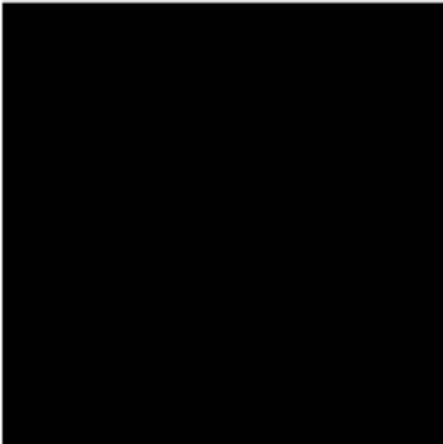
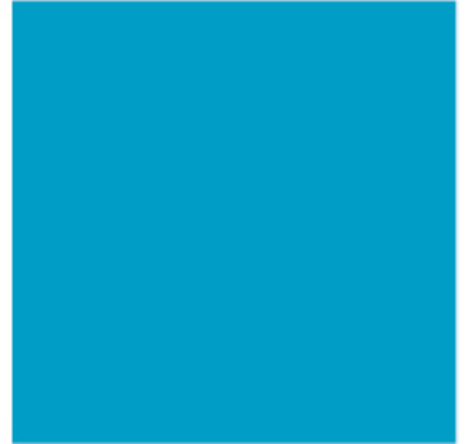
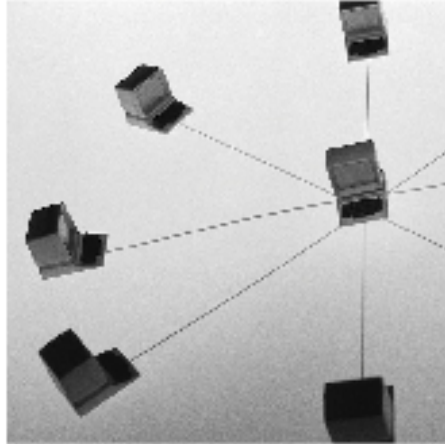


Disaster Response Plan for the



United States Small Business Administration (SBA)

September 12, 2007

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I. EXECUTIVE SUMMARY

On June 1, 2007 the United States Small Business Administration (SBA) completed its *Disaster Recovery Plan (DRP)*, which documents SBA’s part in the federal government’s response and recovery efforts to disasters that occur in the United States. This document, *SBA’s Leadership Guide for Managing a Response to a Disaster* is a companion document to the *DRP*. It lays out the timeline of disaster recovery activities performed by the leaders of SBA’s offices and will serve as a guide to assist SBA’s leadership in responding to disasters.

SBA’s disaster recovery approach varies according to the size of the disaster. The Office of Disaster Assistance is primarily responsible for responding to the needs of disaster victims for disasters that result in less than 250,000 disaster loan applications. Such a response is within SBA’s “Core Capability.” However, responding to a disaster or series of disasters involving or projected to involve more than 250,000 loan applications requires support from the entire agency. This level of response is referred to as “Surge Capacity.” Figure 1 “Scaling to Meet the Level of Disaster,” outlines SBA’s disaster recovery approach.

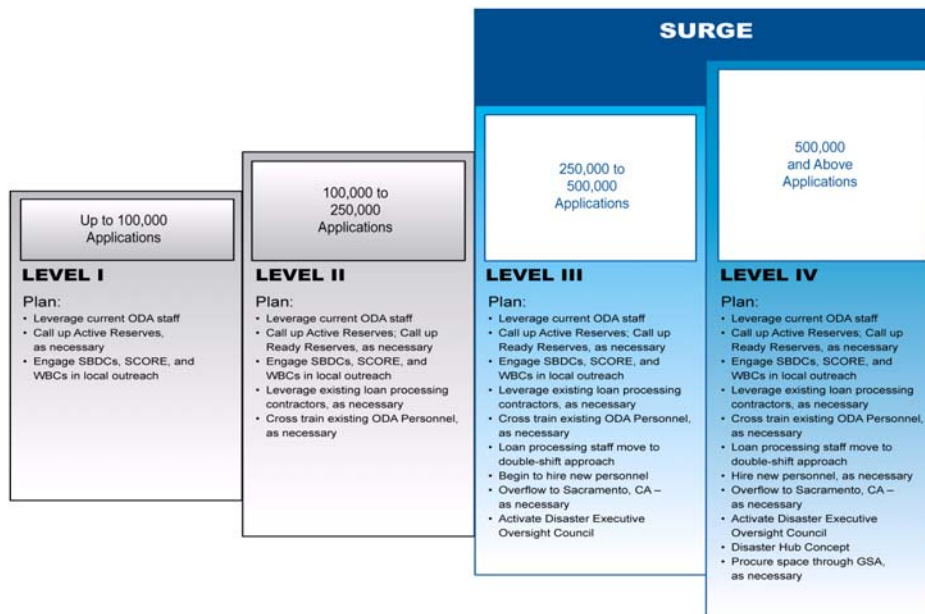


Figure 1: Scaling to Meet the Level of Disaster

The first part of this document describes the process SBA uses to decide whether a disaster falls within the agency’s “Core Capability” (primarily ODA) or requires it to activate Surge Capacity (SBA-wide response). The second part of the document is a chart, detailing SBA leadership activities according to the following timeframes: Pre-Disaster, Day 1, Weeks 1 & 2, Weeks 3 & 4, Weeks 5 - 8, and Weeks 9 – 12.

The Appendices primarily consist of cross-functional agreements about procedures during a surge response. Appendices B, C, and D are governance charters/concept of operations documents for the three bodies that ensure resources are deployed effectively during Surge Capacity, namely the Disaster Executive Oversight Council (DEOC), the Disaster Management Operations (DMOC), and the Disaster Assistance Information Center (DAIC). Another group of artifacts [Appendices E and F] consists of documents regarding SBA's resource partners. These documents define the rules of engagement during Surge Capacity. Appendices G and H are Concepts of Operations describing how SBA will use the infrastructure within District Offices and the PDC Surge Facility in Sacramento, California when Surge Capacity is activated.

II. INTRODUCTION

As described in SBA's *Disaster Recovery Plan* (June 1, 2007), SBA, through its Office of Disaster Assistance, is responsible for providing affordable, timely and accessible financial assistance to homeowners, renters, businesses, and nonprofit organizations following a disaster.⁴ It does so primarily through its Disaster Loan Program (DLP). When a disaster occurs, SBA deploys internal resources (both within and without its designated Office of Disaster Assistance), and works with FEMA, other government entities, and the private sector to leverage its resources and respond accordingly. Following the 2005 Gulf Coast Hurricanes, SBA streamlined its operations to ensure its departments, resources, private sector partners, and agency colleagues work together as efficiently and effectively as possible to respond quickly and help communities recover.

This *Leadership Guide for Managing a Response to a Disaster* is an internal manual for SBA's leadership, documenting each member's high-level role in SBA's disaster recovery mission. This "how-to guide" identifies the critical steps SBA leadership will take to prepare for, respond to, and help its customers recover from a disaster. It breaks down their specific responsibilities according to the following disaster time periods; Pre-Disaster, Day 1, Weeks 1 & 2, Weeks 3 & 4, Weeks 5 – 8, and Weeks 9 – 12. During each time period, activities are further broken down into "Core Capability" and "Surge Capacity." As defined in the Disaster Recovery Plan, Core Capabilities are those that ODA can address on its own, while Surge Capacity requires the entire SBA organization's participation.

This guide provides a basis for further planning, and can be upgraded or revised over time. SBA will provide the best possible support to businesses, homeowners, renters, and nonprofit organizations in times of disasters, and strives to continually improve the efficiency and effectiveness of that response.

⁴ All of SBA's disaster recovery activities are conducted under the authority of the Small Business Act and SBA's regulations and SOPs.

III. DISASTER LOAN PROGRAM (DLP) - ADMINISTRATION

Central to SBA's disaster recovery approach is its Disaster Loan Program. As described in SBA's Disaster Recovery Plan, the DLP offers low interest, fixed-rate loans to disaster victims and affected businesses to help them repair or replace damaged property and recover from the adverse economic impact of the event.

The DLP is administered through the Office of the Disaster Assistance, both through ODA's headquarters and its functional centers. The ODA organizational structure is summarized below, while Appendix A provides a detailed overview of ODA functional centers including each center's purpose, mission, goals and objectives.

- **ODA Headquarters** at SBA's Central Office in Washington, DC.
- A full-service **Customer Service Center (CSC)** located in Buffalo, New York. Disaster victims contact this center when they have questions about their loan application or the program in general. Services for disaster victims include a call center, e-mail response, disaster application mailing capabilities, and pre-application entry, and the center provides services to the other centers as needed.
- Two disaster **Field Operations Centers (FOC)**: FOC-E (East) is located in Atlanta, Georgia and FOC-W (West) is located in Sacramento, California. The two FOCs are responsible for the coordination of preliminary damage assessments, field operations, information dissemination, and disaster loss verifications outside of the continental United States (OCONUS).
- A centralized **Loan Processing and Disbursement Center (PDC)** located in Fort Worth, Texas. The PDC mails disaster loan application packages, receives applications, evaluates them, and disburses funds to eligible borrowers. The PDC surge location is in Sacramento, California.
- The **Personnel and Administrative Services Center (PASC)**, housed in Herndon, Virginia, includes the **Administrative and Human Resource** functions, the **Disaster Credit Management Systems (DCMS) Operations Center**, which oversees the DCMS system, and the **Field Inspection Team (FIT)**, which provides the loss verification/inspection function within the continental United States (CONUS).



Figure 2: ODA Functional Centers

While SBA’s functional disaster centers are primarily responsible for SBA’s disaster response, other offices and departments play an important role. This document describes the roles and responsibilities of each of SBA’s offices that are involved in the response and recovery efforts.

IV. DISASTER RECOVERY DECISION TREE

SBA’s Disaster Recovery Decision Tree (see Figure 3) depicts the decisions that SBA executives make in responding to a given disaster. First, they decide whether a disaster can be handled by SBA’s Core Capability, or whether the Agency must move to Surge Capacity. SBA’s Core Capability suffices for Level I disasters (fewer than 100,000 applications) and Level II disasters (between 100,000 and 250,000 applications). The individual members of the Disaster Executive Oversight Council continually monitor loan application volume in Level I and II disasters and the Administrator will elevate to Surge Capacity when the application intake exceeds or is projected to exceed the threshold of 250,000. SBA operates at Surge Capacity for Level III (between 250,000 and 500,000 applications) and Level IV (more than 500,000 applications) disasters.

When Surge Capacity is activated, the responsibility for coordinating and directing SBA’s disaster response is elevated from the Associate Administrator of ODA to the Disaster Executive Oversight Council. At this point, there is a set of procedures that ensure appropriate Surge Capacity resource allocation, as shown in Figure 3. The Disaster Executive Oversight Council consists of SBA’s Administrator, Deputy Administrator, Chief of Staff, Associate Administrator of the Office of Performance Management and Chief Financial Officer (CFO), General Counsel, Associate Administrator of ODA (AA/ODA), Assistant Administrator of the Office of Congressional and Legislative Affairs (AA/CLA), and Assistant Administrator of the Office of Communications and Public Liaison (AA/OCPL). The Administrator is the Chair of the Disaster Executive Oversight Council. The Disaster Executive Oversight Council ensures that the Disaster Management Operations Council, comprised of SBA program heads and executives, executes the Disaster Recovery Plan. Specifically, the Disaster Management Operations Council consists of the following members:

- Deputy Administrator (Chair of DMOC)
- Associate Administrator of ODA (AA/ODA),
- Associate Administrator of the Office of Field Operations (AA/OFO),

- Associate Administrator of the Office of Capital Access (AA/OCA),
- Associate Administrator of Government Contracting and Business Development (AA/GCBD),
- Associate Administrator of Entrepreneurial Development (AA/ED),
- Assistant Administrator of the Office of Communications and Public Liaison (AA/OCPL),
- Chief Human Capital Officer (Chief/OHCM),
- Chief Information Officer (CIO),
- Associate Administrator of the Office of Management and Administration (AA/M&A),
- Director – Office of Business Operations (D/OBO),
- Deputy Chief Financial Officer (DCFO),

- Regional Administrator(s) for the Affected Disaster Area(s),
- District Director(s) for the Affected Disaster Area(s)⁵

During Surge Capacity, the Disaster Management Operations Council will direct the Agency’s functional and support centers and all of SBA’s resources to actively respond to the disaster or series of disasters and will strategically execute the DRP. Accordingly, SBA rapidly expands office space, augments staff to meet the anticipated workload, adjusts schedules, and works with resource partners (e.g., SBDCs, SCORE, Women’s Business Centers) as necessary to respond effectively.

⁵ Additionally, the DMOC Charter provides that when the DMOC convenes, the Office of General Counsel and the Office of Policy & Strategic Planning will each appoint representatives to act as *Ex Officio* Advisors to the DMOC.

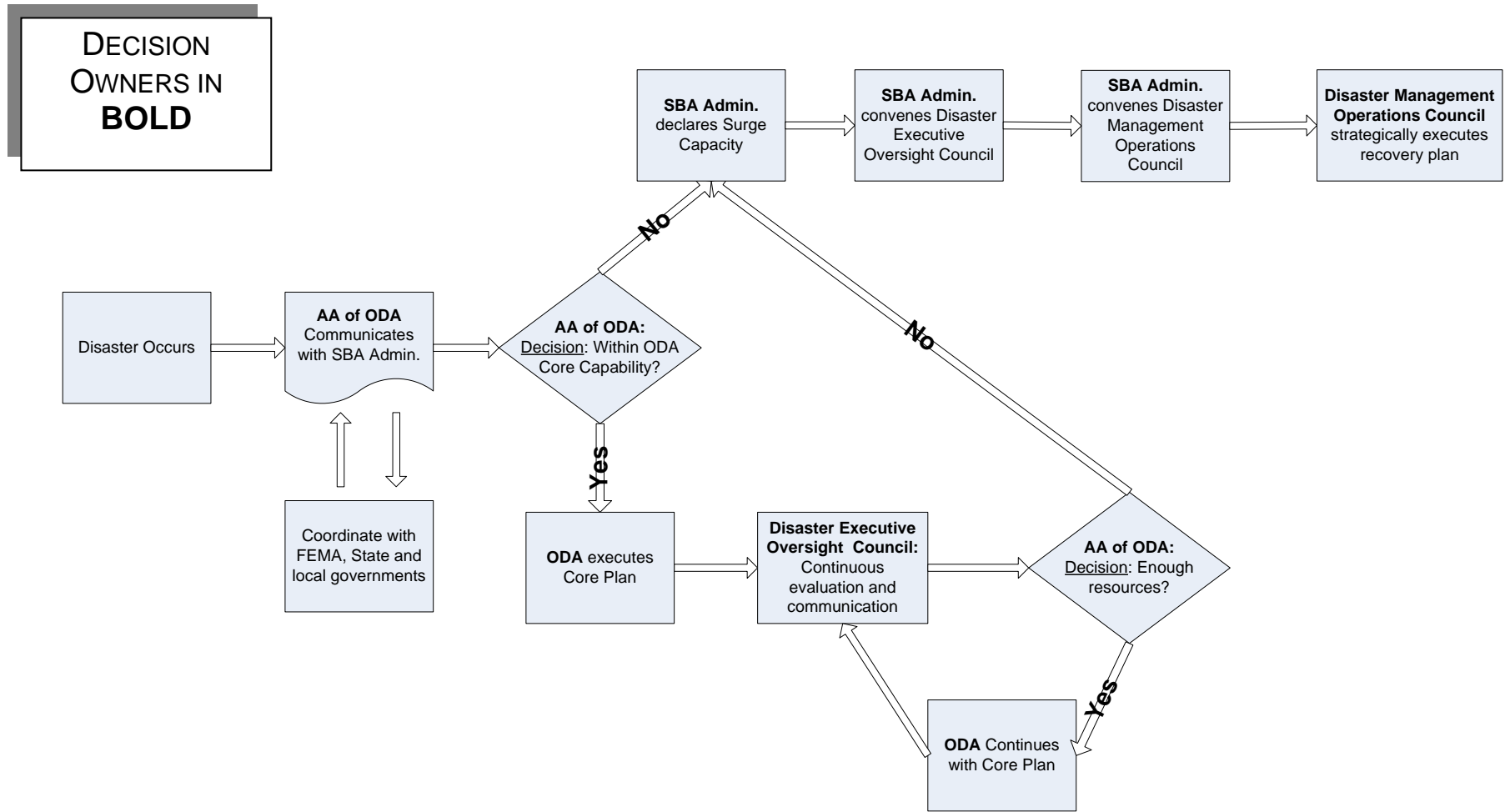


Figure 3: SBA Disaster Recovery Decision Tree

V. TIMELINE OF LEADERSHIP ACTIVITIES

A. PRE-DISASTER ACTIVITIES

When a disaster occurs, specific information about the communities likely to be affected is gathered to develop loan volume forecasts. Using its internal modeling capabilities, SBA incorporates information obtained from FEMA's Declaration Impact Summary to estimate the number of referrals from FEMA, the average return rate of applications from victims, and the average of all loan approvals to further refine estimates. After the initial projections, the model can be updated as needed using statistics from the field or other sources to show current actual values. The outputs from the disaster projection template enable ODA Headquarters (HQ) or the Administrator to make planning and response decisions.

CORE CAPABILITY

When a disaster occurs, ODA HQ initiates information sharing and alerts key stakeholder groups. Field Operation Centers (FOCs) begin coordinating with FEMA and/or the affected state's Emergency Management Agency to plan for the response and recovery activities. In known events, such as a hurricane, coordination within SBA and with federal and state partners begins pre-event. Based upon preliminary assessments, the FOCs project the number of locations needed, and initiate staffing, equipment, and training requests for critical functions and job types.

If the projected disaster is an Incident of National Significance as defined by the National Response Plan (actual or potential high-impact event that requires robust coordination of the Federal response in order to save lives and minimize damage, and provide the basis for long-term community and economic recovery), planning will include additional contingency measures. In Presidential declarations, FEMA and the state(s) coordinate to open Disaster Recovery Centers (DRCs). Level I and Level II disasters utilize routine procedures and coordination with FEMA or State and Local Emergency Management regarding DRC and SBA Disaster Loan Outreach Centers (DLOCs) openings. Note that detailed information on the purpose, scope, mission statements, goals and objectives of the ODA functional centers are provided in Appendix A.

SURGE CAPACITY

Pre-disaster activities consist primarily of monitoring the disaster's potential impact, running internal and external models, and coordinating communications and activities. In certain events that are well-anticipated (such as hurricanes), surge activities may begin prior to landfall. Generally, however, at this point, surge in staff, resources, and equipment has not yet begun.

The following table organizes Agency-wide responsibilities for pre-disaster planning by role and function.

PRE-DISASTER ACTIVITIES	
CORE CAPABILITY	
ODA (Headquarters)	<p>When a disaster is projected or occurs, the following takes place at the ODA Headquarters (HQ) level through the leadership of the Associate Administrator of ODA (AA/ODA):</p> <ul style="list-style-type: none"> • National Response Coordination Center (NRCC) alerts HQ representatives; participation in NRCC activities may be required depending on event. • Emergency Support Function Leaders Group (ESFLG) may be activated requiring participation in meetings, conference calls, etc. • Interagency Incident Advisory Council (IIAC) may be activated requiring participation at Department of Homeland Security (DHS) meetings, etc. • Emergency Support Functions (ESF) under the National Response Plan will be activated where SBA is a support or primary agency. This may require meetings, conference calls, etc. • AA/ODA provides individual DEOC members with regular reports regarding projected disaster loan application volume. • Data Modeling: <ul style="list-style-type: none"> ○ Classify the disaster impact as outlined in the Disaster Recovery Plan. ○ Determine the staffing levels required to ensure that performance goals can be achieved. ○ Project the incoming flow of applications to ensure that the agency has the right amount of staff on board against key interim timeframes. ○ Ensure that facilities are adequate and DCMS is running at full capacity. • Operations: <ul style="list-style-type: none"> ○ Create a human capital briefing that details the output from the scalability tool with respect to human capital requirements, the amount of staff currently on board, and the strategy that ODA will implement to meet interim human capital goals. Additionally, the Associate Administrator of ODA (AA/ODA) will provide data on the number of reserve corps members that are available for assignments to ensure that reservist assumptions are validated and/or refined. ○ Develop a list of the anticipated procurement needs that ODA will face -- this will provide the Office of Business Operations with an upfront understanding of pending workload. ○ Review current policy that could have a major impact on resource requirements. ○ The AA/ODA instructs ODA Center Directors to leverage all available reserve lists – both active and ready – to bring experienced staff back on board on a timeline that accords with the projected influx of applications and field deployments. ○ The AA/ODA may activate and provide task orders for private sector contractors for loan processing and disbursement activities. ○ If reserves are exhausted, the AA/ODA takes action to hire staff in key functions in anticipation of activity and pending loan volumes during peak response and processing periods.
ODA's Field Operations Centers (East and West)	<p><u>Field Operations:</u></p> <ul style="list-style-type: none"> • Field Operations begins planning for its response prior to the disaster occurring, when advance notice is available. They begin coordinating with FEMA and/or the State Emergency Management Agency when they are advised of a potential declaration. Based on projections of the impact from the event, they make preliminary estimates of the number of possible disaster locations and initiate staffing requests.

