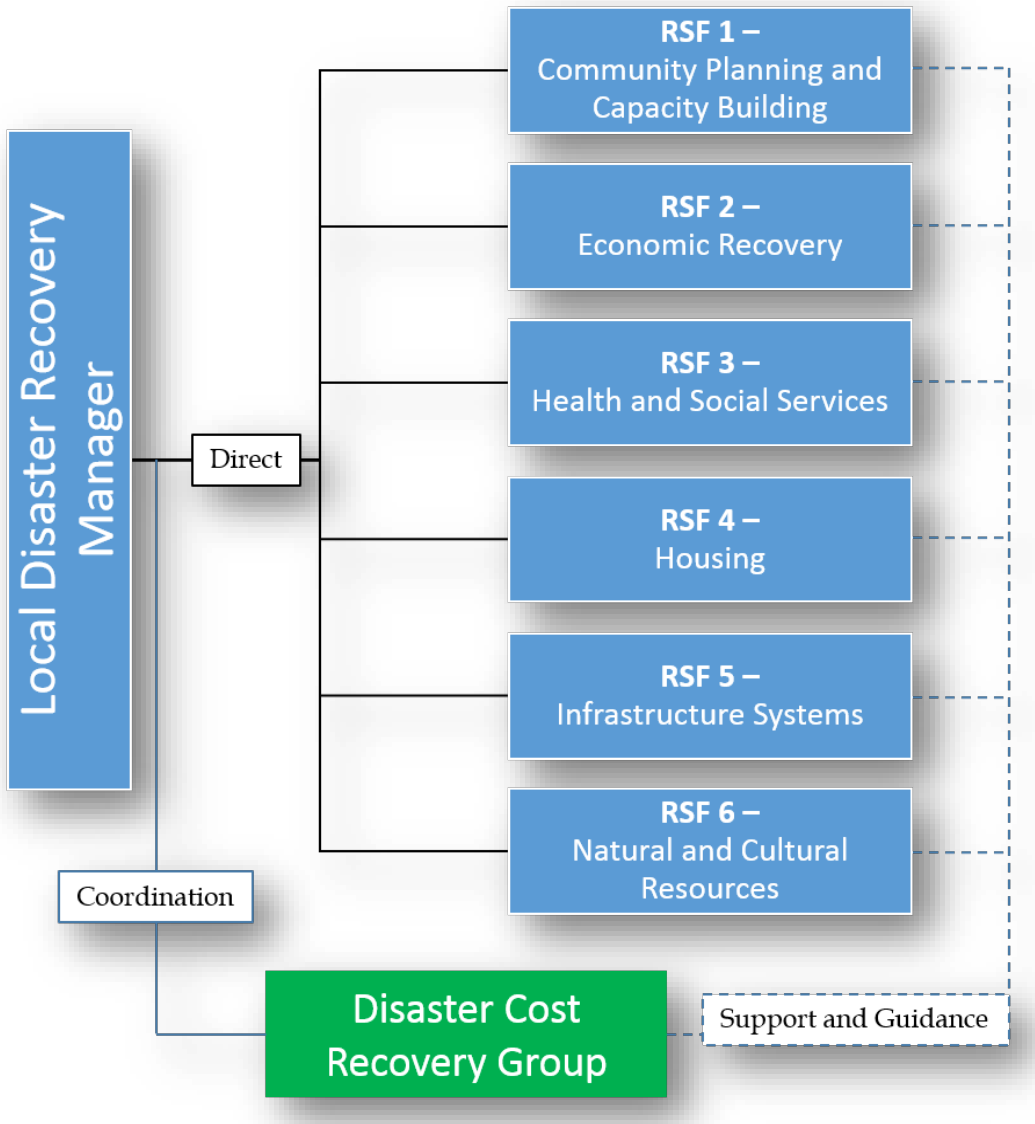
FIGURE 4 OPERATIONAL COORDINATION SCENARIO #2: EOC ACTIVATION AND DCRG, AS A PASS-THROUGH ENTITY



24.3.1 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.

FIGURE 5 OPERATIONAL COORDINATION SCENARIO #3: TRANSITION FROM RESPONSE TO RECOVERY



4.4 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 FEMA Recovery programs (Public Assistance and Individual 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 should submit 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.

[Page intentionally left blank.]

5. INFORMATION COLLECTION, ANALYSIS, AND DISSEMINATION

5.1 EMERGENCY CONTRACTS/PURCHASING POLICY

A need for emergency Contracts/Purchasing arises when a purchase is required to address an immediate threat to life-safety, public health, and/or improved property. Purchases should be made based on an open and competitive process to the extent feasible under the circumstances. Under emergency conditions sole source purchases may be made, but must be carefully documented using the Single/Sole Source approval process

> *RESOURCE: Appendix D: 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 and contract limit. Any "Time and Materials" contracts must be carefully monitored by Contracts/Purchasing staff or the operating department's purchasing staff, particularly when and where debris clearance work is concerned. It is useful to have pre-existing emergency contracts in place that have been preapproved.

PRE-EXISTING CONTRACTS SHOULD HAVE PRIOR APPROVAL IN WRITING BY FEMA FOR USE DURING AN EVENT. PRE-EXISTING CONTRACTS DO NOT ALLOW FOR COMPETITIVE BIDDING AT THE TIME OF THE EVENT, AND UNLESS APPROVED, MAY VIOLATE FEMA PROCUREMENT REQUIREMENTS, PUTTING THE COUNTY AT RISK OF BEING INELIGIBLE FOR FEDERAL FUNDING.

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 Contracts/Purchasing during the response phase of a disaster due to the need for rapid action. However, once the emergency response phase of the disaster is over, all permanent work – as well as any remaining Category A debris clearance work, must be done through sealed bid contract through the County's regular Contracts/Purchasing process, or if possible, through Job Order Contracting (JOC), even though the disaster necessitates the work. All permanent work which costs more than $3,500 and less than $150,000 must be procured with at least 3 fully documented quotations and comply with FEMA procurement regulations.

FEMA PROVIDES A STEP-BY-STEP PROCUREMENT CHECKLIST FOR NON-FEDERAL ENTITIES (NFES) TO ENSURE THAT ALL CONTRACTS ARE PROCURED IN COMPLIANCE WITH 2 CFR 200, AND FEMA GUIDELINES AND INTERPRETATIONS OF FEDERAL CODE.

RESOURCE: The guide is available on FEMA's Procurement Disaster Assistance Team (PDAT) website at: https://www.fema.gov/media-library-data/1479225376216-2bdb7d3ba1a512495c38535f12bad2c5/ChecklistforProcurementsAssociatedwithDisastersAFTERDec262014-NewUniformRules(11-14-16).pdf

1.1.1 PROCUREMENT

CONTRACTS

All contracts, except those made to immediately protect the public health or environment, must always be competitively bid or justified via a Sole Source approval process, or if possible, through Job Order Contracting (JOC), and must comply with all applicable Federal, State, and County Contracts/Purchasing 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.

SIX AFFIRMATIVE STEPS (FEMA REQUIREMENT)

For any agreement to be eligible for FEMA reimbursement, the NFE must take all necessary affirmative steps to assure that minority businesses, women's business enterprises, and labor area surplus firms are used when possible. The affirmative steps must include those set forth at 2 C.F.R. § 200.321(b) The FEMA procurement checklist provides a step by step guide for fulfilling the required six affirmative steps. The PDAT Supplemental Field Manual provides additional definitions and guidance under Chapter V, Section 6.

MICRO PURCHASES

Purchases with an aggregate cost of less than the micro-purchase threshold, as of October 2015, $3,500. An NFE may award micro-purchases without soliciting competitive quotations if the NFE considers the price to be fair and reasonable. To the extent practicable, a NFE must distribute micro-purchases equitably among qualified suppliers.

SMALL PURCHASES

2 CFR 200.320(b) provides the Federal procurement guidelines for contracts under the Small Purchase Threshold, currently set at $150,000. Procedures specific to FEMA are provided in the PDAT Supplemental Feld Manual Chapter V. The contracts should be fixed price or not to exceed cost-reimbursement contracts with assurances that the scope of work can be completed for less than the simplified acquisition threshold. The NFE must obtain price or rate quotations from at least three (3) vendors (PDAT Supplemental Feld Manual - Chapter V.2.e.ii.1; 2 C.F.R § 320.b) for the desired product of service, based upon the specifications defined by the end-user and communicated to the Contracts/Purchasing representative assigned to handle the task.

Vendors are given the opportunity to send pricing quotes for the same product or service by the deadline provided to them by the Contracts/Purchasing representative. The Contracts/Purchasing representative then evaluates each quote and conducts an equal comparison of the product or service offered and ultimately awards a contract a "Standard Purchase Order" or "Priority Purchase Order" based upon the lowest price.

A justification memo from the Contracts/Purchasing representative must accompany the subsequent Purchase Order to obtain full approval from the Director of Contracts/Purchasing. 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.

SEALED BIDS

A Sealed Bid is a formal method in which bids are publicly solicited. 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, within FEMA guidelines.

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 C/P requirements due to a potentially inappropriate price structure per FEMA interpretation.

> *RESOURCE: 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).*

SOLE SOURCE CONTRACTS/PURCHASING

In the event that only one vendor (or one specific type/brand of product or service) can satisfy a need, the Contracts/Purchasing Division 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 Sole Source Justification Form.The designated Contracts/Purchasing representative then verifies the operating department's claim thoroughly via a third-party verification method or benchmark research and authors a justification for Contracts/Purchasing leadership to review and approve. During an emergency, the need for immediate procurement of goods and services is given as a reason for a sole source justification.

The argument is made that because of the emergency nature of the work to be done or goods required, competitive procedures should be bypassed, and an award should be made to one vendor who is ready to provide the goods/services. This need for immediate use of a contractor falls under the category of a "Public Exigency or Emergency" (2 CFR 200.320.f.2). The following definitions come directly from the PDAT Supplemental Field Manual:

FEMA defines an "exigency" as something that is necessary in a particular situation that requires or demands immediate aid or action. In these cases, the NFE would be seriously injured unless it performed the procurement in a noncompetitive manner.

