

# ESF 14

## Emergency Operations Plan – Emergency Support Function 14 *Transition to Recovery*

# Section 1: Introduction

## 1.1 Lead Agency

Department of Defense, Veterans, and Emergency Management – Maine Emergency Management Agency (MEMA)

## 1.2 Supporting Agencies

Recovery Support Function 1 (RSF-1) – Community Planning and Capacity Building (CPCB) Agencies

- Department of Agriculture, Conservation, and Forestry (DACF)
- Department of Economic and Community Development (DECD)
- Department of Health and Human Services (DHHS)
- Department of Transportation (DOT)
- Maine State Housing Authority (MSHA)

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## Section 2: Purpose, Scope, Situation and Assumptions

### 2.1 Purpose

The purpose of Emergency Support Function 14 (ESF-14), Transition to Recovery, is to describe how the state of Maine begins to deliver recovery support to local and tribal area governments during ongoing response operations, and during the transition to full recovery operations described in Maine's Comprehensive Emergency Management Plan (CEMP), Volume III, Interagency Disaster Recovery Plan (IDRP).

### 2.2 Scope

Recovery includes those activities that enable people and organizations from impacted jurisdictions to restore, redevelop, and revitalize the health, social, economic, natural, and environmental fabric of the community, and to plan long-term actions to build resilience and mitigate the effects of future disasters.

The intent of this annex is to provide guidance to enable more effective delivery of initial state-level recovery support to one or more disaster-impacted local and tribal area governments throughout the state of Maine. It provides a flexible and scalable structure that enables state and local/tribal disaster recovery managers to operate in a unified and collaborative manner with each other and with non-governmental and private sector organizations.

This annex also provides the overarching interagency coordination structure for recovery phases of Stafford Act incidents. Elements of the annex may also be used for non-Stafford Act incidents and incidents where federal assistance has not been requested or is not available.

This annex applies primarily to members of Maine's Emergency Response Team (ERT) and Disaster Recovery Team (DRT) identified in Gubernatorial Executive Order 2015-004. It also applies to other agencies, commissions, authorities, and boards of the Executive Branch of Maine State Government, as needed. It may also be useful to other recovery stakeholders (e.g., local, county and tribal governments; non-governmental organizations; voluntary agencies; and the private sector) who are engaged in their own recovery planning to enhance their understanding of how recovery operations in Maine will be implemented and how their planning efforts can be complementary. State departments and agencies will develop and maintain department-level recovery plans, as necessary, to deliver capabilities to fulfill their responsibilities under this annex.

Although this plan includes tribal area governments as state of Maine supported jurisdictions, recognized tribes in Maine have the option to not receive state support and to request federal assistance directly rather than through the state.

The scope of recovery operations will be different for all incidents and will be driven by factors that include, but are not limited by:

- Location within Maine and the concentration of damages
- Impacted population demographics (seasonally adjusted for tourism)
- Time of year in which the incident occurs
- Incident type

## 2.3 Situation

The recovery process is best described as a sequence of interdependent and often concurrent activities that progressively advance a community toward its planned recovery outcomes. Decisions made and priorities set by a community pre-disaster and early in the recovery process have a cascading effect on the nature, speed, and inclusiveness of recovery. **Appendix A. Recovery Continuum** depicts the interconnectedness of recovery activities from pre-incident through the long-term.

For a community faced with significant and widespread disaster impacts, preparedness, response, and recovery are not and cannot be separate and sequential efforts. Laying an effective foundation for recovery outcomes is a key requirement of response activities, but planning for recovery begins before response. Community-level planning for recovery is a preparedness-phase activity that strengthens continuity and response and hastens recovery. The challenge is to ensure adequate and effective coordination between different efforts and players, as the decision and outcomes for all phases are interconnected. Ultimately, a well prepared, thoughtful and speedy recovery translates to a faster resumption of systems, services, processes, and commerce that lead to normalcy, and fewer impacts to individuals, families, and communities.

