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Standard State Hazard Mitigation Plan Review

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February 26, 2002 – Interim Final Rule

October 1, 2002 – Plan Deadline Extension

October 7, 2002 – SBA Pre-Disaster Mitigation Loans

March 3, 2003 – Pre-Disaster Mitigation Program

HAZUS APA Article

Interim Final Rule Time Frames

The interim final rule outlining the criteria for State and local planning was published on February 26, 2002.

Effective November 1, 2003, a FEMA-approved local mitigation plan will be required as a condition for receiving a project grant under the Pre-Disaster Mitigation Program. Planning grants will be available to all eligible communities.

A new interim final rule extending some of the plan requirement dates was published on October 1, 2002.

Effective November 1, 2004, States will be required to have a FEMA-approved State mitigation plan to receive non-emergency disaster assistance, and FEMA-approved local mitigation plans will be required as a condition for receiving project grants under the Hazard Mitigation Grant Program.

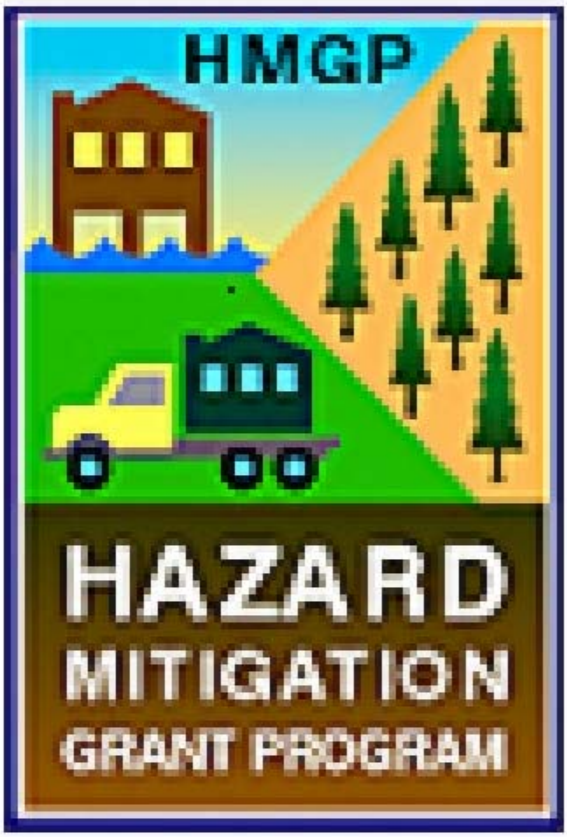
FEMA intends to develop a final rule in fiscal year 2004.

Hazard Mitigation Grant Program

The FY 2003 Omnibus Appropriations Act retained the post-disaster HMGP at a reduced percentage (7.5% instead of 15%) of public and individual assistance programs. The reduced percentage applies to disasters declared on or after the date of the Act, February 20, 2003.

FEMA's Office of General Counsel has advised that States with a FEMA-approved Enhanced State Mitigation Plan at the time of the declaration will still receive HMGP funds in the amount of 20% of public and individual assistance programs, as provided in Section 322 of the Stafford Act.

Because the restricting language within the Omnibus Act was enacted as an amendment to the Stafford Act, rather than as a limitation on the use of FY03 funds, it is effective from the date of enactment and will apply in future fiscal years as well, depending upon continued funding for the program.



Fiscal Year 2003
Pre-Disaster Mitigation Program

- National Pre-Disaster Mitigation Fund: $150M
- Disaster Resistant Universities: $3.6M
- Planning Grants: $13.75M
  - $250,000 to each State, as well as the District of Columbia, Puerto Rico, the Virgin Islands, Guam, and American Samoa
  - Notice of Funding Availability was published in the Federal Register on March 3, 2003
  - Applications are due to FEMA by April 30, 2003
- Competitive Grants,Technical Assistance, and Program Support
  - Mitigation projects and mitigation planning activities will be eligible for funding
  - Notice of Funding Availability and program guidance expected in April 2003

FEMA's Mitigation (MT) Electronic Grants (e-Grants) Management System

FEMA, in cooperation with the Information Technology and Mitigation Divisions, as well as FEMA Regional and State staff, has developed a web-based, electronic application for mitigation grant programs. FEMA's e-Grants system is being developed to meet the intent of the e-Gov initiative, authorized by Public Law 106–107, which passed on November 20, 1999. This initiative requires that all government agencies both streamline grant application processes and provide for the means to electronically create, review, and submit a grant application via the Internet.

e-Grants Schedule. Roll-out of Phase I of the Mitigation (MT) e-Grants Management System for the Flood Mitigation Assistance (FMA) and Pre-Disaster Mitigation (PDM) grant programs is scheduled for April 4, 2003; the system will accept applications for PDM-C (Competitive) after May 15, 2003. Phase I allows the entry and submittal of grant applications, program and budget narratives, and grant awards. Phase II of MT e-Grants is currently being developed to facilitate the electronic administration of grants to include performance information, outlay reports, and property management. Finally, Phase III of MT e-Grants will be developed for closeout of grant awards. The HMGP application will be available through e-Grants at a later date.

The e-Grant application process works the same as the paper application process currently works: local applicants apply to their State, which reviews and submits applications to FEMA. Revision requests are also handled electronically and may be generated by FEMA or the State. FEMA will use the information—transmitted either by paper or by electronic submission—to evaluate applications and make award decisions, monitor ongoing performance and manage the flow of federal funds, and appropriately close out the grant award when all work is completed.

Who Can Access the System. Access to e-Grants for all users must be approved by their corresponding State (for local communities, Indian Tribal governments, and eligible nonprofit organizations) or Regional office (for States and Tribes acting as grantees). Roles are assigned much like the existing NEMIS system. User ID and passwords are established during registration. These registrations and roles also establish official electronic signatures where pen-on-paper signatures are currently required in the paper format.

Training Plan. The system is designed to be as intuitive as possible. However, in order to assist FEMA, State, and Tribal government users with navigating through the system, FEMA will provide a Quick Reference Guide concurrent with the roll-out of Phase I. In addition, users are provided screen-by-screen instructions with built-in Help features to assist them through the applications. Furthermore, FEMA has set up a toll-free hotline for technical assistance during normal business hours. For more hands-on training, one-on-one assistance, and classroom instruction, a formal training plan is being developed for FEMA, State, Tribal, and local users.

Help Test line number: 1-866-476-0544.

NEMIS Plans Repository

FEMA has developed the National Emergency Management Information System (NEMIS), which is a computer data base system designed to track and process projects and assistance given in the Individual Assistance, Public Assistance, Human Resources, Hazard Mitigation Grant, and Flood Mitigation Assistance programs. A new addition to this system is the Plans Repository. This repository is designed to track, process, review, approve, and store State, Tribal, and local plans that have been submitted to FEMA for review under the new Disaster Mitigation Act of 2000 requirements and the Pre-DMA2K (Section 409).

The Plans Repository will be an avenue for States, Tribes, and local communities to submit their plans electronically to FEMA to accelerate the processing and review of the plans. This will enable the plans to be approved more rapidly, thus allowing projects to be approved quicker.

The Repository is available at this time. Enhancements will be available in June 2003, as well as training on the current system.

NEMIS

Plans Repository

Technical Assistance through the Hazard Mitigation Technical Assistance Program (HMTAP)

The work performed under this Technical Assistance Contract is intended to provide guidance and technical assistance to FEMA Regional, State, Tribal, and local mitigation staff to facilitate their development and review of the State, Tribal, and local mitigation plans required by the Disaster Mitigation Act of 2000. FEMA will be reviewing plans submitted by States, Tribes, and local jurisdictions; some States may be reviewing local and Tribal plans. The types of tasks allowable under this contract are:

- DMA planning expertise.
- Data gathering.
- Risk Assessment assistance.
- Mitigation Strategy building.
- DMA training (workshop instructors).
- Draft Plan Review.
- Final Plan Review.

Funding for this contract is limited; therefore, it will be available on an "as-needed" basis. Those wishing to access this contract must send a Statement of Work describing the tasks to be performed to Kim Rogers at Kimberly.rogers@fema.gov.