FEMA defines an "emergency" as an unexpected and unusually dangerous situation that calls for immediate action or an urgent need for assistance or relief. One of the key distinctions between an "emergency" and an "exigency" is that an emergency will typically involve a threat to life, public health or safety, improved property, and/or some other form of dangerous situation, whereas an exigency is not necessarily so limited.

It is critical that the exigent or emergency exception be avoided in all but the most extreme circumstances. Use of the public exigency or emergency exception is only permissible during the actual exigent or emergency circumstances. Once the exigent or emergency circumstances cease to exist, the NFE is expected to transition to a more appropriate method of contracting

using full and open competition.

This is one of the most common findings during audits, resulting in frequent recommendations to de-obligate or disallow all or a portion of incurred costs. If the Sole Source is verified and approved, an Agreement may be awarded to that vendor following pricing and legal negotiations of terms and conditions.

2.1.1 FEDERALLY ACCEPTABLE CONTRACT TYPES

FEMA accepts four methods of Contracts/Purchasing:

1. **LUMP SUM CONTRACTS** – for work within a prescribed boundary with a clearly defined scope and total price.

   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 quantifies 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 sometimes acceptable, it SHOULD BE AVOIDED. These are allowable in the moments immediately following a disaster and when a clear scope of work cannot be developed. Requirements are provided in 2 CFR 200.218.j.
   - 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

COST PLUS PERCENTAGE OF COST CONTRACTS ARE NOT REIMBURSABLE.

3.1.1 MANDATORY CONTRACT LANGUAGE

All contracts identified with FEMA funds must include applicable provisions as described in Appendix II to the Uniform Rules (Contract Provisions for NFE Contracts Under Federal Awards). Each provision includes a description to identify when it is applicable. Additional guidance on provisions is available in the PDAT Supplemental Field Manual under Chapter IV, Section 12.

4.1.1 EMERGENCY COUNTY P-CARD (EMERGENCY CREDIT CARD)

The Contracts/Purchasing Officer 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 2.32.040) of the County Ordinance Code. In cases, involving the immediate threats to life-safety, public health, or improved property, staff assigned to the Emergency Operations Center can obtain after-the-fact approval for exceptions. It should be noted that FEMA guidelines do not allow for the addition of FEMA required contract provisions after-the-fact. Use of a P-Card to procure goods or services, even in an exigent or emergency situation, may jeopardize eligibility for FEMA funding. Documentation for all transactions must follow the guidelines, as established by this Plan, and implemented by the Disaster Cost Recovery Group Coordinator.

EMERGENCY FUNDS

In addition to the Emergency P-Card, emergency funds 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 funds are held by the Treasurer for use only when the County's Accounting system (FIN) and/or digital transfer capability is inoperative. To document transactions, journal entries must be made with emergency fund receipts for all expenditures. (All documentation can be saved in Web EOC). Emergency fund 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.

> *RESOURCE: For information related to the P-Card Policy, please reference the County of Monterey P-Card Policy Manual.*

5.2 DISASTER ACCOUNTING POLICY

5.2.1 MAJOR PROGRAM CODE (MPC)

A Major Program Code (MPC) is requested by the Finance Section of the EOC and established by the Auditor-Controller's Office (ACO) 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 Financial System (FIN) or the County's Time Tracking System (ESS) and coded to the applicable fund, organization unit, appropriation unit, and MPC, 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.

> **SUPPORTING DOCUMENTATION FOR PROJECTS IS TO BE MAINTAINED FOR AT LEAST 3 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. ADDITIONAL RETENTION WILL FOLLOW EXISTING COUNTY RETENTION POLICIES. WHEN IN DOUBT, DON'T THROW IT OUT!**

6.2.1 EMERGENCY PAYROLL

The Auditor-Controller 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. The DCRG Coordinator will work with the Payroll Division and the County Timekeepers to help ensure all employee time spent in preparation for, response to, and/or recovery from an emergency or natural disaster is properly recorded in the County timekeeping system to maximize any reimbursement that the County may be entitled via State and Federal assistance and relief programs.
3. It is highly recommended for all employees to utilize direct deposit to ensure payroll fund transfer, specifically, in case of an emergency.

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

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

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

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. Use of Web EOC for this purpose is recommended.

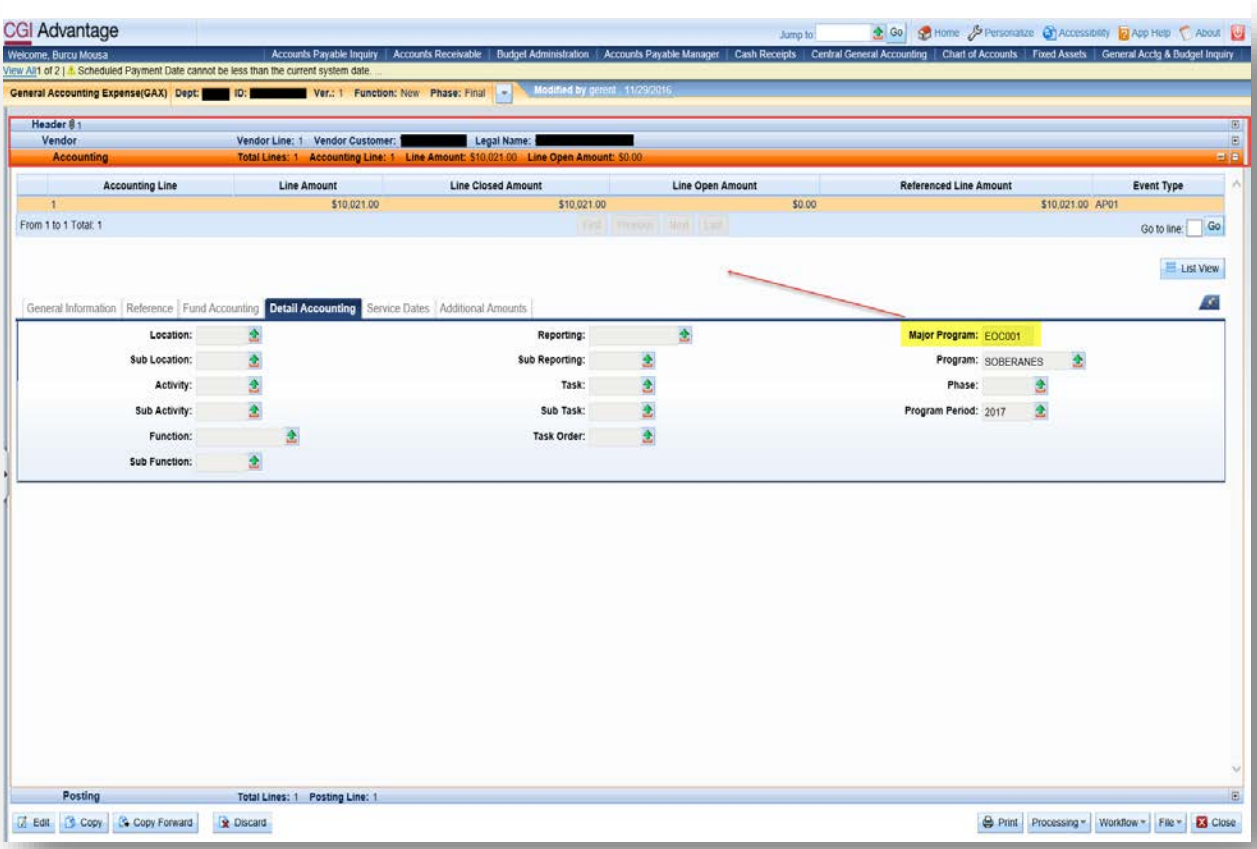
It is not enough for County employees to clock-in and –out for time worked in preparation for, response to, or recovery from an emergency or natural disaster. To fulfill State and Federal requirements, departments must also maintain detailed logs of hours worked (ICS 214) for all employees performing disaster-related duties. The hours logged and submitted for reimbursement on timesheets must coincide with the hours reported on the 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.

7.2.1 PAYROLL

1. The Payroll Division will:
    a. Disseminate any special payroll processing instructions, such as: special pay codes
    b. All supervisors are required to review and approve staff time-records, as appropriate
2. If County payroll employees are unable to access their work stations due to inaccessibility of the Administrative building, payroll employees are to assemble at the ITD Center located at 1590 Moffet St. Salinas, CA. 93905 for use of the computer lab located in that facility. The Payroll Unit will follow the same action as item 1 above.
3. If County Network Systems ARE NOT functional, in accordance with the county established continuity of operations and government plan 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 for employees utilizing direct deposit
    b. Disseminate special instructions, such as timesheets, to document reconciliations post-event
    c. Cash advances could be issued if all systems are non-functional