PRE-DISASTER ACTIVITIES	
	<ul style="list-style-type: none"> • Coordination of internal communications with SBA Regional Offices and District Offices.
CORE CAPABILITY	
	<ul style="list-style-type: none"> • If this is a major incident (hurricanes, tropical storm or major flood), planning will include additional contingency measures. In Presidential declarations, FEMA and the state(s) coordinate the DRCs to be opened. FOC must project and secure lodging and rental car needs as soon as possible for SBA staff. Normal disasters utilize routine procedures and coordination with FEMA or State and Local Emergency Management regarding DRC/DLOC openings. Action will be based on the scope of the disaster. • Training – Field Operations Centers determine which staff are trained, and which require training; content of required training; and where training will occur (at FOC, in field office, off-site, OTJ, etc.). Training will consist of the following: <ul style="list-style-type: none"> ○ Loss Verification – how to conduct on-site verifications/re-verifications in a major disaster; ○ DRC/SBA DLOCs – Customer Service Representative training for team leaders and team members; ○ JFO (Joint Field Office) lead and staff – information on FEMA structure, PIO, Congressional interaction; ○ JIC (Joint Information Center, where JIC distinct from JFO) – PIO, Congressional interaction, etc... ; ○ SBA – standard computer training; ○ PIO/Congressional – media outreach, public speaking for public meetings, Congressional briefings and other presentations; ○ Use of equipment and programs – VPN, laptops, cell phones, etc.; ○ Outlook e-mail and DCMS training; and ○ Travel training – rules of the road, voucher preparation (possible PASC involvement). • FOCs conduct outreach to ODA’s external partners to publicize ODA’s Disaster Loan Program in advance of and following disasters. Outreach includes FEMA Regional Offices, State Offices of Emergency Services, SBA’s Regional Administrators and District Directors, Congressional offices, and SBA’s resource partners (e.g. SBDCs, SCORE, Chambers of Commerce, banks, etc.).
DCMS Operating Center	<ul style="list-style-type: none"> • Monitor, track, and analyze system metrics to keep the system up and operational. • Procure, maintain, and support portable computer tablets for FIT to use in disaster locations. As of [insert date], ODA has 1,600 tablets. • Closely monitor tablet inventory for FIT in order to procure additional units, with sufficient reserve if needed. • Assess system capacity during a disaster and execute contingency to expand capacity if necessary. Specific triggers have been identified to indicate when a system is reaching 50% capacity. • Ensure connectivity of disaster satellite offices. • Reports operational status to on-site ODA lead.
Office of Entrepreneurial Development	<ul style="list-style-type: none"> • OED and the Agency resource partners are active in providing small businesses with disaster preparedness training through online courses, print materials, and local events throughout the year (with a higher concentration prior to hurricane season in select geographies). These trainings are often offered by SBA resource partners and/or through partnerships coordinated by OED. • OED has also taken the lead in preparing an online course for use by SBA staff and others interested in learning more about Agency disaster recovery products and services. • Resource partner preparedness and training needs assessed.

PRE-DISASTER ACTIVITIES	
Disaster Executive Oversight Council	<ul style="list-style-type: none"> Individual members monitor the projected disaster loan application volume.
SURGE CAPACITY	
Administrator	<ul style="list-style-type: none"> Elevates the Agency to Surge Capacity when the projected disaster loan application intake exceeds 250,000 or the AA/ODA determines that the required disaster response is not within the Agency's Core Capability. Convenes the DEOC.
Deputy Administrator	<ul style="list-style-type: none"> Convenes the DMOC after the Administrator elevates the Agency to Surge Capacity.
OCPL	<ul style="list-style-type: none"> "Stand up" the Disaster Assistance Information Center (DAIC), in order to ensure consistent communications at all levels of the organization. Monitor situational reports from internal and external sources and assembles information for reporting to headquarters personnel. Issue media guidance to Field Office and ODA activities for release into local media and provides pre-event materials as needed. Communicate directly with national level media.

B. DAY 1-2 ACTIVITIES

In the first 24 to 48 hours of a disaster situation, the AA/ODA and the FOCs are primarily focused on determining the extent of the damage, staffing requirements, and the possible number and locations of disaster recovery centers. If a surge response is necessary, the Administrator elevates the Agency to Surge Capacity and the Disaster Executive Oversight Council and the Disaster Management Operations Council each convene to determine a course of action. Based on the level of resources needed from SBA, resources are assigned, detailed, and/or procured to handle the inflow of disaster loan activity, including applications. This section provides an overview of the key activities taking place during the initial two days of a disaster event or disaster declaration.

CORE CAPABILITY

The FOC management executes an initial series of notifications in the first day of a disaster response and recovery effort. The FOC management alerts ODA and continually communicates with responsible parties in the impacted state(s). As a result of communications between the FOC and ODA HQ, an Initial Response Team is deployed to begin onsite coordination with FEMA and/or the impacted State, generally within 24 hours of declaration. ODA approaches a disaster situation with the goals of establishing a field presence within 3 days of disaster declarations within the continental United States (CONUS) and as soon as possible for outside of CONUS declarations. When special needs are identified, FOCs bring them to ODA HQ, which makes a determination of which functional center should address the need.

At the same time, the Personnel and Administrative Support Center (PASC) receives notification from FOCs and or ODA HQ on the need for staff, training and resources. The PASC provides necessary human capital, personnel, and administrative support functions during a disaster response. Additionally, from SBA Headquarters, the Office of Communications and Public Liaison monitors situational reports from internal and external sources and assembles information for reporting and issuing media guidance to appropriate decision-makers and communications channels. ODA HQ may at this time also be disseminating information to field and senior management from such sources as the National Response Coordination Center (NRCC), the Homeland Security Information Network (HSIN), Emergency Support Function Leadership Group (ESFLG), and other sources.

SURGE CAPACITY

Day 1 and 2 capabilities continue to center around immediate response activities that increase situational awareness, and preparation for a ramp up in operations to meet projected needs. When the disaster loan application intake is projected to exceed the threshold of 250,000 and/or the AA/ODA determines that the required response is not within the Agency's Core Capability, the Administrator will elevate the Agency to Surge Capacity and convene the Disaster Executive Oversight Council (see Figure 3). After Surge Capacity is activated, responsibility for coordinating and directing the Agency's disaster response is elevated from ODA to the DEOC. Additionally, once Surge Capacity is declared, the Deputy Administrator will convene the Disaster Management Operations

Council. The DMOC is responsible for strategically executing the Disaster Response Plan.

The following table organizes Agency-wide responsibilities for Day 1-2 by role.

DAY 1-2 ACTIVITIES	
CORE CAPABILITY	
<p>ODA (Headquarters)</p>	<ul style="list-style-type: none"> • Leverage standardized registration projections from FEMA, as an indicator of potential SBA disaster loan volume. • AA/ODA communicates with Administrator, Deputy Administrator and other individual members of DEOC regarding: <ul style="list-style-type: none"> ○ Situational analysis; ○ Loan volume estimate; ○ Coordinate with Federal D/A; and ○ ODA HQ may reach out to private sector partners . •
<p>ODA’s Field Operations Centers (East and West)</p>	<ul style="list-style-type: none"> • The state and/or FEMA notifies the appropriate FOC of the disaster event; FOC management issues an early warning notification to ODA. • FOC management forwards information regarding disaster event or request for declaration to ODA, SBA (Administrative), and Governor’s Certification (EIDL only) to HQ. For SBA declaration requests, FOCs prepare declaration recommendation and forward to ODA with supporting documentation, including a survey. <p>SBA’s Initial Response Team Deployment: Initial FOC coordination with FEMA and/or State occurs prior to a disaster event where there is warning or immediately following an unexpected event. Then, the Response Team:</p> <ul style="list-style-type: none"> • Conducts partial or complete (as required) disaster surveys with FEMA, state, and local officials. • Designates and deploys FOC staff to the field to begin onsite coordination with FEMA and/or State within 24 hours of declaration; or the FEMA Regional Response Coordination Center (RRCC) as appropriate. • Establishes SBA field presence within 3 days of declaration for CONUS, generally at JFO. • Establishes preliminary DRC/SBA Disaster Loan Outreach Center plan - coordinated with FEMA and State leads in Presidential declarations, and generally coordinated with State and local leads in Agency-declared disasters. • Based on demographics and input from FEMA, State, etc., FOC identifies specific issues/needs unique to each disaster declaration and shares its assessment with other ODA centers as necessary. When special needs are identified, FOCs will refer to HQ. Common examples of such special needs are as follows: <ul style="list-style-type: none"> ○ Security needs; ○ Special landslide issues (FOC identifies the issue and solicits policy and process assistance from HQ); ○ Coastal Barrier Resources Act (CBRA) is established and relevant processes are put in motion; • Coordinate internal communications with Regional Offices and District Offices: <ul style="list-style-type: none"> ○ Receive direction from FOC on preliminary damage assessment, if PDA performed; ○ See District Office activity referenced during Weeks 1 & 2, if applicable.
<p>Field Inspection Team</p>	<ul style="list-style-type: none"> • Report status to headquarters. • Begin field deployment.
<p>DCMS Operating Center</p>	<ul style="list-style-type: none"> • Report stand up status to headquarters.

DAY 1-2 ACTIVITIES	
Disaster Executive Oversight Council	<ul style="list-style-type: none"> • Individual members monitor the projected disaster loan application volume.
CORE CAPABILITY	
Personnel and Administrative Services Center	<ul style="list-style-type: none"> • Provide necessary human capital, personnel, and administrative support functions during a disaster response.
District Offices	<p>In the event of a declaration, affected District Office(s) will communicate with stakeholders, both listening and delivering information. To ensure a coordinated and well managed approach, affected District Office(s) will stay in close contact with a designated point-person within the Office of Disaster Assistance.</p> <p>They will deliver fact sheets prepared by ODA and posted on the World Wide Web with information about:</p> <ul style="list-style-type: none"> • Type of disaster declaration, • Current interest rates, • Counties eligible for SBA disaster loans, • Locations of Disaster Recovery Centers. <p style="padding-left: 40px;">Stakeholders include the following local officials:</p> <ul style="list-style-type: none"> ○ City and County Mayors, ○ Governor’s Offices, ○ State Representatives. <p style="padding-left: 40px;">Affected District Office(s) will also communicate with the following business stakeholders:</p> <ul style="list-style-type: none"> ○ Chambers and Business Associations, ○ Contractors – small, minority, women-owned, 8(a), veterans, etc. ○ Financial Institutions – banks and credit unions, ○ SBDC, ○ SCORE, ○ Women’s Business Centers, ○ Other Business Groups.

DAY 1-2 ACTIVITIES	
Office of Entrepreneurial Development	<ul style="list-style-type: none"> • SBA and resource partners collaborate to distribute disaster recovery training materials and information to small businesses/organizations in the disaster impacted area. • SBA and resource partner points-of-contacts assess and communicate status of partner locations in affected areas to ODA. • Partners in affected areas reconnect with host organizations/central offices.
SURGE CAPACITY	
Administrator	<ul style="list-style-type: none"> • Elevates the Agency to Surge Capacity when the projected disaster loan application intake exceeds 250,000 or the AA/ODA determines that the required disaster response is not within the Agency's Core Capability. • Convenes the DEOC.
Deputy Administrator	<ul style="list-style-type: none"> • Attends first meeting of DEOC. • Convenes the DMOC.
Disaster Executive Oversight Council	<ul style="list-style-type: none"> • Has first meeting, as directed by the Administrator (Chair) in accordance with DEOC Charter. • Assumes responsibility for coordinating and directing the Agency's disaster response. • Designates a member of the DMOC to serve as Vice-Chair of the DMOC, in accordance with the DMOC Charter.
Disaster Management Operations Council	<ul style="list-style-type: none"> • Has first meeting, as directed by the Deputy Administrator (Chair) in accordance with DMOC Charter. • Assumes responsibility for strategically executing the Disaster Recovery Plan. • Designates one member to serve as Secretary until the DMOC stands down.
Chief of Staff	<ul style="list-style-type: none"> • Attends first meeting of DEOC.
Office of Communications and Public Liaison	<ul style="list-style-type: none"> • Stand up the Disaster Assistance Information Center (DAIC), in order to ensure consistent communications at all levels of the organization. • Staffs the DAIC. • AA/OCPL attends first meetings of DEOC and DMOC. • Monitor situational reports from internal and external sources and assembles information for reporting to headquarters personnel. • Issue media guidance to Field Office and ODA activities for release into local media and provides pre-event materials as needed. • Communicate directly with national level media. • Disseminate talking points to appropriate spokespersons, public affairs personnel and disaster toolkit. • Place banner on the SBA.gov website directing the public to disaster assistance information. • Coordinate with other federal agencies & strategic partners as needed to assist disaster location (during Level 3 and 4 events).
Office of Congressional and Legislative Affairs	<ul style="list-style-type: none"> • AA/CLA attends first meeting of DEOC. • Assist with staffing of the DAIC.

DAY 1-2 ACTIVITIES	
Office of General Counsel	<ul style="list-style-type: none"> • General Counsel attends first meeting of DEOC. • Appoints a representative to act as an <i>Ex Officio</i> advisor to the DMOC, in accordance with the DMOC Charter. • Appointed representative attends first meeting of DMOC.
ODA (Headquarters)	<ul style="list-style-type: none"> • AA/ODA attends first meetings of DEOC and DMOC.
Office Performance Management and Chief Financial Officer	<ul style="list-style-type: none"> • CFO attends first meeting of DEOC. • Deputy CFO attends first meeting of DMOC.
Management and Administration	<ul style="list-style-type: none"> • AA/M&A attends first meeting of DMOC.
Chief Human Capital Officer	<ul style="list-style-type: none"> • Attends first meeting of DMOC.
Office of Business Operations	<ul style="list-style-type: none"> • Director/OBO attends first meeting of DMOC.
Office of Government Contracting and Business Development	<ul style="list-style-type: none"> • AA/GCBD attends first meeting of DMOC.
Chief Information Officer	<ul style="list-style-type: none"> • Attends first meeting of DMOC.
Office of Field Operations	<ul style="list-style-type: none"> • AA/OFO attends first meeting of DMOC.
Office of Capital Access	<ul style="list-style-type: none"> • AA/OCA attends first meeting of DMOC.

DAY 1-2 ACTIVITIES	
Office of Entrepreneurial Development	<ul style="list-style-type: none"> • AA/ED attends first meeting of DMOC. • SBA and resource partners collaborate to distribute disaster recovery training materials and information to small businesses/organizations in the disaster impacted area. • SBA and resource partner points-of-contacts assess and communicate status of partner locations in affected areas to ODA. • Partners in affected areas reconnect with host organizations/central offices.
Regional Administrator(s) of Affected Disaster Area(s)	<ul style="list-style-type: none"> • Participates in first meeting of DMOC.
District Director(s) of Affected Disaster Area(s)	<ul style="list-style-type: none"> • Participates in first meeting of DMOC.
Office of Policy & Strategic Planning	<ul style="list-style-type: none"> • Appoints a representative to act as an <i>Ex Officio</i> advisor to the DMOC, in accordance with the DMOC Charter. • Appointed representative attends first meeting of DMOC.

C. WEEKS 1 & 2 ACTIVITIES

According to historical SBA data and trend analyses, catastrophic disasters provide the Agency with a number of weeks for planning and ramp-up before the Agency receives the bulk of its application inflow. With the increased use of FEMA online applications processes, the timeframe may decrease markedly within the relatively near term. Once SBA disaster applications also are online, applications will likely also come in at an increased pace. SBA takes advantage of this crucial period of time to leverage internal disaster planning tools, institute the Agency's governance body, and carry out the first set of operational actions to pre-position the Agency for the pending inflow of applications.

CORE CAPABILITY

When a disaster declaration is approved and published, as part of its core capabilities ODA:

- Places a notice in the Federal Register and send notifications to the State, SBA RA, DD, and any other relevant bodies;
- Reviews and communicates any changes to policy, procedures and guidelines for the Agency to follow;
- Updates the SBA website with fact sheets including:
 - Type of disaster declaration,
 - Current interest rates,
 - Counties eligible for SBA disaster loans,
 - Locations and operating hours of Disaster Recovery Centers.
- Coordinates with FEMA, Congressional, Office of Public Communication and Liaison (OCPL), and other federal departments and agencies as required;
- Ensures that the Delegated Government Representative (DGR) coordinates with the Field Inspection Team (FIT) and other contractors;
- Coordinates and communicates with FOCs (East and West), Customer Service Center (CSC), Loan Processing and Disbursement Center (LPDC), Disaster Credit Management System (DCMS) Operations Center, Personnel and Administrative Support Center (PASC), regarding:
 - Logistics,
 - Staffing,
 - Locations of DRCs,
 - Level of funding available.
- Reviews and projects a budget to review with the Administrator, Deputy Administrator, and Chief Financial Officer.

- Coordinates and shares information with all ODA Centers, SBA senior management, the individual members of the Disaster Executive Oversight Council, Regional and District staff, and SBA resource partners
- Works with internal and external entities to expand outreach to victims (e.g., SBDCs, private collaborative organizations, etc)

If the inflow is lower is than 250,000, then ODA's core will be able to handle the volume and number of applications for the term of the disaster recovery. If the inflow will exceed 250,000 applications, the Administrator will elevate the Agency to Surge Capacity and an Agency-wide disaster recovery surge and scale of operations will be required.

SURGE CAPACITY

In weeks 1 and 2, SBA uses internal modeling tools for estimating the projected loan volume in terms of dollars and applications to determine the level of surge needed to adequately deploy necessary personnel to the impacted area and process disaster loan applications. For the operations components, a series of simultaneous notifications and processes begin to address human capital, infrastructure, technology, partnership and communications needs.

The following table organizes Agency-wide responsibilities for weeks 1 and 2 by role.

Weeks 1 & 2 ACTIVITIES	
CORE CAPABILITY	
ODA (Headquarters)	<ul style="list-style-type: none"> • Participate in FEMA led video conference calls (VTC) with participation of Federal, state, local and tribal representatives as appropriate. • Participate in ESFLG and ESF meetings and/or conference calls regarding federal response and recovery efforts. • Coordinate with other federal departments and agencies as appropriate. • Monitor Homeland Security Information Network (HSIN) for information related to event. • Coordinate and share information with all Centers, SBA senior management, individual members of the DEOC, Regional and District staff, and SBA resource partners, regarding: <ul style="list-style-type: none"> ○ Logistics, Staffing, Locations of DRCs, Application volume, Level of funding available. • Project level of activity as well as programmatic needs. Damage estimates may be based on surveys, historical information for like type of event in the state and/or region, information from imaging, state & local reports, media, insurance in force, demographics, timing of event, e.g., events, festivals, off season or in season; use of Internet, etc... • Review and communicate policy, procedures and guidelines for responding to the disaster. • Determine number of new travel and credit cards that will be required to facilitate the mobilization of new employees to disaster site, and communicate this information to the Denver Finance Center <p>HQ receives a declaration:</p> <p>SBA disaster loans are available when one or more government entities declare that a disaster has occurred. For Presidential disaster declarations, FEMA (DHS) sends an electronic notification to ODA, and ODA prepares a declaration that is subsequently published in the Federal Register. This declaration is also forwarded as appropriate to the District Director, Regional Administrator, and any other relevant managers.</p> <p>HQ receives a request for a declaration:</p> <ul style="list-style-type: none"> • The request may come from the FOC to HQ for Agency declaration by the SBA Administrator. • If requested, ODA HQ reviews and recommends either approval or decline of the request. • Then, ODA HQ provides internal and external notifications as necessary, including publication in the Federal Register. <p>If a request is approved and/or a declaration made:</p> <ul style="list-style-type: none"> • ODA HQ posts a notice in the Federal Register. • Reviews and communicates any changes in policy, procedures and guidelines. • Updates the SBA website with fact sheets including: <ul style="list-style-type: none"> ○ Type of disaster declaration, ○ Current interest rates, ○ Counties eligible for SBA disaster loans, ○ Locations of Disaster Recovery Centers. • Coordinates with FEMA, OCPL, CLA, and other federal departments and agencies.

Weeks 1 & 2 ACTIVITIES	
	<ul style="list-style-type: none"> • The Delegated Government Representative (DGR) will coordinate with the Field Inspection Team (FIT). • ODA HQ coordinates and communicates with disaster offices. • Reviews budget and estimates funding required.. • Assess core capabilities (staffing, facilities, infrastructure, partnerships) • ODA may participate in Congressional briefings regarding the disaster
CORE CAPABILITY	
District Offices	<p>In the event of a declaration, affected District Office(s) will communicate with stakeholders, both listening and delivering information. To ensure a coordinated and well managed approach, affected District Office(s) will stay in close contact with a designated point-person within the Office of Disaster Assistance.</p> <p>They will deliver fact sheets prepared by ODA and posted on the World Wide Web with information about:</p> <ul style="list-style-type: none"> • Type of disaster declaration, • Current interest rates, • Counties eligible for SBA disaster loans, • Locations of Disaster Recovery Centers. <p style="padding-left: 40px;">Stakeholders include the following local officials:</p> <ul style="list-style-type: none"> ○ City and County Mayors, ○ Governor's Offices, ○ State Representatives. <p style="padding-left: 40px;">Affected District Office(s) will also communicate with the following business stakeholders:</p> <ul style="list-style-type: none"> ○ Chambers and Business Associations, ○ Contractors – small, minority, women-owned, 8(a), veterans, etc. ○ Financial Institutions – banks and credit unions, ○ SBDC, ○ SCORE, ○ Women's Business Centers, ○ Other Business Groups.