Even while response activities are underway, recovery operations must begin. The emphasis on response gradually gives way to recovery operations, however, recovery core capabilities may involve some of the same functions as response core capabilities such as restoring interrupted utilities and other essential services, reestablishing transportation routes, providing food and shelter for those displaced by an incident, or reunifying children who have been displaced from their families/guardians.

Because of the natural relationship between response and recovery efforts and the fact that response and recovery activities often occur simultaneously, the responsibilities of some ESFs correspond with or transition to the responsibilities of Recovery Support Functions (RSFs). RSFs are coordinating structures identified later in this annex and further defined in the IDRP. The RSFs frequently build on the ESF capabilities and short-term recovery efforts applied by the ESFs to meet basic human needs, in order to integrate short-term recovery efforts with intermediate and long-term recovery needs.

## 2.4 Assumptions

- In a disaster, damage will occur.
- Disasters will occur which will exceed insurance coverage and county capabilities.
- Local and county officials understand the use of Form 7 for damage assessments.
- Events that do not meet damage threshold standards for federal assistance may require more long-term recovery actions by local and state agencies to make up for the lack of federal assistance program resources.
- Planning efforts may not rely on the assumption that federal assistance will always be available.
- Disaster assistance is supplemental and does not supplant insurance or existing capabilities.
- Local jurisdictions will document response and recovery costs for possible reimbursement.
- Not all incidents will require supplemental state or federal assistance for recovery.

## Section 3: Concept of Operations

### 3.1 General

The objective of the state's recovery mission is to support the local and tribal area governments in their pursuit of successful recoveries, understanding that each community defines successful recovery outcomes differently based on its circumstances, challenges, vision, and priorities. This annex addresses the beginning stages of state recovery operations that occur during the recovery operations period and the transition period leading to full recovery operations. The entire state recovery plan is detailed in Maine's Comprehensive Emergency Management Plan (CEMP), Volume III, Interagency Disaster Recovery Plan (IDRP).

While some post-incident, recovery assessments and initiating activities occur simultaneously with response activities, typically the recovery operation is ramping up as the response operation is ramping down. To effectively deliver support to local and tribal governments, it is critical that the two mission areas recognize the timing overlaps in their activities. During this timing overlap, response mission area/ESF activities will, when necessary, transition to the recovery mission area/RSFs.

This annex will be activated for all state and federal disaster declarations and may be activated for other non-declared incidents that warrant the mobilization of two or more state agencies to assist in the recovery or anticipated recovery of impacted jurisdictions.

Soon after an incident that prompts the activation of this annex, the DRT Coordinator will be appointed, and the DRT, a compilation of senior state agency representatives, will be alerted. Representatives from ESF-2, Communications, and ESF-15, External Affairs, in addition to the State Hazard Mitigation Officer/Advisor (SHMO), will be activated to perform recovery activities.

The DRT will monitor the situation during response operations in order to anticipate possible disaster services that will be needed to support the recovery efforts of local and tribal governments. The DRT is initially led by the DRT Coordinator, a senior member of the MEMA staff, and is organized into seven Recovery Support Functions:

**Table 1. Recovery Support Functions in Maine**

Recovery Support Function	Lead Agency
RSF-1: Community Planning and Capacity Building	Maine Emergency Management Agency
RSF-2: Economic	Department of Economic and Community Development
RSF-3: Health and Social Services	Department of Health and Human Services
RSF-4: Housing	Maine State Housing Authority
RSF-5: Infrastructure Systems	Department of Transportation Maine Emergency Management Agency
RSF-6: Natural and Cultural Resources	Department of Agriculture, Conservation and Forestry
RSF-7: Individuals and Families	Department of Health and Human Services Maine Emergency Management Agency

RSF-1 is comprised of the senior representative from the lead agency of each of the remaining RSFs. It also includes the State Individual Assistance Officer (IA-O) and the State Public Assistance Officer (PA-O), both from MEMA. Other administrative staff, planners or technical experts may be added as needed.