Planning Tools

State and Local Mitigation Planning How-to Guide Series

The mitigation planning how-to guides are a series of documents created to aid States, Tribes, and local communities in developing a comprehensive mitigation program and planning process. The guides are designed to provide the type of information necessary to initiate and maintain a planning process that will result in safer communities. They are applicable to States, Tribes, and communities of various sizes and varying ranges of financial and technical resources. All of the guides provide examples of successes and challenges that will be encountered during the mitigation planning process.

The first four guides, called the "Core Four," each address a phase of the mitigation planning process.

Getting Started: Building Support for Mitigation Planning (386-1)

This guide presents an overview of the entire mitigation planning process and sets the stage for implementation of a successful mitigation planning process.

It addresses the first phase of mitigation planning, Organize Resources, which includes three steps:

- Assessing community support.
- Building the planning team.
- Engaging the public.

This document is already in the FEMA publications warehouse, under FEMA number 386-1.

Understanding Your Risks: Identifying Hazards and Estimating Losses (386-2)

This guide addresses the second phase of the planning process, Assess Risks. The guide describes four steps for accomplishing risk assessment and methods that may be used to develop this information:

- Identify the Hazards.
- Profile Hazard Events.
- Inventory Assets.
- Estimate Losses.

The guide includes worksheets that enable planners to identify and organize necessary data.

This document is already in the FEMA publications warehouse, under FEMA number 386-2.

***Developing the Mitigation Plan: Identifying Mitigation Actions and Implementation Strategies* (386-3)**

This how-to guide focuses on the third phase of the mitigation planning process, Develop a Mitigation Plan. During this phase, mitigation goals and objectives are developed that will enable planners to prioritize actions to reduce risk and losses from hazards. It can help in the development of the mitigation strategy and in documenting the planning process. The guide provides suggestions that will help to develop a mitigation plan that meets the requirements of DMA 2000. This third phase includes four steps:

- Develop mitigation goals and objectives.
- Identify and prioritize mitigation actions.
- Prepare an implementation strategy.
- Document the mitigation planning process.

This guide provides sources of information and case examples of how these steps are carried out. It is now at GPO. Copies will be available at the FEMA publications warehouse by late April/early May.

***Bringing the Plan to Life: Implementing the Hazard Mitigation Plan* (386-4)**

The fourth phase of the mitigation planning process is Implement the Plan and Monitor Progress. The objectives of this phase are to make sure the plan is officially recognized and that the most effective mechanisms for implementing the plan's recommendations are utilized. The mitigation plan is "brought to life" when the mitigation strategy is actually undertaken. This guide covers the following four steps:

- Adopt the mitigation plan.
- Implement the plan recommendations.
- Evaluate your planning results.
- Revise the plan.

Copies will be available at the FEMA publications warehouse in late May/early June.

Other Guides

FEMA has also developed more specific guides to assist State, Tribal, and local governments in mitigation planning efforts. These other how-to guides are not intended to be stand-alone documents and relate to the concepts presented in the core four guides.

***Using Benefit-Cost Analysis in Mitigation Planning* (386-5)**

This guide provides guidance to help State, Tribal, and local governments understand and use benefit-cost analysis in the mitigation planning process.

Incorporating Historic Resources into Mitigation Planning (386-6)

This guide provides information and assistance to local, Tribal, and State governments on how to integrate consideration for historic resources into the hazard mitigation planning process.

It provides guidance on:

- Creating a planning team that will incorporate historic and cultural preservation opportunities into community hazard mitigation goals.
- Identify historic resources likely to be damaged in disasters.
- Evaluate potential hazard mitigation actions for historic resources.
- Create and implement hazard mitigation plans that are sensitive to historic resources.

Integrating Human-Caused Hazards into Mitigation Planning (386-7)

The mitigation planning guides and DMA 2000 grew out of a focus on planning for natural hazards. However, terrorist events have brought to light the need to consider human-caused hazards. This guide provides information that will help State, Tribal, and local governments incorporate human-caused hazards (which include accidents and intentional acts) into the four phases of the mitigation planning process, from organizing resources to updating the plan.

This document is already in the FEMA publications warehouse, under FEMA number 386-7.

Multi-Jurisdictional Approaches to Mitigation Planning (386-8)

This eighth guide in the series provides State, Tribal, and local governments with guidance concerning multi-jurisdictional coordination in hazard mitigation planning. This guide fills in behind the other guides by providing advice on how to approach each phase of the mitigation planning process from a multi-jurisdictional perspective. It highlights opportunities for, and benefits of, applying multi-jurisdictional approaches during each phase. It also discusses how the multi-jurisdictional approach differs from the single-jurisdiction approach.

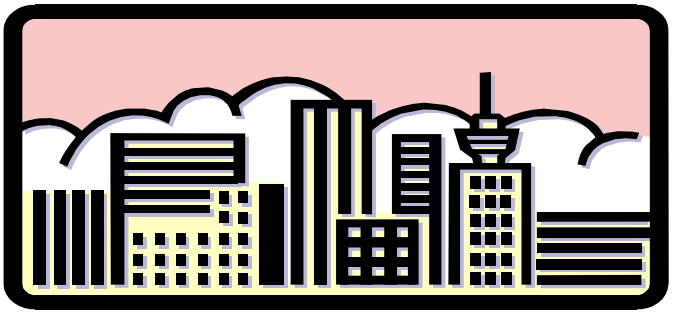
Securing Resources for Mitigation Planning (386-9)

This guide shows States, Tribes, and communities how to find and obtain technical and financial resources for each phase of the mitigation planning process. It focuses on the technical and financial resources for planning to meet the DMA 2000 requirements.

Planning for a Sustainable Future: The Link Between Hazard Mitigation and Sustainability FEMA – 364

Newly Updated

The Planning for a Sustainable Future document is the first of two publications that was prepared by FEMA to highlight and promote the vital connection between planning and sustainability. It focuses on a vision of sustainable communities and shows communities how disaster prevention planning before a disaster strikes, or a planned recovery process that is ready to be implemented after a disaster, can serve as a catalyst for creating more sustainable communities throughout the nation.



Rebuilding for a More Sustainable Future: An Operational Framework FEMA – 365

Being Updated

This document takes the themes covered in Planning for a Sustainable Future and develops them into a more detailed, practical guide for use during the post-disaster recovery process. This guidebook is intended to be used by FEMA staff and State agencies that will be working directly with communities after a disaster. It is also intended to assist local officials and citizens of affected communities to understand how the decisions they make, and the actions they take as part of their recovery, can ultimately result in a more sustainable community.

Both of these documents may be downloaded off the FEMA web site at http://www.fema.gov/fima/planresource.shtm or may be ordered free of charge by calling 1.800.480.2520.

State DMA Planning Requirements Workshop

Being Updated

FEMA has developed this workshop to assist States in implementing the requirements of Section 322 of DMA 2000. The goal of the State DMA Planning Requirements Workshop is to provide participants with the opportunity to gain the knowledge and skills that will enable them to fulfill mitigation planning responsibilities described in DMA 2000 and implemented in 44 CFR Part 201. After successfully completing this workshop, participants will be able to do the following:

- Provide technical assistance and training to State agencies and/or local governments regarding the mitigation planning process.
- Review Local Mitigation Plans and explain requirements for plan approval.
- Participate in the development of a Standard or Enhanced State Mitigation Plan that prioritizes State hazard risks and outlines ways to avoid or minimize the undesirable results of those risks.
- Describe the State's strategy for implementing Section 322 at the State and local level.

The target training audience for the State DMA Planning Requirements Workshop includes the following groups:

- State agency staff responsible for developing State plans and/or providing technical or planning assistance to local governments.
- Representatives of State agencies included on the State's mitigation team or council.
- State agency personnel involved in mitigation planning training for local governments.

Mitigation Planning Workshop for Local Governments

Being Updated

The overall purpose of this workshop is to provide an opportunity to learn about the mitigation planning responsibilities described in DMA 2000 and 44 CFR Part 201. The requirement for Local Mitigation Plans and the time frame in which the requirement will become effective create a great need for knowledge and skills in mitigation planning. The Mitigation Planning Workshop for Local Governments was designed to address that need. States will, under most circumstances, deploy the training.