Weeks 1 & 2 ACTIVITIES	
CORE CAPABILITY	
<p>ODA’s Field Operations Centers (East and West)</p>	<p>FOCs are responsible to:</p> <ul style="list-style-type: none"> • Establish, staff, and maintain field operations onsite in declared disaster areas, including Disaster Recovery Centers (DRCs) and SBA Disaster Business Recovery Offices, as appropriate. • Conduct ongoing disaster surveys with FEMA, state, and local officials, if applicable. • Communicate with media outlets to convey SBA’s disaster response. • Communicate with Congressional offices and other elected officials to proactively convey SBA’s disaster response accomplishments. • Participates in outreach to community, such as speaking at town hall meetings, community forums, etc, generally through JFO/JIC under Emergency Support (ESF) 15 of the National Response Plan. • Conduct Surveys/Preliminary Damage Assessments (PDAs) – participate in disaster surveys with FEMA and/or the state(s) to determine if the event qualifies for a disaster declaration. For some disasters, such as the 2005 Gulf Coast Hurricanes, disaster declarations often occur without surveys. Estimate damages - Based on information obtained during surveys, the FOC will prepare a report of estimated major and minor damages for Agency declaration requests. The FOCs use this information to determine if the event qualifies for an SBA declaration and as a tool to assist ODA in determining the estimated activity level, funding, budgets, etc. ODA makes these projections regarding SBA disaster loan activity (applications received, verified, approved, and dollar amounts of approved loans) based on a variety of historic and current information. <p>In the event of a disaster declaration, the FOCs will:</p> <ul style="list-style-type: none"> ▪ Establish overall staffing plan to cover contingencies with the ability to expand or contract staff according to the size of the disaster and number of planned Disaster Recovery Centers (DRC’s). Determine staffing in stages, i.e. 1st wave, 2nd wave, etc. ▪ Refine requirements for initial response and subsequent staffing to follow based on estimated workload, available staff, availability of flights, accessibility of disaster area, etc. ▪ Coordinate with FEMA region if a Presidential Disaster and coordinate with State Emergency Management officials at disaster site to ensure SBA has current disaster information and partners have current SBA information. ▪ Review all necessary SBA forms for field use and determine if adequate stock of current forms is available. Request necessary supply of forms including loan applications (English and Spanish), Summary Decline Worksheets for current for fiscal year, reporting forms, fact sheets, flyers, etc. Coordinate with Administration. • Perform on-site operational logistics (obtain space, equipment, computers, etc.) • Staff Joint Field Office (JFO), Joint Information Center (JIC) and coordinate with federal, state, and local officials • Staff Disaster Recovery Center (DRC) locations to provide individual assistance to disaster victims. Functions at DRC locations include issuing applications, accepting applications, answering questions, screening applications, and loan closings. • Field loan closings. • Perform all loss verifications for OCONUS, including fulfilling staffing and training needs for loss verifiers.

Weeks 1 & 2 ACTIVITIES	
CORE CAPABILITY	
Customer Service Center	<p>The Customer Service Center is responsible to:</p> <ul style="list-style-type: none"> • Determine Call Center need: Based on the forecasted call volume for the new disaster, project hourly call patterns using the CSC's Daily Call Forecasting tool. This model projects call patterns throughout specific days of the week. Using this forecast, design layered shifts and work schedules to meet anticipated call volumes. This will typically involve staggered start times and multiple shifts. • Based on anticipated call activity, adequate CSR staffing must be acquired (and trained) as soon as the need is identified. • Coordinate with FOCs/Webmaster to publicize CSC phone number, e-mail address and hours of operation. Convey this information to the Communications Director, post it on the website, and include it in all press releases.
Loan Processing and Disbursement Center	<p>The Loan Processing and Disbursement Center is responsible to :</p> <ul style="list-style-type: none"> • Determine PDC needs for staffing, facilities, equipment, and training. • Mail all disaster loan applications requested by disaster victims of a declared disaster. • Screen all received disaster loan applications. • Review and process all accepted disaster loan applications. • Closing of all approved loans. • Disbursement for all closed loans.
Personnel and Administrative Services Center	<p>The SBA ODA Personnel and Administrative Services Center (PASC) provide necessary human capital, personnel, and administrative support functions during a disaster response.</p> <ul style="list-style-type: none"> • Payroll: PASC Staff input time for the static locations. PASC also file time and attendance forms generated in the field. • Procurement: PASC cover the day-to-day procurement needs for all centers locations. • Travel Vouchers: There could be between 2000 – 3000 vouchers depending on size of disaster and number of SBA travelers. • Travel Arrangers (PASC): PASC travel arrangers handle immediate needs for all Centers and assist the staff in the field with any travel requests as a back up.
Denver Finance Center	<p>The Denver Finance Center is responsible for the financial management, administrative and programmatic accounting and financial reporting for the Small Business Administration (SBA):</p> <ul style="list-style-type: none"> • Work with Disaster Office to determine number of new travel and credit cards that will be required to facilitate the mobilization of new employees to disaster site. • Notify credit card company of increase in applications to be sent to them to process. • Depending on expected new applications, the credit card company may set up specific instructions to accommodate and expedite processing of new applications. • DFC Management assesses staffing needs based on size of disaster and expected new employees in travel status. • Coordinate with ODA new staffing needs of DFC to assist in the processing of credit card applications and travel vouchers.

Weeks 1 & 2 ACTIVITIES	
CORE CAPABILITY	
Office of Entrepreneurial Development	<ul style="list-style-type: none"> • Recovery materials continue to be distributed to small businesses and FOCs. • OED reviews disaster recovery partner commitments and coordinates with FOCs, ODA, and HQ as appropriate. • Communications between SBA and resource partners established (central points of contact). • Affected partner organizations work to establish operations. • Resource partners begin conducting small business outreach based on availability of local/regional staff and in conjunction with SBA efforts.
Disaster Executive Oversight Council	<ul style="list-style-type: none"> • Individual members monitor disaster loan application volume.
SURGE CAPACITY	
Disaster Executive Oversight Council	<ul style="list-style-type: none"> • Ensures appropriate Surge Capacity resource allocation. • Analyzes key performance metrics (e.g. cycle times, backlogs, quality) to determine operational resource needs. • Requires DMOC to execute the DRP. • Receives regular reports from the Chair of the DMOC regarding the DMOC’s execution of the DRP. • Provides oversight, guidance and authority to DMOC. • Evaluates and makes a recommendation to the Administrator for his/her determination on matters as requested by the Chair of the DMOC. • Evaluates findings and recommendations made by the DMOC. • Participates in and coordinates with the Disaster Assistance Information Center (DAIC). • Considers changes in Agency policy or the DRP to better execute the Agency’s disaster response obligations. • Carries out other responsibilities as delegated to it from time to time by the Administrator.

Weeks 1 & 2 ACTIVITIES	
Disaster Management Operations Council	<ul style="list-style-type: none"> • Directs the Agency's functional and support centers and all of SBA's resources to actively respond to the disaster or series of disasters. • Strategically executes the DRP and any companion documents. • Utilizes the Disaster Hub concept as necessary. • Monitors technology utilization and capacity. • Uses disaster planning modeling tools. • Continually monitors available space for disaster operations and leverages Agency relationships with GSA to negotiate the procurement and utilization of additional infrastructure. • Participates in and coordinates with the Disaster Assistance Information Center (DAIC). • Implements all decisions of the Administrator emanating from the DEOC. • Recommends to the DEOC changes in Agency policy or the DRP to better execute the Agency's disaster response functions. • Carries out other responsibilities as delegated to it from time to time by the Administrator or the DEOC.
SBA Administrator	<ul style="list-style-type: none"> • Chairs the DEOC. • Calls meetings of the DEOC, as determined necessary.
Deputy Administrator	<ul style="list-style-type: none"> • Acts as Vice-Chair of the DEOC. • Chairs the DMOC. • Calls meetings of the DMOC, as determined necessary. • Determines the agenda of DMOC meetings. • Coordinates with the DEOC to ensure that the DMOC has all of the resources required to achieve its mission. • Transmits to the DMOC copies of the decisions of the Administrator emanating from the DEOC. • Acts as liaison and presents the findings and recommendations of the DMOC to the DEOC. • Provides regular reports regarding the activities of the DMOC to the DEOC and the DAIC. • Runs the decision-making process of the DMOC. • Makes final decisions on recommendations of the DMOC if consensus cannot be achieved in a timely manner. • Elevates DMOC decisions to the DEOC for review as appropriate.
Chief of Staff	<ul style="list-style-type: none"> • Participates in DEOC.

Weeks 1 & 2 ACTIVITIES	
Office of Communications and Public Liaison	<ul style="list-style-type: none"> • AA/OCPL participates in DEOC and DMOC. • AA/OCPL oversees the DAIC. • Assemble information from ODA to maintain visibility of current status. • Prepare and issue press releases regarding location and availability of SBA on-site operations. • Conduct a broadcast media tour by the key spokesperson (SBA Administrator or designee) describing SBA's disaster assistance program. • Pursue targeted media opportunities to explain SBA's disaster assistance program (for example: C-SPAN's Washington Journal, editorial boards). • Create podcasts and vodcasts for placement on SBA.gov – describing SBA's disaster assistance program. • As possible, organize and execute visit of key OCPL leadership to the disaster area(s) in coordination with FOC. • Ensure SBA message is coordinated with District Offices.
Office of Congressional and Legislative Affairs	<ul style="list-style-type: none"> • AA/CLA participates in DEOC. • AA/CLA assists in oversight of the DAIC.
Office of General Counsel	<ul style="list-style-type: none"> • General Counsel participates in DEOC. • OGC representative acts as an <i>Ex Officio</i> Advisor to DMOC.

Weeks 1 & 2 ACTIVITIES	
ODA(Headquarters)	<p>SURGE CAPACITY</p> <ul style="list-style-type: none"> • AA/ODA participates in DEOC and DMOC. <p><i>Data Modeling:</i></p> <ul style="list-style-type: none"> • Classify the disaster within the catastrophic levels as outlined in the Disaster Recovery Plan. • Determine the staffing levels required to ensure that performance goals can be achieved. • Project the incoming flow of applications to ensure that the agency has the right amount of staff on board to meet key interim timeframes. <p><i>Operations:</i></p> <ul style="list-style-type: none"> • ODA HQ prepares a human capital briefing that details the output from the scalability tool with respect to human capital requirements, the amount of staff currently on board, and the strategy that ODA will implement to meet interim human capital goals. Additionally, the AA/ODA will provide data on the percentage of reserve corps members that are available to SBA for assignments to ensure that reservist assumptions are validated or refined. • Develop a first pass at the anticipated procurement needs that ODA will face -- this will provide the DEOC, DMOC and the Office of Business Operations with an upfront understanding of pending workload. • Review current policy that could have a major impact on resource requirements. • Review and communicate any policy changes, or proposed changes to procedures and guidelines for responding to the disaster. • The AA/ODA instructs ODA Center Directors to leverage all available reserve lists – both active and ready – to bring experienced staff back on board on a timeline that accords with the projected inflow of applications and deployment efforts to the disaster area. • The AA/ODA may activate private sector contractors available to the agency, and provide task orders for loan processing activities. • If reserves are exhausted, the AA/ODA takes action to hire staff in key functions in anticipation of pending loan volumes during peak processing periods of the response, and peak field deployment. • Determine number of new travel and credit cards that will be required to facilitate the mobilization of new employees to disaster site, and communicate this information to the Denver Finance Center.

Weeks 1 & 2 ACTIVITIES	
SURGE CAPACITY	
<p>Office of Performance Management and Chief Financial Officer</p>	<ul style="list-style-type: none"> • CFO participates in DEOC. • Deputy CFO participates in DMOC. • <i>In conjunction with ODA,</i> estimate the projected loan volume and administrative funds needed. • Estimate the current lending and administrative funds available to meet the projected demand; and the steps that will be taken to notify external parties (particularly, Congress) of SBA's resource needs and a projected timeline for securing the necessary funds. <p><i>Denver Finance Center:</i></p> <ul style="list-style-type: none"> • Denver Finance Center evaluates requirements/needs to accommodate increased levels of activity (such as travel vouchers, loan disbursements, and payments). • Work with Disaster Office to determine number of new travel and credit cards that will be required to facilitate the mobilization of new employees to disaster site. • Notify credit card company of increase in applications to be sent to them to process. • Depending on expected new applications, the credit card company may set up specific instructions to accommodate and expedite processing of new applications. • DFC Management assesses staffing needs based on size of disaster and expected new employees in travel status. • Coordinate with ODA new staffing needs of DFC to assist in the processing of credit card applications and travel vouchers.
<p>Management and Administration</p>	<ul style="list-style-type: none"> • AA/M&A participates in DMOC. • Validate assessment of SBA's current disaster infrastructure (available space and current lease agreements). • Determine the final status on Disaster Hub and Surge Facility locations for surge processing. • Coordinates with ODA and GSA to ensure infrastructure needs are being met.
<p>Chief Human Capital Officer</p>	<ul style="list-style-type: none"> • Participates in DMOC. • Provide an assessment of SBA's current interaction with union officials with respect to surge loan processing activities. • Implement a training plan for surge loan processing activities, in coordination with ODA, for non-ODA SBA employees.

Weeks 1 & 2 ACTIVITIES	
Office of Business Operations	<ul style="list-style-type: none"> • Director/OBO participates in DMOC. • Assess facilities for capability of housing enough staff to process the predicted surge in disaster loan applications. • Request funding to support deployment of PCR volunteers, if needed. • Finalize initial deployment schedules; volunteer PCRs begin deployment
Office of Government Contracting and Business Development	<ul style="list-style-type: none"> • AA/GCBD participates in DMOC. • As directed by OBO, sends request to PCR volunteers and their supervisors to determine who is available to deploy and provide support.
Chief Information Officer	<ul style="list-style-type: none"> • Participates in DMOC. • Create a technology briefing on the projected DCMS capacity that will be required to meet disaster demand (if predicted load is beyond 8,000 concurrent users). • Ensures that the agency IT infrastructure is operational and supports the processing of loans.
Office of Field Operations	<p>SURGE CAPACITY</p> <ul style="list-style-type: none"> • AA/OFO participates in DMOC. • Coordinate with M&A and District Director of proposed Disaster Hub location to ensure readiness. • Provide a final headcount of the non-ODA employees available for a surge loan processing detail of 30/60/90 days. • Provide a location for each identified employee. • Create a human capital summary by region, including deployment plan. • Address refresher training, in coordination with ODA (if required.) <p><i>Operations:</i></p> <ul style="list-style-type: none"> • Process travel authorizations for the employees identified for surge loan processing deployment to Disaster Hub or Surge Facility locations.
Office of Capital Access	<ul style="list-style-type: none"> • AA/OCA participates in DMOC. • Provide a final headcount of the employees available for a surge loan processing detail of 30/60/90 days. • Provide a location for each identified employee. • Create a human capital summary by region. • Coordinate training strategy with ODA. • Using loan volume estimates, project impact of disaster on Disaster Loan Servicing, i.e., funding, staffing, etc.

Weeks 1 & 2 ACTIVITIES	
Office of Entrepreneurial Development	<ul style="list-style-type: none"> • AA/ED participates in DMOC. • Communication sent to partner Rapid Recovery Team (comprised of resource partner representatives) to confirm participants/volunteers. • Initial partner deployment schedules finalized and deployments initiated. • If partner surge required (Level III and IV), SBA officially communicates request to partner points of contact based on previously identified needs, agreements and current disaster assessment. . • Coordinate with ODA HQ and field regarding deployment activities, including locations and hours of operation.
Regional Administrator(s) of Affected Disaster Area(s)	<ul style="list-style-type: none"> • Participates in the DMOC.
District Director(s) of the Affected Disaster Area(s)	<ul style="list-style-type: none"> • Participates in the DMOC.
Office of Policy & Strategic Planning	<ul style="list-style-type: none"> • Office of Policy representative acts as an <i>Ex Officio</i> advisor to DMOC.

D. WEEKS 3 & 4 ACTIVITIES

SBA historical data suggests that 5% of total application inflow will occur by the end of the fourth week during a catastrophic disaster. In anticipation of the applications inflow, SBA will execute internal surge strategies by positioning SBA human capital in locations around the country for 30, 60, or 90-day details. This will provide employees with an opportunity to receive refresher training, or training on the DCMS before the major applications activity commences.

CORE CAPABILITY

Building upon the initial weeks of core capabilities, the ODA, FOC, FIT, and PASC will have increased activity in order to process all incoming disaster loan applications and meet field staffing requirements. This includes scaling up operations to verify loss reports and performing on-site inspections. In addition, the PASC will provide any necessary human capital, personnel, and administrative support functions during a disaster response.

SURGE CAPACITY

In the Surge Deployment phase, the AA/ODA will continue to update and refine projections based on the inflow of applications and updated data sources, and is accountable for updating the resource scalability tool. Additionally, the Disaster Executive Oversight Council will continue to meet to share information about surge implementation and resolve Agency-wide coordination issues. From an operational perspective, Surge Deployment entails a Disaster Management Operations Council review of the pending human capital and training needs, logistical and office space gaps, technology requirements, and partnerships.

The following table organizes Agency-wide responsibilities for weeks 3 and 4 by role.

WEEKS 3 & 4	
CORE CAPABILITY	
Field Inspection Team	<p>The Field Inspection Team (FIT) is responsible to:</p> <ul style="list-style-type: none"> • Perform all original loss verification reports in the continental United States. • Determine the cause and extent of physical disaster damages for applications that are received by SBA. • Perform on-site inspections for physical disaster assistance applications. • Write verification reports, which guide the Loan Department in establishing eligibility. • Determine the estimated cost of repair or replacement of disaster-damaged real, personal and business property. • Provide information gathered during the on-site inspection to guide SBA loan officers in establishing eligibility within program guidelines. • Estimate replacement and pre-disaster Fair Market Value of property.
Personnel and Administrative Services Center	<ul style="list-style-type: none"> • Provide necessary human capital, personnel, and administrative support functions during a disaster response for ODA employees.

WEEKS 3 & 4	
SBA District Offices	<p style="text-align: center;">CORE CAPABILITY</p> <p>In the event of a declaration, affected District Office(s) will communicate with stakeholders, both listening and delivering information. To ensure a coordinated and well managed approach, affected District Office(s) will stay in close contact with a designated point-person within the Office of Disaster Assistance.</p> <p>They will deliver ODA-prepared fact sheets with information about:</p> <ul style="list-style-type: none"> • Type of disaster declaration, • Current interest rates, • Counties eligible for SBA disaster loans, • Locations of Disaster Recovery Centers. <p style="padding-left: 40px;">Stakeholders include the following local officials:</p> <ul style="list-style-type: none"> ○ City and County Mayors, ○ Governor’s Offices, ○ State Representatives. <p style="padding-left: 40px;">Affected District Office(s) will also communicate with the following business stakeholders:</p> <ul style="list-style-type: none"> ○ Chambers and Business Associations, ○ Contractors – small, minority, women-owned, 8(a), veterans, etc..., ○ Financial Institutions – banks and credit unions, ○ SBDC, ○ SCORE, ○ Women’s Business Centers, ○ Other Business Groups.
Disaster Executive Oversight Council	<p>Individual members continue to monitor disaster loan application volume.</p>
	<ul style="list-style-type: none"> • SURGE CAPACITY

WEEKS 3 & 4	
Disaster Executive Oversight Council	See Weeks 1 & 2 above
Disaster Management Operations Council	<ul style="list-style-type: none"> See Weeks 1 & 2 above
SBA Administrator	<ul style="list-style-type: none"> See Weeks 1 & 2 above
Deputy Administrator	<ul style="list-style-type: none"> See Weeks 1 & 2 above
Chief of Staff	<ul style="list-style-type: none"> Continues to participate in DEOC.
OCPL Office of Communications and Public Liaison	<ul style="list-style-type: none"> AA/OCPL continues to participate in DEOC and DMOC. AA/OCPL continues to oversee DAIC. Assemble information from on-site SBA activities and Fort Worth to maintain visibility of current status. Prepare and issue press releases regarding location and availability of SBA on-site operations. Ensure SBA message is coordinated with District Offices.
Office of Congressional and Legislative Affairs	<ul style="list-style-type: none"> AA/CLA continues to participate in DEOC. AA/CLA continues to assist in oversight of DAIC.
Office of General Counsel	<ul style="list-style-type: none"> General Counsel continues to participate in DEOC. OGC representative continues to act as <i>Ex Officio</i> Advisor to DMOC.
	<ul style="list-style-type: none"> SURGE CAPACITY
SBA Administrator and Deputy Administrator	<p>Governance</p> <ul style="list-style-type: none"> The Administrator, Deputy Administrator, and Disaster Executive Oversight Council will receive updates on key activities of the Disaster Management Operations Council to ensure that all available assets and staff are maximized, and performance goals are being achieved. Key performance metrics (e.g., cycle times, backlogs, quality) will be analyzed to determine operational resource needs.