If the size and severity of the incident warrants it, RSF-1 will be activated concurrently when the DRT is alerted or soon thereafter. The DRT Coordinator will schedule an initial meeting of RSF-1 to provide a situational update and to coordinate the path forward for RSF-1 activities during ongoing response operations and during the transition to full recovery operations. An automatic trigger for the activation of RSF-1 is when the SEOC is activated and a Governor's Proclamation of a State of Emergency is made. Failing one or both of these conditions, RSF-1 activation will be at the discretion of the MEMA Director upon recommendation of the DRT Coordinator. The DRT Coordinator will also inform recovery representatives at the Federal Emergency Management Agency (FEMA) Region 1 about the incident so that they may monitor the situation and anticipate Maine's potential requests for federal assistance.

The level of state recovery support needed and the length of any activations or deployments of recovery personnel will vary depending on the scale and scope of disaster impacts and the ongoing assessment of the current capacity of impacted communities to recover.

## 3.2 Federal Assistance for Recovery

Federal assistance is normally provided in one of two ways: Stafford Act Declarations and Non-Stafford Act declarations. The state and local and tribal area governments do not require federal assistance to respond to most incidents, however, when an incident is of such severity and magnitude that effective response is beyond the capabilities of the state, local, and tribal governments, the Governor or Chief Executive of a tribe can request federal assistance under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (The Stafford Act).

### a. Stafford Act Declarations

The Stafford Act authorizes the President to provide financial and other assistance to the state, local, and tribal governments, certain private nonprofit organizations, and individuals to support response, recovery, and mitigation efforts following a Stafford Act Emergency or Major Disaster Declaration. Most forms of Stafford Act assistance require a state cost share which in Maine, is co-shared with local government. While Federal assistance under the Stafford Act may only be delivered after a declaration, FEMA may pre-deploy Federal assets when a declaration is likely and imminent. The Stafford Act provides for two types of declarations:

- **Emergency Declarations** are more limited in scope than a Major Disaster Declarations, provide fewer federal programs, and are not normally associated with recovery programs. However, the President may issue an Emergency Declaration prior to an actual incident to lessen or avert the threat of a catastrophe. Generally, federal assistance and funding are provided to meet specific emergency needs or to help prevent a catastrophe from occurring.
- **Major Disaster Declarations** provide more federal programs for response and recovery than an Emergency Declaration. Unlike an Emergency Declaration, a Major Disaster Declaration may only be issued after an incident has occurred.

See **Appendix B. Major Disaster Declaration Process in Maine.**

Catastrophic events and/or incidents of national significance will be subject to modified or expedited actions and may not follow the routine information gathering and analysis of data prior to seeking supplemental federal disaster assistance.

## b. Non-Stafford Act Declarations

Several federal departments and agencies have authorities to declare specific types of disasters or emergencies apart from the Stafford Act, such as a declaration by the U.S. Department of Agriculture, Secretary of Agriculture or a Small Business Administration (SBA) Physical Loss or Economic Injury Disaster Declaration. For other contingencies that the Stafford Act doesn't cover, such as nuclear power plant accidents, off-shore oil spills, major hazmat accidents or public health emergencies, other Congressional laws and Codes of Federal Regulation (CFRs) specific to those incidents are invoked. These authorities may be exercised independently of, concurrently with, or become part of a federal interagency recovery effort. Regardless of the hazard causing the event or the federal agency that has jurisdiction over that event, the state of Maine will activate this annex, when appropriate, to initiate recovery operations in support of impacted jurisdictions in need.

## 3.3 Activities

### a. Planning

#### i. Monitoring and Situational Awareness

RSF-1 will maintain situational awareness during ongoing response operations and beyond to provide themselves and leadership with decision-relevant information regarding the nature and extent of the hazard, any cascading effects, status of the response, potential recovery issues or challenges, and to facilitate the integration of recovery activities. Situational awareness encompasses activities such as:

- Monitoring WebEOC and all other sources of available data and information.
- Sharing relevant information from WebEOC and Situation Reports to operational partners and subordinate organizations.
- Reporting potential issues and findings to RSF and DRT leadership.
- Engaging with counterparts at all levels of government, particularly those located in or around the impacted areas, as appropriate.
- Actively engaging with SEOC staff for relevant reports and information.