The workshop materials, visuals, and references are currently available as an Emergency Management Institute field course, under course number G 318.

The target training audience for the Mitigation Planning Workshop for Local Governments includes representatives of local/Tribal governments and interests:

- Local or Tribal government elected officials.
- Local or Tribal government agency managers.
- Community planners.
- Emergency program managers.
- Other local government staff with expertise needed for mitigation planning.
- Community members, businesses, and nonprofits interested in avoiding or minimizing hazard losses.

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Planning for a Disaster Resistant Community: A One-Day Workshop for City and County Planners, Planning Officials, & Consultants

Under a cooperative agreement with FEMA, the American Planning Association (APA) developed a one-day training course in hazard mitigation planning, including coverage of the provisions and planning requirements of the Disaster Mitigation Act of 2000.

Through this course, local planners can learn how to incorporate hazard mitigation into community planning. Through interactive exercises, participants will learn how to identify hazards in their communities, assess the risks posed to properties and residents, and develop meaningful strategies to mitigate those risks. Three different scenarios are available for the course, so the workshop location can drive the types of hazards being addressed. For example, the Eastern Scenario is developed around a coastal community with wind, flood, and hurricane (combination wind and flood) hazards; a Midwest Scenario allows participants to contemplate flood and technological hazards; and a Western Scenario proposes a location susceptible to both seismic and wildfire hazards.

Key concepts discussed include:

- Hazard Identification & Risk Assessment.
- Vulnerability & Estimating Potential Losses.
- Prioritizing Hazards.
- Definition of Mitigation.
- Mitigation Strategies.
- Role of the State and Other Agencies.
- Local Planning Processes.
- Disaster Mitigation Act of 2000.
- Connection between hazard mitigation and comprehensive planning elements (e.g., transportation, economic development, housing, etc.; see Growing Smart Legislative Guidebook, Section 7-210).
- Connection between hazard mitigation and local regulations (e.g., zoning, subdivision ordinances, etc.) and other planning processes.

Two pilot courses were held at the fall conferences of the Florida APA chapter (FAPA) and the Michigan Society of Planning (MSP). Each pilot workshop drew about 25 participants, who reacted with highly positive evaluations of the courses. Participants found the exercises a good hands-on opportunity to apply what they learned during the presentations. Participants also went home with a workbook and several useful handouts. The workbook contains a series of eight worksheets that allow them to preliminarily assess their own community's hazards and mitigation plans. A third course offering was delivered at the 2003 APA National Conference in Denver, Colorado, on March 29, 2003.

The course is now available upon request either through APA or FEMA for use at APA chapter conferences and other workshop venues that target practicing professional planners. Allow at least one full day for this course.

Risk Assessment Workshops

FEMA is developing a Risk Assessment Training Workshop for release as a pilot late this spring. It is intended to assist States, Tribes, and local communities with developing risk assessments compliant with the new DMA criteria. The training entails walking States, Tribes, and communities through a hands-on workshop using how-to guide #2, Understanding Your Risks: Identifying Hazards and Estimating Losses (FEMA 386-2), as the text. By the end of the workshop, the entities participating will know how to go about completing their risk assessment, whether they need a contractor, what the contractor would do, and what the risk assessment will and will not address. The approach that is being used in this workshop will ensure that those who attend will leave the training with the appropriate expertise and availability of data to ensure compliance with DMA requirements for Risk Assessment.

HAZUS-Related Activities

Using HAZUS in Mitigation Planning – Field Course

This course, originally developed for the HAZUS 99 earthquake module will be expanded and upgraded to the new HAZUS-MH release, which incorporates modules for hurricane and flood loss estimation. It will also incorporate lessons learned from HAZUS pilot communities that are utilizing HAZUS as a tool to help them prepare their mitigation plans. The update process will begin this summer and is expected to be complete before the end of the calendar year. The course is geared for a regional audience, lasts for one day, and has two instructors.

HAZUS-MH

HAZUS-MH, to be released in mid-2003, is a nationally applicable standardized methodology and software program that will contain models for estimating potential losses from earthquakes, floods, and hurricanes. HAZUS-MH is being developed by the Federal Emergency Management Agency (FEMA) under contract with the National Institute of Building Sciences (NIBS). Loss estimates produced by HAZUS-MH will be based on current scientific and engineering knowledge of the effects of hurricanes, floods, and earthquakes. Estimating losses is essential to decision-making at all levels of government, providing a basis for developing mitigation plans and policies, emergency preparedness, and response and recovery planning.

HAZUS-MH will use state-of-the-art geographic information system (GIS) software to map and display hazard data, and the results of damage and economic loss estimates for buildings and infrastructure. It will also allow users to estimate the impacts of hurricanes, floods, and earthquakes on populations. HAZUS-MH will be fast running to facilitate use in real time to support response and recovery following a natural disaster.

CURRENT PROJECTS WITH A RISK ASSESSMENT COMPONENT		
ACTIVITY	**OBJECTIVES**	**OUTCOME**
HAZUS/DMA 2000 Pilot Projects	To prepare risk assessments in eight communities using HAZUS. This project will facilitate the use of HAZUS in the preparation of risk assessment under DMA 2000 regulations. From this project, specific recommendations will enhance the preparation of a "how-to" guide and the development of HAZUS software modifications to aid the preparation of risk assessments.	To prepare risk assessments in the following communities: • Region IV: County of Warren, CO/City of Bowling Green, KY • Region V: Marion County, IN • Region VI: City of Austin, TX • Region VIII: State of Wyoming • Region IX: City of Scottsdale, AZ • Region X: City of Portland, OR
HAZUS/DMA 2000 Field Training Course	To provide on-site training for communities participating in pilot projects so that communities can continue to update and refine their DMA compliant risk assessments.	To deliver HAZUS field training (management overview and computer lab training) for eight communities
HAZUS/DMA 200 software enhancement (Wizard)	To prepare HAZUS software enhancements that facilitate the preparation of risk assessments under DMA 2000 regulations.	To develop a Wizard for the more efficient preparation of risk assessments
Field training on HAZUS/DMA 2000 Software Wizard	To prepare training course on how to apply and use the HAZUS Wizard.	To field test and deliver training for four pilot communities
Updating HAZUS Training for Mitigation Planning for HAZUS/DEMA 2000 project	To update current HAZUS Mitigation Planning course to include basic concepts related to DMA 2000 and the use of HAZUS in the preparation of risk assessments.	To field test and deliver the new course in three pilot communities
HAZUS/DMA 2000 "How-to" Guide	To develop a "how-to" guide to facilitate the replication of HAZUS/DMA 2000 risk assessments pilot projects to other communities.	To test the "how-to" guide and distribute copies of it to FEMA regions, States, and local governments willing to prepare risk assessment studies using HAZUS
HAZUS/DMA 2000 Reference Guide	To prepare HAZUS information to supplement the "how-to" risk assessment guide prepared by the Planning Branch. This reference guide will indicate where and how to use HAZUS data or outputs when users prepare risk assessments according to the "how to" risk assessment guide.	To distribute Brief HAZUS Reference Guide for the preparation of risk assessments by the Planning Branch to FEMA regions, States and local governments
HAZUS User Groups	To establish a HAZUS User Group in three FEMA regions to the point where they can: a) develop a strategic plan reflecting local needs; b) conduct an initial User Group meeting; and c) tailor local needs to existing HAZUS courses.	Develop HAZUS User Groups in the following communities: • Hampton, NH • Tri-state HUG (NC, SC, TN) • The Southeast Louisiana area, including Orleans, Jefferson, and St. Tammany Parishes
Private Sector Initiative	To increase the participation of the private sector in providing HAZUS training to users and ensuring product support. To achieve this goal, HAZUS-authorized vendors will be created to provide fee-based services to users.	• To develop HAZUS vendor program (minimum criteria for vendor's qualifications and procedures to qualify and register vendors) • To develop HAZUS vendor training courses on software implementation and software technical support; earthquake analysis; hurricane analysis; flood analysis; and MH mitigation planning

