

# “Building” Effective State Floodplain Management Programs

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*Strategic Planning Methodology and State Guidance*



September 2010

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# “Building” Effective State Floodplain Management Programs

## *Strategic Planning Methodology and State Guidance*

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### Introduction: “Why Plan?”

To continue progress in reducing flood risk and managing floodplain resources, our approaches need to change. Awareness and understanding of the factors which affect flooding is critical. Program elements, strategies and actions have to be based upon strengths and opportunities in response to the issues and changes. **Strategic planning provides a systematic process for integrating the resources and capabilities of federal, state and local partners in the effort to make people safe, to preserve the natural functions of floodplains, and to reduce risk to development when flooding occurs.** Planning will put the Federal Emergency Management Agency (FEMA) and states in the best position to be effective and efficient in managing flood risk and floodplain resources.

#### ***Background***

The National Flood Insurance Program (NFIP) has a major influence on how states manage floodplains and related resources. To ensure that the NFIP is effective, a comprehensive evaluation was led by FEMA and conducted by the American Institutes for Research (AIR). The evaluation involved a variety of methods and research studies on key subjects relevant to how well the NFIP was meeting its purpose and goals. The subject studies *State Roles and Responsibilities in the National Flood Insurance Program, An Evaluation of Compliance with the National Flood Insurance Program Part A: Achieving Community Compliance, Performance Assessment and Evaluation Measures for Periodic use by the National Flood Insurance Program* and *The Evaluation of the National Flood Insurance Program Final Report* provide significant background related to this project. The NFIP Evaluation reports and findings are available from the FEMA web site: <http://www.fema.gov/business/nfip/nfipeval.shtm>

*The Evaluation of the National Flood Insurance Program Final Report* stated that the NFIP is generally making progress in meeting its four goals (see **Figure 1**). However, based upon continued population growth and the desire to use and develop sensitive flood risk areas, the report concludes that past strategies will not be sufficient to deal with future flood hazard and risk. **NFIP activities alone will not be an effective approach for states to achieve the best floodplain management.**



**Figure 1: National Flood Insurance Act Goals**

1. Decrease the risk of future flood losses.
2. Reduce the costs and adverse consequences of flooding.
3. Reduce the demands and expectations for disaster assistance after floods.
4. Preserve and restore the natural and beneficial values of floodplains.

Source: Wetmore, French; Bernstein, George; Conrad, David; DiVincenti, Cynthia; Larson, Larry; Plasencia, Doug; Riggs, Russell. 2006. *The Evaluation of the National Flood Insurance Program Final Report*. Washington D.C.: American Institutes for Research (p. 3-4).

Flooding affects every state! For decades, states and local communities have supplemented and cost-shared with FEMA to implement actions that reduce the damage and costs from flooding. Participating in the NFIP has built significant state and local capability, and increased awareness of flood risk. The *State Roles and Responsibilities in the National Flood Insurance Program* publication recognizes that “State agency activity is important for the NFIP to function efficiently and effectively” (p.2). With over 20,000 communities participating in the NFIP, it is evident that FEMA does not have the resources to directly manage the community participation responsibilities.

A federal-state partnership, the Community Assistance Program – State Services Support Element (CAP-SSSE) evolved from this need. The CAP-SSSE purpose and function is consistent with key themes for achieving FEMA’s mission. **The CAP-SSSE builds strong partnerships that leverage state capabilities, and applies business approaches to planning and resource allocation.** The CAP-SSSE provides an opportunity to develop the states’ full potential contribution to floodplain management.

With minor adjustment, the FEMA CAP-SSSE can be used to develop broad state floodplain management ability. The CAP-SSSE was created for the purpose of funding states in order to leverage FEMA’s ability to provide community services (education, monitoring and enforcement) and build state capability for managing flood risk (prevention, preparedness, recovery and mitigation) in support of the NFIP goals. The CAP-SSSE has been used as a grant mechanism for specific technical assistance and community evaluation activities. While the CAP-SSSE is not currently designed to fund the variety of activities needed to create comprehensive and effective state floodplain management programs, it does have a planning element that can be used to work toward that goal.

States can benefit from assessing overall floodplain management program effectiveness, and determining program priorities and service needs in addition to planning NFIP coordination activities. The Association of State Floodplain Managers (ASFPM) *Effective State Floodplain Management Programs 2003* establishes a vision



for an effective state floodplain management program based upon 10 guiding principles (see **Figure 4**). In other words, a peer-developed standard for floodplain management effectiveness currently exists.

### ***The Problem***

The publication *An Evaluation of Compliance with the National Flood Insurance Program Part A: Achieving Community Compliance* finds the NFIP to be successful overall. However, there are some distinct problem areas with the CAP-SSSE that FEMA and the states must correct to improve floodplain management efforts and successes. The following points summarize the key areas for improvement:

- CAP-SSSE funding has not kept pace with the responsibilities of states and the demands for floodplain management services. CAP-SSSE funding is provided to states on a cost-sharing basis, with FEMA supplying up to 75% and the state providing at least 25%. According to FEMA headquarters, in 2010 the per-state average for CAP-SSSE funding is \$170,000.
- Many states do not have a state-funded floodplain management program; all of their support comes from CAP-SSSE. FEMA expects states to perform other duties and responsibilities beyond NFIP coordination for floodplain management, and expects that states will support and fund those efforts with state resources.
- The CAP-SSSE Program is not as efficient as it could be. Two key deficiencies were identified during the comprehensive NFIP Evaluation: Criteria for distributing the CAP-SSSE funds are not clear and not necessarily linked to states' need or capability; Accountability and monitoring of state floodplain management services is not thorough.

Source: Monday, Jacquelyn; Grill, Kristen Y.; Esformes, Paul; Eng, Matthew; Kinney, Tina; Shapiro, Marc. 2006. *An Evaluation of Compliance with the National Flood Insurance Program Part A: Achieving Community Compliance*. Washington D.C.: American Institutes for Research (p. 36-39).

### ***The Strategy***

In addition to the CAP-SSSE challenges noted, FEMA needs a consistent cooperative approach to support state partnerships and the ability to leverage state capability. Both FEMA and the states need accountability for activities and credible data to develop budget requests. **Strategic planning is a collaborative business practice that can be used by FEMA and the states to establish a vision for an effective and comprehensive state floodplain management program and CAP-SSSE partnership.**

Strategic planning can increase CAP-SSSE activity and financial accountability and link funding to state need, capability and capacity. The planning process is designed to integrate NFIP coordination activities with a comprehensive state floodplain



management program. This is in response to the NFIP Evaluation findings that states should not rely only on the NFIP activities if they want to effectively manage flood risk and floodplains.

To implement the strategy of linking NFIP activities while building comprehensive state floodplain management programs, the following strategic goal is suggested. This is a FEMA/state shared goal to guide a cooperative approach.

**Figure 2: Suggested 5-Year CAP-SSSE Strategic Plan Goal**

FEMA and the states will use a collaborative strategic planning process to balance NFIP Coordination (CAP-SSSE workload) with the complete range of floodplain management services needed for an effective state program beginning in FY 2011.

Objectives:

- Ensure activity and financial accountability through CAP-SSSE Annual Work Plan and GAP analysis;
- Identify effective state floodplain management program needs for funding, capability and capacity through 5-year strategic planning and state self-assessment.

All 50 states participate in the NFIP and CAP-SSSE. According to *The Evaluation of the National Flood Insurance Program Final Report*, the NFIP is making progress in meeting flood loss reduction and floodplain resource protection goals, but changes in population, development and climate will likely end this progress unless the federal/state partnership is strengthened (p. x). Applying the strategic elements of the CAP-SSSE (e.g. clear mission, strategies built on state strengths, and understanding unique state flood problems and causes) assists the states in creating a “map” for moving from current actions to more effective ones. It also provides FEMA with comprehensive information about state capability and capacity to support need assessment and funding allocation. CAP-SSSE funds can be used more efficiently and effectively when tied to the need and capability of individual states, and should be consistent with the services needed from states to support the NFIP administration and coordination.

**The Purpose**

This document provides a recommended **method for strategic planning that incorporates NFIP coordination with overall effective state floodplain management program development**; guidance for states on how to complete self-assessment and gap analysis for non CAP-SSSE activities; and recommendations for using capability and capacity information in CAP-SSSE planning.





## ***The Link - CAP-SSSE and Effective State Floodplain Management Programs***

*The Evaluation of the National Flood Insurance Program Final Report* recommends that more resources should be committed to improving state and local floodplain management programs, and that a change in perspective must occur (p. xiii-xiv):

**“The NFIP and all its stakeholders at all levels need to adopt a broader perspective and think beyond a single program and beyond minimum standards. Every state and community needs to use the NFIP as merely a base upon which to build a broader, more effective, and locally appropriate program to prevent and reduce flood losses and to protect floodplain functions and resources.”**

The CAP-SSSE is the established mechanism for providing states with federal resources, and leveraging state capability to accomplish NFIP goals. There is a relationship between NFIP coordination/CAP-SSSE activities and the broader functions of comprehensive state floodplain management programs. The CAP-SSSE program provides a solid foundation for effective state floodplain management. Assisting communities with NFIP participation should be an element of all comprehensive state floodplain management programs.

The recently developed *FEMA CAP-SSSE Program GAP Analysis Tool – User Manual and Methodology Report* suggests how CAP-SSSE activities and effective state floodplain management program principles are linked. The 10 program elements identified in the *User Manual* for CAP-SSSE (found on p. 9-12) are:

1. Maintaining State Authorities and Compliance with Federal Regulations
2. Comprehensive, Integrated State Floodplain Management
3. Flood Hazard Identification and Risk Assessment
4. Community Planning, Zoning, and Other Land Management Tool and Code Assistance
5. Floodplain Management Training/Workshops
6. Community Compliance
7. Outreach and Technical Assistance
8. Post Flood Recovery and Mitigation Assistance
9. State Program Monitoring, Evaluation, and Reporting
10. State Staff Professional Development

These 10 program elements for CAP-SSSE have been aligned with the 10 principles for effective state programs (See **Appendix B**). When assessing the effectiveness of a state floodplain management program, both CAP-SSSE and other state activities should be considered. **The alignment allows a state to build off of activities and services provided for NFIP coordination while integrating NFIP coordination activities into a broader state floodplain management program.**



### **Figure 3: CAP-SSSE Activities and GAP Tool Guidance**

Under CAP-SSSE, ten program elements have been identified. The ten elements are components of a state floodplain management program that in total results in a comprehensive CAP-SSSE program. Under each program element, CORE and ADVANCED tasks have been identified. CORE tasks are those deemed necessary by FEMA for states to have in order to effectively maintain a basic level of state capability and competency to assist communities with NFIP participation. ADVANCED tasks are those, in addition to the CORE elements, that move a state toward more comprehensive management of flood hazards and flood risk. ... The ten program elements of CAP-SSSE align quite well with the 10 guiding principles in the ASFPM Effective State Floodplain Management Program guide.

Source: Federal Emergency Management Agency (FEMA). 2009. *FEMA CAP-SSSE Program GAP Analysis Tool – User Manual and Methodology Report*. Washington D.C.: FEMA (p. 6).

Moving beyond NFIP coordination, many states have not identified what an “effective state floodplain management program” looks like given their unique flood risk and vulnerability. An effective state floodplain management program must have the core capability and flexible capacity to meet federal, state and local floodplain management goals. Self-assessment can help answer questions about whether a state is effective and doing what it should be. **The ASFPM Effective State Floodplain Management Programs 2003 guide provides a blueprint for developing more comprehensive state floodplain management programs.**

This guide is useful for those who make policy decisions and set priorities for state and local floodplain programs and will help states align their floodplain management programs with the 10 recommended principles. A comprehensive self-assessment of current capability and capacity commitments for NFIP coordination responsibilities should be integrated with the state’s review of its overall activities in the 10 effective program principle areas. In other words, the state should record the activities and information from the FEMA CAP GAP Tool with the overall program activity profile (**Worksheet #4**). Refer to **Appendix B** to link the CAP-SSSE activities with the ASFPM *Effective State Floodplain Management Programs 2003* guiding principles. Capability and capacity are discussed more fully later in this guidance.



**Figure 4: Recommended Principles for Effective State Floodplain Management**

1. State floodplain management programs need strong, clear authority.
2. State floodplain management programs should be comprehensive and integrated with other state functions.
3. Flood hazards within the state must be identified and flood risks assessed.
4. Natural floodplain functions and resources throughout the state need to be respected.
5. Development within the state must be guided away from flood-prone areas; adverse impacts of development both inside and outside the floodplain must be minimized.
6. Flood mitigation and recovery strategies should be in place throughout the state.
7. The state's people need to be informed about flood hazards and mitigation options.
8. Training and technical assistance in floodplain management need to be available to the state's communities.
9. The levels of funding and staffing for floodplain management should meet the demand within each state.
10. Evaluation of the effectiveness of states' floodplain management programs is essential and successes should be documented.

Source: Association of State Floodplain Managers (ASFPM). 2003. *Effective State Floodplain Management Programs 2003*. Madison, WI: ASFPM (p. iv-viii).

A strategic planning foundation is an effective way for FEMA and the states to address the changes needed to meet federal, state and local floodplain management goals.



## Methods and Procedures: “Let’s Get Started!”

Since our task is to build more effective state floodplain management programs, this document is based upon a common model for building. We will develop material lists, read instructions and begin to build. The “components” for each step in the process are the building materials, and the “approach” provides instruction. Each state’s actions will result in the “products”. Grab the tools and remember that wise builders “measure twice, cut once”!

### ***Strategic Planning Components (The Building Materials)***

- **Phase 1: Preplanning** – Review mission and vision to provide broad direction and philosophy that will be used to draw conclusions in the planning of strategies and actions.
- **Phase 2: Scanning** – Analyze the external and internal environments that impact the program/agency. The point of this analysis is to identify specific issues, trends and forces that can influence the achievement of the mission and vision.
- **Phase 3: Strategy Building** – Evaluate and assess the environment information. Use conclusions about capability, capacity, mission and vision to build on strengths/opportunities, and correct or avoid weaknesses/threats. Strategies need to be broad and provide direction in response to issues that must be addressed to accomplish the mission.
- **Phase 4: Acting to Achieve** – Develop specific goals and measures that will move from the current to the desired capability, capacity and activities. Goals with measures and timeframes provide accountability for activities and funds. Specific short-term goals are appropriate in the CAP Annual Work Plan. The CAP 5-Year Strategic Plan includes broader goals or strategies to provide direction. At the 5-year plan level, the timeframe and measure may be focused on outcomes versus more detailed outputs.