FIGURE 6 FIN – COUNTY'S ACCOUNTING SYSTEM



8.2.1 FUNDS MANAGEMENT

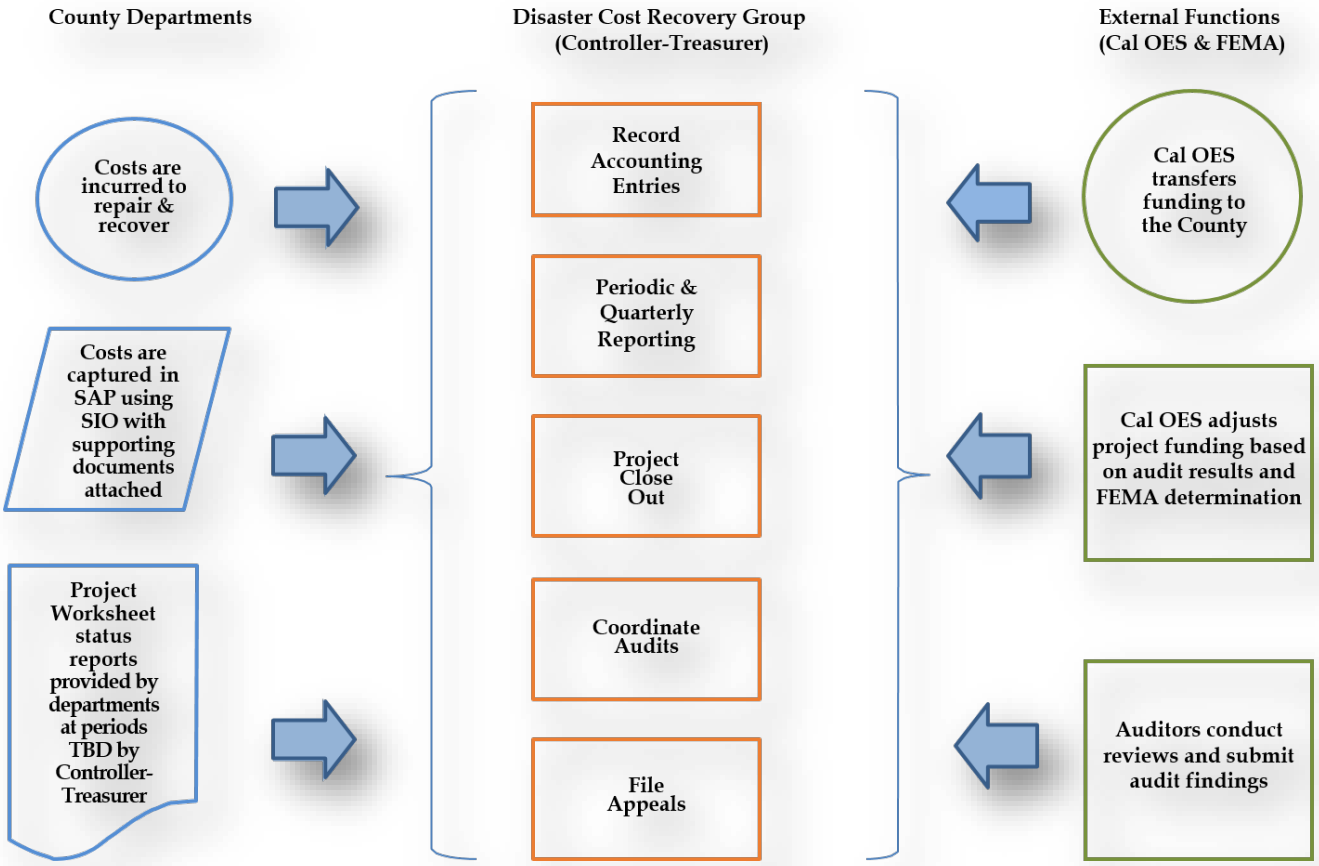
Eligible costs are typically reimbursed by FEMA and Cal OES based on percentages which determine the Federal and State share. The remaining portion or percentage is paid by the County (usually Federal = 75%, State = 18.75%, and County = 6.25%).

The Disaster Cost Recovery Group will:

- Apply for State Public Assistance (CDAA) 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.

FIGURE 7 COUNTY OF MONTEREY FUNDS MANAGEMENT



INSURANCE CLAIM 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 set up by the ACO and managed by the BAD.

> **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.**

5.3 DOCUMENTATION REQUIREMENTS

9.3.1 CONTRACT DOCUMENTATION

The documentation required by County's Contracts/Purchasing Division includes, but are 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**

> *RESOURCE: The Contract Folder Checklist can be found in Attachment 1.*

10.3.1 OVERVIEW OF DAMAGE DOCUMENTATION

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**
2. **LOCATION OF DAMAGES, INCLUDING AN ADDRESS AND INSURANCE POLICY NUMBER**
3. **DAMAGE ESTIMATES, INCLUDING:**
   - The building and all permanently installed fixtures and machinery
   - Contents (i.e., furniture, fixtures, supplies, and computers, etc.) for all County departments
4. **DAMAGE DOCUMENTATION, INCLUDING**:
   - Emergency repairs
   - Permanent repairs
   - Photographs of damage, upon discovery

5. **DAMAGE INSPECTIONS**
    - Remember, there are multiple inspections for a variety of purposes
6. **DESCRIPTION OF DAMAGED VEHICLES AND DESIGNATE A VEHICLE CONTACT PERSON**
7. **INITIAL INSURANCE CLAIM**
8. **REQUEST FOR STATE AND/OR FEDERAL DISASTER ASSISTANCE WITH FILING DEADLINES**
9. **MOBILIZATION OF RESOURCES**

11.3.1 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 (A-G). This grouping structure is illustrated in the chart below:

12.3.1 TYPE	13.3.1 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 cost 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, the State may request FEMA technical experts to estimate work and cost.

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 and protect public health and safety. 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 in addition to an "Alternate Procedures "agreement that may be available.

- **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.

> *RESOURCE: 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: https://www.fema.gov/media-library/assets/documents/11178143T*

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 if 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 County EOC Reference Library 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.

> *RESOURCE: Additional information related to leased equipment can be found in Chapter 2, Section V (C) of the Public Assistance Program and Policy Guide : 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.

> *RESOURCE: Additional information related to supplies and materials can be found in Chapter 2, Section V (D) of the Public Assistance Program and Policy; 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 Contracts/Purchasing methods and contract requirements are generally not reviewed during damage assessments, potential applicants should note that complying with Contracts/Purchasing standards and contract requirements are conditions for receiving Public Assistance funding**.**

> **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.

> *RESOURCE: Additional information related to Federal Contracts/Purchasing and contracting requirements can be found in Chapter 2, Section V (G) of the Public Assistance Program and Policy Guide: 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.

> *RESOURCE: 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: 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 focus 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 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 the 5 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.

> *RESOURCE: Additional information related to codes and standard can be found in Chapter 2 Section VII (C) of the Public Assistance Program and Policy Guide: 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. It is advisable to have County Engineers provide their assessment to FEMA to assist with this determination.

> *RESOURCE: Additional information regarding landslide and slope stabilization work can be found in Chapter 2, Section VII (H)(6) located in the County EOC Reference Library 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**
- **PRE-EXISTING DAMAGE**
- **DAMAGE COVERED BY OTHER MEANS; I.E. INSURANCE, FHWA ROADS, ETC.**

14.3.1 DOCUMENTATION FOR EACH CATEGORY OF WORK

As discussed previously, FEMA divides work into 7 categories (A-G). Each category of work has specific considerations and policies that should be considered 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.

5.4 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 LIVES, PUBLIC HEALTH, AND SAFETY
- 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
- CONTAMINATED DEBRIS

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 = $12cy (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

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

> **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 limbs, trees, 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 improved 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 5-year flood. Removal of debris in a waterway that does not meet these immediate threat criteria 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.

> *RESOURCE: Additional information can be found in Chapter 2, Section VII (H)(2) of the Public Assistance Program and Policy Guide: 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 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 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 respond appropriately to ensure that disposal sites and methods comply with applicable laws and regulations. This particularly important when debris removal operations may impact:

- **WATERWAYS**
- **FLOODPLAINS**
- **WETLANDS**
- **FEDERALLY LISTED THREATEN 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.

> *RESOURCE: Additional information related to debris removal can be found in Chapter 2, Section VI (A) of the Public Assistance Program and Policy Guide: https://www.fema.gov/media-library/assets/documents/111781*

5.5 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 (Damage Assessments not eligible)**
- **Search and rescue**
- **Fire fighting**

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

- Security, such as barricades, fencing, or law enforcement
- Use or lease of temporary generators for facilities that provide essential 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
- Mold remediation
- Removal and storage of contents from facilities that meet program requirements for 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.

> 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.

> *RESOURCE: Additional information related to emergency protective measures can be found in Chapter 2, Section III of the Public Assistance Program and Policy Guide: https://www.fema.gov/media-library/assets/documents/111781*

5.6 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
- DRAINAGE STRUCTURES, SUCH AS CULVERTS
- LOW WATER CROSSINGS
- ASSOCIATED FACILITIES, SUCH AS LIGHTING, SIDEWALKS, GUARDRAILS, AND SIGNS

Example of Documentation Requirement Category C – Roads and Bridges

Elkhorn Bridge Washout

- 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 $240/sqft = $460,800; engineering (15%) = $69, 120; geotechnical (1.5%) = $6,912

Total estimated cost = $536,832

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.

> *RESOURCE: 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: https://www.fema.gov/media-library/assets/documents/111781*

5.7 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 DECRIES BASINS
- STORM WATER RETENTION AND DETENTION BASIS
- COASTAL SHORELINE PROTECTIVE DEVICES
- IRRIGATION FACILITIES
- PUMPING FACILITIES
- NAVIGATIONAL WATERWAYS AND SHIPPING CHANNELS

Example of Documentation Requirement Category D – Water Control Facilities

Salinas River Diversion Facility

- 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 x (300ft x 200ft x1.5ft) x (1cy/27 cubic ft.) x $20/cy = $53,333

Total estimated cost = $53,333

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

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.

> *RESOURCE: 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: https://www.fema.gov/media-library/assets/documents/1117814*

5.8 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.

Example of Documentation Requirement Category E – Buildings and Equipment

Government Center – 168 W. Alisal St

- 3 stories = 120ft x 100ft
- Built 1998
- 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

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 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). Specific policy guidance related to the restoration of files, research-related contents, animals, irreplaceable collections and individual objects, and library books and publications, and information related to the restoration of damaged public buildings and equipment can be found in Chapter 2, Section VII (H)(2) and Section VII (H)(3) of the Public Assistance Program and Policy Guide located in the County EOC Reference Library or at https://www.fema.gov/media-library/assets/documents/111781

5.9 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

Chualar Sanitation District

- 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.

> **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 IF SHUT DOWN.**

> *RESOURCE: 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: https://www.fema.gov/media-library/assets/documents/111781.*

5.10 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

Royal Oaks 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.

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 OTHER POTENTIAL RESTORATION WORK THAT MAY HAVE ENVIRONMENTAL OR HISTORIC PRESERVATION REQUIREMENTS EARLY TO AVOID JEOPARDIZING FEDERAL FUNDING SHOULD A DISASTER BE DECLARED.

RESOURCE: 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: https://www.fema.gov/media-library/assets/documents/111781.