CURRENT PROJECTS WITH A RISK ASSESSMENT COMPONENT		
ACTIVITY	**OBJECTIVES**	**OUTCOME**
		• To develop and maintain a National HAZUS Vendor registry (master prospect list and selection of individuals to attend vendor training course)
HAZUS Marketing Study Implementation (HAZUS/DoD Initiative)	To implement recommendations outlined in the HAZUS market characterization study (recently completed) to establish more programs with DoD. A follow-up to this project aims at establishing a program with the Naval Facilities Engineering Command (NAVFAC) and Picatinny Arsenal. Both these organizations maintain a high level of "customer" focus and can provide a pilot for other DoD organizations to determine how HAZUS may help their organization. Other future activities contemplate the coordination within FEMA Divisions and Departments on how to use HAZUS; an increase in the use of HAZUS among other federal agencies; the preparation of a program for FEMA Regions; and the preparation of HAZUS special studies, application, and software enhancements.	To deliver targeted briefing packages on the benefits of HAZUS for: NAVFAC • To provide on-site customized HAZUS training of the multi- hazard model • To prepare a pilot risk assessment by applying HAZUS to information and/or data provided by NAVFAC • To provide technical assistance support to NAVFAC to ensure the successful use and application of HAZUS Picatinny Arsenal • To conduct a proof-of-process for conducting all hazards mitigation related to homeland security using HAZUS as the main tool and integrator of other risk databases and modules

JOB AID FOR MITIGATION PLAN CONTENT

OVERVIEW OF DISASTER MITIGATION ACT 2000 (DMA 2000) MITIGATION PLAN CONTENT AND HAZUS RESOURCES

REQUIREMENTS FOR STANDARD STATE MITIGATION PLAN (SSMP) §201.4	ADDITIONAL REQUIREMENTS FOR ENHANCED STATE MITIGATION PLAN (ESMP) §201.5 AND LOCAL MITIGATION PLAN (LMP) §201.6	HAZUS RESOURCES
a. Plan Requirement		
SSMP: Due date is November 1, 2004* Standard State Mitigation Plan (SSMP) includes the requirements of the Hazard Mitigation Grant Program (HMGP) Administrative Plan. In order for a State to be eligible for HMGP funding based on 15% of the total estimated eligible Stafford Act disaster assistance, FEMA must approve the SSMP by November 1, 2004. SSMPs must be updated every 3 years.	**ESMP:** Due date is November 1, 2004* Enhanced State Mitigation Plan (ESMP) increase eligibility for HMGP funding from 15% to 20% of available funding. ESMPs must demonstrate that the State [*§201.5(a)*]: ▪ Has developed a comprehensive mitigation program. ▪ Makes effective use of available mitigation funding. ▪ Is capable of managing the increased funding. **LMP:** Due date is November 1, 2004* Local Mitigation Plans (LMPs) must be updated every 5 years. Multi-jurisdictional plans can be used as long as each jurisdiction participates in the process and	DMA 2000: State & Local Plan Interim Criteria and Mitigation Planning Workshop for Local Governments: http://www.fema.gov/fima/planning8.shtm HAZUS Software, User Manuals, and Other Products: http://www.fema.gov/hazus/li_main.htm

* Note: FEMA extended deadline for one year

REQUIREMENTS FOR STANDARD STATE MITIGATION PLAN (SSMP) §201.4	ADDITIONAL REQUIREMENTS FOR ENHANCED STATE MITIGATION PLAN (ESMP) §201.5 AND LOCAL MITIGATION PLAN (LMP) §201.6	HAZUS RESOURCES
	officially adopts the plan. State-wide plans will not be accepted as multi-jurisdictional plans. Up to 7% of mitigation funding can be used to support planning, including LMP development.	
b. Planning Process (Requirements Prior to Preparation of the Plan)		
SSMP: Establish coordination with other State agencies, appropriate federal agencies, and interested groups, and integrate to the extent possible with other ongoing State planning efforts as well as other FEMA mitigation programs and initiatives.	**ESMP:** Same requirements as SSMP. **LMP:** Additional requirements include: (1) opportunity for public to comment on the LMP during development and before approval; (2) opportunity for involvement by neighboring communities, local and regional agencies supporting hazard mitigation and development activities, and businesses, academia and other private and non-profit interests; and (3) review and incorporation, if appropriate, of existing plans, studies, reports, and technical information.	Using HAZUS in Local Government Planning: http://www.fema.gov/hazus/dl_hazgov.htm How to Create A HAZUS User's Group, April 2002, FEMA 404: http:www.fema.gov/hazus.dl_user.htm
c. Plan Content		
1. Planning Process Description **SSMP:** Describes the planning processes used to prepare the plan, including: ▪ How the plan was prepared. ▪ Who was involved. ▪ How other agencies participated.	**ESMP:** Additional requirements include demonstrating integration to the extent practicable with (1) other State and/or regional planning initiatives (comprehensive growth management, economic development, capital improvement, land development, and/or emergency management plans), and (2) FEMA mitigation programs and initiatives that provide guidance to State and regional agencies [*§201.5(b)(1)*]. **LMP**: Additional requirements include describing how the public was involved.	HAZUS Frequently Asked Questions: http://www.fema.gov/hazus/fq_main.htm or for more help with HAZUS, Email: hazus@fema.gov

REQUIREMENTS FOR STANDARD STATE MITIGATION PLAN (SSMP) §201.4	ADDITIONAL REQUIREMENTS FOR ENHANCED STATE MITIGATION PLAN (ESMP) §201.5 AND LOCAL MITIGATION PLAN (LMP) §201.6	HAZUS RESOURCES
2. Risk Assessments **SSMP:** Includes: ▪ A statewide risk assessment that provides a "statewide overview" characterization and analysis of potential natural hazards and associated risks. ▪ Comparison of potential losses throughout the State to determine priorities for implementing mitigation measures (item 3 below) and to prioritize jurisdictions for technical and financial support in developing more detailed local risk and vulnerability assessments. The risk assessment shall include: *i.* *Overview of Hazards* Types and locations of hazards, past occurrences, and probability of future events, using maps as appropriate. *ii.* *Overview and Analysis of Vulnerability* Overview and analysis of the State's vulnerability to the hazards based on estimates provided in local risk assessments as well as the State risk assessment. The State will describe vulnerability in terms of the jurisdictions most threatened by the identified hazards and most vulnerable to	**ESMP:** Same requirements as SSMP. **LMP:** (i) Overview of Hazards and (ii) Summary of Each Hazard and its Impacts, including: a. Types and number of existing and future buildings, infrastructure, and critical facilities in the identified hazard areas; b. Estimate of potential dollar losses and description of how estimate was prepared (similar to iii for SSMPs); and c. General description of local land use and development trends so that mitigation options can be considered in future land use decisions. For multi-jurisdictional plans, the risk assessment section must assess each jurisdiction's risks where they vary from the risks facing the entire planning area.	State and Local Mitigation Planning How-to Guide, *Understanding Your Risks; Identifying Hazards and Estimating Losses,* August 2001, FEMA 386-2: **http://www.fema.gov/fima/planning_toc3.shtm** HAZUS Multi-Hazard (MH) software [available Spring 2003] addresses earthquake, wind, and flood hazards. Methodology can be applied to other hazards. Features supporting risk assessment include: ▪ User's manuals for each hazard. ▪ Census, historical hazard event, and building and critical infrastructure default data that can be modified for local situation. ▪ GIS open architecture designed to input locally collected data. ▪ Capability to estimate potential losses for buildings and infrastructure. ▪ Ability to evaluate multiple risk