#### ii. Damage Assessment

Damage assessment is the process of evaluating and reporting damage in measurable terms. This information identifies seriously damaged areas, the types of damage, and the approximate cost of repair. It is used to identify the resources needed by local and tribal governments and if necessary, to support the state's request for federal assistance. Recovery activities are dependent upon rapid, thorough, and accurate damage assessments. See **Appendix C. Damage Assessments in Maine** for a depiction of the damage assessment process. Forms used for damage assessments are included as attachments to this annex.

*Local and tribal officials* will conduct an initial damage assessment within 24-48 hours following the incident to record the extent and severity of damages and to identify immediate needs of the community. They quickly report damages through their respective county



Emergency Management Agency (EMA) to MEMA. They also submit requests for recovery assistance to their respective county EMA for needs that cannot be fulfilled by the community or through mutual aid agreements. As soon as feasible, a more deliberate damage assessment is conducted that includes feasible cost estimates of all damages incurred that include public, private, non-profit, and individual and family sectors. More detailed and refined assessments are again sent through the county EMA to MEMA.

*RSF-1 agencies* will conduct functional damage assessments within their respective functional areas. Damage information received from outside of their functional area will be shared with other RSF-1 agencies, as appropriate. RSF-1 agencies will submit damage assessments through the DRT Coordinator to the State Coordinating Officer (SCO).

*Other damage information* from partners representing non-governmental organizations and the private sector will also be solicited and recorded in order to paint a complete picture of incident size and severity.

The SCO at MEMA with help from the PA-O, the IA-O, and other staff as needed, will collect, collate, analyze, and verify all damage assessments from all sources. After concluding damage assessment activities, the SCO may recommend to the MEMA Director, the need for federal assistance. The MEMA Director in turn, may then recommend to the Governor that a request for a Joint Preliminary Damage Assessment (PDA) be made to FEMA Region 1 as a precursor to requesting federal assistance.

After submitting damage assessments through the DRT Coordinator to the SCO, RSF-1 determines which, if any, of the remaining RSFs need to be activated for state-level recovery operations in support of local and tribal governments. The SCO provides a copy of collated damage assessments to RSF-1 to assist with the evaluation. RSF-1 draws upon all other available sources of damage information to include that captured from monitoring and situational awareness activities and provides an initial recommendation on potential RSF activations to the DRT Coordinator. The DRT Coordinator presents a recommendation to the SCO and/or the MEMA Director on which RSFs to activate. RSFs will not independently initiate RSF activities without activation by the DRT Coordinator.

## **b. Public Information and Warning**

DRT members will alert subordinate organizations and personnel to be prepared for activation of disaster programs and the possible curtailment of day-to-day services in order to assist local jurisdictions and tribes in their recovery efforts. Under ESF-15, the Public Information Officer (PIO) for response operations in the SEOC remains in place for recovery operations and thus creates continuity between the response and recovery mission areas. To adjust to changing conditions between response and recovery, the PIO may request changes to supporting PIOs from other agencies or changes to agencies providing PIOs to the JIC. Some of the tasks performed or coordinated by the PIO and representatives from ESF-2 during the transition from response to recovery may include:

- Informing elected/designated officials on recovery programs.
- Re-establishing sufficient communications in affected areas.

- Providing communications support to local and tribal governments with recovery communications needs.
- Ensuring information is in accessible formats for the whole community, including:
  - Individuals with disabilities and access and functional needs.
  - Owners and their animals (i.e., including household pets, service animals, and assistance animals).
- Managing expectations through clarity, accuracy, and transparency.

### c. Operational Coordination

The DRT Coordinator initially takes lead of the DRT and reports to the SCO (when appointed by the MEMA Director) during short-term or programmatic recovery, which includes the entire period of response operations and the early stages of full recovery operations (see **Appendix D. Recovery Coordination**). During the initial transition from response to recovery operations, the DRT Coordinator and the SEOC Coordinator collaborate on tasks that include, but are not limited to:

- Sharing of resource information between ESFs and RSF-1.
- Providing the MEMA Director and SCO with critical information requirements (CIR) related to long-term recovery and economic impacts.
- Coordinating concurrent recovery operations with response operations, including phase-out of response functions.

