

FEMA

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3

State Mitigation Plan Review Guide

4

Highlights of Key Concepts

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6

Draft for External Review

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Information contained in this draft document is intended for public comment and will be used to update future guidance documents.

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The final version will be posted in the FEMA Library, when available.

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Version dated September 8, 2014

16

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23 **List of Acronyms and Abbreviations**

CFR	Code of Federal Regulations
CRS	Community Rating System
FEMA	Federal Emergency Management Agency
FFR	Federal Financial Report
FMA	Flood Mitigation Assistance
HMA	Hazard Mitigation Assistance
HMGP	Hazard Mitigation Grant Program
NFIP	National Flood Insurance Program
PA C-G	Public Assistance Categories C-G
Risk MAP	Risk Mapping, Assessment, and Planning Program
RL	Repetitive Loss
SF	Standard Form
SRL	Severe Repetitive Loss
THIRA	Threat and Hazard Identification Risk Assessment

24

25 **Purpose**

26 The purpose of this document is to share key concepts FEMA is considering changing or
27 strengthening in the updated version of the “Multi-Hazard Mitigation Planning Guidance
28 under the Disaster Mitigation Act of 2000,” last issued in January 2008. This
29 “Highlights” document is not intended to supplant the Guidance which is the official
30 source of interpretation regarding the natural hazard mitigation planning requirements.¹
31 The guidance is intended for use as a means to update plans in compliance with the
32 requirements as well as to fairly evaluate and approve State Mitigation Plans.

33

34 Key concepts under consideration include strengthening specific requirements for:

- 35 • assessing future risk in light of a changing climate and changes in land use and
36 development. This will ensure that the mitigation strategy addresses risks and
37 takes into consideration possible future conditions in order to identify, prioritize,
38 and implement actions to increase statewide resilience;
- 39 • supporting states in fulfilling mitigation commitments, including FEMA Hazard
40 Mitigation Assistance grants management performance, throughout the five-year
41 plan approval period. FEMA seeks opportunities to build and maintain mitigation
42 capabilities and advance hazard mitigation proactively during plan
43 implementation, and not solely at plan update and review;
- 44 • clarifying that “formally adopted by the state” means plan adoption by the highest
45 elected official to reflect the importance of plan implementation as a means to
46 demonstrate risk reduction as a statewide priority; and
- 47 • coordinating and integrating the mitigation planning process with the whole
48 community, including agencies and stakeholders with mitigation capabilities that
49 are responsible for economic development; land use and development; housing;
50 infrastructure; natural and cultural resource management; and health and human
51 services. Engaging agencies and stakeholders with data and authority early in the
52 planning process facilitates both successful plan development and
53 implementation.

54

55 The updated guidance will incorporate principles from recent Federal policies and
56 doctrine, such as the [National Mitigation Framework](#). The National Mitigation
57 Framework emphasizes the valuable role of collaboration among various parts of the
58 whole community to ensure mitigation capabilities continually develop, and
59 comprehensive mitigation includes strategies for all community systems. Examples of
60 agencies and stakeholders with mitigation capabilities are those entities with data or
61 responsibility for:

¹ Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act) (Public Law 93-288), as amended by the Disaster Mitigation Act of 2000, National Flood Insurance Act of 1968, as amended, 42 United States Code 4001 et seq., and 44 Code of Federal Regulations (CFR) Part 201 Mitigation Planning

- 62 • emergency management;
- 63 • hazard data;
- 64 • climate projections and data;
- 65 • economic development;
- 66 • land use and development;
- 67 • housing;
- 68 • infrastructure;
- 69 • natural and cultural resource management; and
- 70 • health and human services.

71

72 FEMA is developing additional resources to support States in updating State Mitigation
73 Plans as well as building and maintaining statewide mitigation programs. These
74 resources will be available from the [FEMA Mitigation Planning](#) webpage.