5.11 COMPLIANCE

15.11.1 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 FIN. Costs by project are reported by each department to Disaster Cost Recovery Group. Total Costs reported should be reconciled to FIN 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 received final been made on the various projects. 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

16.11.1 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 (Cal OES Form 4a found in Attachment 2) serve as notification to Cal OES that the project is complete and ready for audit. (OES will initiate this form and forward to ACO).

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**

17.11.1 RECORD KEEPING

Upon completion of the CDAA Form 4a, the operating department will transfer all documentation to the Auditor-Controller. 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 the documentation pertaining to a project should be filed with the corresponding Project Worksheet and maintained by the Auditor-Controller, 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 3 YEARS AFTER THE DATE THAT THE AUDIT WAIVER LETTER 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.

18.11.1 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 the FEMA, Office of Inspector General, and State auditors for items not covered by the Single Audit Act.

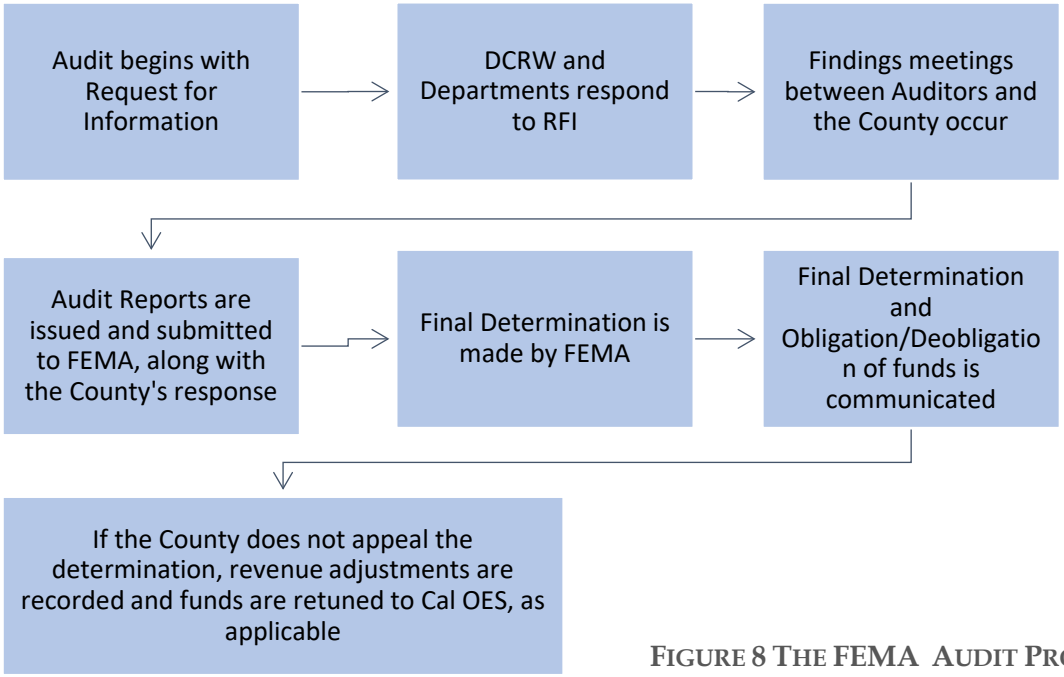


FIGURE 8 THE FEMA AUDIT PROCESS

The County may be audited by all or 1 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 Auditor-Controller. 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 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.

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.

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.

6. 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.

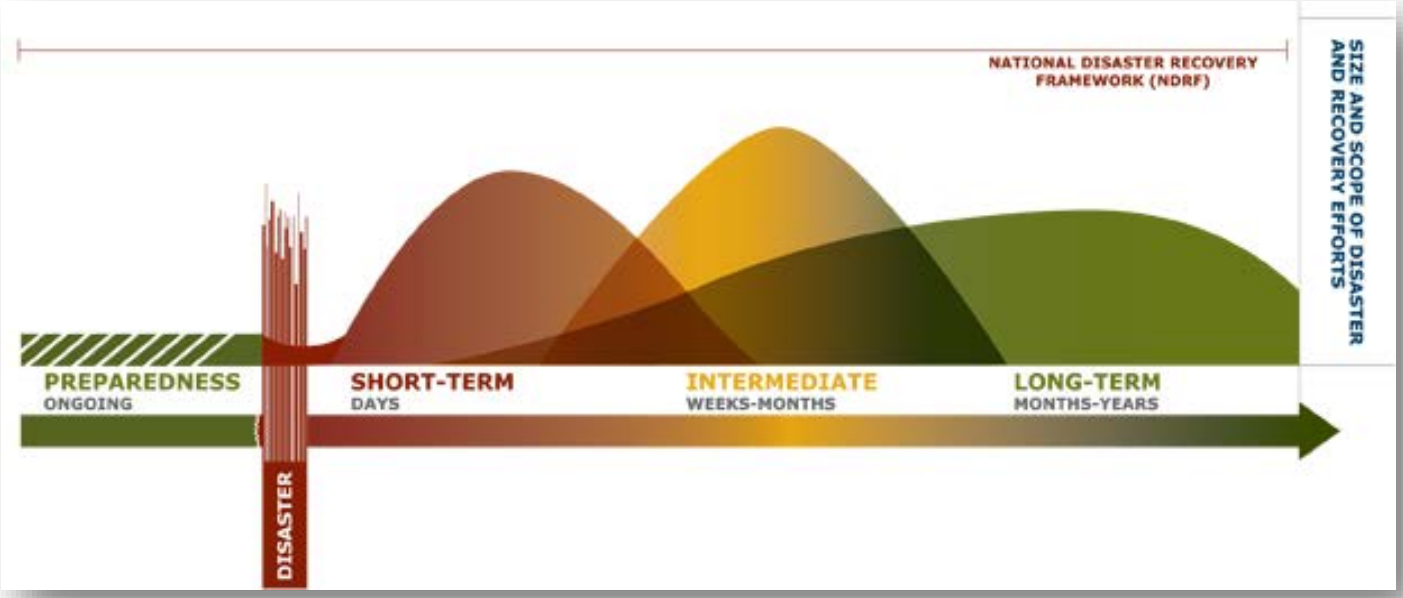
RECOVERY ACTIVITIES BEGIN QUITE SOON AFTER A MAJOR INCIDENT OCCURS AND THEY FREQUENTLY OVERLAY WITH RESPONSE ACTIVITIES. AT SOME POINT IN THE RESPONSE TO A DISASTER, THE EMPHASIS OF THE ACTIVITIES SHIFTS FROM RESPONSE TO RECOVERY AS THE REQUIREMENT TO SAVE LIVES, PROTECT PROPERTY, AND PROTECT PUBLIC AND SAFETY DIMINISHES.

In accordance with the Monterey 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.

> **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.**

6.1 RECOVERY FRAMEWORK AND ACTIVITIES

The County's 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.



1.1.1 SHOR T-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 infrastructures, 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 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.

2.1.1 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**

3.1.1 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**

6.2 DEPARTMENTAL FINANCING PROCESS

As the operational tempo shifts from response to recovery, and the EOC is deactivated, the Assistant County Administrative Officer for the EOC will work with impacted departments to assess additional budgetary requirements and provide analysis of needs and financing options for consideration by the Board. Such reporting should take place as early as feasible within the fiscal year. The CAO and Budget & Analysis Division should be included in discussions and consulted on potential countywide financing options.

> **REPAIRS 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 4-digit Disaster Declaration Number to correspond to the disaster. There will be 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 5-digit Reference Number that should not encompass more than one department.

> **ONE DEPARTMENT MAY 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 request for set up from ACO, a Program Code (PC) in the County's accounting system (FIN). The PC should relate to each separate Project Worksheet Number and the Disaster Declaration Number. The PC must be concurrently used with the associated MPC that has been previously setup.

As indicated in the MPC section, the ACO will create a major program code associated with the Disaster. The standing Natural Disaster Program Fund will be used to account for the disaster cost recovery (Fund 001, Sub-Fund NDPF) relating to each Disaster and Disaster Declaration Number. When reimbursements arrive, the deposits will be deposited into the Natural Disaster Program Fund, with the PC and MPC annotated in FIN.

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 Assistant County Administrative Officer for OES will work with impacted departments to assess and prioritize program needs, work with the Budget & Analysis Division to identify options for financing those needs and prepare a report of findings and recommendations for consideration by the Budget Committee and Board of Supervisors.

Funding strategies will take into consideration the timing and level of federal and state financial participation in recovery efforts. These funds are to be tracked in separately using PC in FIN 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, operating departments will submit budget requests as part of the annual budget process to secure funding for subsequent years. When an operating department completes work associated with a given Project Worksheet, they will submit a claim with complete supporting documentation to the Auditor-Controller, pending additional BOS approval, for reimbursement from the Disaster Cost Recovery Fund.

Once the accounting staff of the Auditor-Controller 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 “Transfer In and Transfer Out” in FIN. (**NOTE:** Funding returned to Departments may be dependent on reimbursements received from CDAA or FEMA and may be delayed after the Department has requested a fund transfer).

When a department has completed all work associated with a given project worksheet, they will coordinate with to” close out” a 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 3-years from the date of the Audit Waiver Letter for possible audit by State or Federal agencies.

AFTER THE REQUIRED MINIMUM 3-YEAR PERIOD THE AUDITOR-CONTROLLER MAY DESTROY ALL ASSOCIATED DOCUMENTATION.

6.3 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.

4.3.1 INSURANCE POLICY – COUNTY OF MONTEREY

As previously stated, the Disaster Cost Recovery Group is activated to determine the extent of disaster-related damage and to recommend appropriate actions. The County's County Counsel and Risk Department 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, if appropriate, in accordance with policies and procedures established by the County Counsel and Risk Department. 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.

> **CAL OES AND/OR FEMA SHOULD BE NOTIFIED OF ANY INSURANCE SETTLEMENT TO PREVENT DUPLICATION OF BENEFITS. (IN ADDITION TO PUBLIC STATEMENT OF SELF-INSURANCE)**

5.3.1 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**

> *RESOURCE: 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.*

6.3.1 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.