### ***Strategic Planning Terminology***

**Action** – Specifies the details of what needs to be done in order to make a strategy happen or achieve a goal. The actions are basic but include specifics on how success will be measured.

**Capability** – The competency, knowledge, skill and training in basic floodplain management program elements and functional areas. This definition builds on



the concepts presented in the ASFPM *Effective State Floodplain Management Program 2003* guide. For planning purposes, capability can be measured in broad terms: Trained, Experienced and Mastered are recommended measures. Trained equals participation in class, tutorial or similar; Experienced equals frequent use or application of knowledge/skill; Mastered equals ability to use and apply knowledge/skill independently, and to teach others.

*Capacity* – The current or projected ability to take action, and the resources needed to perform the required or desired actions. For consistency with the FEMA CAP GAP Tool, states should measure capacity relative to full-time equivalent staff hours. This can be easily converted to cost (dollars) to establish budget and financial need.

*Gap Analysis* – Can be related to both capacity and capability. Capacity gap measures the difference between standards and delivery of the standards, such as the FEMA CAP GAP Tool baseline data for CORE Activities. Capability gap measures actual performance against a potential performance target, such as the ASFPM's 10 Principles for Effective State Programs.

*Goal* – What you want to achieve. A goal needs to be specific, measurable, agreed upon, realistic, and defined by a timeframe.

*Measure* – Shows progress and defines success. Measures need to be specific in terms of time and must clearly address the output or outcome of what is being done.

*Outcome* – The achievement or desired performance that is the objective of an action or activity. Outcomes document effectiveness and relate actions and strategies to the overall mission and vision.

*Output* – The product or deliverable that results from an action or activity. The output establishes accountability and can be used to monitor efficiency in performance.

*Self-Assessment* – A strategic approach for evaluating program/agency capability, capacity and need related to a peer-generated standard for effective state floodplain management programs. After self-assessment, the state has a profile of current and desired capability and capacity in the functional areas of an effective floodplain management program.

*Strategic Issue* – A challenge or threat that affects the ability of a program/agency to achieve its mission or meet its purpose.



*Strategy* – Guides the response to a strategic issue. Strategies should be consistent with the purpose, policy and resources of the program/agency, and link to the environment in which it must function.

### ***Strategic Planning Approach (The Instructions)***

Strategic planning provides a consistent way to consider the purpose of a program/agency and how to accomplish that purpose. It also provides a basis for deciding on priority activities and services, and the allocation of resources and people. Using this basic understanding, FEMA and the states can move toward integration of NFIP Coordinator activities with the states' overall comprehensive floodplain management programs. The benefits of using strategic planning to coordinate across the nation include:

- Strong partnerships with no duplication of effort;
- Defined capability and capacity based on consistent data; and
- Similar criteria for allocating budget and staff.

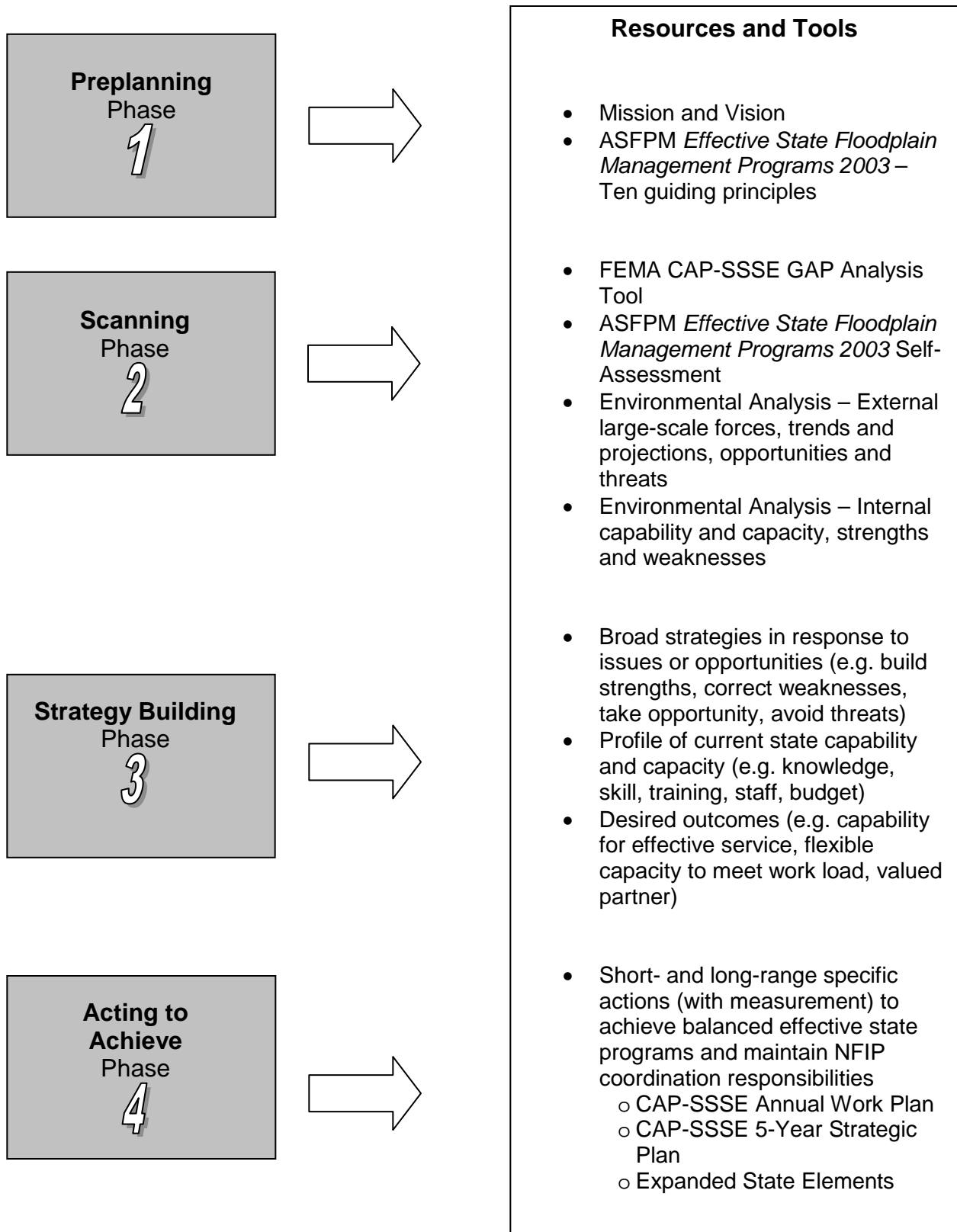
The approach recommended for the strategic planning process is basic (four-step) and adapted from materials used by several states. It is consistent with the themes, goals and objectives noted in the *FEMA Guide to Strategic Planning* and *FEMA Strategic Plan Fiscal Years 2008 – 2013*. See **Figure 5** for an overview of the strategic planning process and products.

**Prior to beginning the strategic planning process it is recommended that the state:**

- Read the *FEMA CAP-SSSE Program GAP Analysis Tool – User Manual and Methodology Report*;
- Have training/experience in using the FEMA CAP GAP Tool spreadsheets;
- Read the *ASFPM Effective State Floodplain Management Programs 2003* and have knowledge of the 10 guiding principles for effective programs; and
- Read this guide (*“Building” Effective State Floodplain Management Programs*) and accompanying worksheets.



**Figure 5: Strategic Planning Model**





## The FEMA and State Roles

Strategic planning requires collaboration between FEMA and the states, and each has a specific role. FEMA is accountable to Congress for showing how it is effectively reducing flood risk and that funding is being used efficiently. FEMA has identified strong partnerships (state NFIP coordination) and the use of good business practices (strategic planning, performance measurement) as strategies it will use. States, as valuable partners, must acknowledge FEMA's needs and align with these strategies. This document explains and supports the states' role in the approach.

Managing the strategic planning process is the responsibility of the state. It is recommended that the strategic plan cover a 5-year period to align with FEMA planning and the CAP-SSSE program requirements. An individual, or a small team of state staff, should be assigned to complete the planning effort. It is recommended that the NFIP State Coordinator, or their management staff, be closely involved.

The strategic planning process can be completed in a few weeks if a state is well prepared. Internal/external review time and use of the FEMA CAP GAP Tool may affect this estimate. It is recommended that the State Coordinator prepare a timeline to ensure that the four steps and draft plan can be completed on a schedule most beneficial to the state. Ideally, this would be coordinated with the preparation of the CAP Annual Work Plan and update of the CAP 5-Year Strategic Plan. Another element that should be considered, but is not discussed in this document, is the schedule for state strategic planning. Time should be allowed for stakeholder feedback.

The four-step approach provides states with a basic framework, but will need further development in subsequent years. Specifically, states and FEMA will need to develop "baseline" information for tasks other than the CAP CORE tasks. The FEMA CAP GAP Tool may be expanded to allow for assessment and summary of ADVANCED or other state tasks in the same manner as CAP CORE tasks. Detailed performance measurement strategies for both CAP-SSSE and state tasks are needed. However, completing at least a basic strategic plan and linking NFIP coordination with overall effective state floodplain management programs now provides:

- Foundation for strengthening core competencies;
- Enhancement of current partnerships;
- Business approach to achieving desired results.\*

\* Refers to the FEMA building blocks for achieving the agency vision. Source: Federal Emergency Management Agency (FEMA). 2008. *FEMA Strategic Plan Fiscal Years 2008 - 2013*. Washington D.C.: FEMA (p. 1).







## Preplanning Steps (The Products): Phase

1

This process starts with laying the strategic foundation for the building of effective state floodplain management programs, including NFIP coordination. **See Worksheet #1 in Appendix A.**

- ✓ **Review the state agency/program mission and vision statements.** Mission and vision statements clarify what you do, why and for whom. These strategic planning elements help align the daily activities and jobs with the broad strategies for the direction in which the program moves.  
*Does the mission say what you do, why and for whom you do it?*  
*Is it consistent with your statutory authority or reason for existing?*
  
- ✓ **Identify the basic purpose of your program through legislation or enabling statutes.** For example, your program or office may have been created to coordinate the National Flood Insurance Program, or it may have already existed and took on the NFIP role. Laws, rules and agreements will spell out what you must do and what you cannot do. Most programs are created to deal with problems or to take advantage of opportunities. The public expects a program to have the correct capability and capacity to meet the responsibilities that have been assigned to it.  
*What is the purpose of your agency/program?*

### Figure 6: Establishing Your Purpose

Who are we as an organization and whom do we serve?

What are the basic purposes for which we exist and what basic problems have we been established to address?

What makes our purpose unique?

Source: Federal Emergency Management Agency (FEMA). 1998. *FEMA Guide to Strategic Planning*. Washington D.C.: FEMA (p. 11).

- ✓ **Review program authorities, statutes, mandates and goal statements.** The authorizing statutes and mandates may provide insight on what is expected from the program/agency and why it exists.  
*What was the program originally designed to address?*  
*Does the program meet statutory requirements?*  
*What are the benefits of the program?*  
*Are there state Executive Orders, directives or policy statements related to the program?*  
*Have priorities been set for the program/agency?*



- ✓ **Brainstorm a list of program stakeholders.** Think of stakeholders as representatives of those groups who have an interest in program activities or tasks (e.g. public, partner agencies, employees, legislators). Stakeholder input will help analyze the “external environment” affecting your agency/program.  
*Who is affected by your actions?*  
*Can you involve a stakeholder in the strategic planning process?*  
*How will you communicate proposed goals, objectives and strategies to stakeholders?*
  
- ✓ **Review the ASFPM Effective State Floodplain Management Programs 2003.** This document is a policy and program guide that identifies 10 principles describing the underlying concepts of effective state-level floodplain management programs. It can be used as a blueprint or vision for developing an effective, comprehensive state floodplain management program.

**Figure 7:** Sample Strategic Plan Elements Addressed in Preplanning

<b>Mission Statement</b>	<p><b>Ideally, this is a short, concise summary of why your agency or program exists. Answer the following: What will you do? Why you do it? For whom you do it?</b></p> <p><i>Sample: Provide leadership to local governments, state agencies, and interested parties for cooperative management of the “State of Perfection’s” floodplains to support reduced flood damage and protection of natural floodplain functions and benefits. Broad strategies of partnership, technical assistance, public awareness/education, and development standards will be used to achieve the goals.</i></p>
<b>Vision Statement</b>	<p><b>The vision should be the picture of what you want to become, or be at some point in the future. The vision should focus on the outcomes that you want to achieve.</b></p> <p><i>Sample: A balanced state where people are safe, development is minimally impacted by flooding and floodplain functions and resources are healthy when it floods!</i></p>



<b>Mandates/Statutory Authorities</b>	<p><b>The mandates are the “must be done” items. These should be clearly related to why you exist (e.g. addressing a specific problem, avoiding a potential problem, correcting a past problem) and whom you serve.</b></p> <p><i>Sample: Annual CAP-SSSE Guidance; State Enabling Statutes for NFIP Coordination or Floodplain Management Coordination.</i></p>
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## Scanning Steps (The Products): Phase

2



Once the foundation is laid, we begin to “frame” the building. In other words, we identify constraints, parameters and limits that affect what the program/agency does and how it operates. During this phase of the planning process, focus on completing a scan of the program/agency operating environment. Accomplish this by:

- Conducting a “SWOT” analysis,
- Applying the FEMA CAP GAP Tool for the current year CAP-SSSE activities, and
- Completing a self-assessment of the state program using the ASFPM 10 guiding principles for an effective state floodplain management program.

Phase 2 is about gathering information to support decisions, strategies and actions.

**NOTE:** Often the architect or builder finds it necessary to add a notation or explanation to some aspect of the plan. The “Discussion” segments of this document are offered as notations or explanations of the tools we are using.

## Strengths, Weaknesses, Opportunities, and Threats (SWOT) Discussion

A basic component of good strategic planning is the scan or assessment of the environment. External and internal factors influence operations and results. Some methods refer to this as “SWOT” where internal factors are classified as Strengths and Weaknesses, and external factors are considered Opportunities or Threats. The classification is not as important as making sure that you have information from both the external and internal environment. **See Worksheet #2 in Appendix A.**



**Figure 8: Environmental Factors to Consider**

External Environment Factors	Internal Environment Factors
<ul style="list-style-type: none"><li>• Political and Legal Changes</li><li>• Technological Changes</li><li>• Demographic Changes</li><li>• Public Attitudes and Social Changes</li><li>• Economic Changes</li><li>• Climate Changes</li><li>• Trends and Projections</li></ul>	<ul style="list-style-type: none"><li>• Statutory Authority and Mandates</li><li>• Human Resources</li><li>• Capability</li><li>• Capacity</li><li>• Organizational Structure</li><li>• Financial Resources</li></ul>

**The point of the SWOT is to identify specific issues, trends and forces that can influence the achievement of your mission and vision.** The SWOT can be done independently from, or as part of, your program review in the self-assessment step. If the SWOT is conducted independently from the effective program self-assessment, specific SWOT information should be transferred to the correct program elements. This allows consideration of opportunities and strengths when strategies are planned. The development of strategies and action steps should be in direct response to conclusions drawn from the scan. In other words, each state will develop unique strategies and actions to accomplish its own mission, based upon the specific strengths and opportunities that the state identifies.