WEEKS 3 & 4	
<p>ODA (Headquarters)</p>	<ul style="list-style-type: none"> • AA/ODA continues to participate in DEOC and DMOC. <p><i>Data Modeling:</i></p> <ul style="list-style-type: none"> • Update and refine projections based on the inflow of applications and updated data sources. • The AA/ODA will update the resource scalability tool with current data to determine the staffing levels required to achieve performance goals, and define the projection of incoming applications to ensure adequate staff to meet key interim timeframes. <p><i>Operations:</i></p> <ul style="list-style-type: none"> • Determine the continued viability of the disaster reserve pool to achieve pending human capital requirements. If the list is considered “exhausted” – the AA/ODA will hire for key functions in all centers, as needed. Specifically, concurrent hiring will occur for loan processors in both Dallas Ft. Worth and Sacramento. Based on historical data, the agency has roughly one month to locate, hire and train employees before the peak inflow of applications occur. • The AA/ODA will cross-train a sub-set of Customer Service Representatives and legal staff to process disaster loans if these functions continue to display excess availability. • The AA/ODA will continue to oversee the three private sector contractors employed by the agency to determine their level of productivity. •
<p>Office of Performance Management and Chief Financial Officer</p>	<ul style="list-style-type: none"> • CFO continues to participate in DEOC. • Deputy CFO continues to participate in DMOC. <p><i>Denver Finance Center:</i></p> <ul style="list-style-type: none"> • Make arrangements with the Department of Treasury to coordinate processing expedited disaster loan disbursement checks, as necessary. • Based on agreements and authority from ODA, DFC hires additional staff to process travel payments, as necessary. • Identify equipment needs for new staff. • Coordinate with Disaster offices for additional equipment request. • Ensure daily uploads and all accounting systems are up to date.
<p>AA/Management and Administration</p>	<ul style="list-style-type: none"> • AA/M&A continues to participate in DMOC. <p><i>Operations:</i></p> <p>Consult with the AA/ODA on the prospect of procuring additional space if it is determined that a double shift strategy for anticipated peak work weeks will not be an adequate strategy, or if significant additional disaster activity has occurred.</p>

WEEKS 3 & 4	
Chief Human Capital Officer	<ul style="list-style-type: none"> Continues to participate in DMOC.
Office of Business Operations	<ul style="list-style-type: none"> Director/OBO continues to participate in DMOC. Provide contracting support to ODA as needed. Discussion on current implementation, resource needs, and effectiveness. In cooperation with GCBD, Rrequest additional volunteer PCRs for long-term support, if required.
Office of Government Contracting and Business Development	<ul style="list-style-type: none"> AA/GCBD continues to participate in DMOC. <p>Assists OBO by requesting additional volunteer PCRs for long-term support, if required.</p>
Chief Information Officer	<ul style="list-style-type: none"> Continues to participate in DMOC. <p><i>Operations:</i></p> <ul style="list-style-type: none"> Ensure adequate capacity for surge loan processing in Washington DC.Disaster Hub and Surge Facility locations. Provide support for DCMS.
	<ul style="list-style-type: none"> SURGE CAPACITY
AA/Office of Field Operations	<ul style="list-style-type: none"> AA/OFO continues to participate in DMOC. <p><i>Operations:</i></p> <p>Deploy surge loan processing staff disaster to Sacramento, Dallas Ft. Worth or Washington DC Disaster Hub or Surge Facility locations for a 30/60/90 detail.</p>
Office of Capital Access	<ul style="list-style-type: none"> AA/OCA continues to participate in DMOC. <p><i>Operations:</i></p> <ul style="list-style-type: none"> Deploy surge loan processing staff disaster to Disaster Hub or Surge Facility locations for a 30/60/90 detail.

WEEKS 3 & 4	
Office of Entrepreneurial Development & Resource Partners	<ul style="list-style-type: none"> • AA/ED continues to participate in DMOC. • First wave of partner Rapid Recovery Team in operation in disaster zone (assuming surge requested and space availability). Second wave arrives prior to first wave departure (unless first wave is needed to provide continued support).
Regional Administrator(s) of Affected Disaster Area(s)	<ul style="list-style-type: none"> • Continues to participate in DMOC.
District Director(s) of Affected Disaster Area(s)	<ul style="list-style-type: none"> • Continues to participate in DMOC.
Office of Policy & Strategic Planning	<ul style="list-style-type: none"> • Representative continues to act as <i>Ex Officio</i> Advisor to DMOC.
Denver Finance Center	<ul style="list-style-type: none"> • Make arrangements with the Department of Treasury to coordinate processing expedited disaster loan disbursement checks, as necessary. • Based on agreements and authority from ODA, DFC hires additional staff to process travel payments, as necessary. • Identify equipment needs for new staff. • Coordinate with Disaster offices for additional equipment request. • Ensure daily uploads and all accounting systems are up to date. •
AA/Office of Capital Access	<p><i>Operations:</i></p> <p>Deploy surge loan processing staff disaster to Sacramento, Dallas Ft. Worth or Washington DC for a 30/60/90 detail.</p>
	<ul style="list-style-type: none"> •

E. WEEKS 5 - 8 ACTIVITIES

According to SBA data, 22% of total application inflow occurs between the fifth (5th) and eighth (8th) weeks during a catastrophic disaster. SBA must meet projected staffing targets for this phase or risk the possibility of developing backlogs in key functional areas. The combination of SBA's surge loan processing capability, existing on board resources, private sector contractors and ongoing hiring activities position SBA to meet projected staffing targets.

CORE CAPABILITY

In weeks 5 through 8, the core capabilities of the ODA may experience a surge of incoming disaster loan applications. If the inflow is lower than 250,000, then ODA's core staff will be able to handle the volume and number of applications. At this point in the disaster recovery process, ODA will determine the need for additional human capital, personnel, and administrative support functions during the disaster recovery process. If the inflow is greater than 250,000 applications, the SBA Administrator will elevate the Agency to Surge Capacity and the Disaster Executive Oversight Council and Disaster Management Operations Council will convene.

SURGE CAPACITY

During this period, data modeling and updates to support decision-making across the Agency and to set performance expectations with key stakeholders continue to be important. The Disaster Executive Oversight Council oversees the Disaster Management Council which serves as the Agency-wide coordination and execution function to ensure that timely operations are carried out, communications remain consistent and unified, and that resources are requested in anticipation of the inflow of applications. Operationally, the AA/ODA works to locate, hire, and train staff, deploy cross-trained staff, and oversee private sector contractors. In addition, the AA/OFO and the AA/OCA monitor the deployment of non-ODA surge loan processing staff to Disaster Hub or Surge Facility locations.

The following table organizes Agency-wide responsibilities for weeks 5 through 8 by role.

WEEKS 5 - 8 ACTIVITIES	
CORE CAPABILITY	
Field Inspection Team	<p>The Field Inspection Team (FIT) is responsible to:</p> <ul style="list-style-type: none"> • Perform all original loss verification reports in the continental United States. • Determine the cause and extent of physical disaster damages for applications that are received by SBA. • Perform on-site inspections for physical disaster assistance applications. • Write verification reports, which guide the Loan Department in establishing eligibility. • Determine the estimated cost of repair or replacement of disaster-damaged real, personal and business property. • Provide information gathered during the on-site inspection to guide SBA loan officers in establishing eligibility within program guidelines. • Estimate replacement and pre-disaster Fair Market Value of property.
ODA (Headquarters)	<ul style="list-style-type: none"> • Assess current recovery efforts and communicate anticipated need with OED resource partner points of contact. • Continue coordination with FEMA and other federal departments and agencies. • Participate in Congressional briefings as appropriate and needed. • Compile and distribute updated situational information and ODA recovery data.
Disaster Executive Oversight Council	<ul style="list-style-type: none"> • Individual members continue to monitor disaster loan application volume.
SURGE CAPACITY	
Disaster Executive Oversight Council	<ul style="list-style-type: none"> • See Weeks 1 & 2 above
Disaster Management Operations Council	<ul style="list-style-type: none"> • See Weeks 1 & 2 above
SBA Administrator	<ul style="list-style-type: none"> • See Weeks 1 & 2 above
Deputy Administrator	<ul style="list-style-type: none"> • See Weeks 1 & 2 above

WEEKS 5 - 8 ACTIVITIES	
Chief of Staff	<ul style="list-style-type: none"> Continues to participate in DEOC.
Office of Communications and Public Liaison	<ul style="list-style-type: none"> AA/OCPL continues to participate in DEOC and DMOC. AA/OCPL continues to oversee DAIC. Assemble information from on-site SBA activities and Fort Worth to maintain visibility of current status. Prepare and issue press releases regarding location and availability of SBA on-site operations and loan processing status. Ensure SBA message is coordinated with District Offices. As necessary, remind the public of approaching deadlines. Pitch features stories, testimonials, and Op-eds. Ensure SBA message is coordinated with District Offices.
Office of Congressional and Legislative Affairs	<ul style="list-style-type: none"> AA/CLA continues to participate in DEOC. AA/CLA continues to assist in oversight of DAIC.
Office of General Counsel	<ul style="list-style-type: none"> General Counsel continues to participate in DEOC. OGC representative continues to act as <i>Ex Officio</i> Advisor to DMOC.
	<ul style="list-style-type: none">

WEEKS 5 - 8 ACTIVITIES	
SURGE CAPACITY	
<p>ODA (Headquarters)</p>	<ul style="list-style-type: none"> • AA/ODA continues to participate in DEOC and DMOC. <p><i>Data Modeling:</i></p> <ul style="list-style-type: none"> • Continue to update and refine projections based on the inflow of applications and updated data sources. • Continue to update the resource scalability tool with current data to re-estimate the projection for staffing requirements. Further, SBA will leverage productivity data to further refine targets. This process will help determine the anticipated length of surge loan processing details. <p><i>Operations:</i></p> <ul style="list-style-type: none"> • Locate, hire and train loan processors in both Dallas Ft. Worth and Sacramento and hit staffing targets by the end of week 8 to ensure preparedness before the peak inflow of applications occurs. • Locate, hire and train Customer Service representatives to meet field deployment needs. • Deploy cross-trained Customer Service Representatives and legal staff to process disaster loans if these functions display excess availability. • Continue to oversee the three private sector contractors employed by the agency to determine their level of productivity. • Continue coordination efforts with partners.
<p>Office of Performance Management and Chief Financial Officer</p>	<ul style="list-style-type: none"> • CFO continues to participate in DEOC. • Deputy CFO continues to participate in DMOC <p><i>Denver Finance Center:</i></p> <ul style="list-style-type: none"> • Continue to monitor workflow process for all disaster related travel vouchers to ensure minimal turnaround time.
<p>Management and Administration</p>	<ul style="list-style-type: none"> • AA/M&A continues to participate in DMOC.
<p>Chief Human Capital Officer</p>	<ul style="list-style-type: none"> • Continues to participate in DMOC.

WEEKS 5 - 8 ACTIVITIES	
Office of Business Operations	<ul style="list-style-type: none"> • Director/OBO continues to participate in DMOC. • Provide contracting support to ODA as needed. • Discussion on current implementation, resource needs, and effectiveness. • In cooperation with GCBD, request additional volunteer PCRs for long-term support, if required.
Office of Government Contracting and Business Development	<ul style="list-style-type: none"> • AA/GCBD continues to participate in DMOC. • Assists OBO by requesting additional volunteer PCRs for long-term support, if required.
Chief Information Officer	<ul style="list-style-type: none"> • Continues to participate in DMOC.
Office of Field Operations	<ul style="list-style-type: none"> • AA/OFO continues to participate in DMOC. <p><i>Operations:</i></p> <ul style="list-style-type: none"> • Monitor the deployment of non-ODA surge loan processing staff to Disaster Hub or Surge Facility locations. •
Office of Capital Access	<ul style="list-style-type: none"> • AA/OCA continues to participate in DMOC. <p><i>Operations:</i></p> <ul style="list-style-type: none"> • Monitor the deployment of non-ODA surge loan processing staff to Disaster Hub or Surge Facility locations. • Continue to evaluate disaster loan services projected needs to address anticipated increase in workload.
Office of Entrepreneurial Development	<ul style="list-style-type: none"> • AA/ED continues to participate in DMOC. • Discuss current implementation, resource needs, and surge scheduling . • Partner surge request is updated and officially communicated between partners. • Additional volunteers recruited (as needed). • Updated surge scheduling created and communicated.
Regional Administrator(s) of Affected Disaster Area(s)	<ul style="list-style-type: none"> • Continues to participate in DMOC.

WEEKS 5 - 8 ACTIVITIES	
District Director(s) of Affected Disaster Area(s)	<ul style="list-style-type: none">Continues to participate in DMOC.
Office of Policy & Strategic Planning	<ul style="list-style-type: none">Representative continues to act as <i>Ex Officio</i> Advisor to DMOC.

F. WEEKS 9 - 12 ACTIVITIES

According to SBA data, 37% of total application inflow will occur in the Second Peak phase (weeks 9 through 12) during a catastrophic disaster. The expected inflow of applications in this phase alone (4 weeks) equals the expected flow of applications for the rest of the year (40 weeks.) If the Agency has experienced any shortfalls up until this phase, the inflow of expected applications will compound those issues tremendously.

CORE CAPABILITY

Inflow of disaster loan applications increase as the deadline to file approaches.⁶ ODA's need for human capital, personnel, administrative support will also peak during this period.

SURGE CAPACITY

If a disaster is Level III or greater during weeks 9 through 12, ODA is experiencing a surge of incoming disaster loan applications. This requires ODA to leverage human capital, infrastructure, technology, and administrative support from across SBA.

During this period SBA's operations require continued analysis using the internal modeling and resource scalability tools. The Disaster Executive Oversight Council directs the Disaster Management Council to leverage and coordinate resources across the Agency to ensure that all available assets and staff are maximized. Based on the analysis of the modeling and scalability tools, the AA/ODA continues to locate additional loan processors and deploy cross-trained staff and customer service representatives, where possible. At the same time, the AA/OFO and the AA/OCA continue to monitor and support the deployment of surge loan processing staff to Disaster Hub or Surge Facility locations. The following table organizes Agency-wide responsibilities for weeks 9 through 12 by role.

⁶ Note that FEMA often extends filing deadlines, which in turn impacts the influx of applications to SBA.

WEEK 9 – 12 ACTIVITIES	
	CORE CAPABILITY
Disaster Executive Oversight Council	<ul style="list-style-type: none"> Individual members continue to monitor disaster loan application volume.
	SURGE CAPACITY
Disaster Executive Oversight Council	<ul style="list-style-type: none"> See Weeks 1 & 2 above
Disaster Management Operations Council	<ul style="list-style-type: none"> See Weeks 1 & 2 above
SBA Administrator	<ul style="list-style-type: none"> See Weeks 1 & 2 above
Deputy Administrator	<ul style="list-style-type: none"> See Weeks 1 & 2 above
Chief of Staff	<ul style="list-style-type: none"> Continues to participate in DEOC.
Office of Communications and Public Liaison	<ul style="list-style-type: none"> AA/OCPL continues to participate in DEOC and DMOC. AA/OCPL continues to oversee DAIC. Assemble information from on-site SBA activities and Fort Worth to maintain visibility of current status. Prepare and issue press releases regarding location and availability of SBA on-site operations and loan processing status. Ensure SBA national message is coordinated with District Offices.
Office of Congressional and Legislative Affairs	<ul style="list-style-type: none"> AA/CLA continues to participate in DEOC. AA/CLA continues to assist in oversight of DAIC.

WEEK 9 – 12 ACTIVITIES	
Office of General Counsel	<ul style="list-style-type: none"> • General Counsel continues to participate in DEOC. • OGC representative continues to act as <i>Ex Officio</i> Advisor to DMOC.
	<ul style="list-style-type: none"> •
ODA (Headquarters)	<ul style="list-style-type: none"> • AA/ODA continues to participate in DEOC and DMOC. <p><i>Data Modeling:</i></p> <ul style="list-style-type: none"> • Continue to update the resource scalability tool with current data to re-estimate the projection for staffing requirements. Further, SBA will leverage productivity data to further refine targets. This process will help determine the anticipated length of surge loan processing details and if the agency is on track to continue to meet performance goals during the heaviest inflow of applications. <p><i>Operations:</i></p> <ul style="list-style-type: none"> • Continue to locate, hire and train loan processors in both Dallas Ft. Worth and Sacramento. • Deploy cross-trained Customer Service Representatives and legal staff to process disaster loans if these functions continue to display excess availability. • Continue to oversee the three private sector contractors employed by the agency to determine their level of productivity. <p><i>Communications:</i></p> <ul style="list-style-type: none"> • On-going recovery assessment: provide status updates to functional offices, field offices, OED resource partners.
Office of Performance Management and Chief Financial Officer	<ul style="list-style-type: none"> • CFO continues to participate in DEOC. • Deputy CFO continues to participate in DMOC. <p><i>Denver Finance Center:</i></p> <ul style="list-style-type: none"> • Continue to monitor workflow process for all disaster related travel vouchers to ensure minimal turnaround time.
Management and Administration	<ul style="list-style-type: none"> • AA/M&A continues to participate in DMOC.

WEEK 9 – 12 ACTIVITIES	
Chief Human Capital Officer	<ul style="list-style-type: none"> Continues to participate in DMOC.
SURGE CAPACITY	
Office of Business Operations	<ul style="list-style-type: none"> Director/OBO continues to participate in DMOC. Provide contracting support to ODA as needed. Discussion on current implementation, resource needs, and effectiveness. In cooperation with GCBD, request additional volunteer PCRs for long-term support, if required.
Office of Government Contracting and Business Development	<ul style="list-style-type: none"> AA/GCBD continues to participate in DMOC. Assists OBO by requesting additional volunteer PCRs for long-term support, if required.
Chief Information Officer	<ul style="list-style-type: none"> Continues to participate in DMOC.
Office of Field Operations	<ul style="list-style-type: none"> AA/OFO continues to participate in DMOC. <p><i>Operations:</i></p> <ul style="list-style-type: none"> Monitor the deployment of surge loan processing staff to Disaster Hub or Surge Facility locations. The deployment of additional surge staff will be considered if necessary.
Office of Capital Access	<ul style="list-style-type: none"> AA/OCA continues to participate in DMOC. <p><i>Operations:</i></p> <p>Monitor the deployment of surge loan processing staff to Disaster Hub or Surge Facility locations. The deployment of additional surge staff will be considered if necessary.</p>

WEEK 9 – 12 ACTIVITIES	
Office of Entrepreneurial Development	<ul style="list-style-type: none"> • AA/ED continues to participate in DMOC. • Third wave of partner surge provided to disaster recovery area. (resource partner service could extend beyond 12 weeks depending on recovery circumstances; longer-term deployment specifications would be developed by Weeks 5-8) • On-going recovery assessment conducted by SBA and communicated with resource partners.
Regional Administrator(s) of Affected Disaster Area(s)	<ul style="list-style-type: none"> • Continues to participate in DMOC.
District Director(s) of Affected Disaster Area(s)	<ul style="list-style-type: none"> • Continues to participate in DMOC.
Office of Policy & Strategic Planning	<ul style="list-style-type: none"> • Representative continues to act as <i>Ex Officio</i> Advisor to DMOC.

VI. APPENDICES

The Appendices primarily consist of artifacts that enable Surge Capacity: Appendices B, C, and D are governance charters for the three bodies that ensure resources are deployed effectively during Surge Capacity, namely the Disaster Executive Oversight Council (DEOC), the Disaster Management Operations Council (DMOC), and the Disaster Assistance Information Center (DAIC). Another group of artifacts [Appendices E and F] consists of documents regarding SBA's resource partners. These documents define the rules of engagement during Surge Capacity. Appendices G and H are Concepts of Operations describing how SBA will use the infrastructure within District Offices and the PDC Surge Facility in Sacramento, California during Surge Capacity.

APPENDIX A: OVERVIEW OF ODA'S ROLES AND RESPONSIBILITIES

Upon declaration of a disaster, the U.S. Small Business Administration's assets are immediately put into motion to help with recovery. As an event unfolds, SBA's Office of Disaster Assistance expands office space, calls on staff and active reservists to meet the anticipated workload, and adjusts schedules to accommodate the increased workload and various time zones.