After Response operations have concluded and a federal disaster declaration is approved, the SCO oversees all state recovery operations and is the primary contact for the Federal Coordinating Officer (FCO) when Joint Field Office (JFO) operations get underway in support of state unmet recovery needs. The SCO continues to oversee programmatic recovery activities until Stafford Act programs are no longer available, generally within 18 months of a Presidentially Declared Disaster. For major disasters or catastrophic incidents, the MEMA Director will request that the Governor appoint a State Disaster Recovery Coordinator (SDRC) from outside of MEMA to ensure recovery activities are well managed while extended response and short-term recovery activities are ongoing. The SDRC relieves the DRT Coordinator and assumes responsibility for all intermediate to long-term recovery activities and coordinates with the SCO to transition from short to intermediate recovery.

Upon recommendation by the SCO, the MEMA Director requests through county EMAs that all local and tribal governments located in the impacted area, appoint a Local Disaster Recovery Manager (LDRM) or Tribal Disaster Recovery Coordinator (TDRC) as the single point of contact for the DRT Coordinator (or SDRC when appointed) and RSF-1. The County EMA Director or his/her designee may serve in this role if the local or tribal area government is in agreement with the county EMA to do so.

In general, the DRT Coordinator, SCO, and/or the SDRC, will coordinate activities from the SEOC. However, in the case of a Presidentially Declared Disaster, coordinating activities from the JFO may be more practicable.

Detailed descriptions of the operational recovery roles and responsibilities that may be initiated during response operations (e.g., SCO, DRT Coordinator, etc.) can be found in the IDRP.

## Section 4: Responsibilities

### 4.1 Lead Agency

#### Department of Defense, Veterans, and Emergency Management – Maine Emergency Management Agency

- Alert and activate the DRT, RSFs, PIO, IA-O, PA-O, and SHMO, as needed.
- Share information with FEMA Region 1 and other relevant public, private and non-governmental partners, as needed.
- Appoint a DRT Coordinator and an SCO.
- Lead, coordinate, and drive the recovery process until an SDRC is appointed.
- In conjunction with the Governor’s Office, manage state-level public information during recovery operations.
- Provide recovery planning support to activated recovery units.
- Coordinate the state’s situational awareness, common operating picture, and damage assessment processes.
- Request appointment of LDRMs and TDRCs through county EMAs and Tribal Governments.
- Coordinate the state’s request for federal assistance, as needed.
- Request a Gubernatorial appointment of an SDRC, if required.
- Coordinate and leverage recovery resources.
- Integrate the interests of the whole community into ongoing recovery efforts and future initiatives.
- Ensure cross-mission and cross-capability integration through information sharing and coordination.

### 4.2 Supporting Agencies

#### a. Emergency Response Team

- Share information and data with RSF-1 during ongoing response operations.
- Coordinate with RSF-1 during transition from response to recovery operations.
- Identify critical information requirements relevant to recovery.

#### b. Disaster Recovery Team

- Respond to emergency alerts and activations under the direction of the DRT Coordinator.
- Alert subordinate state organizations and other relevant partners, as needed.
- Monitor and maintain situational awareness of the incident and report relevant information to RSF counterparts.
- Be prepared to activate disaster recovery services and curtail or suspend routine services.

#### c. Recovery Support Function-1

- Respond to emergency/incident alerts and activations and commence recovery operations under direction of the DRT Coordinator.

- Monitor and maintain situational awareness of the incident and report relevant information to the DRT Coordinator.
- Facilitate mutual sharing of disaster information with counterpart organizations in respective RSFs.
- Conduct functional damage assessments in each of the respective RSF areas.
- Conduct advance evaluation and make recommendations to the DRT Coordinator regarding the activation of additional RSFs.