*The Evaluation of the National Flood Insurance Program Final Report* is a good source for SWOT information about the outside environment affecting the state role and participation in the NFIP. Here are some key points from the report (p. x-xi):

- The NFIP operates in coordination with state governments, but the states' potential for furthering the goals of the Program has not been fully utilized. Coordination with other federal and private-sector programs that have similar objectives could be improved.
- Most flood-prone areas are still subject to being developed, in part because the NFIP has no strong provisions to guide development away from floodplains, even those with extreme flood hazards or valuable natural resources.
- The NFIP's current system of regulations, insurance incentives, and mitigation funding is not ridding the nation of its stock of existing flood-prone buildings as quickly as expected.



- Most natural and beneficial floodplain functions in the United States are still subject to degradation by development, in part because the NFIP has not emphasized the protection of those functions and has few tools to help restore them, once impaired.

The state should decide at this point whether to identify Strengths, Weaknesses, Opportunities, and Threats for the specific state program component associated with the 10 guiding principles, or conduct a broad SWOT review. The broad effort can be done quickly and accurately by using external resources and internal experience.

Resources for states include the following: *The ASFPM Floodplain Management 2003 - State and Local Programs*; *The Evaluation of the National Flood Insurance Program Final Report*; specific topic studies for national floodplain management trends and data; stakeholder input. Experienced internal staff can be resources for quickly identifying program strengths and weaknesses based upon their depth and understanding of the program.

### ***CAP-SSSE Components (The Building Materials)***

- **NFIP Coordination** – The CAP-SSSE is a funding mechanism that provides states with funding to conduct specific activities in support of the NFIP goals and objectives. The CORE CAP activities will require a specific resource and funding commitment from the state.
- **CAP-SSSE Annual Work Plan** – The annual work plan provides accountability in terms of target goals and specific actions taken to achieve the more strategic direction and mission. It also provides for budget and human resource allocation to specific work products and services.
- **CAP-SSSE 5-Year Strategic Plan** – The 5-Year Strategic Plan is the map or guide directing both FEMA and the states toward more effective floodplain management programs. The ultimate strategic goal is for NFIP coordination to be integrated into comprehensive state floodplain management programs that are effectively reducing flood risk and protecting naturally functioning floodplains and resources.

### ***CAP-SSSE GAP Analysis Approach (The Instructions)***

#### **The FEMA CAP-SSSE GAP Analysis Tool**

FEMA has provided the CAP GAP Tool for assessment of capacity and resource allocation for activities in the 10 CAP-SSSE Program Elements. The FEMA CAP GAP Tool is a spreadsheet that is designed using Microsoft Excel. It includes analysis and



summary functions for your state's CAP-SSSE activities. The GAP between state activities and nationally established baseline information for CAP CORE activities is calculated in both hours and dollars.

As we move from gap analysis of CAP-SSSE activities to broader state and non-CAP-SSSE activities a similar logic and approach will be applied. A key difference between the FEMA CAP GAP Tool and the "GAP" for state non-CAP-SSSE CORE activities is that a nationally established baseline has not been determined. In order to apply similar logic, a state can assume that the current capacity (time and effort) for an activity is the "baseline". The "GAP" then becomes the difference between the current level and what the state estimates as a desired level of effort or service for an activity.

To remain consistent, the information supplied by the state for the "General State Information" and "Time and Effort Data" tabs of the FEMA CAP GAP Tool should be used for assumptions throughout the ASFPM *Effective State Floodplain Management Programs 2003* assessment for non-CAP-SSSE funded activities. **See Worksheet #3 in Appendix A.**

- ✓ **Complete a CAP-SSSE GAP Analysis for your state's current CAP-SSSE activities.** All State Coordinators were provided the FEMA CAP GAP Tool during FY2009. Web-based training and a user manual support the use of the tool. Consult the *FEMA CAP-SSSE Program GAP Analysis Tool - User Manual and Methodology Report* for details on using and interpreting the GAP Analysis Tool.

### ***Self-Assessment Components (The Building Materials)***

- **Description of State Program Elements** – Obtain this from the ASFPM *Effective State Floodplain Management Programs 2003* guide. The 10 guiding principles describe the main concepts of all effective state floodplain management programs and the "ideal" effective program elements to be used as a "blueprint" for state programs. (**See Worksheet #6 in Appendix A.**)
- **Profile of Existing State Program** – Use the ASFPM guide and checklists to identify current state program activities (including CAP-SSSE activities). The current activities become the "baseline" for the state. The baseline can be compared to the principles, components and elements in the guide to identify areas for change, estimate the need for different elements, and establish appropriate service levels – defining a "desired" level for capability and capacity.
- **SWOT Discussion** – Integrate the external and internal environment assessment findings. Compare current capability and capacity vs. desired capability and capacity in the CAP-SSSE activities and state effective program elements.



- **Assumptions for “Gap Analysis” (Capability/Capacity)** – Since there is no single model for an effective state program, each state must document the unique factors in its management of flood risk and floodplain resources (e.g. core competency, staff, budget, time and cost).

### ***Self-Assessment Approach (The Instructions)***

Self-assessment is a strategic planning tool that offers a consistent way to evaluate state floodplain management programs. The state self-assessment builds off of the concepts that have been introduced and defined in the FEMA CAP GAP Tool. Specifically, states need to determine what is currently being done and what resources are being used (activities, time, cost), what should be done (state activities and resources evaluated against best practice effective program principles), and how state performance compares to recommended standards (current capability and capacity measured against CAP CORE Program and Effective State Program baselines).

The state goals for self-assessment are:

1. Establish a “baseline” profile of a unique, but comprehensive, state floodplain management program based upon the ASFPM *Effective State Floodplain Management Programs 2003* guiding principles.
2. Document capability and capacity information that can be used to analyze “gaps” between needs and resources of an effective state floodplain management program.
3. Use the ASFPM vision of an effective state floodplain management program as a consistent national approach to integrate CAP-SSSE activities and balanced state programs.

### **Using the ASFPM *Effective State Floodplain Management Programs 2003* Guide**

States should use the vision for an effective program as a “benchmark”. In other words, consider the 10 principles and best practices as a “standard” for effective floodplain management. The assessment provides a picture of where your state is compared to an ideal. Conclusions about your state’s performance should be made, and areas for improvement or change identified.

The ASFPM 10 principles, components and program elements go well beyond the basic duties and responsibilities of coordinating the NFIP. However, this framework allows a state to show where its NFIP coordinating activities fit with broader comprehensive needs of an effective state floodplain management program.





### **Figure 9: Using the ASFPM Effective State Floodplain Management Programs Guide**

[The] guide is organized into 10 parts, one for each of the principles... [program components and elements], so that each part addresses one main component of a state floodplain management program. Within each part, that component is presented and its importance to the state and its people explained. The subsections outline elements of a state program that support that component and its underlying principle, with brief descriptions of the tools and techniques that in turn can be effective in supporting that element.

The various subsections and brief descriptions of tools and techniques are not meant to be comprehensive instructions, but rather suggestions that can be used as checklists by those who wish to assess their programs' strengths and identify opportunities for effective enhancement and growth. It is intended to help answer such questions as

- Are we, as a state, doing everything we can and should be doing?
- Has anyone else had success with a particular technique or program?
- How can we revitalize our state approach and foster more effective local programs?
- What other state expertise and assets can be brought to bear on this particular problem?

Source: Association of State Floodplain Managers (ASFPM). 2003. *Effective State Floodplain Management Programs 2003*. Madison, WI: ASFPM (p. 5-6).

### **Capability and Capacity Discussion**

Effective floodplain management requires adequate capability in core competencies and program areas, as well as flexible capacity to meet changing workloads and priority tasks. For planning purposes, **“capability” is defined as competency, knowledge, skill and training in basic program elements and functional areas.** States can measure capability in broad terms (e.g. trained, experienced, mastered). Capability is related to how effective a state will be in achieving the desired outcomes of its program.

For example, a desired outcome of providing technical assistance is to influence floodplain resource use and development decisions. To be effective in providing technical assistance, the state must be viewed as competent and credible.

**“Capacity” means the current or projected ability to take action, and the resources needed to perform required or desired activities.** For consistency with the FEMA CAP GAP Tool, states should measure capacity relative to full-time equivalent staff hours. This can be easily converted to cost (dollars) to establish budget and financial need.

Using these concepts, the states and FEMA have a consistent approach for creating unique visions for effective state floodplain management programs. Baseline information for current capability is established and capacity for changing priority tasks





and workloads can be projected. NFIP coordination activities and overall state floodplain program activities can both be quantified in terms of capability and capacity.

## **GAP Analysis Discussion**

The *FEMA CAP-SSSE Program GAP Analysis Tool – User Manual and Methodology Report* states “A GAP analysis generally refers to the activity of studying the difference between standards and the delivery of those standards” (p. 8). Wikipedia defines gap analysis as “...a tool ...to compare...actual performance with ... potential performance,” with the gap measurement being the difference. Wikipedia goes on to discuss how “expectation of performance,” “best practices” and “target requirements” can be used as a means for comparison if gap analysis is applied in this manner. The gap analysis is a useful tool for evaluating aspects of floodplain management programs relative to best practices and the 10 principles (or standards) for an effective state-level program.

The major difference between the CAP GAP Analysis and the ASFPM *Effective State Floodplain Management Programs 2003* gap analysis is the use of baseline data (a set of requirements) for the 10 CORE CAP activities. The gap evaluation, for non-CAP-SSSE activities, is a comparison of a state’s current capability and capacity (performance) with its desired capability and capacity. Using the current capability and capacity information as the baseline provides a starting point and consistent way for states to measure improvement in future capability and capacity. **The baseline in the self-assessment becomes a placeholder for measuring improvement, or the starting point for the comparison of state capability and capacity information for comprehensive floodplain management programs in future years.**

## **The State Role**

Profiling current capability and capacity and determining what an “effective state floodplain management program” looks like are responsibilities of the individual state. The NFIP Coordinator should take the lead on the self-assessment, but it is quite likely that coordination with other state agencies will be required for a comprehensive state review of floodplain management activities. State responsibilities are to determine Strengths, Weaknesses, Opportunities and Threats; document current capability and capacity to support NFIP coordination and other state floodplain management activities; and identify gaps where either capability or capacity do not match the need or workload. Then the state must determine state-specific conclusions about the need for change, the demand for different program elements, and effective competency and service levels.

The ASFPM *Effective State Floodplain Management Programs 2003* presents a vision for managing floodplains including best practices and recommended standards. Consider it a “blueprint” for a state program trying to reduce flood loss, flood damage and protect natural floodplain resources. Remember, the “vision” in strategic planning terms is the desired state, or what your program/agency should look like in the future. The effective program vision is a peer-defined ideal or standard.



## State Self-Assessment

Besides looking at outside influences, a good self-assessment includes looking at internal program factors. Using the 10 guiding principle framework found in the ASFPM *Effective State Floodplain Management Programs 2003* establishes a consistent way to evaluate a state floodplain management program's effectiveness. Gap analysis supports drawing conclusions. The gap shows how well current actions relate to the desired or recommended services and activities for NFIP coordination and effective floodplain management programs. **Figure 10** is an overview of the recommended 10 principles, but to complete a valuable self-assessment, you must be familiar with the ASFPM *Effective State Floodplain Management Programs 2003* principles and content.

**Figure 10:** Principles for Effective State Floodplain Management

1. State floodplain management programs need strong, clear authority.
2. State floodplain management programs should be comprehensive and integrated with other state functions.
3. Flood hazards within the state must be identified and flood risks assessed.
4. Natural floodplain functions and resources throughout the state need to be respected.
5. Development within the state must be guided away from flood-prone areas; adverse impacts of development both inside and outside the floodplain must be minimized.
6. Flood mitigation and recovery strategies should be in place throughout the state.
7. The state's people need to be informed about flood hazards and mitigation options.
8. Training and technical assistance in floodplain management need to be available to the state's communities.
9. The levels of funding and staffing for floodplain management should meet the demand within each state.
10. Evaluation of the effectiveness of states' floodplain management programs is essential and successes should be documented.

Source: Association of State Floodplain Managers (ASFPM). 2003. *Effective State Floodplain Management Programs 2003*. Madison, WI: ASFPM (p. iv-viii).

Self-assessment provides information on what you are doing and what you should do, relative to what you want to do! In other words, you are developing a profile of capability, capacity and needs. The profile can then be evaluated against the broad mission or outcomes that are desired and "standards" that have proven successful.

## Profile Discussion

An initial preplanning step was to read the ASFPM *Effective State Floodplain Management Programs 2003* guide. It is important to understand the organization of the guide and how it should be used before you profile the state activities and services. The guide is organized into 10 parts, one for each of the principles associated with effective state floodplain management programs. The corresponding "Part" of the ASFPM guide can be consulted if you want more detail on why the program element is important to the state. **As you create your state's profile of activities and services, you are comparing your state to the comprehensive components of an effective**



**state floodplain management program.** Use **Worksheets # 4, 5 and 6 in Appendix A** to create a profile of your state's current floodplain management activities. Remember to include CAP-SSSE activities with other state activities and services related to the principles and functions. (See **Appendix B: CAP-SSSE Program Element and ASFPM Effective State Floodplain Management Program Crosswalk.**)

Complete one **Worksheet #4** for each of the 10 principles to reflect your state's activities in that functional area. If you have no activities or service in the area, you may want to complete the program element description and move directly to "Discussion of Future Opportunities" on the worksheet. **Worksheet #5** should be used to synthesize the capability and capacity information from all of the state activities and services (including NFIP coordination). Once this summary sheet is complete you have information to support a gap analysis of the overall state comprehensive floodplain management program. **Worksheet #6** can be used with Worksheet #4 for each principle area to help identify the tools, techniques, activities and services that your state provides. Remember, it is meant to guide and not limit your identification of service and activities for floodplain management.

See **Figure 11** on the next two pages for an example of a completed profile worksheet. This example addresses how a state profiled activities related to the functional area of strong, clear authority for floodplain management (Principle 1).