The ODA organizational structure and assets are functionally-based and geographically dispersed, minimizing reliance on a single region. While there are additional offices within SBA that support disaster recovery (see subsequent appendices), the primary offices that support a disaster response are as follows:

- **ODA Headquarters** at SBA's Central Office in Washington, DC.
- A full-service **Customer Service Center (CSC)** located in Buffalo, New York. Disaster victims contact this center when they have questions about their loan application. Services for disaster victims include a call center, e-mail response, disaster application mailing capabilities, and pre-application entry, and the center provides services to the other centers as needed.
- Two disaster **Field Operations Centers (FOC)**: FOC-E (East) is located in Atlanta, Georgia and FOC-W (West) is located in Sacramento, California. The two FOCs are responsible for the coordination of preliminary damage assessments, field operations, information dissemination, and disaster loss verifications outside of the continental United States (OCONUS).
- A centralized **Loan Processing and Disbursement Center (PDC)** located in Fort Worth, Texas. The PDC mails applications, receives applications, evaluates them, and disburses funds to eligible borrowers. The backup location is in Sacramento, California.
- The **Personnel and Administrative Services Center (PASC)**, housed in Herndon, Virginia, includes the **Administrative and Human Resource** functions, the **Disaster Credit Management Systems (DCMS) Operations Center**, which oversees the DCMS system, and the **Field Inspection Team (FIT)**, which provides the loss verification/inspection function within the continental United States (CONUS).

This document has chronologically described these centers role in SBA's disaster response (Pre-Disaster, Day 1, Weeks 1 & 2, Weeks 3 & 4, Weeks 5 - 8, and Weeks 9 - 12). Below are each of these centers' self-described purpose, mission statement, and goals and objectives.

ODA's Customer Service Center

The information below highlights the current processes of the Customer Service Center.

Purpose and Scope:

The CSC is a state-of-the-art national contact center supporting the customer service needs of SBA's ODA by providing a single resource for internal and external customers.

Mission Statement:

To always provide responsive support to past, present, and future customers in a way that satisfies their concerns. The CSC will strive to render timely, accurate, quality customer service at all times in a caring and courteous manner, through one central source.

Goals and Objectives:

The CSC is committed to providing the highest level of service to our various constituencies by maintaining a highly-trained and dedicated workforce. We strive to be readily accessible to our clients, accepting communications through multiple channels and responding with prompt and reliable information. Our ultimate goal is to satisfy the concerns and needs of our customers, whether disaster victims or other centers, through a single contact.

ODA's Field Operations Centers – East and West

The information below highlights the current processes of the Field Operations Centers (FOCs) and how they coordinate with state and local governments.

Purpose and Scope:

FOCs conduct outreach to ODA's external partners to publicize ODA's Disaster Loan Program in advance of and following disasters. Outreach includes FEMA Regional Offices, State Offices of Emergency Services, SBA's Regional Administrators and District Directors, Congressional offices, and SBA's resource partners (e.g. SBDCs, SCORE, Chambers of Commerce, banks, etc.). FOCs deploy personnel to work individually with disaster victims, and provide loss verification functions OCONUS.

Mission Statement:

To help people recover from disasters and rebuild their lives by coordinating disaster field operations, establishing convenient and accessible locations in disaster areas, providing exceptional customer service and easy access to SBA's disaster loan program, and marketing SBA's disaster assistance loan program by effectively disseminating program information to disaster victims, Congressional offices, media, government agencies and general public.

Goals and Objectives:

- To provide outstanding customer service and establish expeditious field presence in disaster sites.
- Provide complete and expeditious responses to all congressional inquiries.

- Distribute press releases announcing disaster declarations, announcing lending milestones, upcoming deadlines, etc.
- Participate in preliminary damage assessments with our FEMA and state partners.
- Conduct expeditious original loss verifications for OCONUS disasters, and conduct on-site re-verifications for CONUS and OCONUS.
- Develop a well trained and knowledgeable staff to assure quality in all FOC functions.
- Conduct proactive outreach to media, Congressional offices, the public and disaster victims to inform them about SBA programs and services.
- Coordinate with our SBA resource partners such as Regional Offices, District Offices, Small Business Development Centers (SBDCs), Service Core of Retired Executives (SCORE) and other resource partners.
- Maintain and foster communications with SBA Regional Communications Directors and District PIOs to enhance SBA's public information efforts.
- Ensure communication between the FOC and Regional and District Offices to keep them informed of SBA's activities and plans.
- Maintain and foster productive interagency relationships with FEMA, other Federal agencies, state and local government agencies, etc.

ODA's Processing and Disbursement Center

The information below highlights the current processes of the Processing and Disbursement Center.

Purpose and Scope:

The SBA Disaster Assistance Processing and Disbursement Center (PDC) in Fort Worth, Texas serves victims of declared disasters in the United States and its territories through the issuance of disaster loan applications, the processing of disaster loan requests, preparation of loan documents, and disbursing of approved disaster loans

Mission Statement:

To process all SBA disaster loan applications and disburse approved disaster loans in a timely and efficient manner with caring, compassion, and commitment to disaster victims while providing excellent customer service through dedicated teamwork.

Goals and Objectives:

To quickly communicate correct and accurate loan decisions to disaster loan applicants and to disburse approved loan proceeds in a timely manner when requested by the borrower, while protecting the interests of the both borrower and the taxpayer/Federal Government.

ODA's Personnel and Administrative Support Center's Administrative and Human Resource Office

The Personnel and Administrative Support Center (PASC) has a Human Resource office provides the necessary administrative support functions to ODA.

Purpose and Scope:

The purpose of the SBA ODA PASC Administration is to be the administrative office for all ODA Centers. The PASC provides all necessary administrative support functions.

Mission Statement:

Provide customers with expeditious, efficient and consistent services in all areas of Administration. Provide Management and staff the tools needed to assist in Disaster Loan Making duties while maintaining superior customer service.

Goals and Objectives:

To meet and uphold the highest benchmarks of proficiency in the areas of administration, support, and the delivery of goods and services.

Field Inspection Team (FIT)

The information below highlights the current processes of the Field Inspection Team (FIT).

Purpose and Scope:

The FIT was created to provide the Disaster Loss Verification (DLV) services for SBA in accordance with all performance standards set forth within the Performance Work Statement (PWS). The PWS was issued in conjunction with the A-76 Competition for the function.

Mission Statement:

The FIT is committed to the implementation and maintenance of a management and product delivery system that will minimize cost to the taxpayer, maximize customer service to both the disaster victims and SBA and acknowledge employee commitment and contributions.

Goals and Objectives:

- Implement a highly responsive and customer service oriented organization.
- Efficiently and effectively deliver services that support SBA and Office of Disaster Assistance.
- Quickly adapt to changing workloads and the unique logistical dynamics of disaster events.
- Meet the extensive, diverse and technical demands of the Loss Verification process.
- Provide for employee satisfaction and development.
- Combine the ability to reward and motivate productive employees with the ability to monitor and correct the performance of others.

Disaster Credit Management System (DCMS) Operation Center

The information below highlights the structure for operations of the Disaster Credit Management System (DCMS) Operation Center.

Purpose and Scope:

The DCMS Operations Center supports ODA's information technology requirements through implementation. The mission is focused on providing services to our primary stakeholders, the ODA employees. The systems supported by the operations center are essential to the employees ability to meet the mission critical objective of the organization by helping disaster victims recover from disaster.

The Operations Center has three departments. The Technical Operations group is responsible for the infrastructure, hardware, network, database, system administration and security issues. The Functional group is responsible for the software applications, planning, development, testing, training and communications, and reports. The third is the Help Desk which is the front line interface to users. The Help Desk is responsible for handling requests, primarily from ODA staff, for assistance with DCMS operational questions and issues.

Mission Statement

To enhance the capability of SBA by rapidly implementing information technology solutions which have a direct impact on efficiently meeting the objectives of the Disaster Loan Program.

Goals and Objectives

Provide the backbone to enable the continuous process improvement objective and opportunities. To accomplish this, the center operates as a project management office focused on disciplined repeatable processes resulting in measurable efficiencies in the cycle times to implement change with supportable documentation. The center utilizes the SBA's Software Development Methodology.

APPENDIX B: DISASTER EXECUTIVE OVERSIGHT COUNCIL CHARTER

(as of 09/12/2007)

I. OFFICIAL DESIGNATION:

Disaster Executive Oversight Council (DEOC)

II. BACKGROUND:

This charter sets forth the governance of the Disaster Executive Oversight Council (DEOC) identified in the United States Small Business Administration Disaster Recovery Plan dated June 1, 2007, as amended (DRP). The DEOC will operate in accordance with the DRP (and companion documents), the Small Business Act (15 U.S.C. 631 *et seq.*), as amended, 13 CFR Parts 101 and 123, as amended, and other applicable rules and regulations.

III. PURPOSE:

Pursuant to Section 7(b) of the Small Business Act (15 U.S.C. 636(b)), the Agency, through its Office of Disaster Assistance (ODA), is responsible for providing affordable, timely and accessible financial assistance to homeowners, renters and businesses following a disaster. This financial assistance is provided in the form of loans to disaster victims. The size of a disaster affects the number of disaster loan applications SBA receives and, consequently, the resources SBA must activate to serve its customers. Under the DRP, disasters are categorized into levels based on the number of anticipated applications: Level I (100,000 applications received and below); Level II (100,000 to 250,000 applications received); Level III (250,000 to 500,000 applications received); and Level IV (500,000 applications received and above). During Level I and Level II disasters, ODA is responsible for addressing the needs of disaster victims using the Agency's Core Capability (as defined in the DRP). When the disaster loan application intake exceeds (or is projected to exceed) the threshold of 250,000 and/or the Associate Administrator of ODA determines that the required disaster response is not within the Agency's Core Capability, the Administrator will elevate the Agency to Surge Capacity and convene the DEOC. After Surge Capacity is activated, the responsibility for coordinating and directing the Agency's disaster response is elevated from ODA to the DEOC.

IV. OBJECTIVES:

During Level I and Level II disasters, the DEOC (through its individual members) is responsible for continual monitoring of the Agency's disaster loan application volume. During Level III and Level IV disasters, after the Administrator has placed the Agency in Surge Capacity and convened the DEOC, the responsibility for coordinating and directing the Agency's disaster response is elevated from ODA to the DEOC. Once convened, the

DEOC is responsible for ensuring appropriate Surge Capacity resource allocation and requiring the Disaster Management Operations Council (DMOC) to execute the DRP.

V. DESCRIPTION OF DUTIES:

A. Level I and Level II Disasters:

- Requires the Associate Administrator for Disaster Assistance to provide DEOC members with regular reports regarding the Agency's disaster loan application volume (to be performed by the individual DEOC members)
- Monitors the Agency's disaster loan application volume (to be performed by the individual DEOC members)
- Participates in disaster simulations and training pursuant to the DRP (to be performed by the individual DEOC members)

B. Level III and Level IV Disasters (Surge Capacity):

- Ensures appropriate Surge Capacity resource allocation
- Analyzes key performance metrics (e.g., cycle times, backlogs, quality) to determine operational resource needs
- Designates a member of the DMOC to serve as the Vice-Chair of the DMOC, in accordance with the DMOC Charter
- Requires the DMOC to execute the DRP
- Receives regular reports from the Chair of the DMOC regarding the DMOC's execution of the DRP
- Provides oversight, guidance and authority to DMOC
- Evaluates and makes a recommendation to the Administrator for his/her determination on matters as requested by the Chair of the DMOC
- Evaluates findings and recommendations made by the DMOC
- Participates in and coordinates with the Disaster Assistance Information Center (DAIC)
- Participates in disaster simulations and training pursuant to the DRP
- Considers changes in Agency policy or the DRP to better execute the Agency's disaster response obligations
- Carries out other responsibilities as delegated to it from time to time by the Administrator

VI. MEMBERSHIP AND OFFICERS:

A. Membership:

- Administrator
- Deputy Administrator
- Chief of Staff
- Associate Administrator - Office of Performance Management and Chief Financial Officer (CFO)

- General Counsel
- Associate Administrator – Office of Disaster Assistance (AA/ODA)
- Assistant Administrator - Office of Congressional and Legislative Affairs (AA/CLA)
- Assistant Administrator – Office of Communications and Public Liaison (AA/OCPL)

B. Acting Officials/Vacant Positions:

An individual designated as acting for any of the member positions will be a member of the DEOC while acting. If any of the member positions is vacant and no individual has been designated as acting, the Chair may designate an individual to serve on a temporary basis as such member.

C. Ad Hoc Members:

The DEOC may add *Ad Hoc* members to sit on the DEOC on a temporary basis as needed.

D. Officers:

1. Chair: The Administrator will be the Chair of the DEOC.
2. Vice-Chair: The Deputy Administrator will be the Vice-Chair of the DEOC. The Vice-Chair will perform the role of Chair when the Chair is not available to attend a meeting. The Deputy Administrator will also be the Chair of the DMOC.

VII. MEETINGS:

- A. Level I and Level II Disasters: The DEOC will not meet during these disasters, unless required by the Administrator.
- B. Level III and Level IV Disasters: After the Administrator elevates the Agency to Surge Capacity, the Administrator will convene the DEOC. During this time, the DEOC will meet as frequently as determined necessary by the Chair. Meetings of the DEOC will occur at the times designated by the Chair, and will take place in the DAIC or such other locations designated by the Chair.
- C. Telephonic Meetings: The DEOC is authorized to meet telephonically.
- D. Voting: The DEOC is a non-voting, advisory body, but the Administrator can require that members of the DEOC vote on an issue. The vote of the DEOC members will be a recommendation to the Administrator. Any time a vote is requested, the Administrator will determine the procedures for the vote.
- E. Minutes: The DEOC will not keep minutes of its meetings, but the Administrator can require that a contemporaneous record of DEOC proceedings be made at any time.
- F. Invitation to Members of DMOC: When the DEOC intends to discuss a matter under the purview of an individual member of the DMOC, the DEOC may invite

the affected individual member of the DMOC and any other member of the DMOC to attend a DEOC meeting.

- G. Memorializing Decisions of the Administrator: The decisions of the Administrator emanating from the DEOC will be memorialized in writing by the DEOC. Copies of the decisions will be transmitted to the DMOC by the Vice-Chair.
- H. Stand-Down: After the DEOC has convened during a Level III or Level IV disaster, the Administrator will determine when the DEOC will stand down.

VIII. DURATION:

The DEOC will continue in existence until abolished by the Administrator.

IX. SUBCOMMITTEES, TASK FORCES, AND WORKING GROUPS:

- A. Subcommittees, Task Forces or Working Groups: The DEOC may establish subcommittees, task forces or working groups.
- B. Meetings of Subcommittees, Task Forces or Working Groups: Subcommittees, task forces and working groups generally will not meet during Level I and Level II disasters, unless determined necessary by the Administrator. During Level III and Level IV disasters, these bodies will meet as frequently as determined necessary by the Chair of such body or by the Chair of the DEOC. These bodies are authorized to meet telephonically.
- C. Reports of Subcommittees, Task Forces or Working Groups: All subcommittees, task forces and working groups will make regular progress reports, as requested by the DEOC.
- D. Limitations on Powers of Subcommittees, Task Forces or Working Groups: Subcommittees, task forces or working groups must report their recommendations to the DEOC for full deliberation and discussion, unless the DEOC determines otherwise. Subcommittees, task forces and working groups will have no authority to make decisions on behalf of the DEOC.

X. MODIFICATIONS:

The Administrator has the authority to modify this Charter, in writing, at any time.

XI. EFFECTIVE DATE:

This Charter is effective as of _____, 2007.

APPENDIX C: DISASTER MANAGEMENT OPERATIONS COUNCIL CHARTER

(as of 09/12/2007)

I. OFFICIAL DESIGNATION:

Disaster Management Operations Council (DMOC)

II. BACKGROUND:

This charter sets forth the governance of the Disaster Management Operations Council (DMOC) identified in the United States Small Business Administration Disaster Recovery Plan dated June 1, 2007, as amended (DRP). The DMOC will operate in accordance with the DRP (and companion documents), the Small Business Act (15 U.S.C. 631 et seq.), as amended, 13 CFR Parts 101 and 123, as amended, and other applicable rules and regulations.

III. PURPOSE:

Pursuant to Section 7(b) of the Small Business Act (15 U.S.C. 636(b)), the Agency, through its Office of Disaster Assistance (ODA), is responsible for providing affordable, timely and accessible financial assistance to homeowners, renters and businesses following a disaster. This financial assistance is provided in the form of loans to disaster victims. The size of a disaster affects the number of disaster loan applications SBA receives and, consequently, the resources SBA must activate to serve its customers. Under the DRP, disasters are categorized into levels based on the number of anticipated applications: Level I (100,000 applications received and below); Level II (100,000 to 250,000 applications received); Level III (250,000 to 500,000 applications received); and Level IV (500,000 applications received and above). During Level I and Level II disasters, ODA is responsible for addressing the needs of disaster victims using the Agency's Core Capability (as defined in the DRP). When the disaster loan application intake exceeds (or is projected to exceed) the threshold of 250,000 and/or the Associate Administrator of ODA determines that the required disaster response is not within the Agency's Core Capability, the Administrator will elevate the Agency to Surge Capacity and convene the Disaster Executive Oversight Council (DEOC) and the DMOC. After Surge Capacity is activated, the DMOC must execute the DRP, as directed by the DEOC.

IV. OBJECTIVES:

When Surge Capacity has been activated and the DMOC has been convened, the DMOC will direct the Agency's functional and support centers and all of SBA's resources to actively respond to the disaster or series of disasters and will strategically execute the DRP.

V. DESCRIPTION OF DUTIES:

A. Level I and Level II Disasters:

- Participates in disaster simulations and training pursuant to the DRP (to be performed by the individual DMOC members)

B. Level III and Level IV Disasters:

- Directs the Agency's functional and support centers and all of SBA's resources to actively respond to the disaster or series of disasters
- Strategically executes the DRP and any companion documents
- Utilizes Disaster Hub concept as necessary
- Monitors technology utilization and capacity
- Uses disaster planning modeling tools
- Continually monitors available space for disaster operations and leverages Agency relationships with GSA to negotiate the procurement and utilization of additional infrastructure
- Participates in and coordinates with the Disaster Assistance Information Center (DAIC)
- Attends DEOC meetings when invited (to be performed by the individual DMOC members)
- Implements all decisions of the Administrator emanating from the DEOC
- Participates in disaster simulations and training pursuant to the DRP
- Recommends to the DEOC changes in Agency policy or the DRP to better execute the Agency's disaster response obligations
- Carries out other responsibilities as delegated to it from time to time by the Administrator or the DEOC

VI. MEMBERSHIP, OFFICERS AND ORGANIZATION:

C. Membership:

1. Members:

- Deputy Administrator (Chair)
- Associate Administrator - Office of Disaster Assistance (AA/ODA)
- Associate Administrator - Office of Field Operations (AA/OFO)
- Associate Administrator - Office of Capital Access (AA/OCA)
- Associate Administrator – Office of Government Contracting and Business Development (AA/GCBD)
- Associate Administrator – Office of Entrepreneurial Development (AA/ED)
- Assistant Administrator - Office of Communications and Public Liaison (AA/OCPL)

- Chief Human Capital Officer – Office of Human Capital Management (Chief/OHCM)
- Chief Information Officer (CIO)
- Associate Administrator – Office of Management and Administration (AA/M&A)
- Director – Office of Business Operations (D/OBO)
- Deputy Chief Financial Officer – Office of the Chief Financial Officer (DCFO)
- Regional Administrator(s) of Affected Disaster Area(s)
- District Director(s) of Affected Disaster Area(s)

2. Ex Officio Advisors: When the DMOC convenes, the following Agency program offices will appoint representatives to act as *Ex Officio* Advisors to the DMOC until the DMOC stands down pursuant to Section VII.D. of this Charter. *Ex Officio* Advisors will attend meetings of the DMOC and provide advice to the DMOC.

- Office of General Counsel
- Office of Policy & Strategic Planning

D. Acting Officials/Vacant Positions:

An individual designated as acting for any of the member positions will be a member of the DMOC while acting. If a DMOC member is unavailable to participate in a DMOC meeting, his/her Deputy may attend and participate in the meeting in his/her stead. If any of the member positions is vacant and no individual has been designated as acting, the Administrator may designate an individual to serve on a temporary basis as such member.

E. Ad Hoc Members:

The DMOC may add *Ad Hoc* members to sit on the DMOC on a temporary basis as needed.

F. Chair:

The Deputy Administrator will be the Chair of the DMOC. The role of the Chair includes the following:

- Provides leadership for the DMOC
- Coordinates with the DEOC to ensure that the DMOC has all of the resources required to achieve its mission
- Transmits to the DMOC copies of the decisions of the Administrator emanating from the DEOC
- Acts as a liaison and presents the findings and recommendations of the DMOC to the DEOC

- Provides regular reports regarding the activities of the DMOC to the DEOC and the DAIC, including any problems with execution
- Runs the decision-making process of the DMOC, including serving as a facilitator and consensus-builder when appropriate
- Makes final decisions on recommendations if consensus cannot be achieved in a timely manner
- Elevates decisions to DEOC for review as appropriate
- Coordinates with the Disaster Assistance Information Center (DAIC)
- Ensures that DMOC meetings adhere to the principles set forth in this Charter
- Determines the agenda of DMOC meetings

G. Vice-Chair:

When the DMOC is convened, the DEOC will designate a member of the DMOC to serve as Vice-Chair of the DMOC until the DMOC stands down pursuant to Section VII.D. of this Charter. The Vice-Chair will perform the role of Chair when the Chair is not available to attend a meeting.

H. Secretary:

When the DMOC is convened, the DMOC will designate one member to serve as Secretary until the DMOC stands down pursuant to Section VII.D. of this Charter. The Secretary will be responsible for preparing and maintaining minutes of all DMOC meetings. The minutes must contain a record of the persons present and a summary of matters discussed and recommendations made.