75

76 The remainder of this document is organized as follows:

- 77 • Mitigation Program Consultation
- 78 • Standard State Plan Requirements
- 79 • Enhanced State Plan Requirements

80

81 **Mitigation Program Consultation**

82 Mitigation Planning Program: The mitigation planning regulation defines FEMA's
83 responsibilities to include:

- 84 • providing technical assistance and training regarding the mitigation planning
85 process; [44 CFR § 201.3(b)(2)] and
- 86 • reviewing State mitigation activities, plans, and programs to ensure that
87 mitigation commitments are fulfilled. [44 CFR § 201.3(b)(5)]

88

89 FEMA proposes to formalize consultation with the State to discuss the status of the State
90 Mitigation Plan maintenance, program implementation, challenges, opportunities, and
91 any other areas of concern identified by either FEMA or the State. FEMA will work with
92 each State to establish an agreeable process and schedule for consultation to occur at least
93 annually, effective for the current approval period.

94

95 If FEMA determines that the State is not maintaining the mitigation plan and, therefore,
96 not meeting mitigation commitments, FEMA may take corrective action, such as
97 revoking or suspending the plan approval status. Corrective action may impact eligibility
98 for certain FEMA assistance until such time as FEMA determines that the plan meets the
99 requirements and restores plan approval status. [44 CFR § 201.3(b)(5)]

100

101 FEMA Regional Mitigation Planning staff will consult with the State staff responsible for
102 mitigation planning to determine the status of and specific needs for:

103

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- 104 1. Making progress with the State mitigation strategy;
105 2. Coordinating opportunities to partner with other FEMA programs to provide more
106 comprehensive assistance to the State;
107 3. Incorporating current and best available risk assessment data, studies, tools and
108 resources;
109 4. Implementing the State Mitigation Plan maintenance system for monitoring,
110 evaluating, and updating the plan;
111 5. Submitting approvable mitigation plans (State, local, and Tribal, as applicable) to
112 FEMA for final review and approval, unless final approval authority has been
113 delegated to the State; and
114 6. Providing technical assistance and training to assist in applying for HMA
115 planning grants as well as developing and implementing approvable mitigation
116 plans (State, local, and Tribal, as applicable).
117

118 HMA Grants Management Performance: On an annual basis, FEMA Regional HMA
119 staff will coordinate with appropriate FEMA program offices, such as Mitigation
120 Planning, Grant Programs Directorate, and Office of Environmental Planning and
121 Historic Preservation, to review grants management performance for all States with
122 FEMA-approved State Mitigation Plans (both Standard and Enhanced).
123

124 For States with FEMA-approved Enhanced State Mitigation Plans, the requirements for
125 the annual performance monitoring are presented in detail in Section 4.4 HMA Grants
126 Management Performance, Elements E6-E9.
127

128 After the review is complete, FEMA Regional HMA staff, in coordination with the
129 FEMA Regional Mitigation Planning staff, will provide the Grantee with a report of key
130 findings. If necessary, FEMA will identify problem areas and required adjustments. The
131 State will prepare a strategy with FEMA that includes any training or technical assistance
132 that may help address identified problems. For Enhanced States, if the Grantee does not
133 or cannot implement the adjustments within a reasonable timeframe, FEMA may take
134 corrective action, such as revoking or suspending the Enhanced State Mitigation Plan
135 status, thus impacting eligibility for certain FEMA assistance, recovery of funds, or result
136 in the denial of future funds. [44 CFR § 201.3(b)(5)]
137

138 **Standard State Plan Requirements**

139 The purpose of this section is to highlight some of the concepts under consideration
140 regarding how FEMA interprets the regulations² for all Standard State Mitigation Plan
141 reviews. The guidance is limited only to the minimum requirements of what *must* be in a
142 State Standard Mitigation Plan and does not provide guidance on *how* the State should
143 develop a plan. This section is organized as follows:

² Not all of the regulations / elements are discussed in this *Highlights of Key Concepts* document.

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- 144 • Planning Process
- 145 • Plan Review, Evaluation, and Implementation
- 146 • Mitigation Strategy
- 147 • Hazard Identification and Risk Assessment
- 148 • Local Coordination and Mitigation Capabilities
- 149 • State Mitigation Capabilities
- 150 • Adoption

