



# CAP-SSSE

Tiered State Framework

## PLAYBOOK

*Version 1.2*

*January 28, 2020*



FEMA

# VERSION HISTORY

Version	Date	Edit
1.0	January 14, 2020	N/A
1.1	January 15, 2020	Submission evidence in characteristic III.D Participating Communities edited to include instructions for those wishing to submit analyses and outreach plans.
1.2	January 28, 2020	Changes to I.A. (Foundational Evidence and Proficient Benchmark); further clarification around Evidence in all characteristics; Adjustments to III.B. to clarify that higher standards will be included in the NOFO and should be incorporated into the SOW, even though it is not being assessed this year; and adjustments to the wording of the benchmarks and evidence in III.D. to further clarify the options for submitting evidence or accepting FEMA-provided data.

# INTRODUCTION

The Community Assistance Program–State Support Services Element (CAP-SSSE) is a cooperative agreement that provides funding to states to support communities in the National Flood Insurance Program (NFIP) in implementing NFIP floodplain management activities. Through CAP-SSSE, states provide technical assistance and evaluate community performance in implementing NFIP requirements. They also work to implement actions that reduce the damage and costs from flooding across their state. CAP-SSSE helps meet the flood loss reduction goals of the NFIP by building state and community floodplain management expertise and capability, and leveraging state knowledge and expertise in working with communities.

The CAP-SSSE program partners with states to expand the NFIP’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’s goals. States with advanced floodplain management capabilities conduct additional activities to create comprehensive and effective state floodplain management programs beyond administration of the NFIP. These states leverage their unique capabilities, relationships, and land use authorities to ensure that floodplain management guides development and redevelopment to reduce risk from flooding and to prevent increases in flooding potential.

## The Tiered State Framework (TSF)

In response to feedback from state partners, FEMA created the CAP-SSSE Tiered State Framework (TSF). The TSF helps FEMA recognize, invest in, and incentivize state efforts to develop the capabilities necessary to meet the goals of the CAP-SSSE program and grow a state’s broader floodplain management ability. The TSF and an aligned program funding methodology allow FEMA to:

- Increase **transparency** around state activities;
- Enable a **performance-based program** allowing FEMA to fairly evaluate State NFIP Coordinating Office strengths and areas of improvement; and
- Establish a **level playing field** for CAP-SSSE to make judgements about the resources that states may require to deliver upon the goals of the program.

As illustrated in Figure 1, the TSF establishes three tiers: **Foundational**, **Proficient**, and **Advanced**. A state’s tier is based on a two-step assessment of a state’s floodplain management program against a series of benchmarks at least every three years. A state’s tier assignment influences their annual scope of work (SOW) (beginning in 2020) and their funding (beginning in 2021). Significant strengths in a state’s TSF assessment enable special access to incentives such as additional funding, increased autonomy over workplans and strategies, and funding eligibility of certain non-traditional projects. Conversely, gaps or deficiencies in a state’s TSF assessment, coupled with their state-specific aspirations and goals, help determine the activities, performance metrics, training plans, reporting requirements, and subsequent funding levels to address those gaps.

FEMA uses **characteristics and benchmarks across four categories** to assess and assign states to a tier (see Figure 2 and Appendix A).