## Section 5: Supplemental and Procedural Documents

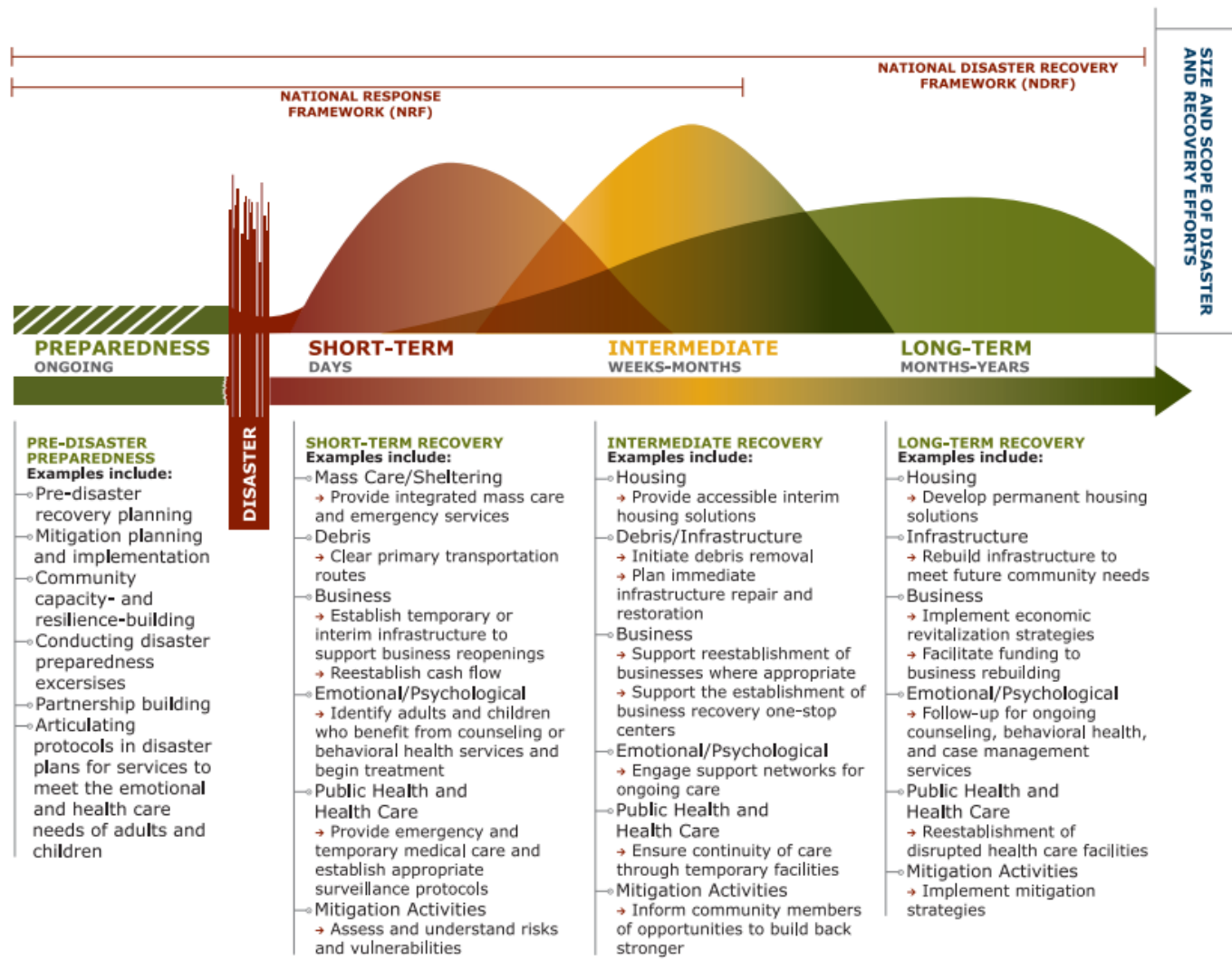
- MEMA Form 7
- Damage Assessment Manual
- Disaster Declaration Job Aid
- Declaration Request Cover Letter Template