In this example, the "State of Perfection" might conclude that it needs more resources to meet the desired service level for review of pending legislation, and for monitoring state agency and community compliance with the state flood damage reduction regulations. Hold that thought for the next step when strategies and goals will be developed.

You will notice that in the profile worksheet example, no solutions are offered for the issues and concerns identified during the assessment. The profile is being conducted to gather information. The information about what the state currently does must then be evaluated against the mission, vision, capability and capacity of the specific program before the strategies for solving problems and avoiding threats can be determined. The strategies will direct state actions to resolve issues and avoid threats.

Include the challenges or opportunities that were not met and discuss possible reasons why. Noting milestone events can document success and provide accountability for activities. Discuss the challenges and opportunities that were addressed well and what contributed to the success. Using this approach you may identify strengths and weaknesses that were not previously noted.



**Figure 11: “State of Perfection” Self-Assessment Program Element Example**

**State Program Element Analysis: Statutory Authority for State and Local Floodplain Management**

**Description of Program Element** (Obtain from ASFPM Effective State FPM Programs 2003)

State floodplain management programs need strong and clear authority. An effective program goes beyond the minimum level of commitment required by federal programs such as the NFIP to incorporate other techniques and actions that will enable it to best protect citizens, property and resources from flood losses. Effective programs extend into many facets of state government because many state agencies undertake or support programs and activities that inadvertently increase exposure to flood hazards.

**“State of Perfection” Profile of Existing Program** (What are your current services and activities?)

ACTIVITY	RELATIONSHIP TO OTHER PLANS/GOALS/MANDATES				CAPABILITY Staff Skills / Knowledge Level. Trained Experienced Mastered	CAPACITY (FTE = 2000 hours annually)		
	Mandate Of State Program	Program Strategic Plan	Agency Strategic Plan	FEMA Flood Loss Reduction Goals (CAP and RiskMAP)		Current Service Level (measured in FTEs per year)	Desired Service Level (measured in FTEs per year based state assumptions)	Gap Between the Current State and Desired Service (measured in FTEs per year)
Review/interpret federal/state legislation affecting state and local floodplain management authorities				√	M	.1	.25	.15
Review/develop state floodplain management statutes and rules including enabling legislation	√ RC 1521.13	√			E	.1	.25	.15
State Compliance (Maintenance of state compliance list is only current activity)	√ RC 1521.18	√			M	.1	1 (oversee state compliance program, develop rules, materials, process, etc.)	.9
Provide documentation for NFIP sanctions				√	M	.5	1 (Put more time into coordinating potential communities with FEMA / follow-up)	.5
<b>TOTAL</b>						<b>.8</b>	<b>2.5</b>	<b>1.7</b>



**Discussion of Future Opportunities / Issues Related to Program Element:** *(Be frank and complete.)*

A Governor's Executive Order promoting flood risk reduction among all state agencies, activities and programs, and a departmental policy to preserve and protect naturally functioning floodplain resources is needed to demonstrate high level commitment and leadership. A draft Executive Order was developed in late 2005 by the Floodplain Management Program, but has not moved beyond agency administration.

There is a legislative trend towards preemptive regulations that concentrate regulatory authority in a single entity without regard to flood damage reduction. For example, manufactured home installation legislation with criteria for installing and anchoring manufactured home structures essentially eliminated all regulatory authority from local governments.

A weakness exists in the state's current planning and land use regime. Enabling authorities exist for land use planning, zoning, subdivision, and floodplain management, but there are no incentives or requirements for communities to implement such measures. The state program lacks a process to implement enforcement authorities.

The development of technical rules for the assessment of the impact of development on flood hazards remains as an unaddressed mandate.

The building code does not include use or area criteria (i.e., standards for floodways), and the issuance of a building permit is based only on performance standards – even if it does not meet local floodplain management regulations for such areas. A flood-related complication that keeps resurfacing is floodplain related erosion (in-channel for riverine, water-land interface on coasts). Current state regulations do not address this issue in an integrated way.

State Hazard Mitigation Team does not exist in statute.

Water resource programs, including coastal, soil and water conservation, floodplain management, and watershed programs are implemented independently without much coordination at the state level.

**Milestone(s):** Local regulatory program elements have been improved through the changes to the state Revised Code providing clear and explicit statements of authority to adopt floodplain regulations and “higher standards”, establishing limitation on how long after the adoption of local regulations they can be overturned due to adoption process, and establishing clearer authority on enforcement. The state has incorporated floodplain management standards in the state building code.

- ✓ **Profile the existing state program elements and activities** using the ASFPM *Effective State Floodplain Management Programs 2003* guide.

The profile **Worksheet #4** prompts the state to link activities to statutory mandates and existing plans. This information will help answer “Are we doing the right things?”. Knowing your capability and capacity information supports strategic decisions about workload demands and service levels. Identifying the “gaps” where need and capability/capacity are not matched will support conclusions about needs.



- ✓ **Determine the relationship of the service or activity to state mandates, goals, existing plans** (*FEMA CAP Annual Work Plan and 5-Year Plan; FEMA RISKMap; State Mandates; State Strategic Plan*).
- ✓ **Indicate current state capability** (Trained, Experienced, Mastered) in each functional area.

Remember that this information is for planning purposes and that it is subjective information provided by your internal staff and/or representative stakeholders. This makes broad measures for capability appropriate. The following measurement classification is suggested:

- **Trained** equals participation in class, tutorial or similar;
- **Experienced** equals frequent use or application of knowledge/skill;
- **Mastered** equals ability to use and apply knowledge/skill independently, and to teach others.

Many states keep lists of activities and services or an inventory of what they do. The inventory helps to account for current budget and staff use, but it doesn't tell you if you are doing things well or what to do if the need or demand changes. For this reason, the profile worksheet asks for information on your current and desired level of capacity. (Remember that we defined "capacity" as the current or projected ability to take action, and the resources needed to perform required or desired activities.)

- ✓ **Indicate current capacity** (staff, budget) for each activity or task.
- ✓ **Indicate desired capacity** (staff, budget) for each future activity or task.
- ✓ **Document the "time and effort" assumptions** used for each task under a program element.

The FEMA CAP GAP Tool measures capacity by full-time equivalent staff hours. The hours can then be easily converted to cost (dollars). The CAP CORE Activities include "baseline" information determined from a national survey and averages. This baseline is not available for ADVANCED CAP or other state activities. To understand the total resource need for both CAP-SSSE NFIP coordination and other state floodplain management activities, a similar "baseline" must be established for the ADVANCED and other state floodplain management activities.

**It is recommended that the state's current capacity be used as the "baseline" for ADVANCED CAP and other state activities for the profile.** In future years, a state may establish a refined baseline (e.g. national data on time; effort and cost for specific activities; critical variables affecting the task or element). Or, it may be possible to use data from a future ASFPM publication that will be an update to the ASFPM *Floodplain*



*Management 2003 – State and Local Programs* survey to create a national data set. Recording the time and effort assumptions, as well as critical factors that influence your capacity, provides information that allows an individual state to develop a more meaningful baseline in future assessments.

Next, **Worksheet #4** prompts a SWOT discussion for each program element. If you conducted a general SWOT during the Scanning Phase of the process, specific SWOTs should now be discussed under the program element or principle to which they apply.

- ✓ **Complete the SWOT discussion for each floodplain management program element in your state.**

Though it might add effort and time to your scan, combining the input of major stakeholders with that of internal staff gives a more complete picture than just using internal information. There are several methods by which you can obtain input. Some of the quickest methods include a short survey or facilitated sessions using a few key questions for your stakeholder representatives and internal staff. See **Figure 12** for some sample questions that might be used to gather feedback from stakeholders.





**Figure 12: Sample SWOT Questions for Stakeholders and Program Staff**

1. What do you consider to be the main strengths and weaknesses of your state's floodplain management program?  
\_\_\_\_\_  
\_\_\_\_\_
  
2. What trends do you perceive as either opportunities or threats to your state's floodplain management program?  
\_\_\_\_\_  
\_\_\_\_\_
  
3. What do you need or expect from your state's floodplain management program?  
\_\_\_\_\_  
\_\_\_\_\_
  
4. What criteria or measure would you apply to judge your state's floodplain management program performance?  
\_\_\_\_\_  
\_\_\_\_\_
  
5. How well is the program performing against those criteria in your opinion (Excellent, Good, Fair or Poor)?  
\_\_\_\_\_  
\_\_\_\_\_
  
6. Why such a rating?  
\_\_\_\_\_  
\_\_\_\_\_
  
7. What would you like your state's floodplain management program to do more or less of?  
\_\_\_\_\_  
\_\_\_\_\_
  
8. If resources were available, what additional activities or services do you feel the program should provide?  
\_\_\_\_\_  
\_\_\_\_\_





### 3



## Strategy Building Steps (The Products): Phase

We have laid the foundation and “framed” the structure. Now it is decision time and we need to support our decisions with good data and solid conclusions about how to finish our building. Think about the outcomes we need or want. Do we want a commercial or residential structure? Are we trying to make the structure “green” or just build for the lowest cost possible? Are there significant limiting factors like budget, target populations, or skilled labor that affect our actions? Can we identify some broad strategies to guide us?

For example, in terms of broad strategies, we know the building will need heating and cooling, power and lights, and water. Knowing these things guides how we develop more specific details and timeframes for those adding HVAC, electrical and plumbing functions to our building. Is the strategic nature of this process starting to fall into place for you?

You are ready to use the information and worksheets from the previous steps to draw conclusions about what you know. The analysis of the information will identify how to proceed. Think about what your program/agency does, for whom and why (the mission/vision) to keep you going in the correct direction as you analyze information.

Review the SWOT information about the environment (external and internal). Identify the key strengths and opportunities of your current agency/program. **To keep moving forward strategically, you need to establish broad strategies to direct the specific actions that will be needed to achieve the outcomes and goals.** The following pages contain two examples of how information from the Preplanning and Scanning phases of the process can be used to develop strategies and actions.



## Example – Interpreting Scanning Step Information

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Let's concentrate on capability for a minute. A national baseline has been established in this area for floodplain managers. A strategy used by both FEMA and the states is to provide technical assistance. The desired outcome is better use and development decisions for flood risk areas. The perception of those receiving the technical assistance regarding the credibility and competency of floodplain managers relates to how well FEMA and state staff can influence decisions. Staff capability affects the achievement of the outcome and goal of reducing flood risk.

For this reason a state may develop a goal focused on professional development. The ASFPM (or Accredited State) Professional Certification in Floodplain Management (CFM) can be a benchmark or standard for establishing a desired level of capability or competency. The objectives of the CFM are to establish a standardized level of floodplain management knowledge and skill, and a commitment to continuing education/training. Because the floodplain manager does not have direct control over the use or development of the floodplain and related resources, she/he often must rely on ability to influence those who do. It is logical that floodplain managers who are highly regarded (credible) and thought of as professionally competent are more effective at influencing others.

### **Figure 13:** Sample “Benchmark” Peer-Provided Standard for Floodplain Management Capability

The certification program furthers the professionalism of floodplain managers nationwide by enhancing the level of expertise not only of those who are administering local ordinances but also those who are providing training, guidance, and technical assistance to those local personnel. Professional certification helps spread full understanding and appreciation of the NFIP, and promote compliance with its requirements.

Source: Monday, Jacquelyn; Grill, Kristen Y.; Esformes, Paul; Eng, Matthew; Kinney, Tina; Shapiro, Marc. 2006. *An Evaluation of Compliance with the National Flood Insurance Program Part A: Achieving Community Compliance*. Washington D.C.: American Institutes for Research (p. 56).

**Figure 14** on the following page summarizes which CFM capabilities and competency areas relate to the components of effective state floodplain management programs. A state can apply this information to develop specific strategies and goals that address weak areas or take advantage of opportunities for professional development.

For example, does your state routinely send staff to the Emergency Management Institute? How many CFMs are on your state staff? Does your staff have retrofitting and risk assessment expertise to support mitigation projects? Does state staff work well with design professionals and developers? Are state staff asked to share (e.g. train, educate, present) their floodplain expertise with stakeholders?



**Figure 14: Understanding How CFM Capability Relates to Effective Floodplain Management**

ASFPM Principle →	Authority for State and Local Floodplain Management	Comprehensive, Integrated State Floodplain Management	Flood Hazard Identification and Risk Assessment	Respect for Floodplain Functions and Resources	Guiding Development and Managing its Impacts	Flood Mitigation and Recovery Strategies	Public Awareness	Training and Technical Assistance	Funding and Staffing	Evaluation and Documentation
Floodplain Management Concepts	+	++	+	+	+	+		++	+	+
Floodplain Mapping			++	+	++		+	+		+
National Flood Insurance Program Regulations	+	+			++	+		++		
Regulatory Administrative Procedures	++	+			++				+	
Flood Insurance		+	+			+	+	++		
Flood Hazard Mitigation		+	+	+		++				+
Natural Benefits and Functions		+	+	++						

++ Substantially Consistent    + Somewhat Consistent    -- Not Consistent



## Example – Using SWOT Information for Strategy Development

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One of the key principles for an effective state program is **state floodplain management programs need strong, clear authority**. An effective program must go beyond the minimum level of commitment required by federal programs such as the NFIP to incorporate other techniques and actions that will protect its citizens, property and resources from the adverse consequences of flooding. **Figure 15** provides SWOT information for the “State of Perfection” to consider related to the need for strong, clear authority.

We see that the state identifies strengths including a good framework for effective floodplain management through its NFIP coordination duties and by enabling statutes that support local floodplain management. Preemptive legislation and less than ideal organization of water resource programs present threats that may result in conflicts as NFIP floodplain management criteria are implemented. The strategies and actions that the state develops should focus on the current Strengths and Opportunities. An appropriate action for the “State of Perfection” might be to use the strong local floodplain management authorities to partially address fragmented water resource programs through local permitting criteria and review.

**Figure 15:** Example SWOT Results

“State of Perfection”	SWOTs
<p><b>Key Strengths:</b></p> <ul style="list-style-type: none"> <li>• Statutory Mandate for state NFIP Coordination</li> <li>• State law enables local authority for adoption of floodplain regulations including “higher standards”</li> <li>• Floodplain management standards in state building code</li> </ul>	<p><b>Key Weaknesses:</b></p> <ul style="list-style-type: none"> <li>• No state policy for protection of naturally functioning floodplain resources</li> <li>• No state incentives or requirements for local implementation of land use planning, zoning or floodplain management regulations</li> </ul>
<p><b>Key Threats:</b></p> <ul style="list-style-type: none"> <li>• Legislative trend towards preemptive regulations resulting in single entity authority without regard for floodplain management criteria</li> <li>• Fragmentation of related water resource programs including coastal, soil and water conservation, floodplain management and watershed management</li> </ul>	<p><b>Key Opportunities:</b></p> <ul style="list-style-type: none"> <li>• Interagency coordination (State Hazard Mitigation Team)</li> <li>• Leadership through Governor’s Executive Order prioritizing flood risk reduction for state funded, licensed and undertaken activities</li> <li>• Enforcement mechanism for communities that fail to administer local floodplain management programs</li> </ul>



## Example – Strategy Development

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Given the economy and competition for agency funding, you may identify that your program is challenged to meet a growing demand for service with shrinking funding allocations. Partnership is a strategy for dealing with decreasing resources. The objective is to leverage others' capabilities and capacities for action in order to help achieve your outcomes. The CAP-SSSE is a partnership with FEMA to achieve NFIP support; however, it can be an efficient way to establish the foundation of your state floodplain management services.