151

152 Planning Process:

- 153 1. Does the plan document the process used to develop the plan? [44 CFR §
154 201.4(c)(1)³]
- 155 a. The plan must document the current process used to update the plan, including
156 how the plan was prepared, how the mitigation planning process was integrated to
157 the extent possible with other planning efforts and programs, the schedule or
158 timeframe, specific milestones and activities, as well as the agencies and
159 stakeholders who were involved in the process.
- 160 b. The plan must document the agency or organization represented, including the
161 participant's title.
- 162 2. Does the plan describe how the State coordinated with other agencies and
163 stakeholders? [44 CFR § 201.4(c)(1)] The plan must describe how other State and
164 Federal agencies and other stakeholders were involved in the process. To
165 demonstrate coordination with the whole community, at a minimum, other agencies
166 must include those responsible for the following community sectors: economic
167 development; land use and development; housing; infrastructure; natural and cultural
168 resource management; and health and human services.⁴

169

170 Plan Review, Evaluation, and Implementation: Is there a description of the method and
171 schedule for keeping the plan current? [44 CFR §§ 201.4(c)(5)(i)⁵ and 201.4(d)⁶] The
172 plan must describe the process to monitor, evaluate, and update the plan, specifically:

- 173 1. Who will be responsible for monitoring, evaluating, and updating (e.g. agency and
174 title / position);
- 175 2. The schedule for monitoring, evaluating and updating (including securing funding
176 and resources);
- 177 3. Performance criteria for evaluating;

³ 44 CFR § 201.4(c)(1): "Description of the planning process used to develop the plan, including how it was prepared, who was involved in the process, and how other agencies participated."

⁴ [National Mitigation Framework](#), FEMA, May 2013.

⁵ 44 CFR § 201.4(c)(5)(i): "An established method and schedule for monitoring, evaluating, and updating the plan."

⁶ 44 CFR § 201.4(d): "Review and revise the State Mitigation Plan to reflect changes in development, progress in statewide mitigation efforts, and changes in priorities and resubmitted for approval to the appropriate Regional Administrator every five years."

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178 4. How new hazard data and information on changing vulnerabilities will be managed
179 and incorporated into the risk assessment; and

180 5. How new or changing priorities will be incorporated into the mitigation strategy.

181

182 Mitigation Strategy: Does the plan prioritize mitigation actions to reduce vulnerabilities
183 identified in the risk assessment? [44 CFR §§ 201.4(c)(3)(iii)⁷ and (iv)⁸]

184 1. The plan must identify actions based on the current risk assessment to reduce the
185 vulnerability of jurisdictions within the State as well as the vulnerability of State
186 owned or operated buildings, critical infrastructure, and critical facilities.

187 2. The plan must describe the process used by the State to evaluate and prioritize actions
188 that are cost effective, environmentally sound, and technically feasible.

189 3. The plan must describe how each action contributes to the goals.

190 4. The plan must describe how the local mitigation strategies are linked with the State
191 mitigation strategy.

192 5. Each action must include a description of the position / office responsible for
193 implementation as well as the timeframes for completion.

194 6. Each action must identify potential or current sources of Federal, State, local, or
195 private funding needed for implementation. At a minimum, the plan must describe
196 FEMA mitigation funding sources, including, if applicable, but not limited to HMA
197 and Public Assistance (PA) (406) Mitigation and Categories C-G funding⁹.

198 7. *If the State is interested in a reduced cost share¹⁰ under the Flood Mitigation
199 Assistance (FMA) program, the plan must address repetitive loss (RL) and severe
200 repetitive loss (SRL) properties.*

201

202

⁷ 44 CFR § 201.4(c)(3)(iii): “An identification, evaluation, and prioritization of cost-effective, environmentally sound, and technically feasible mitigation actions and activities the State is considering and an explanation of how each activity contributes to the overall mitigation strategy. This section should be linked to local plans, where specific local actions and projects are identified.”

⁸ 44 CFR § 201.4(c)(3)(iv): “Identification of current and potential sources of Federal, State, local, or private funding to implement mitigation activities.”

⁹ Stafford Action § 406(e) Repair, Restoration, and Replacement of Damaged Facilities and 44 CFR §206.226 Restoration of damaged facilities.

¹⁰ 44 CFR § 201.4(c)(3)(v): “A State may request the reduced cost share authorized under §79.4(c)(2) of this chapter for the FMA and SRL programs, if it has an approved State Mitigation Plan meeting the requirements of this section that also identifies specific actions the State has taken to reduce the number of repetitive loss properties (which must include severe repetitive loss properties), and specifies how the State intends to reduce the number of such repetitive loss properties. In addition, the plan must describe the strategy the State has to ensure that local jurisdictions with severe repetitive loss properties take actions to reduce the number of these properties, including the development of local mitigation plans.” NOTE: The Biggert-Waters Flood Insurance Reform Act of 2012 eliminated the SRL program.