## Section 6: References

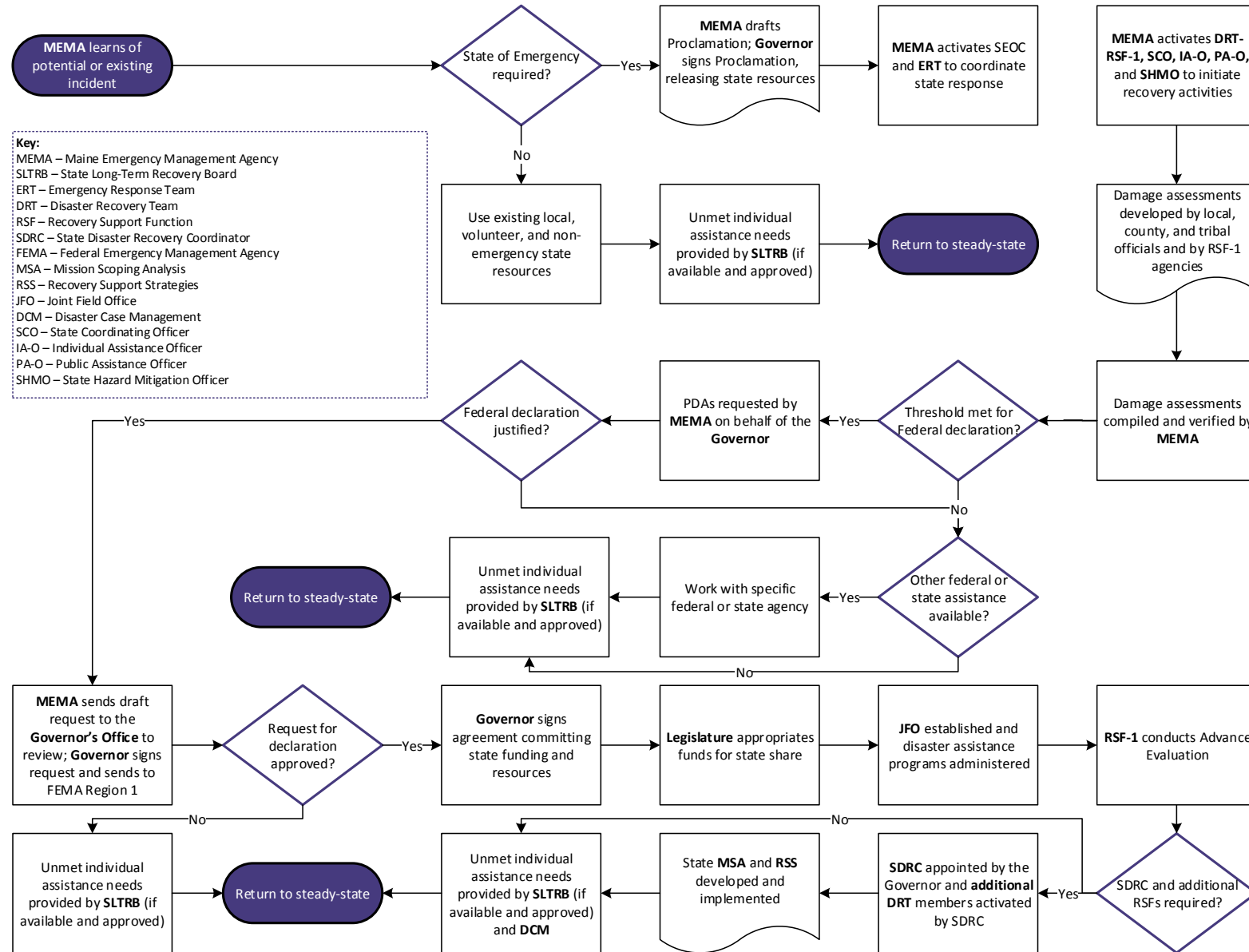
- Robert T. Stafford Disaster Relief and Emergency Assistance Act
- National Disaster Recovery Framework
- Recovery Federal Interagency Operations Plan
- Gubernatorial Executive Order 2015-004, Apr 2, 2015
- State of Maine Comprehensive Emergency Management Plan, Volume III, Interagency Disaster Recovery Plan