**Figure 16:** *Example State Strategies for Effectiveness*

Sample Strategies	Sample Actions (without timeframe or measures)
Become a valued FEMA partner through CAP-SSSE strategic planning.	<ul style="list-style-type: none"> <li>• Document state capability and capacity for flood hazard identification/risk assessment, community compliance enforcement and flood mitigation.</li> <li>• Apply FEMA CAP GAP Tool analysis for allocation of staff to ensure that your state delivers a CORE CAP program.</li> </ul>
Influence floodplain use and development to reduce risk and protect natural functions, by providing quality technical assistance through competent, credible staff.	<ul style="list-style-type: none"> <li>• Enhance staff expertise by requiring achievement of Certified Floodplain Management (CFM).</li> <li>• Ensure that staff has tools essential for job (i.e. technology, training).</li> </ul>



As you move through the strategic planning phases, you will see the focus shift from the “big picture” mission to the everyday work. You should also be able to see how your daily work results in progress and helps achieve your outcomes. What you do should align with the strategies, mission and vision for the program or agency.

- ✓ **Identify 1-3 strategies that will direct your state’s actions and activities as you move toward achieving your mission.**

**See Worksheet #7 in Appendix A.** Remember to keep strategies focused on broad directions in response to specific issues or opportunities for your state. Specific actions with measures and timelines will be developed when you prepare the plan in the final step of the project.

Think about our building for a minute. The broad strategies were to include heating and cooling, power and lights and water to make our building functional. If the contractor hires two carpet layers and an interior decorator, how likely are we to make progress on any of the major systems for our building? That’s right, not too likely.

- ✓ **Does your program have the right elements and are you doing the right things?** (Purpose, CAP CORE program, capability and capacity for floodplain management service beyond the NFIP coordination)

Your **resources for answering this question** are your mission, vision and mandates. Laws, contracts, and statutory mandates must be done. If we keep the analogy going, the construction plans, architect’s rendering and building codes are the resources to help us figure out if we are on the right track.

- ✓ Use the “Summary and Analysis Worksheets” from your FEMA CAP GAP Tool to see if your state is meeting the basic CORE CAP activity requirements.
- ✓ Review the “GAP” information concerning your capability and capacity for the effective program principles. Is your state competent? (See **Worksheet #5**)

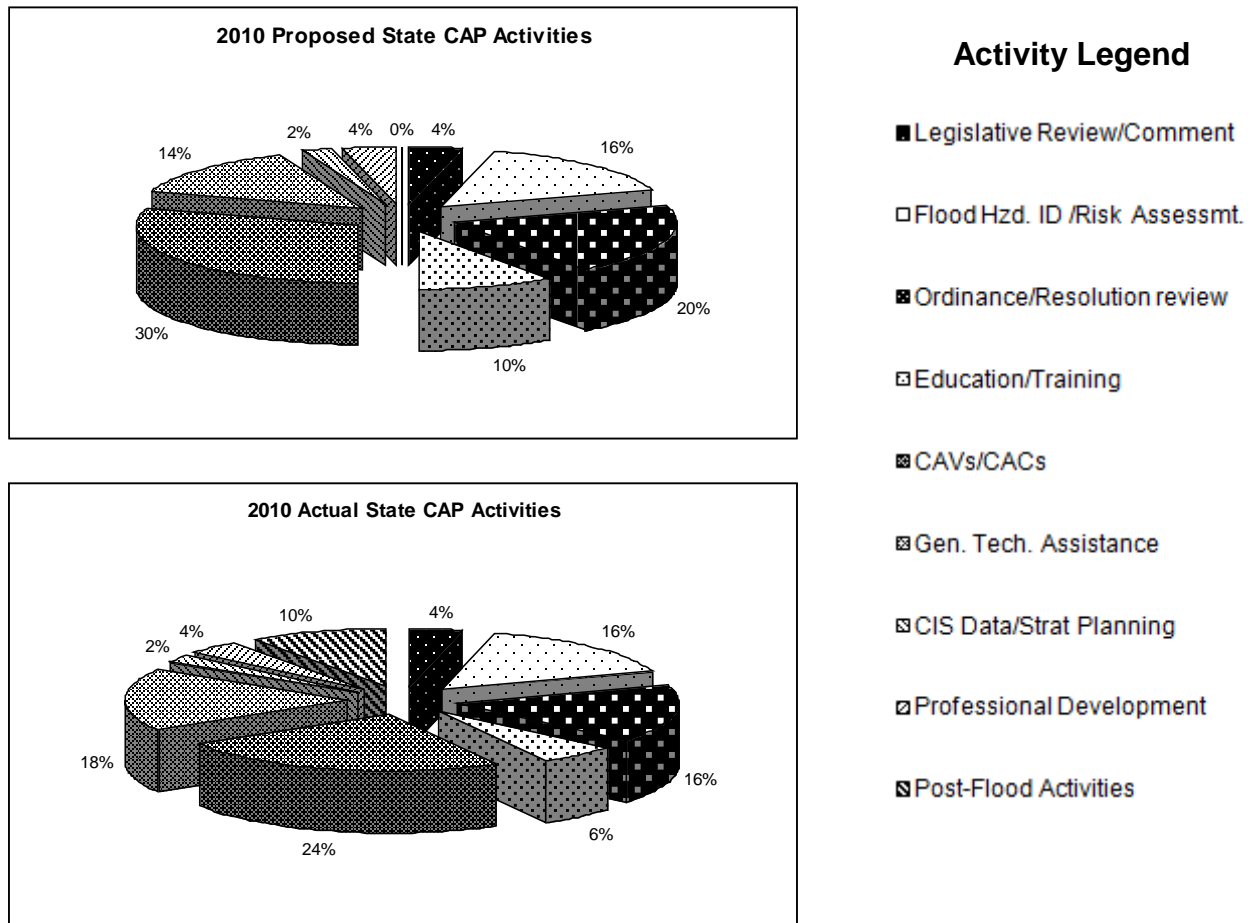
Keep in mind that if you are going to make changes or need different staff and resources because of your conclusions, you will need to “present your case” and convince your stakeholders of the need. Your strategic plan can be the communication tool. The material that you include and the way you communicate it will impact the effectiveness of your plan(s).



## Example – Communicating Your Conclusions in a Plan

Incorporating graphics (line graphs, pie charts, etc.) is a quick way to show how program activities and elements compare to the “standards” (i.e. baselines, best practices, peer principles). It can also be effective to show the relationship of your program elements and activities to each other. For example, if all of your program staff and budget are committed to NFIP coordination activities, what impact does that have on your ability to provide a full range of floodplain management services to your citizens?

**Figure 17:** Comparison of State CAP-SSSE/NFIP Planned and Actual Activities



**Figure 17** is an example of how one state’s CAP activities are impacted by a flood event. The pie charts depict the proposed and actual activities that the “State of Perfection” identified for CAP-SSSE/NFIP coordination. The graphics make it easy to compare the proposed versus actual CAP-SSSE activities for the CAP-SSSE grant period (Fiscal Year 2010). Notice that in 2010, the “State of Perfection” experienced a flood disaster that resulted in post-flood activities. Providing post-flood services means resources are not available to complete some of the proposed activities such as ordinance review, education and community compliance monitoring (CAVs / CACs). The state and FEMA may need to re-negotiate for this CAP-SSSE grant.



During this phase of planning, use broad strategies to move toward specific actions that result in accomplishments. Going back to our building analogy, the building must have heating and cooling, so where do we need more action or detail to make sure that happens? What criteria or critical factors do we consider? We are looking for specifics that will help us provide the detail needed to make sure that our strategies will be implemented.

Applying our analogy to development of effective floodplain programs, it is time to form conclusions about capability and capacity to coordinate the NFIP, and to be effective with a full range of state floodplain management services. Using **Worksheets #3 and #7** consider the following questions:

- ✓ Does your state have the capability (core floodplain management competencies) to be effective?
- ✓ Does your state have the capacity (staff, budget) to meet the planned workload for NFIP coordination? For state floodplain management activities?

Consider the external and internal factors that influence your program. The broad strategies guide the general direction that you want to move, but can you get to where you want to be without changing things? Maybe the best reason for change is because states have more to offer. Differing flood risk and flood impacts, as well as state authorities and politics, provide opportunity for creative new strategies and actions to achieve the mission and goals.

**Figure 18:** *States Are Valued Partners in the Coordination of the NFIP*

Advancing the goals of the NFIP should not rest entirely on FEMA's shoulders: all stakeholders must contribute. The 50 states should set examples for their communities and for the nation. Given their varied flooding conditions and political structures, they offer a tremendous opportunity for trying different approaches.

Source: Wetmore, French; Bernstein, George; Conrad, David; DiVincenti, Cynthia; Larson, Larry; Plasencia, Doug; Riggs, Russell. 2006. *The Evaluation of the National Flood Insurance Program Final Report*. Washington D.C.: American Institutes for Research (p. 47).

- ✓ **What should your state do differently? Are there things you don't do, but should?**
  - Are there best management practices your state should adopt?
  - Can you identify ADVANCED CAP or other state activities that your state has the capability and capacity to perform?
  - Do you support your CAP-SSSE Application with sufficient data? (FEMA considers state variables such as personnel, flood risk, capacity, number of participating communities, number of flood insurance policies, and rate of development for funding allocation.)





- Can your state use this collaborative strategic planning process to better link CAP-SSSE funding to state capability, capacity and floodplain management needs?
- Does your CAP Annual Work Plan provide the type and number of activities as well as financial accountability information (i.e. effort level-hours, cost, and outputs)?
- How much state funding is needed for matching federally-funded NFIP coordination?
- How does the available state funding meet the need for state program activities and services?

Use **Worksheets #4 and 7 in Appendix A** to record changes or add elements and activities related to the strategies that you have planned. Worksheet #4 allows you to link directly with program elements, while #7 is more general and ties to broader strategies and planning themes.



# Planning from Findings and Conclusions: “Using What We Know.”

## **State and FEMA Roles**

*The Evaluation of the National Flood Insurance Program Final Report* recommends looking beyond single programs and minimum standards for our floodplain management construct (p. 46-47). This also applies to how we plan. The annual plans, long-range plans, business plans, cooperating partner agreements, mapping activity statements and project management plans associated with FEMA funding should not become “outputs” to satisfy individual funding program requirements. Instead, our planning effort, strategies and goals should cooperatively direct FEMA and states toward the big outcomes of reduced flood risk and naturally functioning floodplains.

The **state role** is:

- to clearly understand what being effective in floodplain management means;
- to identify the specific capabilities and capacities that the state has;
- to identify what it needs to improve to be effective; and
- to provide accountability for federal and state funding.

The states have a strong role and responsibility in making floodplain management programs effective because of the benefits states receive when they are successful. **Figure 19** enumerates some of those benefits.

The **FEMA role** is:

- to understand that states can and should have floodplain management program elements beyond NFIP coordination;
- to match state capability and service requests; and
- to provide funding related to state need and capacity.

This federal role is defined by the purpose of the CAP-SSSE program: To obtain state assistance with activities that achieve the goals of the NFIP. It is further reflected in the *FEMA Strategic Plan Fiscal Years 2008 - 2013*. “Strong partnerships that leverage capabilities and capitalize on public-private efficiencies” are identified in the plan as key strategies for achieving FEMA’s mission (p. 5).

The *State Roles and Responsibilities in the National Flood Insurance Program* publication validates that the states play a vital role in helping to achieve the goals of the NFIP. FEMA’s leadership in requiring a strategic foundation and planning process addresses the need for funding accountability and improved awareness of state



capability, capacity and need for flood services. FEMA and the states share a responsibility to apply the strategic planning process as effectively as possible.

**Figure 19: Effective State Floodplain Management Program Benefits**

There is ample evidence that a strong state program for floodplain management is worth the state's investment.

By taking charge of managing floodplains within their jurisdiction, states vastly improve the opportunity to avoid flood disasters and reduce flood losses and disaster cost. They are able to tailor solutions to their own specific situations, which nationwide standards and norms simply cannot do. States with effective floodplain management programs protect the health and safety of their citizens, improve quality of life, enhance environmental quality and save state and local economies money.

- **Protecting Health and Safety:** Primary concern and responsibility of state and local governments. Floods are dangerous! Citizen and emergency responder lives are threatened. Contaminated floodwaters cause illness. Recovery and cleanup are fraught with risk. Victims often experience long-term psychological effects. **States that properly manage floodplains will keep people and property out of harm's way and contribute to improved health by providing recreational opportunities, preserving vegetation that filters air and water, and buffering noise.**
- **Preserving Quality of Life:** Floods disrupt the routine of daily life. Floods can force people away from homes and businesses. Public services can be suspended. State and local government functions change from "normal" services to response and recovery functions. Public projects are postponed. Full recovery can take a long time. **State programs can reduce damage and disruption by managing floodplains and related resources in a way that is as close as possible to their natural state. This provides aesthetic and recreational benefits.**
- **Minimizing Economic Cost:** Average annual flood losses are estimated in the billions of dollars. There are both direct and indirect costs to flooding. Damage occurs to habitat and natural resources, as well as human psychological and health consequences. Business income, taxes and wages are impacted. State and local budgets are committed to matches for federal disaster assistance. Small floods fail to trigger rigorous assessment of damage and accounting of expenditures for state and local governments. **State programs need to provide full accounting for direct and indirect expenses and costs associated with flooding.**

Effective state floodplain management programs build on federal minimum standards and leverage federal programs in order to positively influence local development and redevelopment cycles and to effect long-term changes.

*Adapted from:* Association of State Floodplain Managers (ASFPM). 2003. *Effective State Floodplain Management Programs 2003*. Madison, WI: ASFPM (p. 1-3).



## **Plan Components (The Building Materials)**

- **Mission / Vision Statement** – A short, concise summary of why your program or agency exists, stating in broad terms what you do, why and for whom. The vision should convey what you want to become or achieve related to desired outcomes.