REQUIREMENTS FOR STANDARD STATE MITIGATION PLAN (SSMP) §201.4	ADDITIONAL REQUIREMENTS FOR ENHANCED STATE MITIGATION PLAN (ESMP) §201.5 AND LOCAL MITIGATION PLAN (LMP) §201.6	HAZUS RESOURCES
damage and loss associated with hazard events. State-owned or -operated critical facilities in the hazard areas also will be addressed. *iii. Overview and Analysis of Potential Losses* Identification of vulnerable structures and estimate of potential dollar losses to State-owned or -operated buildings, infrastructure, and critical facilities located in the identified hazards areas (based on LMPs and State risk assessment).		scenarios. ▪ Data presentation tools (maps and tables). HAZUS: A How-to Guide *(under development)* Training Course: How to Use HAZUS for Risk Assessment (*under development*) HAZUS Training Courses: http://www.fema.gov/hazus/tr_main.htm for National Training http://www.fema.gov/hazus/us_fit.htm for Request of Regional Training, contact John.Ingargiola@fema.gov
3. Mitigation Strategy **SSMP:** Documents the follow elements of strategy: *i. State Goals* Describes the State goals to guide the selection of mitigation activities to reduce	**ESMP:** Additional requirements should address the following: Project Implementation Capability [*§201.5(b)(2)*] Documents project implementation capability, identifying and demonstrating the ability to implement the plan, including:	A Guide to Using HAZUS for Mitigation, April 2002: http://www.fema.gov/hazus/dl_guide.htm HAZUS supports analyses to assist

REQUIREMENTS FOR STANDARD STATE MITIGATION PLAN (SSMP) §201.4	ADDITIONAL REQUIREMENTS FOR ENHANCED STATE MITIGATION PLAN (ESMP) §201.5 AND LOCAL MITIGATION PLAN (LMP) §201.6	HAZUS RESOURCES
potential losses identified in Item 2 above. ii. *State Mitigation Programs* Presents the State's pre- and post-disaster hazard management policies, programs, and capabilities to mitigate the hazards in the area, including: ▪ An evaluation of State laws, regulations, policies, and programs related to hazard mitigation and related to development in hazard-prone areas. ▪ A discussion of State funding capabilities for hazard mitigation projects. ▪ A general description and analysis of the effectiveness of local mitigation policies, programs, and capabilities. iii. *Analysis* Identifies, evaluates, and prioritizes cost-effective, environmentally sound, and technically feasible mitigation actions and activities that the State is considering and explains how each activity contributes to the overall mitigation strategy. Also, this section should link to LMPs, where specific local actions and projects are identified.	*i. Eligibility Criteria* Presents established eligibility criteria for multi-hazard mitigation measures. *ii. Mitigation Actions* A system to determine the cost effectiveness of mitigation measures, consistent with OMB Circular A-94, Guidelines and Discount Rates for Benefit-Cost Analysis of federal Programs, and to rank the measures according to the State's eligibility criteria. *iii. HMGP Management* Demonstration that the State has the capability to effectively manage the HMGP as well as other mitigation grant programs, including a record of the following: a. Meeting HMGP and other mitigation grant application time frames submitting complete, technically feasible, and eligible project applications with appropriate supporting documentation; b. Preparing and submitting accurate environmental reviews and benefit-cost analyses; c. Submitting complete and accurate quarterly progress and financial reports on time; and d. Completing HMGP and other mitigation grant projects within established performance periods,	in prioritizing mitigation measures. Examples are provided below: ▪ Compare costs and benefits (reduced potential losses) with various mitigation assumptions used for a hazard. ▪ Evaluation of costs and benefits of alternate projects. ▪ Assessing potential loss estimates assuming different growth rates (as recommended by Section 322). ▪ Analysis of impacts of various model ordinances. HAZUS Wizards to assist users with common functions (*under development*)

REQUIREMENTS FOR STANDARD STATE MITIGATION PLAN (SSMP) §201.4	ADDITIONAL REQUIREMENTS FOR ENHANCED STATE MITIGATION PLAN (ESMP) §201.5 AND LOCAL MITIGATION PLAN (LMP) §201.6	HAZUS RESOURCES
iv. *Funding* Identifies current and potential sources of federal, State, local, or private funding to implement mitigation activities.	including financial reconciliation. *iv. Mitigation Assessment* A system and strategy by which the State will conduct an assessment of completed mitigation actions and include a record of the effectiveness (actual cost avoidance) of each mitigation action. **LMP:** Provides the blueprint for reducing the potential losses identified in the risk assessment, based on existing authorities, policies, programs, and resources and local ability to expand on and improve these existing tools. Same content as SSMP, but presented as following sub-sections focusing on the local level: (i) mitigation goals, (ii) mitigation actions, and (iii) action plan. For multi-jurisdictional plans, actions must be specific to the jurisdiction requesting FEMA approval or credit of the plan.	
4. Coordination of Local Mitigation Planning **Includes:** *i. Funding* Describes State process to support, through funding and technical assistance, the development of LMPs. *ii. Time frame* Describes the State process and time frame	ESMP: **Additional requirements to demonstrate the State's commitment to a comprehensive State mitigation program [*§201.5(b)(4)*], which can include any of the following:** *i. Local Support* A commitment to support local mitigation planning by providing workshops and training, State planning grants, or coordinated capability development of local officials, including Emergency Management and Floodplain Management certifications.	HAZUS stores data from a variety of sources and programs to support cross-agency and -program coordination. If used at both State and local levels, will allow the LMPs to be more readily integrated into the State planning process.

REQUIREMENTS FOR STANDARD STATE MITIGATION PLAN (SSMP) §201.4	ADDITIONAL REQUIREMENTS FOR ENHANCED STATE MITIGATION PLAN (ESMP) §201.5 AND LOCAL MITIGATION PLAN (LMP) §201.6	HAZUS RESOURCES
by which the LMPs will be reviewed, coordinated, and linked to the State Mitigation Plan. iii. *Prioritization Criteria* Criteria to be used in prioritizing communities and local jurisdictions that would receive planning and project grants under available funding programs, which should include consideration for communities with the highest risks, repetitive loss properties, and most intense development pressures. Further, for non-planning grants, a principal criterion for prioritization will be the extent to which benefits are maximized according to a cost-benefit review of proposed projects and their associated costs.	*ii. Statewide Support* A Statewide program of hazard mitigation through the development of legislative initiatives, mitigation councils, formation of public/private partnerships, and/or other executive actions that promote hazard mitigation. *iii. State Funding* State provision of a portion of the non-federal match for HMGP and/or other mitigation projects. *iv. Building Code Standards* To the extent allowed by State law, the State requires or encourages local governments to use a current version of a nationally applicable model building code or standard that addresses natural hazards as a basis for design and construction of State sponsored mitigation projects. *v. Multi-year Plan* A comprehensive, multi-year plan to mitigate the risks posed to existing buildings that have been identified as necessary for post-disaster response and recovery operations. *vi. Post-disaster Recovery* A comprehensive description of how the State integrates mitigation into its post-disaster recovery operations.	

REQUIREMENTS FOR STANDARD STATE MITIGATION PLAN (SSMP) §201.4	ADDITIONAL REQUIREMENTS FOR ENHANCED STATE MITIGATION PLAN (ESMP) §201.5 AND LOCAL MITIGATION PLAN (LMP) §201.6	HAZUS RESOURCES
	LMP: §201.6 does not require a separate section to address local coordination; however, the need for local coordination is clearly documented in the rule. The LMP should clearly document coordination processes; this could be included in section C.1 (above) or included as a separate section on coordination as for the SSMP and EMP. Multi-jurisdictional LMPs must document coordination across jurisdictions.	
5. Plan Maintenance Process **Purpose**: This section includes: i. Method and schedule for monitoring, evaluating, and updating the plan; ii. A system for monitoring implementation of mitigation measures and project closeouts; and iii. A system for reviewing progress towards goals as well as activities and projects identified in Item 3.	**ESMP:** Same requirements as SSMP. **LMP**: Describes: i. The method and schedule of monitoring, evaluating, and updating the LMP within a five-year cycle; ii. The process for incorporating the requirements of the LMP into other planning mechanisms, such as comprehensive or capital improvement plans, when appropriate; and iii. How the community will continue public participation in the LMP maintenance process. Annual reviews of the plan are recommended.	HAZUS computer-based tool, allows updates to save output maps and reports, and data. This supports consistent formats and updates of plans.
6. Plan Adoption Process Documents formal adoption by the State before submittal to FEMA for final review and approval.	**ESMP:** Same as SSMP. **LMP:** Documents LMP adoption by the appropriate local government body. For multi-jurisdictional plans,	Not applicable.