> *RESOURCE: It is recommended that County response and recovery personnel reference FEMA's Public Assistance Program and Policy Guide: https://www.fema.gov/public-assistance-policy-and-guidance.*

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 2 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.

7.3.1 FEMA PUBLIC ASSISTANCE VS CALIFORNIA DISASTER ASSISTANCE COMPARISON

Issue	State - CDAA		Federal Declaration	
	Governor's Proclamation	**Director's Concurrence**	**FEMA**	**CDAA (Cost Share)**
Application Deadline	60 days from local emergency date	60 days from local emergency date	30 days from the declaration date	
Emergency Work	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
Permanent Work	Eligible	Eligible	Eligible	Straight Cost Share
Completion Deadlines (Emergency Work)	6 months	NA	6 months	
Completion Deadlines (Permanent Work)	18 months	18 months	18 months	
Cost Share with Other Federal Agencies (i.e., National Resources Conservation Service, U.S. Army Corps of Engineers)	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
Appeals (1st and 2nd)	NA	NA	Applicant must submit request within 60 days from receipt of determination	
Fair Hearing Request (1st and 2nd)	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
Net Small Project Overrun (NSPO) Appeal (1st and 2nd)	NA	NA	Applicant must submit request within 60 days of completion of last small project	NA
Application Closeout Deadline	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: CDAA: Sections 8685-8587.8 Title 19 CCR, Sections 2970, 2980, and 2990				

6.4 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.

8.4.1 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 5 businesses and/or the residents of 25 private dwellings can demonstrate hardship due to a disaster to qualify for a disaster loan.

> *RESOURCE: For information about FEMA's Individual Disaster Assistance visit (https://www.fema.gov/individual-disaster-assistance)*

9.4.1 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 is considered; however, emergency repairs and permanent restoration of Federal-aid routes is 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.

> *RESOURCE: For additional information regarding the Federal Highway Administration – Emergency Relief Program reference the Emergency Relief Manual (Federal-Aid Highways, adopted May 31, 2013): https://www.fhwa.dot.gov/programadmin/erelief.cfm.*

10.4.1 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 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.

11.4.1 ELIGIBLE PRIVATE NONPROFIT (PNP) APPLICANTS

Following a Major Disaster Declaration, the Small Business Administration (SBA) can provide disaster loans to individuals and businesses. 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.

12.4.1 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 aided with the debris removal. FEMA and NRCS should coordinate during damage assessments 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 sufficient funding or do not provide assistance (MCWRA has this responsibility locally).

13.4.1 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.

14.4.1 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. (RMA and Environmental Health will coordinate the local response).

6.5 INSURANCE CLAIM REIMBURSEMENT PROCESS

The County of Monterey OES will:

- Submit requests to FEMA/Cal OES for claim reimbursements on small Projects authorized amounts for the small projects written by the County or Cal 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
- Assist ACO to track, manage and coordinate the appeal process on disapproved or de-obligated project worksheets
- Coordinate final FEMA/Cal OES inspection and project closeout
- Manage and file project worksheet authorized amounts, costs and supporting documents from departments, FEMA/Cal OES payments received and distributed.
- The County of Monterey Auditor/Controller will:
- Coordinate with OES, County Counsel and Risk, Budget and Analysis Division, and FEMA/Cal OES for providing supplemental documentation as requested by FEMA/Cal OES
- Assist OES to track, manage and coordinate the appeal process on disapproved or de-obligated project worksheets
- Assist OES to files supplemental requests for additional project funding when costs exceed approved project worksheet funding
- Prepare periodic schedules comparing paid claim amounts and those submitted for FEMA/Cal OES reimbursements
- Assist OES to coordinate final FEMA/Cal OES inspection and project closeout

- Submits application for and distributes final claim reimbursements
- Files and retains claim supporting documentation and coordinates with County Counsel and Risk and departments as necessary during the eventual final inspection and audit of claim reimbursement amounts received by the County
- The County of Monterey Budget and Analysis Division will:
- Participate in the management of disaster claims together with County Counsel and the Auditor/Controller Office
- Provide comparison schedules to OES and County Counsel and Risk
- Participate in claim status meetings with OES, County Counsel and Risk
- The County of Monterey County Counsel and Risk will:
- Track insurance payments for each separate project worksheet and advise Cal OES/FEMA when insurance payments are received against each project
- Maintain a running log of the status of insurance payments (paid in full, partial payments received, in negotiations, in litigation, etc.) for each project
- • Assist ACO to prepare periodic schedules comparing paid claim amounts and those submitted for FEMA/Cal OES reimbursements
- Maintain a current list of all County properties, including both insured and uninsured facilities

THE SCHEDULE OF INSURED PROPERTY IS USED TO IDENTIFY INSURED PROPERTIES TO ASSIST IN ASSESSMENT OF IMPACT(S) TO COUNTY IS MAINTAIN IN THE COUNTY EOC REFERENCE LIBRARY AND WITH COUNTY RISK MANAGEMENT.

When the DCRG has been activated to manage all cost recovery, the above functions will be performed by members of the DCRG. It is the goal of the Monterey County EOC to activate the DCRG, for cost recovery management, whenever significant damage has occurred in the County due to an emergency or disaster.

6.6 CALIFORNIA DISASTER ASSISTANCE ACT (CDAA) PROJECT DEVELOPMENT PROCESS

15.6.1 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.

16.6.1 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.

17.6.1 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 submittal on time.

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.

CAL OES FORM 130 MUST BE UPDATED EVERY 3 YEARS – FUNDING WILL BE NOT BE MADE AVAILABLE UNTIL THE JURISDICTION IS COMPLIANT WITH THIS REQUIREMENT.

RESOURCE: State Disaster Cost Recovery Forms can be found in Appendix D and Attachment 2.

18.6.1 CDAA – KICK-OFF 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 4-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 WORKSHEETS (PW)**
2. **REVIEW AND ANALYZE THE INITIAL DOCUMENTATION**
3. **ESTABLISH COURSE OF ACTION FOR RECOVERY**

IF AGREEMENT IS NOT REACHED, REBUTTAL PROVISIONS OF THE CDAA ARE EMPLOYED.

19.6.1 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 PW 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.

20.6.1 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, (avoid if possible), the work that has been completed should be tracked and reported separately from the work remaining to be done.

21.6.1 COST ESTIMATE

Funding will be approved based on 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 but must include a limit)
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.

22.6.1 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 CONTRACTS/PURCHASING, BUILDING CODE, AND LABOR LAWS**

23.6.1 OBLIGATION OF FUNDS AND REQUIRED DOCUMENTATION FOR PAYMENT

The County must have file Cal OES Form 130 (Designation of Applicant's 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.

6.7 FEDERAL PUBLIC ASSISTANCE – PROJECT DEVELOPMENT PROCESS

24.7.1 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 1 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 CONTRACTS/PURCHASING STANDARDS

25.7.1 FEDERAL PUBLIC ASSISTANCE – REQUEST FOR PUBLIC ASSISTANCE

The Request for Public Assistance (FEMA Form 90-49), is the Applicant's official notification to FEMA if 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.

> **THE APPLICANT NEED NOT WAIT UNTIL ALL DAMAGE IS IDENTIFIED BEFORE REQUESTING ASSISTANCE.**

26.7.1 FEDERAL PUBLIC ASSISTANCE – KICK-OFF MEETING

The first meeting between the Applicant (represented by the Disaster Cost Recovery Group), FEMA, and Cal OES is called the Kick-Off 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**

> *RESOURCE: State disaster assistance forms can be found in Attachment 2 and Federal disaster assistance forms can be found in Attachment 3.*

27.7.1 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 Kick-Off Meeting, buy may continue after that initial meeting, as additional damages are identified.

> **APPLICANTS HAVE 60 DAYS FOLLOWING THE KICK-OFF MEETING TO IDENTIFY DAMAGES AND SUBMIT PROJECT INFORMATION.**

Following the Kick-Off 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 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.

> **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 $123,100**
- **LARGE PROJECT = $123,100 AND OVER**

> **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.**

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 4 or more months to reach 90% completion.

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 are:

- **REASONABLE AND NECESSARY TO ACCOMPLISH THE WORK**
- **COMPLIANT WITH FEDERAL, STATE, AND LOCAL CONTRACTS/PURCHASING 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 2 Federal sources to repair the same disaster damage. The Stafford Act prohibit such a duplication of benefits. Funds made available through the California Disaster Assistance Act (CDAA) ARE NOT considered a duplication of Federal funding. Insurance proceeds, donated grants from banks, private organizations, trust funds, and contingency funds MUST be evaluated individually to determine whether they constitute a duplication of benefits.

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

28.7.1 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)**

> *RESOURCE: Federal Disaster Cost Recovery forms can be found in Attachment 3.*

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 and work is completed, the Applicant periodically requests funds from Cal OES to meet expenses that have been incurred or that are expected. 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, ASAP, 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.

29.7.1 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.

> *RESOURCE: Federal Disaster Cost Recovery forms can be found in Attachment 3.*

6.8 COST RECOVERY ORGANIZATION

All efforts to recovery costs from an emergency or disaster, whether from State or Federal assistance, should be managed by the Disaster Cost Recovery Group. The group, formed during the emergency in the EOC, should begin the recovery process immediately. Coordination between Operations, Logistics, and Finance is essential. Tracking any disaster damage or losses and documenting appropriate information for claims to the State or FEMA is required. It is critical that the DCRG members are involved from the beginning of the recovery process through the end, ultimately preparing for the project close out and an Inspector General audit. It is also important that the DCRG have a lead member during all phases of the process to provide organization, coordination, and transition through the various stages of recovery. It is recommended that minimum membership of the DCRG is comprised of members representing OES, Auditor-Controller, Budget and Analysis Division, and RMA.

6.9 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.