I. Decision-Making Process:

1. DMOC Process:

The Chair will preside over all meetings of the DMOC, and will run the decision-making process, serving as a facilitator and consensus-builder when appropriate. The members of the DMOC and the Chairs of any subcommittees, task forces or working groups may present recommendations to the DMOC for review and consideration. The DMOC will operate by consensus whenever possible. In the event that consensus cannot be achieved in a timely manner, the Chair of the DMOC has the authority to make a final decision on any recommendation, or elevate the decision to the DEOC for review as set forth in paragraph 2 of this Section.

2. Decisions Elevated to DEOC for Review:

The Chair will determine when a decision of the DMOC should be elevated to the DEOC for review. The Chair will be responsible for

presenting the matter to the DEOC for review, and for reporting the determination of the DEOC back to the DMOC.

J. Execution Procedures:

Each member of the DMOC will be responsible for execution of DMOC decisions affecting the member's program area. The DMOC Chair will report any problems with execution to the DEOC.

K. Regular Reporting to the DEOC and the DAIC:

The Chair will be responsible for providing regular reports regarding the activities of the DMOC to the DEOC and the DAIC.

VII. MEETINGS:

L. Level I and Level II Disasters: The DMOC will not meet during these disasters, unless required by the Administrator.

M. Level III and Level IV Disasters: After the Administrator elevates the Agency to Surge Capacity, the Administrator will convene the DMOC. During this time, the DMOC will meet as frequently as determined necessary by the Chair or the DEOC. Meetings of the DMOC will occur at the times designated by the Chair, and will take place in the DAIC or such other locations designated by the Chair.

N. Telephonic Meetings: The DMOC is authorized to meet telephonically.

O. Stand-Down: After the DMOC has convened during a Level III or Level IV disaster, the Administrator will determine when the DMOC will stand down.

VIII. DURATION:

The DMOC will continue in existence until abolished by the Administrator.

IX. SUBCOMMITTEES, TASK FORCES, AND WORKING GROUPS:

P. Subcommittees, Task Forces or Working Groups: The DMOC, with the concurrence of the DEOC, may establish subcommittees, task forces or working groups.

Q. Meetings of Subcommittees, Task Forces or Working Groups: Subcommittees, task forces and working groups generally will not meet during Level I and Level II disasters, unless determined necessary by the Administrator. During Level III and Level IV disasters, these bodies will meet as frequently as determined necessary by the Chair of such body or by the Chair of the DMOC. These bodies are authorized to meet telephonically.

R. Reports of Subcommittees, Task Forces or Working Groups: All subcommittees, task forces and working groups will make regular progress reports, as requested by the DMOC.

- S. Limitations on Powers of Subcommittees, Task Forces or Working Groups: Subcommittees, task forces or working groups must report their recommendations to the DMOC for full deliberation and discussion, unless the DMOC determines otherwise. Subcommittees, task forces and working groups will have no authority to make decisions on behalf of the DMOC.

X. MODIFICATIONS:

The Administrator has the authority to modify this Charter, in writing, at any time.

XI. EFFECTIVE DATE:

This Charter is effective as of _____, 2007.

APPENDIX D: DISASTER ASSISTANCE INFORMATION CENTER CHARTER

(as of 9/12/2007)

I. Background

As outlined in the National Response Plan, the Small Business Administration is a Core Group Agency of the Interagency Incident Management Group (IIMG), which is a federal headquarters-level multi-agency coordination entity that facilitates strategic Federal domestic incident management for Incidents of National Significance (INS).

In a catastrophic national disaster, senior SBA leadership will assume direct control over agency operations through the Disaster Executive Oversight Council, empanelled by the agency administrator. This is the core decision-making body under surge conditions.

To ensure operations and communications are fully integrated, the two should be purposefully interwoven.

Therefore, the AA for Communications & Public Liaison, in coordination with the AA for Congressional & Legislative Affairs, will establish the Disaster Assistance Information Center (DAIC) to serve as the agency's war room, information hub, and the Disaster Executive Oversight Council's primary meeting space during crisis response.

II. Purpose

Communications is the heart of a successful disaster response. Collecting information from the disaster zone, agency Field and ODA personnel, HQ managers, federal agencies, Congress, state officials, strategic partners, and the universe of news outlets and websites is a major job requiring a centralized operation.

Receiving information is vital; so is using it to craft careful messages and disseminating them. Major disasters are especially complex as decisions must be reached in coordination with other agencies and officials. It is vital SBA -- in its communications to the media and public officials nationally and in the disaster zone -- speak with one voice, and that the message be consistent with its federal partners.

III. Structure

The DAIC is called into existence at AA/OCPL's discretion, in consultation with SBA senior leadership. While its primary use is Level III and IV disasters, the DAIC can be called up any time AA/OCPL judges necessary.

The DAIC will reside in the largest and most central suitable location in close proximity to senior leadership, e.g. the Administrator's large conference room at SBA headquarters.

The DAIC should be outfitted with TV and teleconference screens, multiple computer stations with high speed Internet access, and teleconference-ready phone lines. It should be close to the secure executive branch phone system connected to the White House, DHS and FEMA.

AA/OCPL or his designee will manage DAIC operation, in cooperation with AA/CLA. OCPL and CLA will staff the DAIC, potentially detailing appropriate staff from other offices as necessary. OCPL, working with Office of Chief Information Officer (OCIO), will ensure proper technology has been installed in the central office DAIC location and that measures for a non-DC DAIC have been planned.

On an as-needed basis, AA/OCPL will work with the Offices of Field Operations and Human Capital Management to detail personnel from unaffected regions to the DAIC or to the disaster zone.

III. Roles & Responsibilities

The DAIC will be the:

- Primary meeting place for the Disaster Executive Oversight Council and Disaster Management Operations Council, where designees from the major agency offices convene;
- Site of regular conference calls with the White House, FEMA, and other agencies, and with disaster zone ODA and Field personnel, scheduled by AA/OCPL;
- Information hub, war room, collector and disseminator of information from all relevant sources;
- Manager of external agency messaging to the public, media, Congress, state and local officials, in coordination with executive agencies, Disaster Executive Oversight Council, Disaster Management Operations Council, Field staff, and ODA;
- Coordinator of all internal agency messaging to staff, in coordination with senior agency leadership.

APPENDIX E: MOU BETWEEN SBA AND ITS UNION REGARDING SURGE CAPACITY

[As of 9/12/07, the Union has been briefed on the Disaster Recovery Plan.]

APPENDIX F: OED RESOURCE PARTNER DISASTER RECOVERY PLAN

Acknowledgments

The contribution of the following organizations in preparing this document is gratefully acknowledged:

ASSOCIATION OF SMALL BUSINESS DEVELOPMENT CENTERS

SCORE, COUNSELORS TO AMERICA'S SMALL BUSINESS

ASSOCIATION OF WOMEN'S BUSINESS CENTERS

Org/Position	Name	E-Mail Address
SBA, AA/OED	Anoop Prakash	anoop.prakash@sba.gov
SBA, DAA/OED	Mark Quinn	mark.quinn@sba.gov
AWBC, Exec. Dir.	Ann Marie Almeida	ama@awbc.biz
ASBDC, Pres.	Don Wilson	don@asbdc-us.org
SCORE, CEO	Kenneth Yancey	kenneth.yancey@score.org

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A Network of Small Business Services

SBA's Office of Entrepreneurial Development, in conjunction with Agency resource partners (Small Business Development Centers, SCORE *Counselors to America's Small Business*, and Women Business Centers), is committed to supporting the small business community preparing for and recovering from disasters. SBA's resource partner network and entrepreneurial services such as the *Small Business Training Network* have contributed significantly to disaster preparedness for small businesses and have played a significant role in helping small business communities recover from disasters for many years.

The following plan outlines the disaster recovery commitments and roles of SBA's OED resource partners and includes a special emphasis on catastrophic events requiring "surge" capacity; that is where increased partner participation is required to meet the heavy demands of recovery. SBA's master *Disaster Recovery Plan* specifies disaster categories (Levels I – IV) that represent modeling forecasts indicating the expected number of disaster-assistance loan applications. Level III and IV disasters signal a catastrophic or large scale recovery effort that requires "surge" capacity for organizations throughout SBA.

SBA's Office of Entrepreneurial Development looks forward to working with the Agency's resource partners to further develop and improve our collective disaster recovery actions as a means to better serve American small businesses.

Anoop Prakash

Associate Administrator

Office of Entrepreneurial Development

www.sba.gov/ed

○ **OED RESOURCE PARTNER OVERVIEW**

The Office of Entrepreneurial Development is proud to work with our resource partners in serving small business. This plan (*Disaster Plan – OED Resource Partners*) outlines our collaborative commitment to work within the Agency Disaster Plan framework by continuing to deliver critical services to those small businesses in/from disaster impacted areas.

○ **Small Business Development Centers**

Small Business Development Centers (SBDCs) provide to small businesses and aspiring entrepreneurs a wide array of technical assistance support which helps strengthen business performance and sustainability and adds to the creation of new businesses entities. These small businesses in turn foster local and regional economic development through job creation and retention as a result of the extensive one-on-one long-term counseling, training and specialized services they receive from the SBDCs. The SBDCs exist from a unique collaboration of SBA funding combined with state and private sector resources.

○ **SCORE**

Representing "Counselors to America's Small Business," SCORE is a nonprofit association staffed by volunteers dedicated to providing entrepreneurs with free, confidential face-to-face and email business counseling. Business counseling and workshops are offered at 380 chapter offices across the country.

○ **Women's Business Centers**

Focuses primarily on assisting socially and economically disadvantaged women who are interested in achieving economic self-sufficiency through owning their own business. WBC's develop long term relationships with their clients and provide community based resources, customized to the unique needs of this demographic group.

○ **Small Business Training Network**

This online training network, operating as a virtual campus, offers over 23 free training courses, workshops, and electronic tools to assist entrepreneurs and other students of enterprise.

○ **FUNCTIONAL AREAS/DUTIES**

Partners within OED's resource network are able to perform a range of recovery functional roles in general. For Level I and II disasters, resource partners often rely on local representatives (staff/volunteers) to assist with recovery efforts. Such efforts include business counseling, loan application preparation, and other services that may include SBA or other local recovery products. As many partners receive local matching funds, they collaborate with state entities that assist local communities dealing with smaller scale disasters. Accordingly, some services provided to small businesses are limited by the expertise or skill sets of local counselors.

OED's resource network would call upon a wider group of partner representatives during Level III and IV disasters. Anticipated actions to be performed by resource partners would include:

- Making potential applicants aware of SBA's services and handing out disaster loan applications,
- Screening and interviewing – helping applicants complete documents and collect requisite background information,
- Application assistance,
- Direct counseling assistance to help small businesses,
- Financial record reconstruction,
- Alternative marketing for small businesses to reach current/new customers,
- Forming business support groups in conjunction with SBA efforts, and
- Providing other general small business counseling and training.

○ **PEOPLE AND RESOURCES**

Immediately following any declared disasters, an assessment of recovery assistance needs will be conducted by SBA in consultation with resource partners. The assessment will include anticipated needs for additional resource partner representatives to assist with small business recovery, the extent and schedule upon which additional resource partner representatives will arrive in the disaster impacted area, and the availability of resources to accommodate the arrival of the additional resource partner representatives. We anticipate that recovery during Level I and II disasters will draw upon local/regional resource partners while recovery during Level III and IV disasters will require participation from partners across the nation.

During catastrophic or large scale recovery efforts, the resource partner network is capable of providing approximately 125 total representatives per week contingent upon additional support from SBA to off-set costs and coordination of logistical support services. Resource partner representatives would generally be available to serve for approximately one-to-two week shifts with brief breaks to return home and complete another future shift as recovery needs demand. As stated in the Disaster Recovery Commitment section below, resource partners have generally committed to performing surge capabilities for up to 90 days. Longer term commitments can be revisited with resource partner principals during the

course of a recovery based upon on-going surge needs, available resources, and updated recovery plans.

Previous resource partner support of recovery efforts has evidenced their willingness to contribute additional time during catastrophic events. Accommodations for surge participants include basic requirements such as lodging, workspace, restrooms and showers. Circumstances vary in different disaster impact areas and efforts will be made to meet the needs of representatives helping with recovery.

Projected OED Resource Partner Maximum Surge:

The following resources have been identified to help accommodate partner surge deployments to disaster areas:

- Financial support for travel, lodging and meals
- Technology tools to include laptops, printers, internet access, tech support and telephones
- Workspace if existing disaster area resource partner locations cannot accommodate surge participants
- Advance health services (e.g., shots as needed) and on-site health care) if necessary and if possible

When a significant population is relocated outside of an impacted area or delayed from returning to an impacted area, SBA will work with OED resource partners to address the special needs of the dislocated small businesses needing assistance and how to best provide services to that population.

○ EXISTING BARRIERS

Key among the existing barriers is identifying funding to support disaster recovery efforts that are currently not budgeted by the SBA resource partner network. Recovery costs such as travel, housing and meals for partner representatives that play an important role in communities rebounding from disasters have to-date been left for individual organizations to cover. In limited situations, costs such as facilities rentals, technology, and local transportation also become a factor. Centralized or supplemental funding to cover such costs would allow resource partners to better plan for and afford the deployment of surge participants. Cost models will be developed by SBA and the resource partners along with possible vehicles to handle such expenses.

Statutory and policy barriers that should be addressed include current funding issues related to SBDCs working across state lines and on-site logistics and possible prohibitions against partners being passengers in federal vehicles.

SBA and the OED resource partners have already developed a working agreement to adjust grant performance goals and milestones for centers/chapters that participate in disaster

recovery surge efforts. The goal adjustment would reflect the possible decreased performance delivered in a partner's local area due to their staff/volunteer being deployed to a disaster impacted area.

SBA is committed to addressing such barriers to improve upon resource partner utilization in disaster recovery.

○ **OPPORTUNITIES FOR EXCELLENCE**

Best practices identified in previous disaster recovery situations include two central themes: *communication* and *information management*. Communication among partners regarding expectations, updates, resources, and needs allows for more effective recovery based on current realities. Information management in advance of a disaster and during the recovery period allows for organizations (and partners) to better deploy their representatives along with identifying the resources available to support them when possible. Both *communication* and *information management* will lead to better coordination of services provided by SBA (as represented by multiple units within the Agency).

Additional best practices include the proper advance identification and training of resource partner representatives, on-site coordination of arrivals/departures of representatives possibly new to an area, co-location of multiple resource providers to accommodate the varied needs of disaster victims (including small businesses experiencing economic losses as a result of a disaster), and a readily available comprehensive set of materials (forms, training materials, flyers, instructions, etc) available to surge participants. A key resource partner best practice is the creation and maintenance of a database of all organizational representatives to include their availability and preparedness for deployment to disaster recovery areas. This practice allows for more efficient organizational communication and tracking of future surge-ready participants.

SBA's Small Business Training Network, in conjunction with the SBA Office of Disaster Assistance, has developed an online workshop which serves as guide to the Agency's disaster assistance programs and will be made available to all resource partners. (See *Online Resources* section)

We also note that each resource partner has volunteered to share best practices within the OED network in an effort to help with the recovery.

○ **PARTNERS PREPAREDNESS REQUIREMENTS**

Resource partners have a history of helping communities recover from disaster, including the local areas in which they reside. Additional preparedness requirements would be focused on responders identified to assist with surge scenarios that address the recovery needs of any community after a large scale disaster (Level III or IV).

Partner preparedness would include:

- Lessons learned from previous disaster recovery situations
- Best practices as identified by each partner and SBA
- Training/updating on SBA disaster assistance products/services including rules, guidelines, and eligibility requirements
- Updated training on financial record reconstruction
- Simulation exercises reflecting the updated SBA Disaster Recovery planning framework

○ **ROLES/RESPONSIBILITIES**

A centralized coordinating model that provides for identified points-of-contact for each partner, expedited decision authority/approval, frequent communication within the SBA network (including community-wide recovery efforts/players), and co-located recovery services (where possible) are preferred by resource partners. The coordinating model would compliment SBA's internal model to best communicate with other Agency units such as the Office of Disaster Assistance, Office of Communication and Public Liaison, etc.

For **SBA**, the Associate Administrator for Entrepreneurial Development will serve as OED's central point-of-contact.

For **SBDCs**, the President of the ASBDC will serve as their central point-of-contact regarding disaster recovery.

For **SCORE**, their CEO will serve as the point-of-contact.

For **WBCs**, the Executive Director of the AWBC will serve as the point-of-contact.

Daily communication between central points-of-contact would be needed during Level III and IV disaster recovery situations. Electronic communications such as e-mail and webpage updates can be utilized along with meetings and conference calls. In many disasters, communication resources such as phone lines and internet access may be severely limited so additional contingency means of communication will be identified by SBA. Periodic discussions to evaluate the need and effectiveness of recovery efforts between central points-of-contact should be held bi-weekly to make sure the proper resources are dedicated to the effort.

Co-location of resource partner services can be evaluated as part of the specific recovery efforts. In certain areas where a disaster has not shut down a local resource partner location or proximity to a disaster area is reasonable, co-location of SBA resources may not be required. Where extreme disaster damage has impacted local resource partner locations and/or proximity to the nearest center to the actual disaster area is unreasonable, co-location

is likely the best option to provide services to local businesses. In these cases, SBA will have template agreements to accommodate resource partner occupation ready for immediate review and execution. Resource partners recognize that disaster service centers are not always controlled by SBA and accommodation for space requests may need to be addressed through external parties. SBA will review possibilities such as facility rentals and/or mobile service units that may assist with resource partner service delivery.

Additional elements of the coordinating model should be developed in order to support teams of counselors to assist with on-site living and working conditions. An example would include a “buddy system” where partner representatives check in with a local liaison on a daily basis to ensure their location and well-being.

Level I and II disaster situations

On a case-by-case basis, AA/ODA will communicate needs to AA/OED who will then work with OED Directors on disaster recovery plans. Each OED Director will work with their resource partner representative to discuss/review disaster recovery efforts. AA/OED and AA/ODA will decide upon organizational representatives to continue on-going communications with OED resource partners throughout disaster recovery situations.

Level III and IV disaster situations

SBA Disaster Executive Oversight Council will communicate with Disaster Management Operations Council (including AA/OED).

AA/OED, as member of the SBA Disaster Management Operations Council, will communicate directly with each resource partner point-of-contact to discuss current assessment of disaster recovery needs and possible surge deployments. The AA/OED will stay in communication with each resource partner point-of-contact through Level III and IV disaster situations to execute recovery plans and assess current needs, including the deployment of partner representatives to assist with the surge. AA/OED will be a liaison between the resource partner network and the SBA Disaster Management Operations Council.

○ DISASTER RECOVERY COMMITMENTS

Delivering service to communities that are recovering from disaster is driven by a number of factors including the duration of the disaster event, evacuations, accessibility issues, the status of local resource partners impacted by the disaster, and other issues. The following timeline establishes milestones for OED resource partners’ progression in mobilizing and deploying their representatives in support of disaster recovery as coordinated with the SBA. Resource partners play a vital role in supporting small businesses and the process of defining specific commitments by each partner assists with overall coordination in helping communities recover from disasters.

Pre-Disaster

- OED and the Agency resource partners are active in providing small businesses with disaster preparedness training through online courses, print materials, and local events throughout the year (with a higher concentration prior to hurricane season in select areas). These training sessions are often offered by SBA resource partners and/or through partnerships coordinated by OED.
- OED in conjunction with ODA has prepared an online course for use by SBA staff and others interested in learning more about Agency disaster recovery products and services.
- Resource partner preparedness and training needs assessed.

Day 1-3

- SBA and resource partners collaborate to distribute disaster recover training materials and information to small businesses/organizations in the disaster impacted area.
- SBA and resource partner points-of-contacts assess and communicate status of partner locations in affected areas.
- Partners in affected areas reconnect with host organizations/central offices.
- Assessment of disaster situation by SBA begins.

Weeks 1 and 2

- Recovery materials continue to be distributed to small businesses.
- Continued assessment of disaster situation by individual members of the Disaster Executive Oversight Council and surge considered by SBA Administrator.
- OED reviews disaster recovery partner commitments.
- Communications between SBA and resource partners established (central points of contact).
- Affected partner organizations work to establish operations.
- Resource partners begin conducting small business outreach based on availability of local/regional staff and in conjunction with SBA efforts.
- If partner surge required (Level III and IV), SBA officially communicates request to partner points of contact based on previously identified needs, agreements and current disaster assessment.
- Communication sent to partner Rapid Recovery Team (comprised of resource partner representatives) to confirm participants/volunteers.
- Initial partner deployment schedules finalized and deployments initiated.

Weeks 3 and 4

- First wave of partner Rapid Recovery Team in operation in disaster zone (assuming surge requested and space availability).
- Second wave arrives prior to first wave departure (unless first wave is needed to provide continued support).

Weeks 5 to 8

- SBA assesses current recovery efforts and communicates anticipated needs with resource partner points of contact.
- Discussion on current implementation, resource needs, and surge scheduling conducted.
- Partner surge request is updated and officially communicated between partners.
- Additional volunteers recruited (as needed).
- Updated surge scheduling created and communicated.