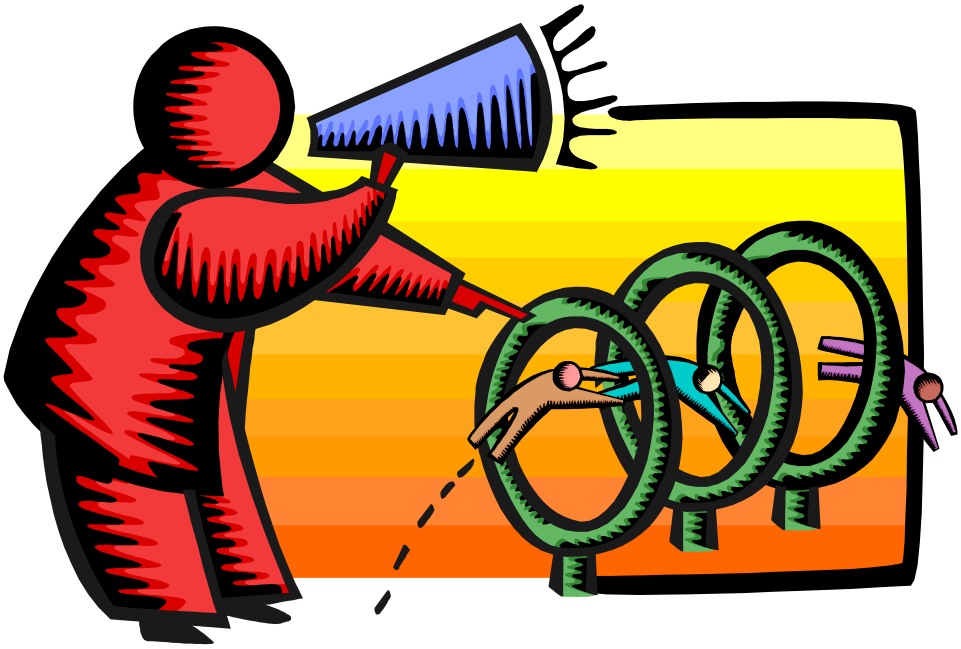
REQUIREMENTS FOR STANDARD STATE MITIGATION PLAN (SSMP) §201.4	ADDITIONAL REQUIREMENTS FOR ENHANCED STATE MITIGATION PLAN (ESMP) §201.5 AND LOCAL MITIGATION PLAN (LMP) §201.6	HAZUS RESOURCES
	each jurisdiction requesting plan approval must document adoption. LMP must identify specific projects if funding is requested.	
7. Assurances Assurances for compliance with all applicable federal statutes and regulations in effect for the periods for which it receives grant funding, in compliance with 44 CFR 13.11(c). The SSMP will be amended whenever necessary to reflect changes in State or federal laws and statutes, as required in 44 CFR 13.11(d).	**ESMP:** Should also include a demonstration that the State effectively uses existing mitigation programs to achieve its mitigation goals [*§201.5(b)(3)*]. **LMP:** While a specific section on assurances is not identified for LMPs, assurance regarding use of the LMP to achieve mitigation goals is implied by the rule and a section should be included.	Not applicable.
d. Review and Updates		
Plans for review and revision to reflect changes in development, progress in Statewide mitigation efforts, and changes in priorities, and resubmitted for approval to the appropriate Regional Director every **three years**. The Regional review will be completed within 45 days after receipt from the State, whenever possible. **Note:** Although not a requirement, FEMA also encourages States to review their plans in the post-disaster time frame to reflect changing priorities.	**ESMP:** Same cycle as SSMPs. **LMP:** LMP must be submitted to the State Hazard Mitigation Officer for initial review and coordination. The State then sends LMP to the appropriate FEMA Regional Office for formal review and approval. The review process occurs as follows: ▪ The Regional review will be completed within 45 days after receipt from the State, whenever possible. ▪ Plans must be reviewed, revised if appropriate, and resubmitted for approval within **five years** in order to continue to be eligible for HMGP project grant	HAZUS reflects a standard methodology developed by FEMA; therefore, HAZUS can be used for reviewing and updating your risk assessment to support the mitigation plan.

REQUIREMENTS FOR STANDARD STATE MITIGATION PLAN (SSMP) §201.4	ADDITIONAL REQUIREMENTS FOR ENHANCED STATE MITIGATION PLAN (ESMP) §201.5 AND LOCAL MITIGATION PLAN (LMP) §201.6	HAZUS RESOURCES
	funding. ▪ For States with managing authority (that is, States with delegated approval authority for local mitigation plans), FEMA approval will not be required. Instead, States use the criteria in this part to review each LMP within 45 days of receipt, whenever possible, and provide a copy of the approved plans to the FEMA Regional Office. .	

References: Federal Register, Volume 67, No. 38, February 26, 2002 and Federal Register, Volume 67, No. 190, October 1, 2002.

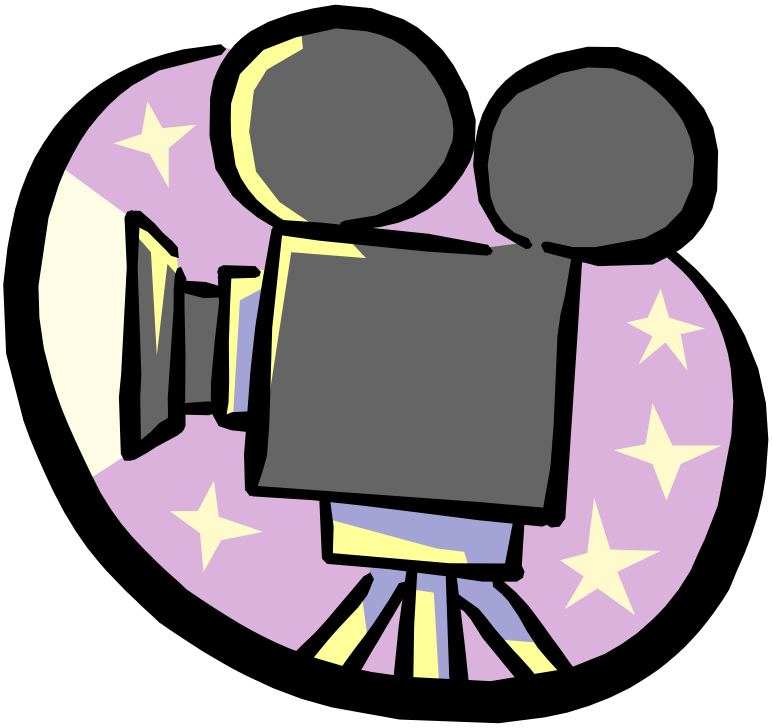
Mitigation Planning Exercise

A one-day mitigation planning exercise is being developed that will enable a community to spend a day learning in a hands-on manner how to develop a mitigation plan. The exercise will follow a similar format as the existing Mitigation and Recovery Exercise. It will not focus on any one particular hazard. It will use the Mitigation Planning How-to Guides as a backdrop for the information slides and breakout activities. There will be instructions that the facilitator (whether that be a Regional office, State staff, or local official) can use to plan for and implement the workshop. It will be delivered in the form of a CD ROM. Expected delivery is August 2003.



Planning Goes Hollywood!

A short (7-minute) video is being developed to explain mitigation planning to the layperson and to local officials who are unfamiliar with hazard mitigation and mitigation planning. To immediately engage the audience, the video will open with a scene illustrating how planning works in everyday life, to show that it is not such a foreign task. It then discusses the reasons for the importance of pre-disaster mitigation planning, discusses the Disaster Mitigation Act requirements, and provides information on how to get assistance in developing plans. The video closes with another scene (related to the opening scene) to leave the audience with the same notion that planning is something they do every day; they are just applying the same activities and thought processes to identifying and solving problems related to hazard reduction.



DMA PLANNING UDPDATE ON SPRING 2002 PARKING LOT ITEMS

The following is a combination of (1) outstanding "parking lot" items from the 2002 Regional-State workshops and (2) activities that FEMA-HQ has undertaken or will undertake to address these items. This compilation complements, rather than duplicates, items covered in the Status of Planning and Funding portion of the Spring 2003 workshops agenda.