203 Hazard Identification and Risk Assessment

- 204 1. Does the risk assessment include an overview of the type and location of all natural
205 hazards that can affect the State? [44 CFR § 201.4(c)(2)(i)¹¹]
- 206 a. The plan must provide a current summary of the natural hazards that can affect
207 the State. The summary must include information on location, extent, and
208 previous occurrences for each natural hazard, using maps where appropriate.
- 209 b. If any commonly recognized natural hazards are omitted, the plan must provide
210 an explanation.
- 211
- 212 2. Does the risk assessment provide an overview of the probabilities of future hazard
213 events? [44 CFR § 201.4(c)(2)(i)]
- 214 a. The risk assessment must provide a summary of the probability of future hazard
215 events that includes projected changes in occurrences for each natural hazard in
216 terms of location, extent, intensity, frequency, and/or duration.
- 217 b. Probability must include considerations of changing future conditions, including
218 the effects of climate change on the identified hazards.
- 219
- 220 3. Does the risk assessment address the vulnerability of State assets located in hazard
221 areas and estimate the potential dollar losses to these assets? [44 CFR §§
222 201.4(c)(2)(ii)¹² and 201.4(c)(2)(iii)¹³] State assets refer to State owned or operated
223 buildings, critical infrastructure, and critical facilities.
- 224 a. The risk assessment must include an analysis of the potential impacts of hazard
225 events to State assets and a summary of the assets most vulnerable to the
226 identified hazards. These assets may be located in the identified hazard areas or
227 affected by the probability of future hazard events. Factors affecting vulnerability
228 may include asset use and function as well as construction type, age, or intended
229 use.
- 230 b. The risk assessment must estimate potential dollar losses to State assets located in
231 identified hazard areas.
- 232

¹¹44 CFR § 201.4(c)(2)(i): “An overview of the type and location of all natural hazards that can affect the State, including information on previous occurrences of hazard events, as well as the probability of future hazard events, using maps where appropriate;”

¹²44 CFR § 201.4(c)(2)(ii): “An overview and analysis of the State's vulnerability to the hazards described in this paragraph (c)(2), based on estimates provided in local risk assessments as well as the State risk assessment. The State shall describe vulnerability in terms of the jurisdictions most threatened by the identified hazards, and most vulnerable to damage and loss associated with hazard events. State owned or operated critical facilities located in the identified hazard areas shall also be addressed;”

¹³44 CFR § 201.4(c)(2)(iii): “An overview and analysis of potential losses to the identified vulnerable structures, based on estimates provided in local risk assessments as well as the State risk assessment. The State shall estimate the potential dollar losses to State owned or operated buildings, infrastructure, and critical facilities located in the identified hazard areas.”

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- 233 4. Does the risk assessment include an overview and analysis of the vulnerability of
234 jurisdictions to the identified hazards and the potential losses to vulnerable structures?
235 [44 CFR §§ 201.4(c)(2)(ii) and 201.4(c)(2)(iii)]
- 236 a. The risk assessment must provide a current summary of the most vulnerable
237 jurisdictions based on the State and local risk assessments. Vulnerability must be
238 analyzed in terms of:
- 239 i. Jurisdictions most threatened by the identified hazards (based on hazard
240 location, extent, and probability).
- 241 ii. Jurisdictions most susceptible to damage and loss from hazard events as
242 related to populations and assets (structures, critical facilities, infrastructure,
243 and systems).
- 244 b. The risk assessment must include a summary of the potential losses to the
245 identified vulnerable structures based on estimates in the local risk assessments as
246 well as the State risk assessment.
- 247 c. *If the State is interested in a reduced cost share under the FMA program, the plan*
248 *must address RL and SRL properties.*
- 249
- 250 5. Was the risk assessment revised to reflect changes in development? [44 CFR §
251 201.4(d)¹⁴] The plan must provide a summary of the changes in development that
252 have occurred or are projected to occur in hazard prone areas based on the State and
253 local risk assessments, specifically the:
- 254 a. Changes in the built environment, such as housing, businesses, and critical
255 infrastructure / facilities;
- 256 b. Changes in population demographics in hazard prone areas that affect
257 vulnerability; and
- 258 c. Changes to the vulnerability of State owned or operated buildings, critical
259 infrastructure / facilities.
- 260