Figure 1 CAP-SSSE State Tiers



Figure 2 Four Categories of the TSF



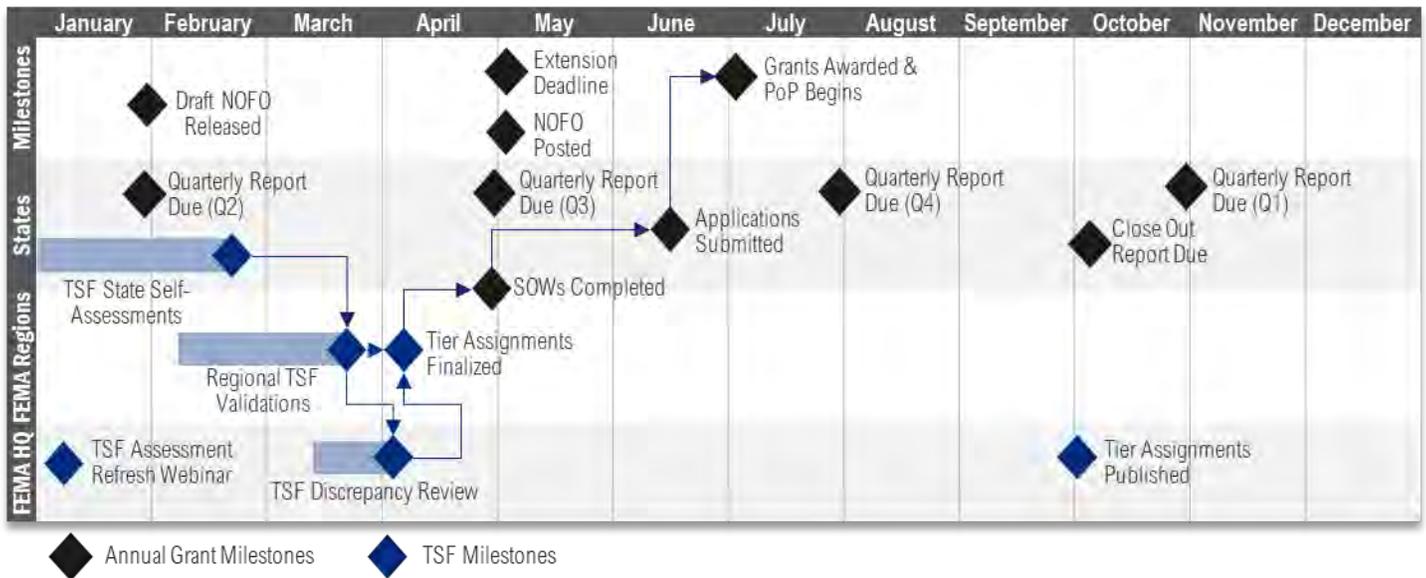
Each benchmark has a set of **required evidence** that the state must provide to demonstrate that it meets the benchmark. In this way, the TSF assessment provides a quantifiable and equitable approach to ensure that each state receiving CAP-SSSE funding possesses the necessary capacity and expertise, a history of satisfactory performance, and adequate plans, strategies, and partnerships to accomplish the work in the most efficient and effective manner.

### The TSF Assessment and Assignment Process

FEMA requires a TSF assessment from each state every three years, beginning in 2020 or upon first applying for the CAP-SSSE grant, whichever is most recent. States may also request an off-cycle TSF assessment if they desire (for example, if a state believes they meet the benchmarks for the next tier and would like to be assigned to that tier earlier than their next assessment cycle).

As Figure 3 shows, TSF assessments begin in/around January and are integrated into the grant application process. Validated TSF assessments and final tier assignments are submitted in the Non-Disaster Grants (ND Grants) system as an addendum to the state’s SOW.

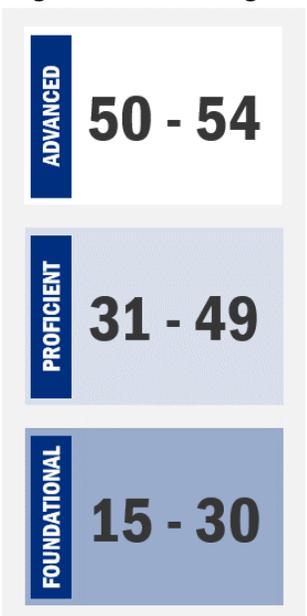
**Figure 3 TSF Assessment and Annual Grant Milestones**



TSF assessments begin with a state self-assessment, which the FEMA Region validates. Both parties use the TSF assessment to inform SOW development and award considerations for the upcoming period of performance (PoP), integrating appropriate requirements and incentives driven by the state’s tier assignment. Where the state and the FEMA Region are inconsistent in their assessments of the state and unable to adjudicate those discrepancies at the Regional level, the case is forwarded to FEMA Headquarters for final determination of the state’s tier assignment.

States utilize the *TSF Assessment Tool* to perform self-assessments. The *TSF Assessment Tool* is an interactive Microsoft Excel-based form where a state selects the benchmarks that it meets and provides descriptive details about the required evidence for each. Based on the state’s benchmark selections, the tool calculates a score for each category (to aid in SOW development) and an overall score that automatically assigns the state to the corresponding tier. Foundational benchmarks receive one point, Proficient benchmarks receive two points, and Advanced benchmarks receive points. No state will perfectly align to every benchmark in any one tier, thus score *ranges* (Figure 4) determine a state’s tier assignment. The score ranges require a state to achieve most, but not all, of the benchmarks in the tier before they are assigned to that tier. It is critical to note that if a state is not able to reach the Foundational benchmark for any one characteristic, their overall tier assignment will be assessed at “Below Foundational” regardless of their performance on any of the other characteristics in the TSF.

