

# APPENDIX C: DMA 2000 JOB AID



## JOB AID 1: DMA 2000 REQUIREMENTS AND HAZUS-MH 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-MH and Other Resources
<p><b>A. Plan Requirement</b></p> <p>SSMP- Due date is November 1, 2004*                      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 percent of the total estimated eligible Stafford Act disaster assistance, the Federal Emergency Management Agency (FEMA) must approve the SSMP by November 1, 2004. SSMPs must be updated every 3 years.</p>	<p>ESMP- Due date is November 1, 2004*                      ESMP increase eligibility for HMGP funding from 15 to 20 percent of available funding. ESMPs must demonstrate that the state (§201.5(a)):                     <ul style="list-style-type: none"> <li>• Has developed a comprehensive mitigation program</li> <li>• Makes effective use of available mitigation funding</li> <li>• Is capable of managing the increased funding</li> </ul>                     LMP- Due date is November 1, 2004*                      LMPs must be updated every 5 years. Multi-jurisdictional plans can be used as long as each jurisdiction participates in the process and officially adopts the plan. Statewide plans will not be accepted as multi-jurisdictional plans. Up to 7 percent of mitigation funding can be used to support planning, including LMP development.</p>	<p>DMA 2000: State and Local Plan Interim Criteria and Mitigation Planning Workshop for Local Governments:  <a href="http://www.fema.gov/fima/planning8.shtm">http://www.fema.gov/fima/planning8.shtm</a></p> <p>HAZUS-MH Software, User Manuals, and Other Products: <a href="http://www.fema.gov/hazus/">http://www.fema.gov/hazus/</a></p>
<p><b>B. Planning Process</b></p> <p>SSMP- Includes coordination with other State agencies, appropriate Federal agencies, interested groups, and integration, to the extent possible, with other ongoing State planning efforts as well as other FEMA mitigation programs and initiatives.</p>	<p>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.</p>	<p>Using HAZUS-MH in Local Government Planning:  <a href="http://www.fema.gov/hazus/dl_hazgov.shtm">http://www.fema.gov/hazus/dl_hazgov.shtm</a>                      How to Create A HAZUS User's Group, April 2002, FEMA 404: <a href="http://www.fema.gov/hazus/us_main.shtm">http://www.fema.gov/hazus/us_main.shtm</a></p>
<p><b>C. Plan Content</b></p>		
<p><b>1. Planning Process Description</b></p> <p>SSMP- Describes the planning processes used to prepare the plan, including:                     <ul style="list-style-type: none"> <li>• How the plan was prepared</li> <li>• Who was involved</li> <li>• How other agencies participated</li> </ul> </p>	<p>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.</p>	<p>HAZUS Frequently Asked Questions:  <a href="http://www.fema.gov/hazus/fq_main.shtm">http://www.fema.gov/hazus/fq_main.shtm</a>                      For more help with HAZUS-MH, get contact information from: <a href="http://www.fema.gov/hazus/ct_main.shtm">http://www.fema.gov/hazus/ct_main.shtm</a></p>

\* Note – FEMA extended the deadline for 1 year.

<p><b>2. Risk Assessments</b></p> <p><b>SSMP- Includes:</b></p> <ul style="list-style-type: none"> <li>• A statewide risk assessment that provides a “statewide overview” characterization and analysis of potential natural hazards and associated risks.</li> <li>• Comparison of potential losses throughout the State to determine priorities for implementing mitigation measures (item 3 below) and prioritize jurisdictions for technical and financial support in developing more detailed local risk and vulnerability assessments.</li> </ul> <p>The risk assessment shall include:</p> <ol style="list-style-type: none"> <li><b>Overview of Hazards</b> Types and locations of hazards, past occurrences, and probability of future events, using maps, as appropriate.</li> <li><b>Overview and Analysis of Vulnerability</b> 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 damage and loss associated with hazard events. State-owned or operated critical facilities in the hazard areas also will be addressed.</li> <li><b>Overview and Analysis of Potential Losses</b> 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).</li> </ol>	<p><b>ESMP - Some requirements as SSMP.</b></p> <p><b>LMP- (i) Overview of Hazards and (ii) Summary of Each Hazard and its Impacts, including:</b></p> <ol style="list-style-type: none"> <li>Types and number of existing and future buildings, infrastructure, and critical facilities in the identified hazard areas;</li> <li>Estimate of potential dollar losses and description of how estimate was prepared (similar to item iii for SSMPs);</li> <li>General description of local land use and development trends so that mitigation options can be considered in future land use decisions.</li> </ol> <p>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.</p>	<p><i>State and Local Mitigation Planning How-to Guide, Understanding Your Risks: Identifying Hazards and Estimating Losses, 2001, FEMA 386-2: <a href="http://www.fema.gov/fima/planning_toc3.shtm">http://www.fema.gov/fima/planning_toc3.shtm</a></i></p> <p>HAZUS-MH software - addresses earthquake, flood, and wind (hurricane) hazards. Methodology can also be applied to other hazards. Features include:</p> <ul style="list-style-type: none"> <li>• User’s manuals for each hazard</li> <li>• Census, historic hazard event, and building and critical infrastructure default data</li> <li>• GIS open architecture and input tools to allow local data integration</li> <li>• Capability to estimate potential losses for infrastructure and injury</li> <li>• Ability to evaluate multiple risk scenarios</li> <li>• Data presentation tools (maps and tables)</li> </ul> <p>Case studies of using HAZUS-MH: <a href="http://www.fema.gov/hazus/cs_main.shtm">http://www.fema.gov/hazus/cs_main.shtm</a></p> <p>Compendium of Pilot Projects: Using HAZUS-MH for Risk Assessment (FEMA 463)</p> <p><i>How-to Guide and Training Course: How-to Use HAZUS for Risk Assessment (FEMA 433 and E296)</i></p> <p>Additional HAZUS-MH National Training course information: <a href="http://www.fema.gov/hazus/tr_main.shtm">http://www.fema.gov/hazus/tr_main.shtm</a></p> <p>To request Regional Training, contact: John. Ingargiola@dhs.gov</p>
---	--	--