> **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 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 is some category 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**
- **Contractor credits or refunds**
- **Disposition of equipment**
- **Salvageable materials**
- **Other funds received**
- **Total non-Federal funds received**

APPENDIX A | GLOSSARY

DISCUSSIONS AROUND FEDERAL, STATE, AND COUNTY GOVERNMENT – NOT TO MENTION THE ENTIRE FIELD OF EMERGENCY MANAGEMENT – ARE REPLETE WITH JARGON AND ACRONYMS. TO MAKE THIS PLANNING DOCUMENT USEFUL TO A 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, TERMS THAT WOULD BE REPEATED TOO OFTEN IF SPELLED OUT THROUGHOUT THE DOCUMENT FOR WHICH JARGON OR ACRONYMS ARE INCLUDED.

COMMONPLACE TERMS

TERM	DEFINITION
DCRW	Disaster Cost Recovery Work Group
DCRG	Disaster Cost Recovery Group (DCRG after final plan is approved)
"Disaster Plan"	Short-form name for the Disaster Cost Recovery Functional Plan to the County of Monterey Emergency Operations Plan
"Plan"	Synonym for " Disaster Plan" indicating that it is is a component of a larger Plan, in this case, the Disaster Cost Recovery Plan (or Plan) is a functional Plan to the County of Monterey Emergency Operations Plan.

TERM	DEFINITION
OES	County of Monterey Office of Emergency Services
CalOES	California Office of Emergency Services
EOC	County of Monterey Emergency Operations Center
FEMA	Federal Emergency Management Agency
RMA	Resource Management Agency (Public Works, Planning/Bldg Services, Environmental Services, County Parks)
ADV	County Accounting System (Advantage)
P-Card	Procument Card (Authorized County 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 Work Group” (DCRW), “Disaster Plan”, and “the Plan” are used throughout this document. Be advised that this document is considered to be “the Disaster Plan” or “the Plan” which in its long-form name is “Disaster Cost Recovery Plan, an annex to the County of Monterey Emergency Operations Plan.” DCRW, a term specific to the County of Monterey, is the multi-departmental working group that shepherds information and documentation from the actual disaster through to the recovery cost claiming process with FEMA and Cal OES. DCRW and DCRG are terms that will be used interchangable during the functioning of this Plan.

ACRONYMS

ACRONYM	MEANING
FIN	Advantage Financials 3.10 Accounting System
ACO	Auditor/Controller, County of Monterey
ADV	Systems, Applications, and Products – Software Solutions
AFN	Access and Functional Needs
ATC-20	Applied Technology Council – 20
BAD	Budget/Analysis Division, County of Monterey
BOS	Board of Supervisors, County of Monterey
Cal OES	California Governor's Office of Emergency Services
CAO	County Administrative Officer Office, County of Monterey
CBO	Community-Based Organization
CCO	Office of County Counsel, County of Monterey
CDAA	California Disaster Assistance Act
CEF	Cost Estimating Format
COP	Common Operating Picture
County	County of Monterey
CPD	Contracts/Purchasing Division, County of Monterey
CPRA	California Public Records Act
DCRG	Disaster Cost Recovery Work Group, County of Monterey
DCRW	Disaster Cost Recovery Group
DR	Major Disaster Declaration
EM	Emergency Management
EOC	Emergency Operations Center
EOP	County of Monterey Emergency Operations Plan
EP	Emergency Proclamation
EPA	Environmental Protection Agency
ER	Emergency Relief
FAF	Fleet Management and Facilities, County of Monterey
FBO	Faith Based Organization
FE	Functional Exercise
FEMA	Federal Emergency Management Agency
FHWA	Federal Highway Administration
FSE	Full Scale Exercise
GAAP	Generally Accepted Accounting Practices
GIS	Geographic Information System
HRM/Payroll	Advantage HRM/Payroll 3.10 Accounting System
HSEEP	Homeland Security Exercise and Evaluation Program

ACRONYM	MEANING
HSPD	Homeland Security Presidential Directive
IA	Individual Assistance
ICS	Incident Command System
IDE	Initial Damage Estimate
IHA	Individuals and Household Assistance
ISD	Information Services Department, County of Monterey
ITB	Invitation to Bid
Joint PDA	Preliminary Damage Assessment
LEP	Limited English Proficiency
MACG	Multi-Agency Coordination Group
MACS	Multi-Agency Coordination System
MSEL	Master Schedule of Events Listing
NGO	Non-Governmental Organization
NIMS	National Incident Management System
NOI	Notice of Intent
NRCS	National Resources Conservation Service
NRF	National Response Framework
NSPO	Net Small Project Overrun
OA	Operational Area
OA EOC	Operational Area Emergency Operations Center
OES	Office of Emergency Services, County of Monterey
OES DO	Office of Emergency Services Duty Officer, County of Monterey
OFA	Other Federal Agencies
OIG	Office of Inspector General
PA	Public Assistance
P-Card	County Purchase Card
PETS	Pet Evacuation and Transportation Standard Act
PKEMRA	Post-Katrina Emergency Management Reform Act
Plan	Disaster Cost Recovery Functional Plan
Plan	Disaster Cost Recovery Plan
PNP	Private Non-Profit
PPD	Presidential Policy Directive
PW	Project Worksheet
RFI	Request for Information
RFP	Request for Proposal
RFQ	Request for Quote
RIR	Rehabilitation and Inspection Program
RMA	Resource Management Agency, County of Monterey

ACRONYM	MEANING
RMA - PLN	Planning and Development Department, County of Monterey
RMA -PW	Resource Management Agency – Public Works
RSF	Recovery Support Function
SBA	Small Business Administration
SEMS	Standardized Emergency Management System
Sim Cell	Simulation Cell
SIO	Statistical Internal Order
SME	Subject Matter Exercise
SOP	Standard Operating Procedure
SWG	Sub-Working Group
TTX	Table-Top Exercise
USACE	U.S. Corps of Engineers
USCG	U.S. Coast Guard
WBS	Work Breakdown Structure
WG	Working Group

[Page intentionally left blank.]

APPENDIX B | REFERENCES

2 Code of Federal Regulation 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. Retrieved from (https://www.gpo.gov/fdsys/granule/CFR-2014-title2-vol1/CFR-2014-title2-vol1-part200/content-detail.html)

California Disaster Assistance Act, California Governor's Office of Emergency Services. Retrieved from http://www.caloes.ca.gov/cal-oes-divisions/recovery/public-assistance/california-disaster-assistance-act

Checklist for Reviewing Procurements Under Grants by Non-Federal Entities (States, local and tribal governments, Institutions of Higher Education, Hospitals, and private non-profit organizations) – 2 CFR pt. 200, Federal Emergency Management Agency, 2016. Retrieved from https://www.fema.gov/media-library-data/1479225376216-2bdb7d3ba1a512495c38535f12bad2c5/ChecklistforProcurementsAssociatedwithDisastersAFTERDec262014-NewUniformRules(11-14-16).pdf

Emergency Proclamations: A quick reference guide for Local Governments, California Governor's Office of Emergency Services, 2014. https://www.caloes.ca.gov/PlanningPreparednessSite/Documents/LocalGovernmentEmergencyProclamationsGuide.pdf

Federal Highway Administration – Emergency Relief Program reference the Emergency Relief Manual, Federal-Aid Highways, 2013. Retrieved From https://www.fhwa.dot.gov/programadmin/erelief.cfm

Individual Disaster Assistance, Federal Emergency Management Agency. Retrieved from https://www.fema.gov/individual-disaster-assistance

Public Assistance Program and Policy Guide, Federal Emergency Management Agency, 2018 https://www.fema.gov/media-library/assets/documents/111781

Public Assistance: Policy and Guidance, Federal Emergency Management Agency. Retrieved from https://www.fema.gov/public-assistance-policy-and-guidance

[Page intentionally left blank.]

APPENDIX C | APPROVAL AND PROMULGATION

THE PRESERVATION OF LIFE, PUBLIC HEALTH, PROPERTY, AND THE ENVIRONMENT ARE INHERENT RESPONSIBILITIES OF LOCAL, STATE, AND THE FEDERAL GOVERNMENT. 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 PROPERTY AND THE ENVIRONMENT.

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

This Annex is reviewed by all departments/agencies assigned a primary function in the County's Care and Shelter Annex. An approved Annex gives both the authority and the responsibility to organizations to perform their tasks; formalizes their responsibilities with regard to preparing and maintaining their own procedures/guidelines; and commits them to carrying out training, exercises, and plan maintenance necessary to support the Care and Shelter Annex.

A signature from the designated head of each department confirms that the department has read the Annex and has no conflicts with its content at the time of publishing. Upon review and written concurrence by the departments/agencies, the Annex is submitted to the Monterey County Operational Area (OA) Coordinating Council for review and approval. Upon approval by the Council, the Annex is officially adopted and promulgated by the County Board of Supervisors

[Page intentionally left blank.]

LEW BAUMAN Date

County Administrative Officer, County Administrative Office

NICK CHIULOS Date

Assistant County Administrator, County Administrative Office

GERRY MALAIS Date

Emergency Services Manager, Office of Emergency Services

RUPA SHAH Date

Auditor/Controller

PAUL LEWIS Date

Budget and Analysis Division, Budget and Analysis Division

MIKE DERR Date

Contracts/Purchasing Officer, Contracts Purchasing Department**,**

CARL HOLM Date

Director, Resource Management Agency

[Page intentionally left blank.]

APPENDIX D | RECORD OF DISTRIBUTION

THE MONTEREY COUNTY OFFICE OF EMERGENCY SERVICES PREPARES, COORDINATES, PUBLISHES, AND DISTRIBUTES THIS PLAN AND ANY REVISIONS MADE TO IT. THE PLAN IS DISTRIBUTED TO ALL DEPARTMENTS/AGENCIES IDENTIFIED BELOW. THE PLAN IS ALSO AVAILABLE UPON REQUEST BY THE EXTERNAL ORGANIZATIONS ALSO IDENTIFIED BELOW.