**Figure 4 TSF Score Ranges**



## Using this TSF Playbook

This TSF Playbook should be used in conjunction with the *TSF Assessment Tool*. The playbook has four chapters that align to the four TSF categories. As illustrated in Figure 5, each category chapter provides a detailed overview of each of the characteristics within that category, including the intention behind its inclusion in the TSF, the benchmarks that must be met for each tier, and the evidence required to prove that those benchmarks have, in fact, been met. Evidence submission and SOW development guidance is also included.

**Figure 5. TSF Playbook Structure for Each Characteristic**

Characteristic Name		
Foundational	Proficient	Advanced
<b>Benchmarks</b>		
<i>In order to qualify for a tier, states must demonstrate that they meet the description in the corresponding column listed below:</i>		
Quantitative threshold which demonstrates that the state is "meeting the minimum requirements for grant eligibility"	Quantitative threshold which demonstrates that the state is "functioning well and performing to expectations"	Quantitative threshold which demonstrates that the state is "best-in-class and performing above expectations"
<b>Evidence</b>		
<i>States must submit evidence that supports their tier assignment. Examples of evidence that could be submitted are listed below. All examples are potential options for evidence, unless noted with "PLUS" which signifies that more than one piece of evidence is required:</i>		
Documentation (e.g., report names, document types, etc.) that provides sufficient proof that the Foundational benchmark has been met. These are examples of sufficient evidence, not the exact required evidence.	Documentation that provides sufficient proof that the Proficient benchmark has been met. These are examples of sufficient evidence, not the exact required evidence.	Documentation that provides sufficient proof that the Advanced benchmark has been met. These are examples of sufficient evidence, not the exact required evidence.
<b>Submission Instructions</b>		
<i>Indication of who is responsible for submitting proof (i.e., FEMA or the state), in what format, and by when.</i>		
Submission instructions such as file naming conventions	Submission instructions such as file naming conventions	Submission instructions such as file naming conventions

As states perform their TSF self-assessments in the *TSF Assessment Tool*, they should use the categories and characteristics in this Playbook to validate benchmarks and determine what evidence to submit in support of their tier assignment.

# CONTENTS

<b>I. CAPACITY</b>	<b>1</b>
I.A State Land Use Authority and Enforcement for Local Communities .....	2
I.B State Land Use Authority and Enforcement for State Owned Properties.....	3
I.C Financial Grant Management.....	4
I.D Administrative Grant Management.....	5
I.E Ability to Overmatch .....	6
<b>II. CAPABILITY</b>	<b>7</b>
II.A Investment in Professional Development .....	8
II.B Communication with Communities on NFIP Topics .....	9
II.C Training Variety.....	10
II.D Process for Reviewing and Improving Model Floodplain Management Regulations.....	11
II.E Substantial Damage Program .....	12
<b>III. PERFORMANCE MEASURES</b>	<b>13</b>
III.A Communities Engaged.....	14
III.B Higher Standards Adoption .....	15
III.C Community Compliance Improvement .....	16
III.D Percent of Participating Communities.....	17
<b>IV. PLANNING AND COORDINATION</b>	<b>18</b>
IV.A Promotion of Flood Risk Awareness Products .....	19
IV.B Coordination and Integrated Planning Across the State .....	20
IV.C Coordination with OFAs (other than FEMA) .....	21
IV.D Coordination with Insurance Professionals.....	22
IV.E Coordination and Integration into State Emergency Operations .....	23
IV.F Optimized Use of Mitigation Funding for Priority Structures .....	24
Appendix A. Summary Table of Characteristics and Benchmarks	25
Appendix B. Glossary	26

## I. CAPACITY

The characteristics in this category demonstrate that states have the capacity to ensure that NFIP requirements are met and maintained and that they manage the CAP-SSSE grant accordingly.



The Capacity category encompasses five characteristics:

- State Land Use Authority and Enforcement for Local Communities
- State Land Use Authority and Enforcement for State-Owned Properties
- Financial Grant Management
- Administrative Grant Management
- Ability to Overmatch (*non-Federal Funding*)

The following subsections discuss each characteristic in detail.



## I.A State Land Use Authority and Enforcement for Local Communities

This characteristic intends to measure how a state ensures that communities adopt and enforce minimum NFIP requirements.