*Example Mission: Provide leadership to local governments, state agencies, and interested parties for cooperative management of the “State of Perfection’s” floodplains to support reduced flood damage and protection of natural floodplain functions and benefits. Broad strategies of partnership, technical assistance, public awareness/education, and development standards will be used to achieve the goals.*

*Example Vision: A balanced state where people are safe, development is minimally impacted by flooding and floodplain functions and resources respond naturally when it floods!*

- **Relevant Issues from Scan** – Provides a summary of the external environment that affects your state floodplain management program elements and activities. It should focus on the external opportunities and threats in terms of the general environment factors related to floodplain management. Goals and strategies are developed in response to these issues.

*External Environmental Factors: Political and legal changes, technology changes, demographic changes, public attitudes and social changes, economic changes, climate changes, and trends and projections.*

- **Assessment of Internal Strengths and Weaknesses** – Identify the key competencies (knowledge, skill and training) and discuss weaknesses that should be addressed to improve your ability to provide effective state floodplain management service and activities. Goals and strategies build on strengths and address weaknesses.

*Internal Environmental Factors: Statutory authority and mandates, human resources, capability, capacity organizational structure, and financial resources.*

- **Strategic Goals, Short-Term Goals and Action Plans** – Achieving broad strategic goals may take many steps and a long-term effort, so it makes sense to develop goals for both the long-term and short-term. Strategic goals should be focused on the planning horizon (e.g. 5-year period). The goals will provide the foundation for assessing progress, show the scope of activities, and will link actions to outcomes. They communicate the general approach for moving toward the outcome(s). Short-term goals are for monitoring and accountability. Associate short-term goals (e.g. 1-year or less) with action steps so specific achievements and results can be identified.



## Sample – CAP-SSSE Strategic Plan Elements

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This is it - the final stretch of our strategic planning process. Let's take a look at how everything comes together, using the CAP-SSSE Program as our example. Strategies and long-range goals suggest direction toward outcomes. These are developed in response to issues or threats that impact the ability to achieve a mission. Short-term goals and specific actions allow measurement of progress in functional areas (e.g. monitoring, regulating, mapping, mitigating, and educating/training). State-specific deliverables and outputs need to match funding program requirements and show results.

<b>Sample Issue:</b>	Some would view CAP-SSSE as ineffective because there is poor accountability, no link to state need or capability, and state potential is not being fully used.
<b>Sample Outcome:</b>	States are valued FEMA partners with competency in a full range of floodplain management services and have flexible capacity to address NFIP coordination priorities.
<b>Sample Strategy/Goal:</b>	Use a collaborative strategic planning process to balance NFIP coordination (CAP-SSSE Activities) with the complete range of floodplain services needed for an effective state floodplain management program.
<b>Sample Action:</b>	In Fiscal Year 2010, FEMA and a pilot state will review an approach for using the ASFPM vision of an effective state floodplain management program, to integrate CAP-SSSE activities and balanced state programs. The state will complete a gap analysis, self-assessment and develop long-range strategies and an annual work plan.
<b>Sample Output(s):</b>	<ul style="list-style-type: none"> <li>• FEMA CAP GAP Tool Analysis</li> <li>• State Effective Program Self-Assessment</li> <li>• CAP Annual Work Plan</li> <li>• CAP 5-Year Strategic Plan</li> </ul>
<b>Sample Measure(s):</b>	<ul style="list-style-type: none"> <li>• Baseline for CORE CAP Activities from FEMA CAP GAP Tool (capacity);</li> <li>• Baseline for Effective State Program Elements from ASFPM 10 Principles (capability and capacity);</li> <li>• Activity accountability and financial tracking through CAP Annual Work Plan;</li> <li>• State need, capability and capacity information through CAP 5-Year Strategic Plan.</li> </ul>



## Example – Strategic Plan Format

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The following is a **basic strategic plan format** that can be completed using the worksheets and background information gathered during the first three phases of the process. A state may adapt this format as needed.

- 1. Introduction (process, timeframe, participants, executive summary)**
- 2. Mission / Vision Statements**
  - a. General overview of desired state and how you plan to get there
  - b. Overview of capabilities and capacities that make it logical for your entity to have this mission
- 3. The Environment Overview**
  - a. General (global, national, statewide)
  - b. Specific state floodplain management challenges (mandates)
- 4. Summary of State Capabilities and Capacities for Floodplain Management Functional Areas (policies, assumptions)**
  - a. NFIP Coordination – CAP-SSSE Activities
  - b. ASFPM 10 Principles for Effective State Programs
- 5. Long-Term Strategies and Goals**
  - a. Outcome focus (broad strategy)
  - b. Planning range (5-years)
  - c. Responses to external environment and internal conditions (issue-specific strategies)
- 6. Short-Term Goals and Action Plan(s) (may be appendices to long-range strategic plan)**
  - a. Implementation of strategies and actions
  - b. Deliverables and services
  - c. Budget and staffing
  - d. Performance range (1 year or less)
  - e. Support monitoring and evaluating (accountability)
- 7. Evaluation and update process for plan(s)**
  - a. Monitoring and reporting



## 4



### Acting to Achieve Steps (The Products): Phase

The tough decisions have been made. The budget, project schedule and work force are ready. We have the vision of our finished building and the key strategies guiding our efforts. The only thing left to do is write the detailed action plans for the plumber, electrician, HVAC technician and carpet layers.

### *Writing the Plan(s) (The Instructions)*

By now you should understand the environments (external and internal) in which your state program functions, your specific state capabilities and capacities, and the broad strategies concerning the direction your state wants to go in addressing flood hazards and floodplain management. This is the result of considerable evaluation and analysis. **The final step is to put the analysis into a written form that is useful to those interested in your state program.**

The desired outcome of this process is that states and FEMA will experience strategic thinking and action as we cooperatively build more effective state floodplain management programs. The outputs are a five-year strategic plan and the annual work plans. The purpose for writing the plan is to create a communication document between FEMA and the states concerning how the NFIP will be coordinated and effective state programs developed.

FEMA's CAP-SSSE program requires a 5-Year Strategic Plan to guide the state and commit it to mutually agreed-upon methods for flood risk reduction. Additionally, CAP-SSSE guidance requires a detailed annual work plan (timeframe, deliverables and budget) for the CAP-SSSE activities undertaken by a state. **The strategic planning process articulated in this guide prepares the states for completing the two required CAP-SSSE plans in this final step.** Some states may also need to update or prepare a state strategic plan document. The process followed throughout these phases and the conclusions developed should be consistent with the methods and approaches used by most states.

### Outcome and Output Discussion

It can be challenging to identify measures for progress or success. Many times the focus is on “outputs” or the products and deliverables that result from activities. A more relevant measure of success is to focus on the “outcome” as the achievement or desired performance level. Both outcomes and outputs have a place in good strategic management and help to show the results or impact of actions and services. The outputs establish accountability and help determine efficiency in performance. The outcomes document effectiveness and relate the activities and strategies to the overall mission and vision.





The CAP-SSSE Program needs both output and outcome measurement to be effective. For example, the state specifies outputs in the CAP Annual Work Plan, such as how many community compliance visits, training workshops and ordinance reviews it will conduct. Time, effort and cost can be compared to national standards and FEMA/states can measure efficiency. Outputs are needed for the FEMA CAP GAP Tool and to account for the resource need and allocation in the CAP CORE activities.

The CAP-SSSE outcome is improved state capability and capacity for floodplain management through strategic planning and NFIP coordination activities. This outcome specifically addresses one of the concerns of *The Evaluation of the National Flood Insurance Program Final Report* (p. x): States are not being used to their full potential. It may take several actions to accomplish a variety of strategies that states identify to build their capability and increase capacity. The CAP 5-Year Strategic Plan can be used to map and monitor multiple year efforts.

Agreeing on shared strategic outcomes helps states and FEMA move toward a stronger partnership that integrates NFIP coordination with overall effective state programs for floodplain management. For example, some mutual outcomes for the CAP-SSSE could be capability for effective service; flexible capacity to meet changing workloads; or developing valued partners.

## **Actions and Measure Discussion**

Viewing our strategic plan like a blueprint, we can envision what the finished structure will look like. We have multiple plan sheets and design details for each step and functional area that we must address to make it all happen. We also know that there is a sequence to how things must come together. Some actions will be interdependent. For example, the roofers can't complete their action until the foundation and walls are complete. The painters will not be working before the drywall is finished. Maybe carpet can be laid as painting continues, but definitely not before the windows and doors are installed. Identifying progress or deciding to start the next step is based on measures and indicators that are set during the planning and design phase of building. Strategic planning is our design phase for effective state floodplain programs.

**Specific actions and measures of progress should have a clear link with the strategies and goals developed to keep you moving toward what you want to accomplish.** You have identified strategies to reflect broad policy and the general direction in which your program/agency wants to move. These strategies are in response to issues identified and the specific capability and capacity of the program. **Actions** specify the detail of what needs to be done in order to make the strategy happen. **Measures** are specific in terms of time and address the output or outcome of what is being done. They indicate that something has occurred.





## Strategically Positioned to Achieve the Mission

It is now time to commit to paper the strategic framework and detailed action plan for building an effective state floodplain management program! Use the CAP 5-Year Strategic Plan as a record of the broad long-term strategies that are guiding the overall direction of the state toward the vision and achievement of the mission. By including the results that need to be achieved and the general assignment of responsibility in the strategic plan (5-Year Plan), both FEMA and the states can work toward the same end and avoid duplication. For example, if a strategy is to build skill and knowledge in the long-range, strategies will include education and outreach activities that both FEMA and the state will undertake. The annual work plan will ensure that there is no duplication of effort.

The CAP Annual Work Plan provides specific detail on who, when and what is needed to complete actions in the short-term (1 year or less). Include the staffing, budget and schedule for the annual work. The annual plan contains information to evaluate and monitor progress.

Because it is important to set the strategic framework first, it is recommended that states complete the CAP 5-Year Strategic Plan before they prepare the CAP Annual Work Plan. Once the 5-Year Plan is complete, an annual scan to determine if strategies or outcomes need adjustment is recommended. Significant change internally or externally could trigger the need for revisiting the plan in less than 5 years.

## The CAP 5-Year Strategic Plan

- ✓ **Prepare (or update) the State CAP 5-Year Strategic Plan.**

**Figure 20:** *Suggested Content for CAP 5-Year Strategic Plan*

- State mission and vision statements
- Environmental (external and internal) scan conclusions
- Capacity for NFIP coordination (FEMA CAP GAP Tool Summary)
- Capability and capacity for effective state program (state self-assessment summary of ASFPM 10 principles)
- Broad strategies and goals in response to issues
- Highlight of “GAPS” or specific state needs
- Target actions and outcome measures



The purpose of the CAP 5-Year Strategic Plan is to support a collaborative negotiation between states and FEMA. This long-range plan communicates the outcomes and provides both FEMA and the state with information about how things will be achieved. Gap analysis and self-assessment help put focus on multi-year workloads and expanded state capability beyond NFIP coordination.

A possible CAP-SSSE outcome is that states are valued FEMA partners with competency in a full range of floodplain management services and flexible capacity to address NFIP coordination priorities. If we agree, the following goal will help achieve the outcome: **Match state capability and capacity with the NFIP coordination service need.**

Strategic planning should be used to move in this direction. For example, the state's 2010 annual work includes conducting gap analysis and self-assessment to establish baseline capability and capacity in NFIP coordination activities. Evaluating gaps in capability, capacity or authority leads to strategies for developing staff capability, expanding service and changing policies in the 5-year plan. Achieving more capability and capacity will likely take many steps and need to be developed over a number of years. The 5-year plan will chart progress over multiple years, while annual work plans will identify a variety of actions taken and will monitor progress.

States should also consider strategies and goals in response to these issues when the 5-Year Strategic Plan is prepared:

- Funding that does not match the need and demand for service in NFIP coordination;
- No defined criteria for allocation of CAP-SSSE funding;
- Lack of consistent state need and capability information;
- Accountability for activities and funding.

**Broad outcomes for floodplain management - reducing flood risk and protecting natural floodplain functions and resources - have been established nationally, and apply at the state and local levels. However, states and FEMA are challenged with showing how their programs and activities help achieve these outcomes.**

The following example (**Figure 21**) is offered to show how strategic planning, gap analysis and self-assessment are the strategies linked to improving states' competency. This enhances floodplain management services and strengthens the partnership for NFIP coordination.



**Figure 21:** Example of Linking Strategies and Actions to Outcomes

State Strategy / Action	Output	Outcome	Increase activity and financial accountability	Provide funding link to state capability, capacity and need
FEMA CAP GAP Analysis to identify resources for CORE CAP / NFIP coordination activities	Resource (capacity, budget) needs for CAP CORE Program	Consistent standard for core level NFIP coordination	X	X
Effective program self-assessment to identify capability need for comprehensive state floodplain program	Resource (capability, capacity, budget) for comprehensive state FPM program	State awareness for expanded service and full potential		X
Complete CAP Annual Work Plan and 5-Year Strategic Plan	CAP Annual Work Plan CAP 5-Year Strategic Plan	Capability, capacity and need basis for prioritizing and allocation of resources	X	X

*Adapted from:* Miller, Ted R.; Langston, Elizabeth; Nelkin, Valerie. 2006. *Performance Assessment and Evaluation Measures for Periodic Use by the National Flood Insurance Program*. Washington D.C.: Pacific Institute for Research and Evaluation under subcontract to American Institutes for Research.

## The CAP Annual Work Plan

- ✓ **Prepare the state’s CAP Annual Work Plan.**

**Figure 22:** Suggested Content for CAP Annual Work Plan

- FEMA CAP GAP Tool General State Information and Time and Effort Worksheets
- FEMA CAP GAP Tool Summary and Analysis Worksheets for CORE CAP Program activities
- Narrative interpreting the CAP GAP results versus the baseline for CORE CAP, discussion of unmet needs, balanced state program
- Budget for CORE CAP activities showing federal and state match commitments



The purpose of the CAP Annual Work Plan is to address the following **CAP-SSSE grant criteria**:

- Regions are held accountable for funds expended through CAP-SSSE and must require that states document work so that progress can be tracked.
- States must provide a final progress report on meeting performance measures to the Region by December 31 of each year.
- Obligations and expenditures must be reported on a quarterly basis through the FFR (SF-425), which is due within 30 days of the end of each calendar quarter (e.g., for the quarter ending March 31, the FFR is due no later than April 30).
- Grant recipients will be monitored periodically by FEMA staff, both programmatically and financially, to ensure that the project goals, objectives, performance requirements, timelines, milestone completion, budgets, and other related program criteria are being met.
- Within 90 days after the end of the period of performance, grantees must submit a final Federal Financial Report and final activity report detailing all accomplishments throughout the project.