County Departments / Agencies	Local Governments / Special Districts	Other Organizations

County Departments / Agencies	Local Governments / Special Districts	Other Organizations

APPENDIX E | RECORD OF CHANGES

ANY APPROVED ADDITIONS OR MODIFICATIONS TO THE CARE AND SHELTER WILL BE DOCUMENTED AND NOTED IN THIS SECTION. THE DATE OF THE CHANGE, THE TITLE OF THE PERSON MAKING THE CHANGE, AND A SUMMARY AND REASON FOR THE MODIFICATIONS, WILL BE INSERTED INTO THIS SECTION OF THE PLAN. IF ANY MAJOR OR SIGNIFICANT CHANGES TO THIS PLAN NEED TO BE MADE, THEN THE REVISED PLAN WILL BE CONSIDERED AN UPDATE, AND THE COVER PAGE, PROMULGATION PAGE, AND APPROVAL AND IMPLEMENTATION PAGE SHOULD REFLECT THAT IT IS A NEW PLAN.

After any modification to this plan, the Emergency Services Planner will ensure that the updated version is distributed to all previously listed departments and agencies, and that the revised plan is uploaded to any share sites and/or webpages where this plan resides. Printed material will be available at the Emergency Operations Center (EOC). Personnel with a role in executive leadership, coordination and management, and operational implementation of emergency procedures are encouraged to have digital access to this plan, or a printed copy of this plan available to them at all times.

Change Number	Date of Change	Section	Summary of Change	Change Made By (Title or Name)
1				
2				

Change Number	Date of Change	Section	Summary of Change	Change Made By (Title or Name)
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				
16				
17				
18				
19				
20				
21				
22				

APPENDIX F | AUDIT TIPS

AUDIT TIPS FOR MANAGING DISASTER-RELATED PROJECT COSTS FROM THE OFFICE OF THE INSPECTOR GENERAL

To ensure the County of Monterey takes full advantage of federal financial assistance for reimbursable disaster related costs, the County must take all necessary steps to ensure complete and accurate documentation is generated and retained. Necessary steps may include performing audits that provide assurance on the adequacy of existing processes, procedures, internal controls and the accuracy of financial transactions.

Upon request by the County Administration Office, the Chief Deputy, Auditor-Controller, Internal Audit Division will conduct or commission audit procedures to ensure one or more of the following disaster cost recovery objectives are satisfied:

- Designated person[s] have been established to coordinate the accumulation of records
- Written policies and procedures are established and maintained on how to account for disaster-related reimbursable costs and that financial and non-financial staff are receiving training on policies and procedures
- Separate and distinct accounting for recording revenue and expenditures to include separate identifiers for each distinct FEMA project have been established
- Each expenditure is recorded in the accounting books and is referenced to supporting source documentation (checks, invoices, etc.)
- Claims for insurance coverage are submitted and reimbursed amounts are properly credited to the appropriate FEMA project
- Final project claims are properly funded by the correct Federal agency and/or reimbursement from one federal program is not also reimbursed by another Federal fund

- Expenditures claimed under the FEMA project are reasonable and necessary, properly authorized under the scope of work, and directly benefit the project
- Grant administration is established and enforced throughout the duration of the grant.

Several factors are considered when determining which activities to audit. They include:

- The risk of fraud, waste, and abuse of Federal funds
- Statutory and regulatory requirements
- Current or potential dollar magnitude
- Reports or allegations of impropriety or problems implementing FEMA programs
- Specific requests

APPENDIX G | DISASTER COST RECOVERY FORMS

LOCAL DISASTER COST RECOVERY FORMS

1. Form DA-X-1: Initial Damage Assessment
2. Form DA-X-: Damage and Needs Assessment Summary
3. Form DA-X-3: Disaster Impact Financial Summary Form DA-X-4: Disaster Loss Estimation Guide
5. Form DA-X-5: Private Property Damage Report (A-D)
6. Facility Damage Assessment Form
7. Single/Sole Source Justification Form

STATE DISASTER COST RECOVERY FORMS

1. CDAA Form 4a: *Project Summary Certification of Documentation*
2. Cal OES Form 89: *Project Assurances for Federal Assistance*
3. Cal OES Form 95: *List of Projects*
4. CDAA Form 126: *Project Application California Disaster Assistance Act Program*
5. Cal OES Form 130: Designation of Applicant's Agent Resolution for Non-State Agencies

FEDERAL DISASTER COST RECOVERY FORMS

. Form 90-49: *Request for Public Assistance*
. Form 90-91: *Public Worksheet*
. Form 90-91a: *Damage Description and Scope*
. Form 90-91b: *Cost Estimate*
. Form 90-91c: *Maps and Sketches*
. Form 90-91d: *Photo Sheet*
. Form 90-118: *Validation Worksheet*
. Form 90-119: *Project Validation Form*
9. Form 90-120: *Special Considerations*
. Form 90-122: *Historic Considerations*
. Form 90-123: *Force Account Labor Summary Record*
. Form 90-124: *Material Summary Record*
. Form 90-125: *Rented Equipment Summary*
. Form 90-126: *Contract Work Summary*
. Form 90-127: *Force Account Equipment Summary*
. Form 90-128: *Benefits Application*
. Form 112-0-1:*Financial Status Report*
18. Rented Equipment Summary Record

[Page intentionally left blank.]

SEPTEMBER 2019

ATTACHMENT 1 | 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		
Instructions: *Use Post-It Tabs to divide each set of documents*			
Divider 2 – Supporting Documents or Information		**Yes**	**No**
A.	Emails from vendors, customers, sources		
B.	Copy of ADV 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 ADV 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		
Instructions: Staple/clip together the documents relating to each particular Contract/Agreement or Amendment and identify the Amendment using a Post-It Note			
Divider 3 – Insurance Documents		**Yes**	**No**
A.	Print screen showing insurance compliance.		
B.	Copy of Waiver by County Counsel and Risk		
C.	Copy of Self-Waiver by Supplier		
Divider 4 – Justification to Award & Solicitation Document		**Yes**	**No**
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)		
Instructions: If Solicitation file is too large, exclude Exhibits			
Adapted from *Contract File Folder Checklist v1*, July 16, 2010			

SEPTEMBER 2019

ATTACHMENT 2 | STATE DISASTER COST RECOVERY FORMS

[Page intentionally left blank.]

PRINT RESET

STATE OF CALIFORNIA
GOVERNOR'S OFFICE OF EMERGENCY SERVICES
Cal OES 89

Disaster No: _____

Cal OES ID No: _____

DUNS No: _____

PROJECT ASSURANCES FOR FEDERAL ASSISTANCE

SUBRECIPIENT'S NAME:_____
(Name of Organization)

ADDRESS:_____

CITY: _____ STATE: _____ZIP CODE: _____

TELEPHONE: _____ FAX NUMBER: _____

AUTHORIZED AGENT: _____TITLE: _____

EMAIL ADDRESS: _____

ASSURANCES – CONSTRUCTION PROGRAMS

Note: Certain of these assurances may not be applicable to all of your projects. If you have questions, please contact the California Governor's Office of Emergency Services. Further, certain federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the subrecipient named above:

1. Has the legal authority to apply for federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the Unites States, Federal Office of Inspector General 2 CFR 200.336, and if appropriate, the state, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will not dispose of, modify the use of, or change the terms of the real property title, or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the federal interest in the title of real property in accordance with awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with federal assistance funds to assure nondiscrimination during the useful life of the project.

4. Will comply with the requirements of the assistance-awarding agency with regard to the drafting, review and approval of construction plans and specifications.

5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progress reports and such other information as may be required by the assistance awarding agency or state.

6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gains.

8. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.), which prohibits the use of lead based pain in construction or rehabilitation of residence structures.

9. Will comply with all federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L 88-352) which prohibits discrimination on the basis of race, color, or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C §§ 1681-1683 and 1685-1686) which prohibits discrimination on the basis of sex; (c) Section 504 of the rehabilitation Act of 1973, as amended (29 U.S.C. § 794) which prohibit discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107) which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 93-255) as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616) as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3) as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental, or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) which may apply to the application.

10. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced or whose property is acquired as a result of federal and federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of federal participation in purchases.

11. Will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $5,000 or more.

12. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.O 91-190) and Executive Order (E0) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved state management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.O. 93-205).

13. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

14. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and preservation of historic properties), and the Archeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).

15. Will comply with Standardized Emergency Management (SEMS) requirements as stated in the California Emergency Services Act, Government Code, Chapter 7 of Division 1 of Title 2, Section 8607.1(e) and CCR Title 19, Sections 2445, 2446, 2447, and 2448.

16. Subrecipients expending $750,000 or more in federal grant funds annually are required to secure an audit pursuant to OMB Uniform Guidance 2 CFR Part 200, Subpart F. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 and the Single Audit Act Amendments of 1996.

17. Will disclose in writing any potential conflict of interest to the Federal awarding agency or pass-through entity in accordance with §200.112.

18. Will comply with all applicable requirements of all other federal laws, Executive Orders, regulations and policies governing this program.

19. Has requested through the State of California, federal financial assistance to be used to perform eligible work approved in the subrecipient application for federal assistance. Will, after the receipt of federal financial assistance, through the State of California, agree to the following:

    a. The state warrant covering federal financial assistance will be deposited in a special and separate account, and will be used to pay only eligible costs for projects described above;

    b. To return to the State of California such part of the funds so reimbursed pursuant to the above numbered application, which are excess to the approved actual expenditures as accepted by final audit of the federal or state government.

    c. In the event the approved amount of the above numbered project application is reduced, the reimbursement applicable to the amount of the reduction will be promptly refunded to the State of California.

20. The non-Federal entity for a Federal award must disclose, in a timely manner, in writing to the Federal awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award §200.113. Failure to make required disclosures can result in any of the remedies described in §200.338 Remedies for noncompliance, including suspension or debarment.

21. Will not make any award or permit any award (subaward or contract) to any party which is debarred or suspended or is otherwise excluded from or ineligible for participation in Federal assistance programs under Executive Order 12549 and 12689, "Debarment and Suspension."

"I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized by the above named subrecipient to enter into this agreement for and on behalf of the said subrecipient, and by my signature do bind the subrecipient to the terms thereof."

_____
PRINTED NAME

_____
SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

_____
TITLE DATE

For Internal Use Only

Cal OES Application #: _____

Disaster No #: _____

DUNS #: _____

PROJECT APPLICATION
CALIFORNIA DISASTER ASSISTANCE ACT PROGRAM

1. APPLICANT'S NAME AND ADDRESS

APPLICANT: _____

ADDRESS: _____

CITY & ZIP: _____

PHONE: _____

2. APPLICANT'S AUTHORIZED AGENT

(Attach Resolution of Designation unless an accurate "universal" resolution is on file.)