<p><b>3. Mitigation Strategy</b></p> <p>SSMP- Documents the following elements of strategy</p> <ol style="list-style-type: none"> <li>i. State Goals Describes the State goals to guide the selection of mitigation activities to reduce potential losses identified in Item 2 above.</li> <li>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: <ul style="list-style-type: none"> <li>• An evaluation of State laws, regulations, policies, and programs related to hazard mitigation and related to development in hazard-prone areas</li> <li>• A discussion of State funding capabilities for hazard mitigation projects</li> <li>• A general description and analysis of the effectiveness of local mitigation policies, programs, and capabilities</li> </ul> </li> <li>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.</li> <li>iv. Funding Identifies current and potential sources of Federal, State, local, or private funding to implement mitigation activities.</li> </ol>	<p>ESMP- Also 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</p> <ol style="list-style-type: none"> <li>i. Eligibility Criteria Present established eligibility criteria for multi-hazard mitigation measures.</li> <li>ii. Mitigation Actions A system to determine the cost-effectiveness of mitigation measures, consistent with Office of Management and Budget (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.</li> <li>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: <ol style="list-style-type: none"> <li>a. Meeting HMGP and other mitigation grant application timeframes and submitting complete, technically feasible, and eligible project applications with appropriate supporting documentation;</li> <li>b. Preparing and submitting accurate environmental reviews and benefit-cost analyses;</li> <li>c. Submitting complete and accurate quarterly progress and financial reports on time; and</li> <li>d. Completing HMGP and other mitigation grant projects within established performance periods, including financial reconciliation.</li> </ol> </li> <li>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.</li> </ol> <p>LMP- Provides the blueprint for reducing the potential losses identified in the risk assessment based on existing authorities, policies, programs, resources, and local ability to expand on and improve these existing tools. Same content as SSMP, but presented in the HAZUS-MH following subsections focusing on the local level: (1) mitigation goals, (2) mitigation actions, and (3) action plans. For multi-jurisdictional plans, actions must be specific to the jurisdiction requesting FEMA approval or credit of the plan.</p>	<p><i>A Guide to Using HAZUS for Mitigation</i>, April 2002: <a href="http://www.fema.gov/hazus/dl_guide.shtm">http://www.fema.gov/hazus/dl_guide.shtm</a></p> <p>HAZUS supports analyses to assist in prioritizing mitigation measures. Examples are provided below:</p> <ul style="list-style-type: none"> <li>• Comparison of costs and benefits (reduced potential losses) with various mitigation assumptions used for a hazard</li> <li>• Evaluation of costs and benefits of alternate projects</li> <li>• Assessing potential loss estimates assuming different growth rates (as recommended by Section 322)</li> <li>• Analysis of impacts of various model ordinances</li> </ul> <p>HAZUS-MH Wizards are available on the web site above to assist users with common functions (e.g., the Risk Assessment Tool and Flood Wizard are available as third-party models to support HAZUS-MH implementation)</p>
---	--	---