# Section 7: Appendices

## Appendix A. Recovery Continuum

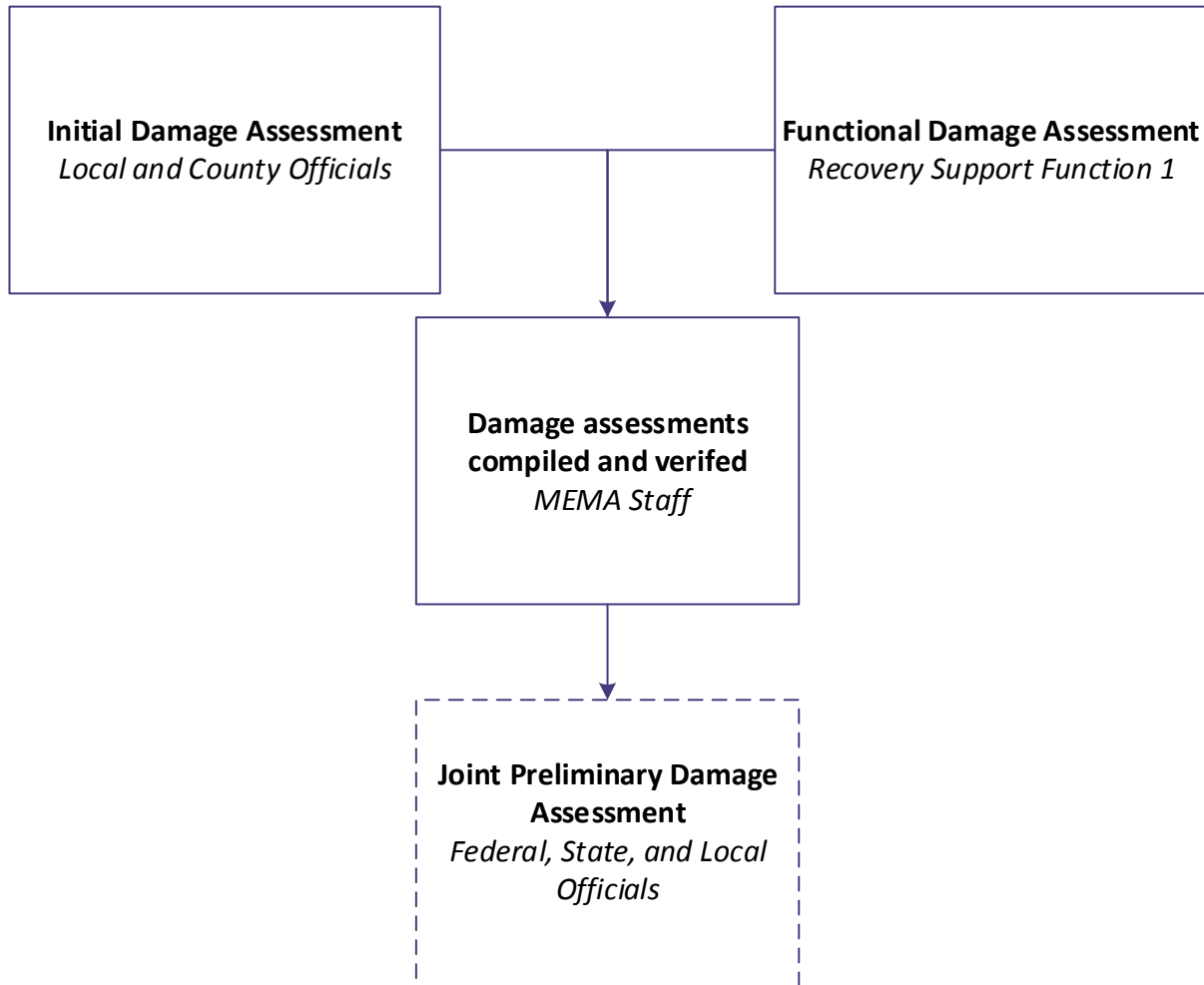


## Appendix B. Major Disaster Declaration Process in Maine





## Appendix C. Disaster Assessments in Maine



## Appendix D. State-level Recovery Coordination