Weeks 9 to 12

- Third wave of partner surge provided to disaster recovery area. (resource partner service could extend beyond 12 weeks depending on recovery circumstances; longer-term deployment specifications would be developed by Weeks 5-8)
- On-going recovery assessment conducted by SBA and communicated with resource partners.

Post-Disaster

- Recovery efforts stabilized and surge participants have returned to home area.
- Feedback sessions are scheduled and lessons learned discussed/captured/shared/archived for review.

-- DISASTER RECOVERY --	PRE	D1	W1+2	W3+4	W5-8	W9-12	POST
Small business preparedness material distributed (on-going outreach in multiple areas)	X	X	X	X	X	X	X
Small business disaster recovery material distributed		X	X	X	X	X	
Resource partner training	X	X					
Disaster situation assessed; surge considered		X	X				
Surge communications initiated with partners			X	X			
Partners conduct local outreach			X	X	X	X	X
Surge commitments/plans reviewed			X				
Partner surge requests/approval communicated			X				
First wave of partner surge participants				X			
Second wave of partner surge participants				X	X		
Assessment of current disaster recovery needs/partner surge requirements	X	X	X	X	X	X	X
Updated partner surge participation request					X		
Third wave of partner surge if needed (weeks 12+)						X	
Re-evaluate and communicate current long-term recovery needs with SBA and resource partners					X	X	
Post-disaster feedback, lessons learned meetings, and approved partner travel-lodging-etc reimbursements are reconciled							X

APPENDIX G: DISASTER HUB CONCEPT OF OPERATIONS

SBA's Core Capability provides for the necessary space, work stations, and other infrastructure to accommodate the processing of 250,000 or fewer disaster loan applications.

However, if the anticipated workload for a disaster exceeds 250,000 applications, SBA's Administrator activates Surge Capacity as set forth in the Disaster Recovery Plan. This requires ODA to implement surge strategies to maintain program delivery, ensuring all incoming applications are processed within 21 days. As described in SBA's Disaster Recovery Plan, the current surge strategy is to utilize the Ft. Worth and Sacramento facilities as the primary locations for surge loan processing. If SBA is required to provide additional capacity in Level III disasters, and particularly for Level IV disasters, SBA activates Disaster Hub Centers to ensure that the agency can maintain the performance goal of processing disaster loans to a decision within 21 days. The current plan also requires ODA to be able to deploy all essential personnel in one week to the Surge and Hub locations as required to maintain production standards.

SBA will provide a checklist and action plan to allow each Disaster Hub Center to activate its site disaster recovery plans to assist with Level III (250,000 to 500,000 applications) and Level IV –Surge – (500,000 & above applications). This will allow the Disaster Hub locations to plan and anticipate real work solutions to enhance program delivery.

Disaster Hub Locations:

The following Table shows the locations and main point of contact of the District Offices that will be used as Disaster Hubs, as necessary.

Syracuse, NY	BJ Paprocki
Philadelphia, PA	Dave Dickson
Charlotte, NC	Lee Cornelison
Detroit, MI	Dick Tempkin
Dallas, TX	Steven Muhlhauser (A)
San Antonio, TX	Pam Sapia
Wichita, KS	Liz Auer
Santa Ana, CA	Adalberto Quijada
New York, NY	TBD
Miami, FL	Francisco Marrero

When the disaster workload anticipates a volume of incoming applications that exceeds 250,000; the Administrator's plan requires a turn key approach to implement the Hub concept. To implement the Hub Centers, the following roles and responsibilities must be understood and implemented:

Roles and Responsibilities

District Director:

As a Disaster Hub Center is activated, the Office of Management and Administration, the Office of Field Operations and the appropriate District Director will ensure facilities and infrastructure are available and ready for Hub Center activation. The District Director is also responsible for coordination and communication with the PDC Management.

Hub Center Requirements:

Space & Equipment -Based on our current working model, a minimum of approximately 2,715 square feet working space for 47 cabled workstations (*which includes adequate power for computer and telephone for each workstation*) is required. Within our working model, there is adequate space to accommodate two-four printers, one copier, one fax machine and small supply/form area.

Building & Access: Each Disaster Hub Center must have 24 hour access to allow for 7 days a week (*including holiday*) and double shift loan processing functions. This is especially important during set up since the time line allotted to bring the Hub Center operational is very tight. We are required to have the Hub Locations functional within a week from the time that we determine that Hub support is required to maintain production goals.

The following items should be considered:

- Preplanned lease arrangements allow for building access and extended hours of operation to ensure comfortable working conditions (*heat or air conditioning as needed for the extended work schedule*), sufficient custodial services and adequate parking.
- Points of contact information of key Hub Personnel that will be available to assist the PDC Hub team with the facility set up and maintenance. (*IT, security, pass/building keys, etc*).
- Security arrangements to secure and protect computer equipment and personnel will also be required.
- Mail room access is also required to mail applicant correspondence and PDC documentation. (*Access to Federal Express facility/drop off locations*).

- Evacuation and emergency plans (*weather, bomb threats*) should also be available at time of occupancy.
- Emergency contact information (*building/landlord, emergency, federal police*) must be provided to address facility shutdown or work interruption.
- Facility Requirements:
 - Facility has existing ability to turn on fully cabled workstations and essential office equipment (*electric power, computer lines and phone lines to accommodate the required workstations*)
 - Facility has adequate and safe parking (including second shift).
 - Facility lease has flexibility to extend hours of operation to accommodate for disaster work schedule. Worst case scenario would be double shifts, 7 days a week, including holidays. Accessibility to leased premises with adequate facilities, building access, safe and adequate parking, air condition/heating, custodial services.
 - Back up power information to keep computers active and data secured should also be made available.
- Ancillary Considerations:

Additional consideration should be given to such concerns as accessibility to reasonable hotel accommodations, public transportation, security requirements (*people and equipment*) and back up power sources. Access to resources such as mail service will also be required.
- Workstation requirements: Ideally the desired work space would be between 75 to 100 square feet per employee. However, a working model used in the PDC allows for approximately 56 square feet per employee.
 - Desk (portable/folding table approximately 2.5 feet by 4 feet)
 - Computer
 - Phone
 - Chair
 - Start up kit (*general supplies including stapler, pens, note pads, calculator, tape, staple remover, ruler, paper clips, highlighter, scissors, and rubber bands*).
 - Garbage container
 - Paper shredder box

- Recycle Bins
 - Mouse pads, keyboard rests and mouse pad rests.
-
- Business Equipment and Mail Requirements:
 - Scanner
 - Shredder(s)
 - Copier (*heavy duty use*)
 - Fax machine
 - 2 Printers
 - Form rack (*for SBA forms and general supplies such as travel vouchers, 8821s, mail supplies, etc*)
 - Tables for printer, scanner and fax machine.
 - Mail room access including postage for mailing documents and Federal Express packages to applicants and PDC.

PDC Management

The PDC Management would continue to be responsible for overall management of the disaster loan processing. The PDC would supply a core staff which would include an Officer-in Charge to assist with the management of each Disaster Hub Center. The officer in charge would be responsible for managing the daily operation of the Hub activities and assuring production goals are met.

Center Director- The Center Director is fully responsible for managing the PDC and overseeing the management of the Hub Centers. The Center Director will designate the staff to manage the Hub Center. The Center Director of the PDC is responsible for providing direction with regard to the establishment of the Hub Centers.

- The Center Director & Management staff at the PDC will continue to be responsible for the management of all processing and disbursement functions and retain complete control of the functions associated with the surge and the Hub Centers.
- The Center Director will designate and detail supervisors from the PDC to travel to the Hub Center to act as the Officer in Charge to handle the loan processing operation.
- The PDC will control/direct file assignment and inventory control for loan processing.
- PDC management will be responsible for providing direction and management for all aspects of the loan processing functions. The primary function of the Hub Center is to assist in the processing of disaster loans when volume warrants at the beginning of a catastrophic disaster. The Hub Center would take a substantive role in the processing of disaster loans as the PDC begins to hire and train additional temporary staff at the PDC. The Hub Centers will act as an extension of the PDC when the Surge plan is activated.

- The PDC Management would be responsible for supplementing any computer and equipment needs at the Hub Centers.
- The PDC Management would be responsible for preparation of loan processing production reports.
- The PDC Management would be responsible for all on site training, support and management.
- PDC management will be responsible for providing technical support and management for disaster processing Hub teams.

Typically, Hub teams will have the following structure:

- One (1) Officer in Charge (GS-12 – PDC Cadre)
- Five (5) Supervisory Loan Officers (8 to 1 ratio)
- One (1) Loan Support/Clerical
- Two or three (2-3)IT Specialists (*Initial Set-up*)

Officer in Charge (OIC)

The role of the OIC is to serve as the primary contact and manager of the Hub Center. The OIC is responsible for the administrative and managerial duties associated with the location. The scope of duties included in this position includes maintaining effective communication between the Hub Center and the PDC. Additionally, keeping staff informed and trained on processing issues as required, reporting time and attendance of Hub personnel, addressing any leave requests (*sick and annual*) and any typical managerial functions of the daily operations of the center. As dictated by PDC management, the OIC will ensure that work schedules are adequate to match current production needs.

Summarization of Responsibilities:

1. Directing the production efforts of the processing staff.
2. Assuring established ODA production goals are met.
3. Providing policy and procedural guidance as it applies to disaster lending.
4. Communicating with PDC Management
5. Interacting with District Management on facility issues as required

Supervisory Loan Officers:

The role of the Supervisory Loan Officer is to supervise a group of loan officers to assist with processing disaster loan applications. Generally, all loan decisions require a rule of two with the SLO reviewing and concurring with the loan officer recommendation before it is considered complete. The

SLO assures loan decisions are made in accordance with SOP guidelines. The SLO reviews the file to make sure that the file contains the proper documentation and that the loan recommendation is supported and properly justified within disaster lending guidelines

The SLO's scope of responsibility includes providing on the job training for District loan officers, ensuring SOP and program integrity are applied to processing disaster loan applications. SLOs assist with interpreting program information and providing feedback and support to loan officers assigned in their groups. SLOs monitor individual production, coach loan officers with unique case file concerns and provide guidance in addressing difficult eligibility issues. SLOs maintain and report daily attendance records of their groups. They are responsible to report any conduct or attendance concerns to their OIC. The typical ratio for home loan officer groups is 6 to 8 depending upon the agency experience of the SLO.

Summarization of Responsibilities:

1. Reviewing loan recommendations to ensure adherence to established ODA policy.
2. Providing loan officers with on the job training and technical support.
3. Monitoring production of individual loan officers.

District Loan Officer:

The loan officer is the primary contact during the processing of the disaster victim's file. The disaster assistance program is customer-driven. Loan officers must communicate clearly, professionally and with compassion in all conversations with their applicants. A loan officer must be tactful and empathic to a disaster victim so they may perceive this communication as an enhancement rather than impediment to their disaster recovery effort through the disaster loan program. In order to accomplish the Agency mission to provide timely financial assistance, loan officers must be productive and adhere to all processing guidelines. All loan officers are required to process applications in the order that they are received and meet established quality and production goals. Production standards for home loan officers are four applications in an 8 hour day and 5 applications in a 10 hour day. Incoming application volumes can increase significantly in a short period of time, therefore disaster personnel must be flexible in adapting their work schedules to meet the need for mandatory overtime and weekend work.

Summarization Responsibilities:

1. Processing disaster loan applications.
2. Communicating loan recommendations to borrowers.
3. Monitoring portfolio aging.
4. Maintain adequate quality and meet production standards.

Loan Support/Clerical:

Each Hub Center should also employ one program assistant or loan support clerk to aide with the clerical, scanning, mail duties and other necessary clerical functions as needed.

IT Specialists:

IT Specialists will be deployed at onset of Hub Center activation to assist with the set up of equipment and establish DCMS access.

Summary of Leadership Points of Contact:

1. Center Director
2. District Director
3. Office In Charge (*Center Director appointed*)

DISASTER HUB CENTER SUPPLIES

- | | | |
|---|--|---|
| <input type="checkbox"/> 47 workstations (includes computer) | <input type="checkbox"/> 2 tables for printers and fax machine | <input type="checkbox"/> First aid supplies (first aid kit) |
| <input type="checkbox"/> 47 desk chair | <input type="checkbox"/> Mail room supplies for Federal Express packages | <input type="checkbox"/> File trays (for Program Assistant) |
| <input type="checkbox"/> 47 telephones | <input type="checkbox"/> Note pads | <input type="checkbox"/> 3 hole punch |
| <input type="checkbox"/> 47 start up kits (general office supplies) | <input type="checkbox"/> Pens | <input type="checkbox"/> 5 clip boards |
| <input type="checkbox"/> 47 garbage cans and paper recycle containers | <input type="checkbox"/> Highlighters | <input type="checkbox"/> Paper clips |
| <input type="checkbox"/> 1 Scanner | <input type="checkbox"/> Post it note paper (various sizes) | <input type="checkbox"/> File folders |
| <input type="checkbox"/> 1 Copier (heavy duty use) | <input type="checkbox"/> Copier paper – legal and letters | <input type="checkbox"/> Filing cabinet |
| <input type="checkbox"/> 2 Fax machines | <input type="checkbox"/> Inter office envelopes | <input type="checkbox"/> File holders |
| <input type="checkbox"/> Paper shredder(s) | <input type="checkbox"/> Standard mail envelopes (with windows) | <input type="checkbox"/> Computer Accessories - Mouse pads, keyboard rests and mouse pad rests. |
| <input type="checkbox"/> Form rack for forms and office supplies | <input type="checkbox"/> Phone message pads | <input type="checkbox"/> Hand sanitizers |

Disinfecting spray and
wipes for desk and computers

Pen/pencil holders

Binder clips

Copier and printer toner

Post it tabs in various
colors

APPENDIX H: DISTRICT OFFICE ONLINE TOOLBOX

Providing field office staff ready access to practical and well designed tools is key to the successful integration of regional and district office staff in the delivery of SBA's disaster assistance program. Among the chief concerns expressed by non-disaster field offices working to support the Agency's disaster recovery efforts has been the availability of up-to-date disaster program information, Office of Disaster Assistance (ODA) points of contact, and informative marketing materials.

The SBA Office of Marketing and Customer Service (OMCS) and ODA have developed and made available on SBA's employee intranet page, a wealth of valuable information on the SBA disaster loan program, including: eligibility and qualification requirements, disaster declaration status updates, and disaster specific information on how and where to submit loan applications. These disaster program tools have traditionally resided in various locations on the SBA public home page and the employee intranet page.

In anticipation of the newly formalized role that regional, district and branch offices will assume, particularly in large scale and catastrophic disasters, an easily accessible single point of entry to these basic program resources has been developed and placed on the SBA employee intranet page.

The creation of this intranet based disaster toolbox that includes not only links to existing program



materials, but newly developed quick reference contact lists, program talking points, and training resources, has enabled regional, district and branch offices to respond to the public more quickly and more effectively in the event of disasters.

Additionally, the creation of a local disaster stakeholder directory, which has been populated by each SBA district office, will provide both ODA and district offices with a single source for information on elected officials, SBA partners, lenders, faith based organizations, community leaders and other primary SBA disaster program stakeholders.

The disaster toolbox is a dynamic resource that will serve as the central source of program material for non-disaster field staff in disaster situations. It is both easily accessible through a link on the SBA intranet home page and will, through a collaborative effort between the OCMS, ODA, Office of the Chief Information Officer and the Office of Field Operations, be routinely maintained and updated.

Disaster Toolbox Resources

District Office Resources & Quick Reference

- Quick Contact and Referral List
- Regional Disaster Coordinators
- Local Stakeholders
- ODA Training Overview for SBA staff
- Frequently Asked Questions
- Current Disaster Declarations by State
- Current Disaster Fact Sheets

Contacting ODA

- Listing of current disaster outreach centers
- Customer Service Center (Buffalo)
- Field Operation Center East (Atlanta)
- Field Operations Center West (Sacramento)
- Disaster Processing and Disbursement Center (Ft. Worth)

Applying for a Disaster Loan

Applying for a Disaster Home Loan

- Fact Sheet
- Overview
- Home and Personal Property Loans

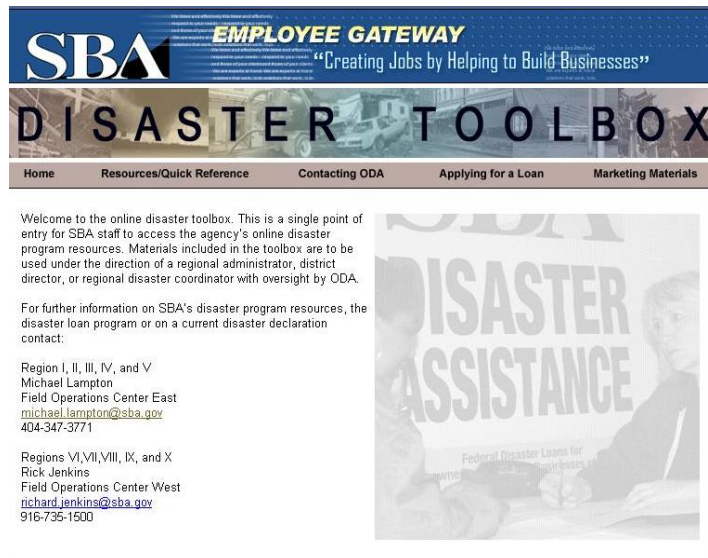
Applying for a Disaster Business Loan

- General Information and link to Forms
- Program Requirements
- Application for Business Loan
- Form 5 Info Sheet
- Fee Disclosure Form and Compensation Agreement
- Additional Requirements for EIDL and MREIDL
- Financial Statement
- Authorization for SBA to Access Applicant Tax Information
- Instructions for IRS form 8821
- Schedule of Liabilities
- Schedule of Liabilities Instructions

Disaster Marketing Materials

- Business Disaster Fact Sheet
- Home and Renter Disaster Fact Sheet
- Media Guide
- General Media talking Points
- Preparedness Public Service Announcement

- Disaster Print Ads
- Preparedness Handout
- Preparedness FAQ
- Hurricane Season Fact Sheet
- Podcast – Preparedness for Business Owners



The screenshot shows the SBA Employee Gateway website. At the top, the SBA logo is on the left, and the text "EMPLOYEE GATEWAY" and "Creating Jobs by Helping to Build Businesses" is on the right. Below this is a banner for the "DISASTER TOOLBOX" with a background image of a damaged building. Underneath the banner is a navigation menu with five items: Home, Resources/Quick Reference, Contacting ODA, Applying for a Loan, and Marketing Materials. The main content area on the left contains a welcome message, contact information for regional administrators, and a link to a fact sheet. On the right, there is a large image of a person sitting at a desk with a sign that says "DISASTER ASSISTANCE".

SBA EMPLOYEE GATEWAY
"Creating Jobs by Helping to Build Businesses"

DISASTER TOOLBOX

Home Resources/Quick Reference Contacting ODA Applying for a Loan Marketing Materials

Welcome to the online disaster toolbox. This is a single point of entry for SBA staff to access the agency's online disaster program resources. Materials included in the toolbox are to be used under the direction of a regional administrator, district director, or regional disaster coordinator with oversight by ODA.

For further information on SBA's disaster program resources, the disaster loan program or on a current disaster declaration contact:

Region I, II, III, IV, and V
Michael Lampton
Field Operations Center East
michael.lampton@sba.gov
404-347-3771

Regions VI, VII, VIII, IX, and X
Rick Jenkins
Field Operations Center West
richard.jenkins@sba.gov
916-735-1500

Federal Disaster Loans for
Small Businesses

APPENDIX I: SACRAMENTO SURGE FACILITY – SURGE CAPACITY CONCEPT OF OPERATIONS

SBA's Core Capability provides for the necessary space, work stations, and other infrastructure to accommodate the processing of 250,000 or fewer disaster loan applications.

ODA has the capability to activate the Sacramento Surge Facility when disaster activity exceeds 100,000 loan applications on an as needed basis. However, when workload volume exceeds 250,000 applications, the Administrator will activate Surge Capacity as set forth in the Disaster Recovery Plan. ODA is then required to implement surge strategies to maintain program delivery to ensure that all incoming applications are processed within 21 days. At this level of activity, the Sacramento Surge Facility will be activated to maintain the performance goal of 21 days. The current plan also requires ODA to be able to deploy all essential personnel in one week to the Surge location.

The plan is to establish a loan processing facility that will be co-located at FOC West to assist with Level III (*250,000 to 500,000 applications*) and Level IV (*500,000 & above applications*) - Surge. The Sacramento PDC Surge location will serve as an extension of the PDC facility to enhance program delivery and to ensure that all applications are processed in 21 days.

When the disaster workload anticipates a volume of incoming applications that exceeds 250,000, the Disaster Recovery Plan requires a turn key approach to activate the Sacramento facility. We want to outline certain strategic elements that would be required to implement the plan as a turn key operation.

Roles and Responsibilities

Center Director / FOC-W - The primary function of the Center Director in the FOC-West operation is to manage the FOC-West Field Operations. However, as the Sacramento facility is activated under Surge conditions, the Center Director of FOC-W would coordinate with the PDC Center Director regarding the loan processing facility and equipment requirements. It is the responsibility of the FOC-W Center Director to ensure the facility is ready for use.