Policy Determinations

1. Issues for FAQ's
   - Private nonprofits
   - Multi-jurisdictional planning
   - Status of State and Local Mitigation Planning Workshop materials.
   - Planning Grants and Benefit Cost
   - Use of EMPG grants
   - Roles of State agencies in planning
   - URS contractor conflict of interest
2. Plan Tracking Spreadsheet
   - Assists FEMA in gauging progress on planning
   - Regions submit monthly updates to HQ until the next NEMIS version is released in June 2003
   - Surge in plan review needs
3. Plan Review Issues
   - Enhanced Plan Review Panel
   - Plan Review Panel for 1st Standard State Plan submitted in each Region
   - Quick Reference Guide
   - Continued coordination with CRS and FMA Planning
4. HMTAP Technical Assistance
   - Use of HMTAP in plan development
   - Contractor plan development/review conflict of interest (FAQ)
5. Mitigation 20/20
   - Tool currently being used by many States and localities
   - Although not FEMA endorsed, is a product that will walk a community through a thorough data gathering
   - This software however does not replace the process necessary to develop a plan, nor does it guarantee that a plan will be approved by FEMA if used

6. Mitigation Planning Policy Notebook
   - Interim Final Rule
   - Federal Register Notices
   - Policy Guidance memoranda
   - Criteria Document
   - Crosswalks
   - FAQ's

   This notebook has been developed by FEMA to put in one place all of the information on the Disaster Mitigation Act – Planning Requirements. It is intended to establish a repository of all documentation for future needs. One copy will be provided to each Region.
7. Revise Disaster Declaration documents to reflect status of State Mitigation Planning relative to requirements

Outreach Activities

1. Monthly conference calls with FEMA Regional planning contacts
2. Letter to Governors on importance of Mitigation Planning (upcoming deadlines)
3. Planning Website Tools
   - FAQ's
   - Policy Memoranda
   - Planning Tools (How-to's, Mitigation Exercise, Courses, Documents, link to HAZUS and multi-hazard mapping, other helpful websites, etc.)
   - Shared Regional and State planning products (brochures, guidance, plan outlines, etc.)
   - Links to State websites (State reactions?)
4. HazardMitigationPlanning@fema.gov

   This e-mail address had been developed to be a clearinghouse for questions and comments regarding the DMA planning requirements. This e-mail address will be monitored by FEMA staff.
5. National Conference Outreach [NEMA, National Congress of American Indians (NCAI), American Planning Association (APA), National Hurricane Conference, Association of State Flood Plain Managers (ASFPM), National Voluntary Organizations Active in Disasters (NVOAD)]
6. Planning Resources tri-fold brochure (How-to's, HAZUS, multi-hazard mapping, State and local workshops, etc.)

Questions to Guide State Presentations

State Mitigation Planning

(1) Who/what agency has lead responsibility for developing the State mitigation plan?

(2) Describe interagency coordination at the State level.

(3) Is your intent to develop a plan that meets the Standard or the Enhanced Plan Criteria?

(4) What is working particularly well regarding mitigation planning in your State?

(5) What do you perceive as obstacles to successful mitigation planning, and how can they be minimized or eliminated?

Local Mitigation Planning

(1) Think about the communities that have developed the most effective mitigation plans.

(a) What do you think enabled these communities to succeed?

(b) What makes these plans successful?

(2) Are there communities that have developed plans that were not effective? If so:

(a) What shortcomings do you notice in these plans?

(b) What help do these communities need in order to improve these plans?

(3) For the communities who are now working on their plans:

(a) Who in the community is typically assuming leadership to get the plans done?

(b) What percentage of these communities is relying on consultants/external expertise to develop their plans?

(c) What is the greatest barrier that these communities face in getting their plans completed?

(d) For these communities, what area of planning do they need the most help with?

(e) Is there any type of training that's needed? If so, please describe.

(4) Now think about the communities that have not begun the process or are struggling to get their planning process in place.

(a) What is keeping these communities from getting involved in the planning process?

(b) What would help get these communities started with their planning process?

(c) Is there any type of training or other technical assistance that's needed? If so, please describe.

Technical Assistance

How-to Guides on the following special topics are in the planning stages. Do these topics represent issues of concern in terms of a State or local planning process capable of meeting DMA requirements? If so, what types of issues within the general category are of concern? If not, what process issues or topics do you think need to be addressed in the form of a how-to guide?

- Multi-jurisdictional planning.
- Securing resources for mitigation planning (either the planning itself, or the projects).
- Planning to protect environmental resources.
- Strategies for State-level mitigation planning.

Comprehensive List of Frequently Asked Questions (FAQ's)

March 18, 2003

Question 1: Are HMGP planning grants subject to a benefit-cost analysis in order to be eligible for funding?

Answer: The Disaster Mitigation Act of 2000 authorizes up to 7% of the HMGP ceiling to be used for the development of State, Indian Tribal, and/or local mitigation plans that meet the planning criteria outlined in 44 CFR Part 201. A benefit-cost analysis is not required for the use of the 7% planning funds.

Question 2: Are annual EMPG funds contingent upon a State meeting the Section 322 planning requirements?

Answer: No, EMPG funding will not be withheld from a State that does not update its mitigation plan in compliance with 44 CFR Part 201. However, FEMA does emphasize the need to encourage planning assistance and training with the EMPG funds. A State may choose to use the funding they receive under the EMPG to develop specific pieces of their plan as they relate to all hazards.

Question 3: What should be the role of private nonprofit organizations in the development, review, and approval of local mitigation plans?

Answer: Private nonprofit organizations, especially those that may be eligible applicants for mitigation projects, should participate in the development of the local mitigation plan. If they have fully participated in the development and review of the local plan, it is not necessary for them to approve/adopt the plan, as long as it is adopted by the local jurisdiction. Note: the issues related to private nonprofits that cover a wide geographic area, such as rural electric cooperatives or levee districts, will be addressed in a separate FAQ.

Question 4: Are separate plans required from State agencies when they are subgrantees to the State agency serving as the grantee to FEMA?

Answer: Not usually. State agency issues should be addressed in the State Mitigation Plan, and potential projects or funded activities should be included in the plan. The State has two options for addressing other State agency mitigation issues in a plan. The preferred option is to ensure participation in the State mitigation planning process by requiring each participating agency to sign-off on the State Mitigation Plan as a condition of mitigation project grant funding.

State agencies should identify issues of particular interest to them, summarizing any specific projects, activities, or mitigation commitments in a brief document that can be an addendum to the State Mitigation Plan. The second option is: if agencies do not participate in the Statewide planning process, then they must prepare a separate plan in order to be eligible for mitigation project grant funding.

Question 5: What is the policy to prevent a conflict of interest when a contractor has the potential to be involved in the preparation of a mitigation plan and that same company is used to assist FEMA in plan reviews?

Answer: If the contractor has been involved at all in the preparation of a plan, or any portion of the plan, they will not be able to participate in the plan review. This does not apply to general data collection that may be generated as part of post-disaster recovery activities.

Question 6: The planning criteria outlined in 44 CFR Part 201 discuss the development of countywide or multi-jurisdictional plans (which must be adopted by all jurisdictions included), since many issues are better resolved by evaluating hazards in a more comprehensive fashion. If a jurisdiction within the boundaries of a multi-jurisdictional planning area does not participate in the planning process and/or does not formally adopt the plan, what are the implications to the other participating jurisdictions within that multi-jurisdictional plan?

Answer: When a multi-jurisdictional plan is prepared, any participating entity/jurisdiction must adopt the plan if they wish to be eligible for future project grant funding from FEMA. If they do not want to sign off on the plan, that will not prevent any of the other jurisdictions from approving the plan and being eligible for project grants. For instance, if there was a countywide plan, and town A did not adopt the plan, but the county and other towns/cities did adopt it, the only one adversely affected would be town A. We expect, however, that the multi-jurisdictional plan would address any issues that crossed over jurisdictional lines to as great a degree as possible.

Benefit-Cost Analysis for Projects

Question 7: What level of detail should be provided in mitigation plans with respect to benefit-cost calculations for projects?