Source: Federal Emergency Management Agency (FEMA). 2009. *Fiscal Year 2010 Community Assistance Program – State Support Services Element (CAP-SSSE) Program Guidance*. Washington D.C.: FEMA (p. 24-26).

The FEMA CAP-SSSE Program GAP Analysis Tool and worksheets provide a very good framework for the format of the Annual Work Plan. Specific task measures (output and deliverable detail) and financial accountability (time and cost detail) are all presented on the worksheets and summary analysis documents.



# References and Appendix: “The Parts and Pieces”

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**Appendix A:**  
**Strategic Planning Worksheets**









## Worksheet #1 – Mission/Vision/Mandates/Stakeholders

Mission Statement:

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Vision Statement:

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1. Who are you? (Distinguish what you are versus what you do.)

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2. What problem or issue do you address? (What purpose does your organization or program have? What should you do? (formal mandates) What should you not do? (informal mandates) *(Related to Questions 3 and 7 from **Figure 12: SWOT Questions for Stakeholders and Program Staff**)*

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3. How do you recognize, anticipate and respond to problems? (How do you stay informed about problems and decide appropriate actions to take?)

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4. Who experiences the problem or has an interest in its resolution? (Key stakeholders = Who is influenced by what you do? Who influences what you do?) *(Related to Questions 3 and 4 from **Figure 12: SWOT Questions for Stakeholders and Program Staff**)*

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5. What makes you unique or distinct in addressing the issue or problem? *(Related to Questions 5 and 6 from **Figure 12: SWOT Questions for Stakeholders and Program Staff**)*

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6. It's 2015 and you have just been contacted by a former program manager. This manager was very involved in the program, but left for another opportunity in 2010. The manager asked for an update on the program. Tell them what has happened between 2010 and 2015 related to activities/services, clients/customers, funding and staffing. Be as specific as you can be. Work independently and take approximately 10 minutes to draft your response to the former program manager. *(Related to Questions 7 and 8 from **Figure 12: SWOT Questions for Stakeholders and Program Staff**)*

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*Question 6 will help you to envision how the organization or program may change in the next five years and allow you to express how you would like it to evolve. It should also help you to identify likely forces for change. Prepare a vision statement (if you don't already have one) which will express the direction and desired state that you would like the program to achieve. Not all organizations or programs establish a vision, but it can be helpful in managing and directing change.*

7. If multiple staff are helping with the plan, compare the teams' answers to Question 6. Do you see any common elements or themes (budget issues, changing mandates, staff changes, etc.)?

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*Rank the common elements and establish priority for planning. One way to establish priority is to give each planning team member a set number of votes, and ask each to vote for the top 3 common elements. These elements should be addressed by the vision and strategies that will be developed in subsequent steps of the process.*





## Worksheet #2 – Strengths, Weaknesses, Opportunities and Threats\*

\*Use **Figure 12: SWOT Questions for Stakeholders and Program Staff** for individuals not participating in strategic planning workshop.

Brainstorming is a quick and effective way to identify SWOT information. The point of the analysis is to provide information that will allow you to identify specific issues, trends and forces that can influence the achievement of your mission and vision. Complete the table below identifying the strengths, weaknesses, opportunities and threats related to your organization or program. Compare the individual team members' assessments of the SWOTs, and develop a final list including all the SWOTs. Anything missed? If you decide to include stakeholder input, you will need to summarize information from the *SWOT Questions for Stakeholders and Program Staff* (**Figure 12**) (See Questions 1 and 2).

Strengths	Opportunities
Weaknesses	Threats





## Worksheet #3 – Example FEMA CAP GAP Tool Analysis Summary

Worksheet #3: FEMA CAP-SSSE Gap Analysis Tool

Program Element	2009	2010	2011	2012	2013
1. Regulatory	245.0	139.0	94.0	250.0	430.0
2. Monitoring, enforcing, and enforcing permits	111.0	37.0	22.0	228.0	87.0
3. Compliance with state building codes	178.0	102.0	72.0	122.0	243.0
4. Community Planning, Zoning and Other Land Management Tool Assessment	143.0	207.0	468.0	206.0	86.0
5. Hazard Mitigation	10.0	10.0	10.0	10.0	10.0
6. Assistance	10.0	10.0	10.0	10.0	10.0
7. Training	10.0	10.0	10.0	10.0	10.0
8. Outreach	10.0	10.0	10.0	10.0	10.0
9. Community Compliance	10.0	10.0	10.0	10.0	10.0
10. Hazard Mitigation	10.0	10.0	10.0	10.0	10.0
11. Assistance	10.0	10.0	10.0	10.0	10.0
12. Training	10.0	10.0	10.0	10.0	10.0
13. Outreach	10.0	10.0	10.0	10.0	10.0
14. Community Compliance	10.0	10.0	10.0	10.0	10.0
15. Hazard Mitigation	10.0	10.0	10.0	10.0	10.0
16. Assistance	10.0	10.0	10.0	10.0	10.0
17. Training	10.0	10.0	10.0	10.0	10.0
18. Outreach	10.0	10.0	10.0	10.0	10.0
19. Community Compliance	10.0	10.0	10.0	10.0	10.0
20. Hazard Mitigation	10.0	10.0	10.0	10.0	10.0
21. Assistance	10.0	10.0	10.0	10.0	10.0
22. Training	10.0	10.0	10.0	10.0	10.0
23. Outreach	10.0	10.0	10.0	10.0	10.0
24. Community Compliance	10.0	10.0	10.0	10.0	10.0
25. Hazard Mitigation	10.0	10.0	10.0	10.0	10.0
26. Assistance	10.0	10.0	10.0	10.0	10.0
27. Training	10.0	10.0	10.0	10.0	10.0
28. Outreach	10.0	10.0	10.0	10.0	10.0
29. Community Compliance	10.0	10.0	10.0	10.0	10.0
30. Hazard Mitigation	10.0	10.0	10.0	10.0	10.0
31. Assistance	10.0	10.0	10.0	10.0	10.0
32. Training	10.0	10.0	10.0	10.0	10.0
33. Outreach	10.0	10.0	10.0	10.0	10.0
34. Community Compliance	10.0	10.0	10.0	10.0	10.0
35. Hazard Mitigation	10.0	10.0	10.0	10.0	10.0
36. Assistance	10.0	10.0	10.0	10.0	10.0
37. Training	10.0	10.0	10.0	10.0	10.0
38. Outreach	10.0	10.0	10.0	10.0	10.0
39. Community Compliance	10.0	10.0	10.0	10.0	10.0
40. Hazard Mitigation	10.0	10.0	10.0	10.0	10.0
41. Assistance	10.0	10.0	10.0	10.0	10.0
42. Training	10.0	10.0	10.0	10.0	10.0
43. Outreach	10.0	10.0	10.0	10.0	10.0
44. Community Compliance	10.0	10.0	10.0	10.0	10.0
45. Hazard Mitigation	10.0	10.0	10.0	10.0	10.0
46. Assistance	10.0	10.0	10.0	10.0	10.0
47. Training	10.0	10.0	10.0	10.0	10.0
48. Outreach	10.0	10.0	10.0	10.0	10.0
49. Community Compliance	10.0	10.0	10.0	10.0	10.0
50. Hazard Mitigation	10.0	10.0	10.0	10.0	10.0
51. Assistance	10.0	10.0	10.0	10.0	10.0
52. Training	10.0	10.0	10.0	10.0	10.0
53. Outreach	10.0	10.0	10.0	10.0	10.0
54. Community Compliance	10.0	10.0	10.0	10.0	10.0
55. Hazard Mitigation	10.0	10.0	10.0	10.0	10.0
56. Assistance	10.0	10.0	10.0	10.0	10.0
57. Training	10.0	10.0	10.0	10.0	10.0
58. Outreach	10.0	10.0	10.0	10.0	10.0
59. Community Compliance	10.0	10.0	10.0	10.0	10.0
60. Hazard Mitigation	10.0	10.0	10.0	10.0	10.0
61. Assistance	10.0	10.0	10.0	10.0	10.0
62. Training	10.0	10.0	10.0	10.0	10.0
63. Outreach	10.0	10.0	10.0	10.0	10.0
64. Community Compliance	10.0	10.0	10.0	10.0	10.0
65. Hazard Mitigation	10.0	10.0	10.0	10.0	10.0
66. Assistance	10.0	10.0	10.0	10.0	10.0
67. Training	10.0	10.0	10.0	10.0	10.0
68. Outreach	10.0	10.0	10.0	10.0	10.0
69. Community Compliance	10.0	10.0	10.0	10.0	10.0
70. Hazard Mitigation	10.0	10.0	10.0	10.0	10.0
71. Assistance	10.0	10.0	10.0	10.0	10.0
72. Training	10.0	10.0	10.0	10.0	10.0
73. Outreach	10.0	10.0	10.0	10.0	10.0
74. Community Compliance	10.0	10.0	10.0	10.0	10.0
75. Hazard Mitigation	10.0	10.0	10.0	10.0	10.0
76. Assistance	10.0	10.0	10.0	10.0	10.0
77. Training	10.0	10.0	10.0	10.0	10.0
78. Outreach	10.0	10.0	10.0	10.0	10.0
79. Community Compliance	10.0	10.0	10.0	10.0	10.0
80. Hazard Mitigation	10.0	10.0	10.0	10.0	10.0
81. Assistance	10.0	10.0	10.0	10.0	10.0
82. Training	10.0	10.0	10.0	10.0	10.0
83. Outreach	10.0	10.0	10.0	10.0	10.0
84. Community Compliance	10.0	10.0	10.0	10.0	10.0
85. Hazard Mitigation	10.0	10.0	10.0	10.0	10.0
86. Assistance	10.0	10.0	10.0	10.0	10.0
87. Training	10.0	10.0	10.0	10.0	10.0
88. Outreach	10.0	10.0	10.0	10.0	10.0
89. Community Compliance	10.0	10.0	10.0	10.0	10.0
90. Hazard Mitigation	10.0	10.0	10.0	10.0	10.0
91. Assistance	10.0	10.0	10.0	10.0	10.0
92. Training	10.0	10.0	10.0	10.0	10.0
93. Outreach	10.0	10.0	10.0	10.0	10.0
94. Community Compliance	10.0	10.0	10.0	10.0	10.0
95. Hazard Mitigation	10.0	10.0	10.0	10.0	10.0
96. Assistance	10.0	10.0	10.0	10.0	10.0
97. Training	10.0	10.0	10.0	10.0	10.0
98. Outreach	10.0	10.0	10.0	10.0	10.0
99. Community Compliance	10.0	10.0	10.0	10.0	10.0
100. Hazard Mitigation	10.0	10.0	10.0	10.0	10.0

FEMA CAP-SSSE GAP ANALYSIS TOOL

SUMMARY AND ANALYSIS

STATE OF: OHIO

YEAR: 2009

GAP (HOURS): 2,127.44

GAP (\$): \$114,562.37

ELEMENT BREAKDOWN	GAP SIZE	MINOR	MAJOR
11 Compliance with Federal Regulations	1	1	0
12 Comprehensive, Integrated State Floodplain Management	1	1	0
13 Flood Hazard Identification and Risk Assessment	0	0	0
14 Community Planning, Zoning, and Other Land Management Tool Assessment	0	0	0
15 Hazard Mitigation	0	0	0
16 Community Compliance	0	0	0
17 Outreach and Technical Assistance	0	0	0
18 Flood Hazard Identification and Risk Assessment	0	0	0
19 Assistance	0	0	0
20 State Program Monitoring, Evaluation, and Reporting	0	0	0
21 State Self-Inspection/Assessment	0	0	0
22 Major Gap (25% variance from baseline positive or negative)	0	0	0
23 GAP Incentive (100% or less than baseline purchase publication, etc)	0	0	0

Source: Federal Emergency Management Agency (FEMA). 2009. *FEMA CAP-SSSE Program GAP Analysis Tool – User Manual and Methodology Report*. Washington D.C.: FEMA (p. 17-18).

### FEMA CAP GAP Tool Summary and Analysis Worksheet

This worksheet provides a quick and clear summary of the data from the GAP Analysis Results worksheet. In the summary table at the top, the year of the analysis, the GAP in hours, and the GAP in dollars are provided. It is important to note that the GAP in dollars does not include direct, line item costs such as travel, supplies, postage, materials, etc.

The second table shows, by program element, the GAP size. A variance of less than 25% from the baseline is considered MINOR while a variance of more than 25% is considered MAJOR. The table calculates this variance and the cell will change color accordingly.

The worksheet is formatted so that the summary of each year will print on one page. Go to the Print Preview command to determine which sheet you want to print.

### Interpreting Results from the GAP Analysis, Use of Data

The GAP Analysis is designed to be a program planning tool that can be used for a variety of purposes. One of the most useful is resource allocation among the 10 CAP-SSSE Program Elements. For example, as the Map Modernization program was being implemented, it became clear that assisting communities with updating their regulations would become a priority and create a GAP in other state program elements. With the FEMA CAP GAP Tool, changes in CAP-SSSE priorities and targeted needs can be forecasted and planned. Ultimately, the FEMA CAP GAP Tool can be used to show a minimal level of effort necessary, based on logic and data, to implement a basic CAP-SSSE program.



An examination of the extent to which states engage in the activities specified in the NFIP and CAP-SSSE program requirements can be found in the most recent ASFPM survey of floodplain management program coordinators. According to the *FEMA CAP-SSSE Program GAP Analysis Tool – User Manual and Methodology Report* (p. 18-19), state floodplain management programs devoted time to at least nine categories of activities. In 2003, state floodplain management staffs spent 42% of their time on average in training and education, 16% monitoring local programs, 6% working on local ordinances, 9% on administration, and about 25% on other activities. Comparing this work breakdown to the elements of the CAP-SSSE program at that time, it appears that much more time was devoted to recommended activities than to requirements.

Using the Summary and Analysis Worksheet, the table breaking down the elements and identifying whether a minor or major gap exists is helpful in showing what a baselined, balanced state program should look like versus what is being proposed. That is not to say that all major gaps are inherently bad; sometimes they are necessary based on program priorities or resources. However, the FEMA CAP GAP Tool can better enable a state to balance out its level of effort and strive to implement a more comprehensive program.

### **Using Results for Annual Cooperative Agreement**

The FEMA CAP GAP Tool should be used early in the planning process after the first estimates of levels of effort for various tasks are developed. The level of effort should be reflective of the state program's priority as well as FEMA's. Then, the tool can identify where there are major variances. It will be up to the state to determine whether the major variance is a true "red flag" or not. For example, if a state updates its model community floodplain management regulations every five years, Element 1 may show a major variance in year 5 when the update is occurring because of the level of effort required. In this case, the major GAP may simply indicate that there will be another element in the Cooperative Agreement for which resources are not available.