261 Local Coordination and Mitigation Capabilities: Does the plan describe and analyze the
262 effectiveness of local mitigation policies, programs, and capabilities¹⁵? [44 CFR §
263 201.4(c)(3)(ii)¹⁶]

¹⁴ 44 CFR § 201.4(d): “Review and revise the State Mitigation Plan to reflect changes in development, progress in statewide mitigation efforts, and changes in priorities and resubmitted for approval to the appropriate Regional Administrator every five years.”

¹⁵ Reference core capabilities as defined in the [National Mitigation Framework](#), FEMA, May 2013.

¹⁶ 44 CFR § 201.4(c)(3)(ii): “A discussion of the State’s pre and post-disaster hazard management policies, programs, and capabilities to mitigate the hazards in the area, including: an evaluation of State laws, regulations, policies, and programs related to hazard mitigation as well as to development in hazard-prone areas; a discussion of State funding capabilities for hazard mitigation projects; a general description and analysis of the effectiveness of local mitigation policies, programs, and capabilities.”

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- 264 1. The plan must provide a summary of the existing local policies, programs, and
265 capabilities available for jurisdictions to accomplish hazard mitigation.
266 2. The plan must describe results of the effectiveness analysis of local mitigation
267 policies, programs, and capabilities. The analysis of effectiveness must include a
268 summary of the:
269 a. Statewide distribution of local mitigation policies, programs, and capabilities.
270 b. Challenges to implementing local mitigation policies, programs, and capabilities.
271 c. Opportunities for implementing mitigation actions through local capabilities.
272

273 State Mitigation Capabilities: Does the plan discuss the evaluation of the State’s hazard
274 management policies, programs, capabilities, and funding sources to mitigate the hazards
275 identified in the risk assessment? [44 CFR § 201.4(c)(3)(ii)]

- 276 1. The plan must describe existing State pre- and post-disaster hazard management
277 policies, programs and capabilities to mitigate the hazards in the State, including:
278 a. An evaluation of State laws, regulations, policies, and programs related to hazard
279 mitigation as well as to development in hazard-prone areas;
280 b. A discussion of State funding capabilities (not FEMA funding capabilities) for
281 hazard mitigation projects;
282 c. A discussion of applicable FEMA mitigation programs and funding sources
283 administered by the State, including, if applicable, but not limited to:
284 i. HMA programs;
285 ii. PA (406) Mitigation and Categories C-G funding;
286 iii. National Flood Insurance Program (NFIP) and Community Rating System
287 (CRS); and,
288 iv. Risk Mapping, Assessment and Planning (Risk MAP).
289 2. The evaluation must include:
290 a. A summary of the outcomes, including identification of obstacles and challenges;
291 and
292 b. Changes since the previous plan approval.
293

294 Adoption: Did the State provide documentation that the plan has been formally adopted?
295 [44 CFR § 201.4(c)(6)¹⁷]

- 296 1. The State must provide documentation of formal adoption by the highest elected
297 official prior to the final review and approval by FEMA. Documentation of
298 formal adoption may be a resolution or other mechanism.
299 2. After FEMA has received the formal adoption documentation, FEMA will
300 provide a letter indicating the plan is approved.
301

¹⁷ 44 CFR § 201.4(c)(6): “A Plan Adoption Process. The plan must be formally adopted by the State prior to submittal to us for final review and approval.”

302 **Enhanced State Plan Requirements**

303 The purpose of this section is to highlight some of the concepts under consideration
304 regarding how FEMA interprets the regulations for Enhanced State Mitigation Plan
305 reviews. This section is organized as follows:

- 306 • Integrated Planning
307 • State Mitigation Capabilities
308 • HMA Grants Management Performance
309

310 FEMA will not grant conditional approvals of Enhanced State Plans; all requirements
311 must be met at time of review
312

313 Integrated Planning: Is the plan integrated with other State and/or regional planning
314 initiatives and FEMA mitigation programs and initiatives? [44 CFR § 201.5(b)(1)¹⁸]