Answer: According to DMA interim final regulations [44 CFR §201.6(c)(3)(iii)] local mitigation plans must contain a strategy (or action plan) whereby "Prioritization shall include a special emphasis on the extent to which benefits are maximized according to a benefit-cost review of the proposed projects and their associated costs."

This is not intended to require a full-blown benefit-cost calculation for inclusion within the plan document. However, one key aspect of the many considerations in deciding what type of mitigation action(s) to pursue is an economic assessment of the particular action. This (and the other considerations) should be debated and discussed as part of the planning team's and/or larger community's decision-making process. A possible result of these local discussions *could* be the decision to complete a formal benefit-cost evaluation of the various mitigation approaches that are technically appropriate for the situation. However, this is not required to be included in the plan. As long as the economic considerations are summarized in the plan document as part of the community's analysis of the "comprehensive range of specific mitigation actions of projects being considered…" [44 CFR §201.6(c)(3)(ii)], that would be sufficient.

Once funding is being sought for the particular mitigation action, the detailed benefit-cost calculation would be required, as described under the various grant program regulations.

Demonstration of Effective Program Management

Question 8: What is the length of time necessary for a State to demonstrate a track record of effective program management? (Enhanced Plan requirement)

Answer: A State must show one year (4 quarters) of demonstrated effective program management. This demonstration will be between the FEMA Regional Office and the State to determine. Examples of effective program management include, but are not limited to: meeting grant application time frames with complete, technically feasible, and eligible project applications; preparing and submitting accurate environmental reviews and benefit-cost analyses and timely submission of quarterly financial and progress reports; demonstrated work-in-progress throughout the period of performance; and completed closeout of grants within 90 days of end of performance periods.

Level of Detail for Risk Assessments

Question 9: What level of detail is necessary for a Risk Assessment?

Answer: The short answer to this question is: "It depends."

As stated in 44 CFR §201.6(c)(2), the risk assessment should provide enough information to enable the jurisdiction to identify and prioritize appropriate mitigation actions. The risk assessment must include a description of the vulnerability that includes the potential impact of each hazard on the community. This type of information can be portrayed in many ways, but must be based on **best available data**. The following provides examples of the variety of ways vulnerability can be depicted; each of the examples below could meet DMA criteria if it is

determined that the approaches and data used represent the community's best-faith efforts to obtain the most recent, accurate data available.

Communities A, B, and C each contain 5,000 households and 100 businesses (based on Census data and the local community plan). The communities each have a 100-year floodplain running through them, but there is no detailed information as to how many buildings lie in the floodplain, nor is there detailed information on what the depth of the 100-year flood would be at the buildings. The communities can demonstrate their vulnerability in the following ways:

Scenario 1: Community A's planning team obtains the tax maps (containing parcel-level information) for the community and transfers the FIRM boundaries onto it. It then counts the number of homes and businesses within the floodway and floodplain boundaries. The planning team determines that there are 500 households and 28 businesses within the floodplain, 100 of which are within the floodway. The planning team obtains the backup information from the FIRM used by the study contractor that performed their currently effective Flood Insurance Study. They then determine that the average 100-year flood depth in the floodway is 9 feet, and the average 100-year floodplain depth is 6 feet. They also determine that there are areas of high flow velocity in certain reaches of the stream, indicating that localized erosion may be a problem.

Scenario 2: Community B does not have detailed flood mapping; they have flood boundary information. The planning team estimates that, based upon the density and pattern of development in the community, approximately 15% of the housing and 20% of the businesses in the community lie in the 100-year floodplain. This is estimated visually by transferring the FIRM boundaries onto a land use map previously developed by the planning department. By multiplication, they determine that approximately 750 homes and 20 businesses are in the floodplain. The team then takes a USGS quadrangle map and estimates the average ground elevations within the floodway, and within the floodplain, and compares them with the average base flood elevation obtained from the FIRM. They determine that the average depth in the floodplain is 5 feet.

As the vulnerability assessment is completed, it is noted that given the zoning designation of currently vacant land within the floodplain, there is the potential for an additional 100 houses to be built in the floodplain. This is brought to the attention of the planning director.

Scenario 3: Community C works with the local university to have students do a "windshield survey" of the homes and businesses located in the floodplain. The students first obtain Q3 flood boundaries from www.hazardmaps.gov, and transfer them onto a new street map. They then use an old tax map to begin counting structures within the flood boundaries. Lastly, they take to the streets to visually count the number of homes and businesses that likely lie within the flood boundaries delineated on their street map. They determine there are 425 homes and 22 businesses within the flood boundaries.

In the examples above, each community arrived at the number of structures within the floodplain in a different manner, using the best data available to them, and using methods that matched

the resources of the community. None of these communities used GIS, a tool often used in risk assessment activities.

Environmental Assessment and Data Collection Requirements

Question 10: Do the States have to prepare environmental assessments and collect data?

Answer: The regulations for enhanced plans at 201.5(b)(2)(iii) require "Demonstration that the State has the capability to effectively manage the HMGP as well as other mitigation grant programs, including a record of the following…(B) Preparing and submitting accurate environmental reviews…."

The States **are not** required to prepare the formal environmental documents, but FEMA **does expect** them to perform much of the **data gathering and coordination** necessary to support the environmental review process.

FEMA's environmental regulations at **44 CFR Part 10.7** discuss FEMA's overall approach to integrating National Environmental Policy Act (NEPA) considerations with mitigation planning and project development. Paragraph 10.7(a) directs the FEMA Regional Director to "integrate the NEPA process with other planning at the earliest possible time to ensure that planning decisions reflect environmental values, to avoid delays later in the process, and to head off potential conflicts."

To facilitate compliance with this approach, FEMA sets out its expectations for applicants for FEMA assistance, generally States, Tribal and local governments, in Paragraph 10.7(c)(2):

> *(2) To facilitate compliance with the requirements of paragraph (a) of this section, applicants and other non-federal entities are expected to:*
>
> (i) Contact the Regional Director as early as possible in the planning process for guidance on the scope and level of environmental information required to be submitted in support of their application;
>
> (ii) Conduct any studies which are deemed necessary and appropriate by FEMA to determine the impact of the proposed action on the human environment;
>
> (iii) Consult with appropriate federal, regional, State, and local agencies and other potentially interested parties during preliminary planning stages to ensure that all environmental factors are identified;
>
> (iv) Submit applications for all federal, regional, State, and local approvals as early as possible in the planning process;

(v) Notify the Regional Director as early as possible of all other federal, regional, State, local, and Indian Tribal actions required for project completion so that FEMA may coordinate all federal environmental reviews; and

(vi) Notify the Regional Director of all known parties potentially affected by or interested in the proposed action.

[45 FR 41142, June 18, 1980, as amended at 47 FR 13149, Mar. 29, 1982]

Plan Detail on Critical Facilities

Question 11: What level of detail is needed in the plan's identification of critical facilities?

Answer: The plan should provide enough information regarding critical facilities to enable the jurisdiction to identify and prioritize appropriate mitigation actions.

However, some information may be deemed as highly sensitive and should not be made available to the public. Such information that the jurisdiction considers sensitive should be treated as an addendum to the mitigation plan so that it is still a part of the plan, but access can be controlled. For more information on protecting sensitive information see How-To #7 *Integrating Human-Caused Hazards into Mitigation Planning* (FEMA 386-7).

Acquisition Project Addresses

Question 12: Are potential acquisition project property addresses required to be noted in the plan?

Answer: No. A list of potential properties or areas that are being considered for acquisition should be prepared in advance, as part of the mitigation strategy, but the specifics regarding property addresses should remain at the project level.

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DMA PLAN STATUS REPORT

APPENDICES

LOCAL HAZARD MITIGATION PLAN REVIEW
QUICK REFERENCE GUIDE (WIP)

PLAN REVIEW CROSSWALKS

Standard State Hazard Mitigation Plan Review

Enhanced State Hazard Mitigation Plan Review

Local Hazard Mitigation Plan Review

FEDERAL REGISTER NOTICES

February 26, 2002 – Interim Final Rule
October 1, 2002 – Plan Deadline Extension
October 7, 2002 – SBA Pre-Disaster Mitigation Loans
March 3, 2003 – Pre-Disaster Mitigation Program

HAZUS APA Article