<p><b>4. Coordination of Local Mitigation Planning</b></p> <p>SSMP - Includes:</p> <ul style="list-style-type: none"> <li>i. Funding Describes State process to support, through funding and technical assistance, the development of LMPs.</li> <li>ii. Timeframe Describes the State process and timeframe by which the LMPs will be reviewed, coordinated, and linked to the State Mitigation Plan.</li> <li>iii. Prioritization Criteria Describes the 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 benefit/cost review of proposed projects and their associated costs.</li> </ul>	<p>ESMP- Also demonstrates State's commitment to a comprehensive State mitigation program (§201.5[b][4]), which can include any of the following:</p> <ul style="list-style-type: none"> <li>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.</li> <li>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.</li> <li>iii. State Funding State provision of a portion of the non-Federal match for HMGP and/or other mitigation projects.</li> <li>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.</li> <li>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.</li> <li>vi. Post-disaster Recovery A comprehensive description of how the State integrates mitigation into its post-disaster recovery operations.</li> </ul> <p>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 required for the SSMP and EMP). Multi-jurisdictional LMPs must document coordination across jurisdictions.</p>	<p>HAZUS-MH stores data from a variety of sources and programs to support cross-agency and program coordination. If used at both State and local levels, HAZUS-MH will allow the LMPs to be more readily integrated into the State planning process.</p>
---	--	--

<b>5. Plan Maintenance Process</b>		
<p><b>SSMP - Includes:</b></p> <ul style="list-style-type: none"> <li>i. Method and schedule for monitoring, evaluating, and updating the plan.</li> <li>ii. A system for monitoring implementation of mitigation measures and project closeouts.</li> <li>iii. A system for reviewing progress toward goals as well as activities and projects identified in Item 3.</li> </ul>	<p><b>ESMP- Same requirements as SSMP.</b></p> <p><b>LMP- Describes:</b></p> <ul style="list-style-type: none"> <li>i. The method and schedule of monitoring, evaluating, and updating the LMP within a 5-year cycle</li> <li>ii. The process for incorporating the requirements of the LMP into other planning mechanisms, such as comprehensive or capital improvement plans, when appropriate</li> <li>iii. How the community will continue public participation in the LMP maintenance process. Annual reviews of the plan are recommended.</li> </ul>	<p>HAZUS-MH software facilitates data maintenance. It also supports the creation of output maps and reports to present data and findings. This supports consistent formats and updates of plans and communication of findings and plans to stakeholders.</p>
<p><b>6. Plan Adoption Process</b></p> <p>Documents formal adoption by the State before submittal to FEMA for final review and approval.</p>	<p><b>ESMP- Same as SSMP.</b></p> <p><b>LMP- Documents LMP adoption by the appropriate local government body. For multi-jurisdictional plans, each jurisdiction requesting plan approval must document adoption. LMP must identify specific projects if funding is requested.</b></p>	<p>Not applicable.</p>
<p><b>7. Assurances</b></p> <p>Includes state assurance of compliance with all applicable Federal statutes and regulations in effect for the periods for which it receives grant funding, in compliance with 44 Code of Federal Regulations (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).</p>	<p><b>ESMP- Should also include a demonstration that the State effectively uses existing mitigation programs to achieve its mitigation goals. (§201.5[b][3])</b></p> <p><b>LMP- Although a specific section on assurances is not identified for LMPs, assurance regarding use of the LMP to achieve mitigation goals and regulatory compliance are inferred by the rule and a section should be included.</b></p>	<p>Not applicable.</p>
<b>D. Review and Updates</b>		
<p><b>SSMP- Plans for review and revision should reflect changes in development, progress in Statewide mitigation efforts, and changes in priorities. Revisions will be resubmitted to the appropriate Regional Director every 3 years. The Regional review will be completed within 45 days after receipt from the State, whenever possible.</b></p> <p><b>Note: Although not a requirement, FEMA also encourages States to review their plans in the post-disaster timeframe to reflect changing priorities.</b></p>	<p><b>ESMP- Same cycle as SSMPs.</b></p> <p><b>LMP- The LMP must be submitted to the State Hazard Mitigation Officer for initial review and coordination. The State then sends the LMP to the appropriate FEMA Regional Office for formal review and approval. The review process occurs as follows:</b></p> <ul style="list-style-type: none"> <li>• The Regional review will be completed within 45 days after receipt from the State, whenever possible.</li> <li>• Plans must be reviewed, revised if appropriate, and resubmitted for approval within 5 years in order to continue to be eligible for HMGP project grant funding.</li> <li>• 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.</li> </ul>	<p>HAZUS-MH reflects a standard methodology developed by FEMA; therefore, HAZUS-MH can be used for reviewing and updating your risk assessment to support the mitigation plan.</p>

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