- 315 1. The Enhanced Plan must demonstrate integration with other State and/or regional
316 planning initiatives in community sectors across the whole community, including, at a
317 minimum: land use and community development; housing; economic development;
318 infrastructure; natural and cultural resources; and health and human services
319 planning.
320 2. The Enhanced plan must demonstrate integration of FEMA programs and initiatives,
321 including, if applicable, but not limited to Preparedness (i.e., Threat and Hazard
322 Identification Risk Assessment (THIRA) and Emergency Preparedness Grant
323 Program) and Recovery (i.e., PA Categories C-G), in addition to FEMA Mitigation
324 Programs (i.e., PA 406 Mitigation, HMA, NFIP, CRS, Risk MAP, and the National
325 Dam Safety Program).
326

327 State Mitigation Capabilities: Does the State demonstrate commitment to a
328 comprehensive mitigation program? [44 CFR § 201.5(b)(4)¹⁹] The Enhanced Plan must

¹⁸ 44 CFR § 201.5(b)(1): “Demonstration that the plan is integrated to the extent practicable with other State and/or regional planning initiatives (comprehensive, growth management, economic development, capital improvement, land development, and/or emergency management plans) and FEMA mitigation programs and initiatives that provide guidance to State and regional agencies.”

¹⁹ 44 CFR § 201.5(b)(4): “Demonstration that the State is committed to a comprehensive state mitigation program, which might include any of the following:

- (i) A commitment to support local mitigation planning by providing workshops and training, State planning grants, or coordinated capability development of local officials, including Emergency Management and Floodplain Management certifications.
(ii) A statewide program of hazard mitigation through the development of legislative initiatives, mitigation councils, formation of public/private partnerships, and/or other executive actions that promote hazard mitigation.
(iii) The State provides a portion of the non-Federal match for HMGP and/or other mitigation projects.
(iv) To the extent allowed by State law, the State requires or encourages local governments to use a current version of a nationally applicable model building code or Standard that

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329 demonstrate the State’s commitment to mitigation including descriptions of the
330 following:

- 331 1. A statewide program of hazard mitigation through the development of legislative
332 initiatives, mitigation councils, formation of public/private partnerships, and/or other
333 executive actions that promote hazard mitigation.
- 334 2. To the extent allowed by State law, the State requires or encourages local
335 governments to use a current version of a nationally applicable model building code
336 or Standard that addresses natural hazards as a basis for design and construction of
337 State sponsored mitigation projects.
- 338 3. A comprehensive, multi-year plan to mitigate the risks posed to existing buildings
339 that have been identified as necessary for post-disaster response and recovery
340 operations.
- 341 4. A comprehensive description of how the State integrates mitigation into its post-
342 disaster recovery operations.

343
344 HMA Grants Management Performance

- 345 1. With regards to HMA, is the State maintaining the capability to meet application
346 timeframes and submitting complete project applications? [44 CFR §
347 201.5(b)(2)(iii)(A)²⁰]
 - 348 a. All applications entered into FEMA’s electronic data systems (i.e., NEMIS and/or
349 eGrants).
 - 350 b. Eligibility and Completeness Checklist prepared for all applications.
 - 351 c. Percent of applications approved by FEMA within 60 days of application
352 submittal as follows for States with:
 - 353 i. Less than 20 applications, 90% or more of all applications
 - 354 ii. Between 21 and 100, 80% or more of all applications
 - 355 iii. Over 100, 75% or more of all applications
 - 356 iv. Required Environmental and Historic Preservation reviews and consultations
357 will not be included in the 60-day review timeframe calculation.
 - 358 d. All applications approved within 90 days of submittal.

359

addresses natural hazards as a basis for design and construction of State sponsored mitigation projects.

- (v) A comprehensive, multi-year plan to mitigate the risks posed to existing buildings that have been identified as necessary for post-disaster response and recovery operations.
- (vi) A comprehensive description of how the State integrates mitigation into its post-disaster recovery operations.”