Facility Requirements:

Based on the existing Disaster Recovery Plan, the Sacramento facility has 350 workstations. Using a double shift this would allow 700 loan officers to process daily.

Space & Equipment – Based on our current working model, approximately 26,250 square feet of working space will be needed to house 350 cabled workstations (*which includes adequate power for computer and telephone for each workstation*). Back up power information to keep computers active and data secured should also be made available. Within our working model, there is adequate space to accommodate 35 printers, 7 copiers, 7 fax machines and a supply/form station.

Building & Access- The Sacramento facility must have 24 hour access and allow for processing 7 days a week (*including holidays*). The facility must have safe parking for first shift and second shift, air conditioning/heating, custodial services. The Center Director is responsible for ensuring the facility can reach 100% loan processing capacity within 7 days of the ODA's request to activate.

General Facility & Equipment Considerations: *(The following items are noted in the event the existing Sacramento Operation becomes unavailable and an alternative site had to be obtained.)*

- Preplanned lease arrangements allow for building access and extended hours of operation to ensure comfortable working conditions (*heat or air conditioning as needed for the extended work schedule*), sufficient custodial services and adequate parking.
- Points of contact information of key Personnel that will be available to assist the PDC team with the facility set up and maintenance. (*IT, security, pass/building keys, etc*).
- Security arrangements to secure and protect computer equipment and personnel will also be required.
- Mail room access is also required to mail applicant correspondence and PDC documentation. (*Access to Federal Express facility/drop off locations*).
- Evacuation and emergency plans (*weather, bomb threats, etc*) should also be available at time of occupancy.
- Emergency contact information (*building/landlord, emergency, federal police*) must be provided in order to avoid a facility shut down or work interruption. The COOP plan should also be made accessible to the OIC prior to occupancy.
- Ancillary Considerations:
Additional consideration should be given to such concerns as accessibility to reasonable hotel accommodations, public transportation, security requirements (people and equipment) and back up power sources. Access to resources such as mail service will also be required.
- Work station requirements: Ideally the desired work space would be between 75 to 100 square feet per employee. However, we have a working model at the PDC which allows for approximately 56 square feet per employee.
 - Desk (*portable/folding table approximately 2.5 feet by 4 feet*)
 - Computer

- Phone
 - Chair
 - Start up kit (*general supplies including stapler, pens, note pads, calculator, tape, staple remover, ruler, paper clips, highlighter, scissors, and rubber bands*).
 - Garbage container
 - Paper shredder box
 - Mouse pads, keyboard rests and mouse pad rests.
- **Business Equipment and Mail Requirements:**
 - Scanners
 - Shredders
 - Copiers (heavy duty use)
 - Fax machines
 - Printers
 - Form racks (for SBA forms and general supplies such as travel vouchers, 8821s, mail supplies, etc)
 - Tables for printers, scanners and fax machines.
 - Mail room access including postage for mailing documents and Federal Express packages to applicants and PDC.

PDC Management

Center Director- The Center Director is fully responsible for managing the PDC and the Sacramento Surge Processing Operation. The Center Director will designate the staff to manage the Sacramento Surge Processing Operation. The Center Director of the PDC is responsible for providing direction with regard to the establishment of the Sacramento Surge Operation.

- The Center Director & Management staff at the PDC will continue to be responsible for the management of all processing and disbursement functions and retain complete control of the functions associated with the surge.
- The Center Director will designate and detail a supervisor from the PDC to travel to the Surge Operation to act as the Officer in Charge to handle the loan processing operation.
- The PDC will control/direct file assignment and inventory control for loan processing. The PDC will supply a core staff to manage the daily operations of the Sacramento Facility.

- PDC management will be responsible for providing direction and management for all aspects of the loan processing functions. The primary function of the Sacramento Surge Facility is to act as an extension of the PDC when the Surge plan is activated.
- The PDC Management would be responsible for supplementing any computer and equipment needs at the Sacramento Surge facility.
- The PDC Management would be responsible for preparation of loan processing production reports, staffing reports associated with the PDC staff, as well as managing all performance and conduct issues associated with the loan processing operation.
- The PDC Management would be responsible for the establishment of sufficient experienced staff to provide training, support and management. (*Ideal structure: 3 Loan*

Processing Managers (included OIC), a sufficient number of SLOs to implement an 8 to 1 ratio SLO to LO structure, loan support, attorneys for legal concurrence and IT staff for initial set-up)

Officer in Charge (OIC) – The role of the OIC is to manage the Loan Processing operation that is established in the Sacramento location.

The OIC will serve as the primary contact and be responsible for the administrative and managerial functions associated with managing the Loan Processing operation. The scope of duties included in this position includes maintaining effective communication between the Center and the PDC and ODA as needed. Additionally, keeping staff informed and trained on processing issues, reporting time and attendance of personnel, addressing any leave requests (*sick and annual*) and handling typical managerial functions associated with daily operations of the center. As dictated by PDC management, the OIC will ensure that work schedules are adequate to match current production needs. The officer in change will be responsible for managing the daily operation and maintain production goals.

Summarization of Responsibilities:

1. Directing the production efforts of the processing staff.
2. Assuring established ODA production goals are met.
3. Providing policy and procedural guidance as it applies to disaster lending.
4. Communication with PDC Management.
5. Interacting with Sacramento Management on facility issues as required.

Supervisory Loan Officers- The role of the Supervisory Loan Officer is to supervise a group of loan officers to assist with processing disaster loan applications.

Generally, all loan decisions require a rule of two and the SLO is designated as the loan reviewer for concurrence. The SLO will ensure all loan decisions are made in accordance with SOP guidelines. The SLO reviews the file to make sure that the file contains the proper documentation and that the loan recommendation is supported and properly justified within disaster lending guidelines. The SLO is required to concur with all loan decisions before the loan action is considered complete. It is the responsibility of the SLO to maintain the integrity of the disaster lending program while delivering expeditious disaster assistance.

The SLO's scope of responsibility includes providing "on the job" training for new loan officers, ensuring SOP and program integrity are applied to disaster loan applications. SLO's assist with interpreting program information and providing feedback and support to loan officers assigned to their groups. SLOs monitor individual production, coach loan officers with unique case file scenarios and provide guidance in addressing difficult eligibility issues. SLOs maintain and report daily attendance records of their groups. They are responsible for reporting any conduct or attendance concerns to their OIC. The typical ratio for home loan officer groups is 6 to 8 depending upon the agency experience of the SLO.

Summarization of Responsibilities:

1. Reviewing loan recommendations to ensure adherence to established ODA policy.
2. Providing loan officers with on the job training and technical support.
3. Monitoring production of individual loan officers.

Loan Officer-The loan officer is the primary contact during the processing of the disaster victim's file.

The disaster assistance program is customer-driven. Loan officers must communicate clearly, professionally and with compassion in all conversations with their applicants. A loan officer must be tactful and empathic to a disaster victim so they may perceive this communication as an enhancement rather than an impediment to their disaster recovery effort through the disaster loan program. In order to accomplish the Agency mission of providing timely financial assistance, loan officers are expected to be productive in a fairly short period of time. All loan officers are required to process applications in the order that they are received and maintain production and loan quality standards. Production standards for home loan officers are 4 applications in an 8 hour day and 5 applications in a 10 hour day. Business loan production standards require 1.6 applications in an 8 hour day and 2 applications in a 10 hour day. Incoming application volumes can increase significantly in a short period of time; therefore disaster personnel must be flexible in adapting their work schedules to meet the need for mandatory overtime and weekend work.

Summarization of Responsibilities:

1. Processing disaster loan applications.
2. Communicating loan recommendations to borrowers.
3. Monitoring portfolio aging.
4. Maintaining adequate quality and meet production standards.

IT Specialists:

IT Specialists will be deployed at the onset of the Surge Center activation to assist with the set up of equipment and establish DCMS access.

SACRAMENTO CENTER SUPPLIES

- | | | |
|---|---|---|
| <input type="checkbox"/> 350 workstations
(includes computer) | <input type="checkbox"/> Mail room supplies for
Federal Express packages | <input type="checkbox"/> 3 hole punches |
| <input type="checkbox"/> 350 desk chairs | <input type="checkbox"/> Note pads | <input type="checkbox"/> Clip boards |
| <input type="checkbox"/> 350 telephones | <input type="checkbox"/> Pens | <input type="checkbox"/> Paper clips |
| <input type="checkbox"/> 350 start up kits (general
office supplies) | <input type="checkbox"/> Highlighters | <input type="checkbox"/> File folders |
| <input type="checkbox"/> 350 garbage cans and
paper recycle containers | <input type="checkbox"/> Post it note paper (various
sizes) | <input type="checkbox"/> Filing cabinet |
| <input type="checkbox"/> 7 Scanner | <input type="checkbox"/> Copier paper – legal and
letters | <input type="checkbox"/> File holders |
| <input type="checkbox"/> 7 Copier (heavy duty use) | <input type="checkbox"/> Inter office envelopes | <input type="checkbox"/> Computer Accessories -
Mouse pads, keyboard rests
and mouse pad rests. |
| <input type="checkbox"/> 7 Fax machines | <input type="checkbox"/> Standard mail envelopes
(with windows) | <input type="checkbox"/> Hand sanitizers |
| <input type="checkbox"/> Paper shredders | <input type="checkbox"/> Phone message pads | <input type="checkbox"/> Disinfecting spray and
wipes for desk and computers |
| <input type="checkbox"/> 35 Printers | <input type="checkbox"/> First aid supplies (first aid
kit) | <input type="checkbox"/> Pen/pencil holders |
| <input type="checkbox"/> Form rack for forms and
office supplies | <input type="checkbox"/> File trays (for Program
Assistant) | <input type="checkbox"/> Binder clips |
| <input type="checkbox"/> Tables for printers and
fax machines | | <input type="checkbox"/> Copier and printer toner |
| | | <input type="checkbox"/> Post it tabs in various
colors |

APPENDIX J: INFRASTRUCTURE ANALYSIS

The Office of the Chief Information Officer has compiled data identifying the extent of additional capacity for several key infrastructure elements in all field offices. The process eliminated offices that could not handle a large influx of staff due to existing demands on the IT infrastructure, and proffered the remaining offices as candidates for Disaster Hub (surge) sites. Based upon adequacy of infrastructure, geographic dispersion, and experienced leadership, ten District offices are likely candidates for District Hub purposes. See Appendix G for additional information on Disaster Hubs.

APPENDIX K: OFFICE OF BUSINESS OPERATIONS SURGE PLAN

○ DISASTER RESPONSE OVERVIEW

The SBA provides various types of loans for businesses of all sizes and homeowners and renters in the event of a disaster, including physical disaster loans, economic injury loans, military reservists' loans and home and personal property loans. This plan details how the Office of Business Operations (OBO) through the Division of Procurement and Grants Management (DPGM) will support the Disaster Management Operations Council (DMOC) and the Office of Disaster Assistance (ODA) in responding to disasters requiring Surge Capacity. Although the SBA has not needed to supplement its contracting workforce for any previous disaster, it is imperative that DPGM have a plan in place should a surge capacity be required for a future disaster.

○ DPGM'S FUNCTIONAL AREAS/DUTIES

DPGM's mission is to assist its customers in accomplishing the SBA's mission by providing best value acquisition solutions. DPGM has a staff of certified contracting professionals. As of Aug 07, DPGM is in the process of filling a vacancy for a GS-1102-13 Contracting Officer whose primary customer is ODA. The target date for filling that position is Nov 07. Contracting Officers are responsible for the entire acquisition process, from market research, thru solicitation, evaluation and contract award, to close-out of the contract. Contracting Officers follow the Federal Acquisition Regulation (FAR) in performing their contracting duties, which is further supplemented by SOP 00 11, entitled "Small Purchases, Contracts, Grants and Cooperative Agreements." Emergency acquisitions are governed primarily by FAR Part 18, entitled "Emergency Acquisitions." In addition to these regulations and SOP, in May, 2007, the Office of Federal Procurement Policy (OFPP) with the Office of Management and Budget (OMB) issued "Emergency Acquisitions" which is designed to help agencies prepare the acquisition workforce for emergencies. The guide is available online at <http://caoc.gov/index.cfm?function=specdoc&id=11464&category=31>.

○ PEOPLE AND RESOURCES

Immediately following any declared disasters, an assessment of ODA's predicted disaster assistance effort will be conducted by SBA. The assessment will investigate what level of

disaster assistance is anticipated. Levels I and II (up to 250,000 applications received) are anticipated to be within ODA's core capabilities and within the capability of the DPGM office. Levels III and IV (over 250,000 applications received) will result in the Administrator elevating the Agency to Surge Capacity, and require the OBO and DPGM to implement its Surge Plan.

When analyzing how DPGM can best identify and develop a cadre of contracting personnel to rapidly deploy upon short notice, we need look no further than the Office of Government Contracting. That office has a staff of Procurement Center Representatives (PCRs) located within federal agencies throughout the country. Their function is to increase the share of Government contracts awarded to small businesses by reviewing and making recommendations to improve Agency contracting activities and by counseling small business on how to obtain Government contracts. Because of the nature of their work, these individuals may have backgrounds as GS-1102 Contract Specialists. PCRs have experience with market research, and are knowledgeable about existing contract vehicles that may be useful, such as multiple award schedule and government wide acquisition contracts. The Office of Government Contracting has surveyed its PCRs to determine who has experience in contracting, what that experience is, and if they would be willing to assist DPGM in a disaster. Of 81 PCR responses to the survey, 22 stated that they had the requisite experience and would be willing to assist DPGM.

○ **EXISTING BARRIERS**

Key among the existing barriers is ensuring that the cadre volunteers' supervisors allow them to provide support in a disaster surge situation. This barrier can be erased by obtaining a directive from the Administrator for the support. Also, funding may be a barrier because potentially, these volunteers would need to be relocated at either SBA Headquarters or at the disaster location. To mitigate this barrier, SBA should plan for Disaster Surge funding to cover situations that might occur. If this type of funding is possible, the Office of Business Operations will collaborate with ODA and Chief Financial Officer to determine how best to obtain and manage this funding.

○ **ROLES AND RESPONSIBILITIES**

In coordination with the Office of Government Contracting, the Senior Procurement Executive will call up the cadre of emergency response volunteer PCRs. The DMOC, ODA, and the Senior Procurement Executive will jointly determine the location at which the emergency response volunteers would be most effective and will determine the length of

time they will be asked to volunteer. The Office of Government Contracting will survey cadre volunteers and their supervisors to determine who specifically is available to assist and provide support.

The Chief of DPGM typically leads and manages contracting support for the SBA. In a disaster surge situation, she will also perform this function.

The ODA-dedicated Contracting Officer will be the primary Contracting Officer for this effort. He/she would receive requisitions for supplies and services, assign them either to himself/herself or to the emergency response cadre and oversee the work. All procurement documents would come to the Contracting Officer for review and signature.

The emergency response cadre will be assigned work by the Contracting Officer. The individuals would do the contract actions up to point of award, and then provide the contract file to the Contracting Officer for signature. After signature, the emergency response cadre would distribute the contract and perform contract management functions.

Purchase card actions do not need to come through DPGM. As of Aug 07, ODA has ten Government purchase card holders: two in SBA Headquarters, one in Buffalo, two in Atlanta, three in Ft. Worth, and two in Sacramento. Single purchase limits for these individuals are \$2,500.00 (two card holders), \$3,500.00 (three card holders) and \$20,000.00 (five card holders). Monthly purchase limits for these individuals are \$5,000.00 (three card holders) and \$100,000.00 (seven card holders). Additionally, the ODA Director of the Administrative Support Center in Herndon has a single purchase limit of \$20,000.00 and a monthly purchase limit of \$200,000.00. These limits are significantly higher than the typical purchase card limits of \$2,500.00 single purchase and \$25,000.00 monthly purchase. In a disaster, additional cards may be requested to assist in procuring simple supplies and services and are available within a period of a few days. SBA SOP 00 12, entitled "The Government Credit Card Program," details the process to request a card and requirements for using the card.

Daily communication between the Contracting Officer, ODA, and the emergency response cadre is needed during Level IV disaster response situations. Electronic communications, such as e-mail and the web-based contract management system will be utilized along with meetings and conference calls. Periodic discussions between the Senior Procurement Executive and the Associate Administrator, ODA and his staff, would be held to evaluate the need and effectiveness of response efforts.

○ **DPGM SURGE TIMELINE** **Pre-Disaster**

- Emergency cadre volunteers are identified.
- Appropriate training is identified for the volunteers. Initially, it was thought that the new Emergency Response contracting course offered by the Federal Acquisition Institute (FAI) would be appropriate. However, prerequisites for the course include

Level I certification which requires 3 weeks of classroom training and 3 on-line intensive contracting classes. It is determined that this amount of training is excessive for the purposes of SBA disaster surge. More appropriate training is CON 237, Simplified Acquisition Procedures. This training is available online from FAI (www.fai.gov) and could be taken within 24 hours of the call up of the emergency cadre volunteers. Because new training classes are constantly being developed, the Senior Procurement Executive will periodically survey the courses available and ensure that the most appropriate training is selected to prepare the emergency cadre volunteers.

Day 1

- Assessment of disaster situation by SBA begins and Administrator considers whether to elevate the Agency to Surge Capacity.

Weeks 1 and 2

- Assessment of disaster situation by SBA and surge considered based on Disaster Management Operations Council (DMOC).
- Communication sent by Office of Government Contracting to emergency cadre volunteers and their supervisors to determine who is available to deploy and provide support.
- Emergency cadre volunteers selected.
- Emergency cadre volunteers taking simplified acquisition training on-line.
- Funding requested to support deployment, if needed.
- Initial deployment schedules finalized and deployments initiated.

Follow-on Weeks

- Contracting support provided to ODA as needed.
- Discussion on current implementation, resource needs, and effectiveness conducted.
- Additional emergency cadre volunteers requested as needed for long-term support, if required.

Post-Disaster

- Response efforts stabilized and surge participants have returned to home area.
- Feedback sessions are scheduled and lessons learned discussed/captured/shared/archived for review.

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APPENDIX L: ACRONYMS

AA/CLA	Assistant Administrator for the Office of Congressional and Legislative Affairs	HSIN	Homeland Security Information Network
AA/ED	Associate Administrator of Entrepreneurial Development		
AA/GCBD	Associate Administrator of Government Contracting and Business Development		
AA/M&A	Associate Administrator of the Office of Management and Administration		
AA/OCA	Associate Administrator of the Office of Capital Access		
AA/OCPL	Assistant Administrator for Communications and Public Liaison		
AA/ODA	Associate Administrator for the Office of Disaster Assistance	IA	Individual Assistance
AA/OFO	Associate Administrator of the Office of Field Operations	IFA	Interjurisdictional Fisheries Act
ADRI	Accelerated Disaster Response Initiative	IIMG	Interagency Incident Management Group
		JFO	Joint Field Office
		JIC	Joint Information Center
ALCS	Automated Loan Control System	MOU	Memorandum of Understanding
BPR	Business Process Re-Engineering	NACo	National Association of Counties
CIO	Chief Information Officer	NIMS	National Incident Management System
CLA	Congressional and Legislative Affairs		
COBRA	Coastal Barrier Resources Act	NPSC	National Processing Service Center
CONUS	Continental United States	NRC	National Capital Region
CSC	Customer Service Center	NRCC	National Response Coordination Center
DAIC	Disaster Assistance Information Center	OCIO	Office of the Chief Information Officer
DCMS	Disaster Credit Management System	OFO	Office of Field Operations
DGR	Delegated Government Representative	OCON	Outside the Continental United States
		US	
DHS	Department of Homeland Security	OCPL	Office Communications and Public Liaison
DLP	Disaster Loan Program	ODA	Office of Disaster Assistance
		OHCM	Office of Human Capital Management
DLV	Disaster Loss Verification	OMB	Office of Management and Budget
DLOC	Disaster Loan Outreach Center	PASC	Personnel and Administrative Services Center
DRC	Disaster Recovery Center	PDA	Preliminary Damage Assessment
DEOC	Disaster Executive Oversight Council		
DMOC	Disaster Management Operations Council		
D/OBO	Director – Office of Business Operations	PDC	Processing and Disbursement Center
	Deputy Chief Financial Officer		
DCFO	Economic Injury Disaster Loans		
EIDL			
ESF	Emergency Support Function	PIO	Public Information Officer
ESFLG	Emergency Support Function Leaders Group	PMO	Project Management Office
FEMA	Federal Emergency Management Agency	PSA	Public Service Announcement
FIT	Field Inspection Team	PWS	Performance Work Statement
FOC	Field Operating Center	RRCC	Regional Response Coordination Centers
FOC-E	Field Operating Center East	SBA	Small Business Administration
FOC-W	Field Operating Center West	SBDC	Small Business Development Centers
FSA	Farm Service Agency	SME	Subject Matter Expert
GFOA	Government Finance Officers Association	SOP	Standard Operating Procedures
GC/BD	Government Contracting and Business Development	WBC	Women-Owned Business Centers
GIS	Geographical Information Systems	VTC	Video Conference Calls

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