NAME: _____

TITLE: _____

ADDRESS: _____

CITY & ZIP: _____

PHONE: _____

FACSIMILE: _____

E-MAIL: _____

---

3. PROJECT SUMMARY – Attach a List of Projects as defined in Title 19 of the California Code of Regulations, Section 2970(a)(4).

ASSURANCES AND AGREEMENTS

A. The applicant certifies (to the best of his knowledge and belief) the disaster relief work herein described for which state financial assistance is requested, is eligible in accordance with the criteria contained in the Disaster Assistance Act (Government Code, Section 8680 et seq).

B. The applicant is the legal entity responsible under law for the performance of the work detailed and accepts such responsibility.

C. The applicant certifies that the disaster relief work herein described for which state assistance is requested hereunder, does not or will not duplicate benefits received for the same loss from another source.

D. The applicant certifies that they have undertaken to recover maximum federal participation in funding street and highway project and public facility projects.

E. The applicant certifies that all information given herein is to the best of its knowledge and belief, true and correct.

F. The applicant agrees to (1) provide without cost to the state all lands, easements, and rights-of-way necessary for accomplishment of the approved work and

(2) The applicant agrees to hold and save the State of California, its officers, agents and employees free from damages due to the approved work.

G. (1) The applicant agrees to comply with Section 3700 of the Labor Code, which requires every employee to be insured against liability for Workmen's Compensation, or to undertake self-insurance in accordance with provisions of the code; and will comply with such provisions before commencing the performance of the work.

(2) The applicant agrees to comply with the Fair Practices Act in connection with the performance of work under this agreement wherein it agrees it will not willfully discriminate against any employee or applicant for employment because of race, color, religion, ancestry, sex, age or national origin; and it agrees to take affirmative action to insure that applicants for employment are employed, and that employees are treated during employment, without regard to their race, color, religion, ancestry, sex, age or national origin, and hereby gives assurance that it will immediately take any measures necessary to effectuate this agreement.

(3) If any real property or structure thereon is provided or improved with the aid of the state financial assistance extended to the applicant, this assurance shall obligate the applicant, or in the case of such property, any transferee for the period during which the provision of similar services of benefits. If any personal property is so provided, this assurance shall obligate the applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance shall obligate the applicant for the period during which the state financial assistance is extended to it by the agency.

(4) This assurance is given in consideration of, and for the purpose of obtaining any and all state grants, loans, reimbursement, advances, contracts, property, discount, or other state financial assistance extended after the date heron to the applicant. The applicant recognizes and agrees that such state financial assistance will be extended in reliance on the representations and agreements made in this assurance and that the state shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the applicant, its successors, transferees and assignees, and a person or persons whose signatures appear on this form, or is authorized to sign this assurance on behalf of the applicant.

H. The applicant certifies that all financial assistance received under this application will be, or has been, expended in accordance with applicable laws and regulations. The applicant certifies that any work performed by a state agency at their request shall be agreed upon in writing and be subject to the State Contract Act. The applicant certifies that the work performed, or to be performed, is in accordance with the state and local laws governing the performance of such work.

I. The applicant certifies compliance with Standardized Emergency Management System (SEMS) requirements as stated in the California Emergency Services Act, Government Code, Chapter 7 of Division 1 of Title 2, Section 8607.1(e) and CCR Title 19, Sections 2445, 2446, 2447 and 2448.

J. The applicant certifies than on contracts involving expenditures in excess of $25,000, it obtained from the contractor a payment bond in accordance with Sections 3247 through 3252 of the Civil Code.

K. **BY ACCEPTING THESE FUNDS, THE APPLICANT IS NOT FORFEITING ANY RIGHTS WHATSOEVER, INCLUDING THE RIGHT TO A FAIR HEARING.**

---

4. SIGNATURE OF APPLICANT'S AUTHORIZED AGENT

"I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized by the above named subgrantee to enter into this agreement for and on behalf of the said subgrantee, and by my signature do bind the subgrantee to the terms thereof."

SIGNATURE: _____ DATE: _____

TITLE: _____

---

5. Cal OES APPROVAL

SIGNATURE: _____ DATE APPROVED: _____

TITLE: _____

State of California
California Emergency Management Agency

List of Projects

Disaster Number _____

APPLICANT:_____ DATE COMPLETED:_____

CONTACT NAME AND PHONE NUMBER: _____ IS THIS AN AMENDED LIST OF PROJECTS? _____

ITEM #	LOCATION	DESCRIPTION OF DAMAGE AND SCOPE OF WORK	COST ESTIMATE	CATEGORY*	WAS WORK COMPLETED BY FORCE ACCT. **(FA)**, CONTRACT **(C)** OR BOTH **(F/C)**?	ENTER **"ENV"** IF THERE ARE ENVIRONMENTAL ISSUES OR **"HIST"** FOR HISTORIC ISSUES, OR BOTH	WAS THERE INSURANCE COVERAGE? IF YES, ENTER DEDUCTIBLE AMOUNT	WAS THE FACILITY DAMAGED IN A PRIOR DISASTER(S)? IF YES, ENTER DISASTER NAME(S) OR NUMBER(S	ARE THERE COST EFFECTIVE HAZARD MITIGATION MEASURES THAT MAY PREVENT FUTURE DAMAGE?
			$				$		
			$				$		
			$				$		
			$				$		
			$				$		
			$				$		
			$				$		
			$				$		

*CATEGORY: A) Debris Clearance; B) Protective Measures; C) Road System; D) Water Control Facility; E) Buildings and Equipment; F) Public Utility System; G) Other. (Note: if a single site has more than one category, indicate the category that represents the majority of damage.)

STATE OF CALIFORNIA
GOVERNOR'S OFFICE OF EMERGENCY SERVICES Cal OES ID No: _____
Cal OES 130

DESIGNATION OF APPLICANT'S AGENT RESOLUTION FOR NON-STATE AGENCIES

BE IT RESOLVED BY THE _____OF THE _____
(Governing Body) (Name of Applicant)

THAT _____, OR
(Title of Authorized Agent)

_____, OR
(Title of Authorized Agent)

_____
(Title of Authorized Agent)

is hereby authorized to execute for and on behalf of the _____, a public entity
(Name of Applicant)
established under the laws of the State of California, this application and to file it with the California Governor's Office of Emergency Services for the purpose of obtaining certain federal financial assistance under Public Law 93-288 as amended by the Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1988, and/or state financial assistance under the California Disaster Assistance Act.

THAT the _____, a public entity established under the laws of the State of California,
(Name of Applicant)
hereby authorizes its agent(s) to provide to the Governor's Office of Emergency Services for all matters pertaining to such state disaster assistance the assurances and agreements required.

Please check the appropriate box below:

☐ This is a universal resolution and is effective for all open and future disasters up to three (3) years following the date of approval below.

☐ This is a disaster specific resolution and is effective for only disaster number(s) _____

Passed and approved this _____day of _____, 20_____

_____
(Name and Title of Governing Body Representative)

_____
(Name and Title of Governing Body Representative)

_____
(Name and Title of Governing Body Representative)

CERTIFICATION

I, _____, duly appointed and _____of
(Name) (Title)

_____, do hereby certify that the above is a true and correct copy of a
(Name of Applicant)

Resolution passed and approved by the _____of the _____
(Governing Body) (Name of Applicant)

on the _____day of _____, 20___.

_____ _____
(Signature) (Title)

Cal OES Form 130 Instructions

A Designation of Applicant's Agent Resolution for Non-State Agencies is required of all Applicants to be eligible to receive funding. A new resolution must be submitted if a previously submitted Resolution is older than three (3) years from the last date of approval, is invalid or has not been submitted.

When completing the Cal OES Form 130, Applicants should fill in the blanks on page 1. The blanks are to be filled in as follows:

Resolution Section:

Governing Body: This is the group responsible for appointing and approving the Authorized Agents.
Examples include: Board of Directors, City Council, Board of Supervisors, Board of Education, etc.

Name of Applicant: The public entity established under the laws of the State of California. Examples include: School District, Office of Education, City, County or Non-profit agency that has applied for the grant, such as: City of San Diego, Sacramento County, Burbank Unified School District, Napa County Office of Education, University Southern California.

Authorized Agent: These are the individuals that are authorized by the Governing Body to engage with the Federal Emergency Management Agency and the Governor's Office of Emergency Services regarding grants applied for by the Applicant. There are two ways of completing this section:

1. Titles Only: If the Governing Body so chooses, the titles of the Authorized Agents would be entered here, not their names. This allows the document to remain valid (for 3 years) if an Authorized Agent leaves the position and is replaced by another individual in the same title. If "Titles Only" is the chosen method, this document must be accompanied by a cover letter naming the Authorized Agents by name and title. This cover letter can be completed by any authorized person within the agency and does not require the Governing Body's signature.

2. Names and Titles: If the Governing Body so chooses, the names **and** titles of the Authorized Agents would be listed. A new Cal OES Form 130 will be required if any of the Authorized Agents are replaced, leave the position listed on the document or their title changes.

Governing Body Representative: These are the names and titles of the approving Board Members.
Examples include: Chairman of the Board, Director, Superintendent, etc. The names and titles **cannot** be one of the designated Authorized Agents, and a minimum of two or more approving board members need to be listed.

Certification Section:

Name and Title: This is the individual that was in attendance and recorded the Resolution creation and approval.
Examples include: City Clerk, Secretary to the Board of Directors, County Clerk, etc. This person **cannot** be one of the designated Authorized Agents or Approving Board Member (if a person holds two positions such as City Manager and Secretary to the Board and the City Manager is to be listed as an Authorized Agent, then the same person holding the Secretary position would sign the document as Secretary to the Board (not City Manager) to eliminate "Self Certification."

SEPTEMBER 2019

ATTACHMENT 3 | FEDERAL DISASTER COST RECOVERY FORMS