### **Using Results for 5-Year Strategic Plans**

Data from the FEMA CAP GAP Tool can be used for long range planning as well. For the past several years there has been a requirement for states to develop five-year floodplain management plans indicating how their program will meet the general goals outlined in the CAP-SSSE agreement.

The intent of the five-year plans is to get state and FEMA regional staff to think through their workloads over a multi-year period, and create a plan allowing them to provide a complete range of services to their communities. Secondly, it is intended that the planning exercise documents resource shortfalls which may support efforts to obtain additional resources.

The worksheets can be populated based on multi-year estimates and from those results, assumptions can be made for the future. For example, will an initiative that is just getting started impact the rest of the program? What are the effects of budget and staff cuts? What happens if additional funds are appropriated - where should they be applied? To which elements does our state program not provide adequate resources? The FEMA CAP GAP Tool can help answer these questions!





## Worksheet #4 – State Self-Assessment Program Element Profile

State Program Element Analysis: *Fill in Principle Element Being Profiled*

**Description of Program Element** (*Obtain from ASFPM Effective State FPM Programs 2003*)

**State of [Insert your State] Profile of Existing Program Element:** *What are your current services and activities? Include CAP-SSSE Activities with other state activities and services for complete profile.*

ACTIVITY	RELATIONSHIP TO OTHER PLANS/GOALS/MANDATES				CAPABILITY	CAPACITY (FTE = 2000 hours annually)		
	Mandate Of State Program	Program Strategic Plan	Agency Strategic Plan	FEMA Flood Loss Reduction Goals (CAP-SSSE and RiskMAP)		Staff Skills / Knowledge Level. Trained Experienced Mastered	Current Service Level (measured in FTEs per year)	Desired Service Level (measured in FTEs per year based state assumptions)
<i>List your activities related to this functional area.</i>								
<b>TOTAL</b>								

**Discussion of Future Opportunities/Issues Related to this Program Element** (*Be frank and complete. Be sure to include any SWOT data that was collected relative to this element.*)

**Assumption(s):** (*If there are critical factors or specific information relative to how you determined capability and capacity information note them here. Also, for CAP ADVANCED Activities and state-specific activities, there are no national baselines established. Note any assumptions that may help your state to establish a baseline in future years' assessments.*)

**Milestone(s):**





## Worksheet #5 – Self-Assessment Effective State Program Element Gap Summary

STATE PROGRAM ELEMENT	CAPACITY		
	Current Service Level (FTEs per year)	Desired Service Level (FTEs per year based on 5-Year vision)	Gap between current and desired service levels (FTEs per year)
State Authority for State & Local Floodplain Management			
Comprehensive, Integrated State Floodplain Management			
Flood Hazard Identification & Risk Assessment			
Protection of Natural Floodplain Functions & Resources			
Guiding Development & Managing Impacts			
Flood Mitigation & Recovery			
Public Awareness			
Community Training & Technical Assistance			
Funding & Staffing			
Evaluation & Documentation			
<b>2010 Total</b>			
<b>2011 Total</b>			

Review each State Program Element and transfer the current and desired service level information to this table. The second column of the table shows the current commitment toward activities and services of an effective state program.

The third column allows you to project need and identify service levels in areas that you may not currently address. Remember that the desired levels are based upon information unique to your state. The assumptions noted on the element profile worksheet will help justify and explain the projected desired service levels. Eventually, these assumptions and other data (e.g. the future ASFPM publication that will be an update to the ASFPM *Floodplain Management 2003 – State and Local Programs*) may help develop baseline data for these non-CAP-SSSE and ADVANCED Tasks.

The gap is simply the difference between current commitments and desired level commitment. As you complete the strategic plan strategies and actions this information will be used to move your state toward what is needed to complete the mission and reach the vision.







## Worksheet #6 – ASFPM Checklist for Effective State Floodplain Management

**Note:** This checklist can be used with **Worksheet #4** to help a state identify the activities and services that it delivers related to the functional elements of an effective state floodplain management program. The checklist is just a guide and should not limit a state from identifying additional activities or services in the program element areas.

### Authority for State & Local Floodplain Management

#### Program Leadership

- State Coordination of the NFIP
- Interagency Coordination

#### Statutory Authority

- Full Authority Granted to Communities
- Partial Authority Granted to Communities
- Shared State and Community Authority
- Authority for Land Use Planning and Zoning

#### Regulatory Program Elements

- Permit Mechanisms
- Program Performance
- Enforcement Mechanisms
- Program Variables

### Comprehensive, Integrated State Floodplain Management

#### State Projects, State Funding, and State Buildings

- State Construction Projects
- State-Funded Activities
- Inventory of State Buildings in Flood Hazard Areas

#### Related State Programs and Functions

- State Planning Agency
- Environmental or Water Resources Agency
- State Building Code
- Insurance Agency and Flood Insurance
- Emergency Management
- State Transportation and Road Construction
- State Health Department
- State Dam Safety
- Housing, Community, and Economic Development
- Agriculture & Food Safety
- Parks and Recreation
- Forestry
- State Geographic Information System Coordination
- Public Service Commission
- Mining of Aggregates





**Flood Hazard Identification & Risk Assessment**

## Flood Hazard Map Coordination

- NFIP Map Study Process and Priorities
- Inventory or Periodic Review of Map Needs
- Technical Assistance to Communities
- Cooperating Technical Partners

## State Hazard Identification Program

- Establish Mapping Standards
- Perform Studies
- Review and Approve Studies by Others
- Special Flood-Related Hazards
- Funding

## Map Tools

- Geographic Information Systems
- Base Mapping

## Risk Assessment

- Hazards U.S.

**Respect for Floodplain Functions & Resources**

- Identifying and Mapping Floodplain Functions and Resources

## Floodplain Management Program Elements

- Zero-Rise Floodway
- Watershed-Based Approach
- Assessment of Impacts on Natural Resources & Functions
- Tax Breaks
- Sustainability Initiatives
- Multi-Objective Management
- Greenlining
- Buffers and Setbacks

## Coordinating Other Program Elements

- Sediment and Erosion Control
- Water Quality
- Stormwater Management
- Wetlands Protection
- Open Space Protection
- Coastal/Shoreline Management
- Growth Management
- Aquifer Recharge Protection
- Wild and Scenic Rivers Programs
- Rare, Threatened, and Endangered Species
- Forestry
- Cultural Resources
- Agricultural Preservation
- Public Recreational Uses

## Technical Assistance

## Public Awareness and Education



**Guiding Development & Managing its Impacts**

## Planning

- Comprehensive Plans
- Land Use
- Interjurisdictional Watershed Plans
- Mitigation Plans

## Zoning

- Development Density
- Conservation Zoning
- Bonus or Incentive Zoning

## Growth Management/Sustainable Development

## Other Land Management Tools

- Alternative Site Analyses
- Tax Incentives
- Land Trusts
- Land Swap
- Purchase or Transfer of Development Rights
- Setbacks and Buffers
- Deed Restrictions
- Open Space Dedication
- Conservation Easements

## Building and Floodplain Permits

- Variance Requests
- Inspection and Enforcement

## Higher Standards

- Freeboard
- Foundation Protection
- Lower Substantial Improvement/Damage Threshold
- Mapping All Waterways
- Coastal A Zones
- No Rise Floodway
- Protection of Floodplain Storage Capacity and/or Compensatory Storage
- Dry Land Access
- Floodway Development Prohibition
- Enclosure Limitations
- Restrictions of Land Uses and/or Density Based on Zone
- Protection of Critical Facilities
- Underground Utilities
- Setbacks and Set-Ups
- Manufactured Housing Requirements
- Cumulative Substantial Improvement
- Electric Service to Buildings
- Minimum Height above Grade
- Safety-Based Decision Factors
- Flood Hazard Areas Not Mapped by FEMA

## Special Flood-Related Hazards

- Flash Flood Areas
- Erosion-Prone Coastal Areas
- Moveable Bed Streams and Riverine Erosion



- Dam Inundation Zones
- Levee- and Floodwall-Protected Areas
- Flood Hazard Areas Affected by Subsidence
- Ice Jam Areas
- Closed Basin Lakes
- Alluvial Fan Hazards
- Debris Flows (Mud Flood, Mudslide, Mudflow)
- Tsunami Hazards
- Wildfire Affected Areas
- Volcanic Hazards

Subdivision Regulations

- Lot Layout
- Open Space and "Green-Lining"
- Additional Requirements for Subdivision Development

Impact Analyses Required

- Hydrologic and Hydraulic Impacts
- Environmental Impacts
- Emergency Services Impacts
- Socio-Economic Impacts
- Coastal Impacts

**Flood Mitigation & Recovery**

- Authority
- State Staff and Funding
- Coordination Mechanisms
- Mitigation Grant Programs
- Mitigation of Damage to Public Facilities and Infrastructure
- Authority for Post-Disaster Moratoria
- Post-Flood Mobilization
- Substantial Damage Determinations
- Increased Cost of Compliance
- Permit Reviews and Variances
- Public Awareness and Information
- Cooperative Agreements with Others
- Flood Audits and Floodproofing

**Public Awareness**

Initiatives for Outreach and Education

- Using Internet Web Pages
- Using Printed Matter
- Using the Media
- Using Flood Warning Systems
- Reaching Out to Local Elected Officials
- Reaching Out to Government Employees
- Involving the Private Sector and Organizations
- Using Other Initiatives



Requirements for Public Notice of Flood Risk

- Real Estate Disclosure
- Flood Hazard Area Delineation on Plat
- Deed-Recorded Restrictions
- Licensing for Allied Professions

**Training & Technical Assistance**

- Manual for Administering Local Programs
- Workshops and Training
- Certification of Floodplain Managers
- Technical Assistance
- Community Rating System
- State Associations
- Newsletters and Web Pages

**Funding & Staffing**

- Staff Levels and Capabilities
- Funding Levels

**Evaluation & Documentation**

Measuring Outcomes of Floodplain Management

- Identifying Losses and Costs
- Identifying Benefits and Successes

Evaluating Program Operations

- Monitoring Local Program Administration

Documentation

- Inventory of Flood-prone Areas
- Gathering Information After Floods
- Tracking Mitigation Plans and Projects
- Measurement





## Worksheet #7 – Strategy Development

This concept of a “strategic issue” is based upon the work of John M. Bryson (*Strategic Planning for Public and Nonprofit Organizations: A Guide to Strengthening and Sustaining Organizational Achievement*). **Strategic issues** are policies or challenges that affect your ability to take actions, serve constituents or allocate resources to achieve the mission. Strategic issues define the who, what and why of an organization or program. Frame the strategic issues as challenges that your organization or program has scope and authority to address.

Example strategic issue statement **and response strategy**: *Reducing flood risk and protecting floodplain resources statewide requires collaboration and cooperation at multiple levels. Flood damage costs are rising, and local development decisions are not always sustainable or directed at balancing the floodplain resource value and flood risk. **The “State of Perfection” Floodplain Management Program will use partnerships, education and public awareness, technical assistance, and integration of technology to effectively influence land use and floodplain development decisions statewide.***

Identify 3-5 strategic issues relative to your organization or program.

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1. What makes the issue strategic? Who says it is an issue? (mission, mandate, SWOT)

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2. Can you do something about the issue? (strengths, opportunities) What if the issue were not addressed? (consequences, timeframe)

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3. What could prevent you from solving the problem or addressing the issue? (implementation difficulties)

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4. What do you need to overcome the hurdle or what’s stopping you from addressing the issue? Identify gaps in what you have and what is needed and strategies for how to address them. (See **Worksheet #7 – Gap Analysis Summary**)

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5. What short-term actions (1-3 years) are needed to implement the approaches or strategies identified in Question 4?

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6. Who will be responsible for the actions and what will they need to accomplish the actions? (roles, schedules, resources, accountability)

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*Questions 1-6 should be answered for each strategic issue that has been identified. In reviewing the environment scan you may be able to identify common themes and group your issues and planning by these themes. For example, funding reductions, staff expansions, new technology and changing mandates could be common elements of threats and opportunities. Question 1 helps to frame the issue and ensure that you are the right entity to address the problem. A strategic issue must be clearly linked to your purpose and mission.*

*Question 2 prompts you to review your own strengths and opportunities as you formulate alternatives for how to address issues and solve problems. Think about the sequence or priority of actions for short and long-term planning.*

*Question 3 requires you to consider the environment (external and internal) in which you operate and identify obstacles. Plan to avoid the threats and build your weaknesses into the solutions and strategies.*

*Question 4 hones in on your current state versus what you should be or would like to be. It allows you to match current capabilities and capacities with what you need to accomplish the mission. Consider your gap information from both the FEMA CAP GAP Tool and state self-assessment for an effective state floodplain management program as you answer.*

*Question 5 begins the implementation steps for your actions and activities. Be specific.*

*Question 6 gets at the details for implementing the strategy. Revisit Question 5 to make sure the steps and order for accomplishing the action are correct. Establish a timeframe. Link the action or activity to your strategic issue, mission and purpose (this information will help you determine how you want to define success and measure progress). Identify what resources (staff, budget, capability, capacity) are needed to accomplish the action and activities. This information is the basis of the CAP-SSSE annual work plan.*



**Appendix B:**

**CAP-SSSE Program Element and ASFPM Effective State Floodplain Management (ESFM) Program Crosswalk**







## CAP-SSSE Program Element and ASFPM Effective State Floodplain Management (ESFM) Program Crosswalk

ASFPM Principle →	Authority for State and Local Floodplain Management	Comprehensive, Integrated State Floodplain Management	Flood Hazard Identification and Risk Assessment	Respect for Floodplain Functions and Resources	Guiding Development and Managing its Impacts	Flood Mitigation and Recovery Strategies	Public Awareness	Training and Technical Assistance	Funding and Staffing	Evaluation and Documentation
CAP-SSSE Program Element ↓										
Maintaining State Authorities and Compliance with Federal Regulations	+	+								
Comprehensive, Integrated State Floodplain Management	+	+								
Flood Hazard Identification and Risk Assessment			+							
Community Planning, Zoning, and Other Land Management Tool Assistance					++					
Floodplain Management Training/Workshops							+			
Community Compliance									+	
Outreach and Technical Assistance							+	++		
Post Flood Recovery and Mitigation Assistance						+				
State Program Monitoring, Evaluation, and Reporting										+
State Staff Professional Development								+		

++ Substantially Consistent    + Somewhat Consistent    -- Not Consistent