Foundational	Proficient	Advanced
<b>Benchmarks</b>		
<i>In order to qualify for a tier, states must demonstrate that they meet the description in the corresponding column listed below:</i>		
<ul style="list-style-type: none"> <li>The state has enacted legislation enabling communities to regulate development within floodprone areas that meet minimum NFIP and state standards</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>The state consistently works with communities to specifically address violations and other program issues found during Community Assistance Visits (CAVs)/Community Assistance Contacts (CACs) or other engagements.</li> </ul>	<ul style="list-style-type: none"> <li>The state meets the Foundational benchmark</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>The state has policies and procedures in place that define the point at which a community moves from the “follow-up” phase to the “enforcement” phase of compliance and the case is referred to FEMA for enforcement action.</li> </ul>	<ul style="list-style-type: none"> <li>The state meets the Proficient benchmark</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>The state has written laws or policies and procedures in place that provide for state-led enforcement actions (e.g., penalties or restrictions that are within the state’s authority, grants withholding actions, etc.) prior to referring compliance cases to FEMA for suspension or probation.</li> </ul>
<b>Evidence</b>		
<i>States must submit evidence that supports their tier assignment. Examples of such evidence are listed below. All examples are potential options of evidence, unless noted with “PLUS,” which signifies that more than one piece of evidence is required:</i>		
<p><b>One of the following:</b></p> <ul style="list-style-type: none"> <li>A PDF or a link to an online version of the state executive order (EO)/law/statute meeting at least minimum NFIP standards</li> <li>A model ordinance that meets the minimum standards</li> </ul>	<ul style="list-style-type: none"> <li>Foundational evidence</li> </ul> <p><b>PLUS one or more of the following:</b></p> <ul style="list-style-type: none"> <li>A standard operating procedure (SOP) for identifying and mitigating community NFIP violations, with milestones/ thresholds for state follow-up and enforcement referral</li> <li>Evidence of CAV/CAC records or correspondence sent to FEMA after the state follow-up period with a community (via email or other method)</li> <li>Letter templates advising a community of violation, corrective action, and timelines for action by state or by FEMA</li> </ul>	<ul style="list-style-type: none"> <li>Foundational and Proficient evidence</li> </ul> <p><b>PLUS one or more of the following:</b></p> <ul style="list-style-type: none"> <li>A PDF or a link to an online version of the state EO/law/statute reflecting higher standards (i.e., standards and ordinances that exceed NFIP minimum requirements) and enforcement authority.</li> <li>An SOP for identifying and mitigating community NFIP and/or state higher standards violations with milestones/ thresholds for follow-up and enforcement by the state.</li> <li>Letter templates for state-initiated compliance action, advising a community of violation(s) and future enforcement action(s) by the state.</li> </ul>
<b>Submission Instructions</b>		
<i>For the FY2020 grant year, email all documentation to the Regional CAP Coordinator using the following naming convention:</i>		
<p><b>XX_Capacity_A_Foundational_title</b> (where XX is your state’s abbreviation) (where <b>title</b> is the name of the document being submitted, as determined by you)</p> <p>Example: MD_Capacity_A_Foundational_STATE_EO</p>	<p><b>XX_Capacity_A_Proficient_title</b> (where XX is your state’s abbreviation) (where <b>title</b> is the name of the document being submitted, as determined by you)</p> <p>Example: MD_Capacity_A_Proficient_CAV_email</p>	<p><b>XX_Capacity_A_Advanced_title</b> (where XX is your state’s abbreviation) (where <b>title</b> is the name of the document being submitted, as determined by you)</p> <p>Example: MD_Capacity_A_Advanced_stateSOP</p>

## I.B State Land Use Authority and Enforcement for State-Owned Properties

This characteristic intends to measure how a state enforces NFIP requirements for all state-owned (and managed, as applicable) properties.