²⁰ 44 CFR § 201.5(b)(2)(iii)(A): “Demonstration that the State has the capability to effectively manage the HMGP as well as other mitigation grant programs, including a record of the following: (A) Meeting HMGP and other mitigation grant application timeframes and submitting complete, technically feasible, and eligible project applications with appropriate supporting documentation;”

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- 360 2. With regards to HMA, is the State maintaining the capability to prepare and submit
361 accurate environmental reviews and benefit-cost analyses? [44 CFR §
362 201.5(b)(2)(iii)(B)²¹]
- 363 a. Within 60 days of application submittal, requested information related to Benefit-
364 Cost Analysis submitted to FEMA and the Benefit-Cost determination accepted as
365 correct by FEMA for States with:
- 366 i. Less than 20 applications, 90% or more of all applications
367 ii. Between 21 and 100, 80% or more of all applications
368 iii. Over 100, 75% or more of all applications
369 iv. Required Environmental and Historic Preservation reviews and consultations
370 will not be included in the 60-day review timeframe calculation.
- 371 b. For all applications, requested information regarding the Benefit-Cost analyses
372 submitted and accepted as correct by FEMA within 90 days of application
373 submittal.
- 374 c. For all applications, all documentation submitted in support of Environmental and
375 Historic Preservation reviews has been submitted and accepted as correct by
376 FEMA within 90 days of application submittal.
377
- 378 3. With regards to HMA, is the State maintaining the capability to submit complete and
379 accurate quarterly progress and financial reports on time? [44 CFR §
380 201.5(b)(2)(iii)(C)²²]
- 381 a. All progress reports must be complete and submitted on time (unless extension
382 granted by FEMA HMA staff). Information in reports must accurately describe
383 grant activities and support any extension requests. Incomplete progress reports
384 which do not provide information on all open grants and subgrants or include all
385 information required by the HMA Unified Guidance are not considered on-time.
- 386 b. All Federal Financial Reports (FFR) Standard Form (SF)-425 (FFR SF-425) are
387 submitted on time (unless extension granted by FEMA HMA staff). Information
388 in reports must accurately describe grant activities and support any extension
389 requests.
- 390 c. State consistently complies with the Financial Management System requirements
391 described in 44 CFR § 13.20. FEMA HMA staff will consult with the Office of
392 the Chief Financial Officer on this determination.
393

²¹ 44 CFR § 201.5(b)(2)(iii)(B): “Demonstration that the State has the capability to effectively manage the HMGP as well as other mitigation grant programs, including a record of the following: (B) Preparing and submitting accurate environmental reviews and benefit-cost analyses;”

²² 44 CFR § 201.5(b)(2)(iii)(C): “Demonstration that the State has the capability to effectively manage the HMGP as well as other mitigation grant programs, including a record of the following: (C) Submitting complete and accurate quarterly progress and financial reports on time;”

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- 394 4. With regards to HMA, is the State maintaining the capability to complete HMA
395 projects within established performance periods, including financial reconciliation?
396 [44 CFR § 201.5(b)(2)(iii)(D)²³]
- 397 a. Any request to extend the application period was submitted at least 30 days prior
398 to the end of the expiration of the application period.
 - 399 b. All States' requests to extend periods of performance for the grant were submitted
400 to FEMA 60 days before end of Period of Performance.
 - 401 c. No major findings on last single audit obtained by the State related to HMA
402 programs. For States without HMA grants, FEMA will review other federal
403 grants prepared by the responsible agency (i.e., State Emergency Management
404 Agency).
 - 405 d. All grant close-out activities, including financial reconciliation, are completed
406 within 90 days from the end of the performance period including:
 - 407 i. Final FFR SF-425 and Performance Reports were submitted on time.
 - 408 ii. Statement submitted that approved Scope of Work and all Environmental and
409 Historic Preservation requirements have been satisfied.
 - 410 iii. SF-270 Request for Advance or Reimbursement or request to de-obligate
411 funds is completed, if applicable due to cost underruns.
 - 412 iv. No late drawdowns are requested or performed after the liquidation period has
413 ended.
 - 414 e. Closeouts of all sub-grants were reported in progress reports to indicate timely
415 closeout and financial reconciliation (completed within six months of work
416 completion).
 - 417 f. Actual expenditures have been documented and are consistent with SF-424A or
418 SF-424C.
 - 419

²³ 44 CFR § 201.5(b)(2)(iii)(D): “Demonstration that the State has the capability to effectively manage the HMGP as well as other mitigation grant programs, including a record of the following: (D) Completing HMGP and other mitigation grant projects within established performance periods, including financial reconciliation.”

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