Foundational	Proficient	Advanced
<b>Benchmarks</b>		
<i>In order to qualify for a tier, states must demonstrate that they meet the description in the corresponding column listed below:</i>		
<ul style="list-style-type: none"> <li>The state has enacted legislation requiring at least NFIP minimums for state-owned or -managed development activities.</li> </ul>	<ul style="list-style-type: none"> <li>The state meets the Foundational benchmark</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>The state has the authority and written policies and procedures in place to monitor permitting and enforce compliance of state-owned or managed development actions</li> </ul>	<ul style="list-style-type: none"> <li>The state meets the Proficient benchmark</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>The state has a statewide higher standard for state-owned or managed development and a record of mitigating non-compliant state-owned or managed structures</li> </ul>
<b>Evidence</b>		
<i>States must submit evidence that supports their tier assignment. Examples of such evidence are listed below. All examples are potential options of evidence, unless noted with "PLUS," which signifies that more than one piece of evidence is required:</i>		
<ul style="list-style-type: none"> <li>A PDF or a link to an online version of the state EO/law/statute requiring state agencies, institutions, and properties to meet at least minimum NFIP standards</li> </ul>	<ul style="list-style-type: none"> <li>Foundational evidence</li> </ul> <p><b>PLUS one or more of the following:</b></p> <ul style="list-style-type: none"> <li>An SOP for identifying violations in state development activities (e.g., permitting audit of state-owned properties)</li> <li>State Assessment Data Call records or other records of alerting FEMA Regional office about violations connected to state activities</li> </ul>	<ul style="list-style-type: none"> <li>Foundational and Proficient evidence</li> </ul> <p><b>PLUS one or more of the following:</b></p> <ul style="list-style-type: none"> <li>A PDF or a link to an online version of state EO/law/statute requiring state agencies, institutions, and properties to meet statewide higher standard(s)</li> <li>An SOP or actual records of state-led mitigation of violations connected to state development activities</li> </ul>
<b>Submission Instructions</b>		
<i>For the FY2020 grant year, email all documentation to the Regional CAP Coordinator using the following naming convention:</i>		
<p><b>XX_Capacity_B_Foundational_title</b> (where <b>XX</b> is your state's abbreviation) (where <b>title</b> is the name of the document being submitted, as determined by you)</p> <p>Example: MD_Capacity_B_Foundational_STATE_EO</p>	<p><b>XX_Capacity_B_Proficient_title</b> (where <b>XX</b> is your state's abbreviation) (where <b>title</b> is the name of the document being submitted, as determined by you)</p> <p>Example: MD_Capacity_B_Proficient_CAV_email</p>	<p><b>XX_Capacity_B_Advanced_title</b> (where <b>XX</b> is your state's abbreviation) (where <b>title</b> is the name of the document being submitted, as determined by you)</p> <p>Example: MD_Capacity_B_Advanced_Violation_SOP</p>



## I.C Financial Grant Management

This characteristic intends to measure that the state has the capacity to meet the financial requirements of the CAP grant.

Foundational	Proficient	Advanced
<b>Benchmarks</b>		
<i>In order to qualify for a tier, states must demonstrate that they meet the description in the corresponding column listed below:</i>		
<ul style="list-style-type: none"> <li>The state has deobligated 30% or less of its cumulative funding over the past three years (i.e., the total deobligated funds divided by the total awards over the past three years does not exceed 30%).</li> </ul>	<ul style="list-style-type: none"> <li>The state has deobligated 15% or less of its cumulative funding over the past three years (i.e., the total deobligated funds divided by the total awards over the past three years does not exceed 15%).</li> </ul>	<ul style="list-style-type: none"> <li>The state has had no deobligations over the past three years.</li> </ul>
<b>Evidence</b>		
<i>FEMA will pull supporting evidence from government databases and share it with the state for validation before assigning a corresponding tier for this characteristic.</i>		
<ul style="list-style-type: none"> <li>PARS Report from ND Grants</li> </ul>	<ul style="list-style-type: none"> <li>PARS Report from ND Grants</li> </ul>	<ul style="list-style-type: none"> <li>PARS Report from ND Grants</li> </ul>
<b>Submission Instructions</b>		
<i>The Regional CAP Coordinator will provide this data to states via the IFMIS reports that denote obligations and deobligations.</i>		
<ul style="list-style-type: none"> <li><b>No submission is required</b></li> </ul> <p>IFMIS, CIS, PARS, and ND Grants are all official FEMA systems of record. Though it is FEMA's intention to use <b>only</b> the records in these systems to demonstrate performance at these benchmarks, we do realize that data entry errors or other reporting limitations could be present. If you find an error in your FEMA-provided data, you may submit evidence to support this claim:</p> <ul style="list-style-type: none"> <li>Email evidence to support its position to the Regional CAP Coordinator</li> <li>Use the subject line: I.C: Financial Grant Management Discrepancy</li> <li>List the information provided by FEMA, the tier the state believes it should be, and the supporting evidence.</li> </ul>		

## I.D Administrative Grant Management

This characteristic intends to measure that the state can meet the administrative requirements of the grant.

Foundational	Proficient	Advanced
<b>Benchmarks</b>		
<i>In order to qualify for a tier, states must demonstrate that they meet the description in the corresponding column listed below:</i>		
<ul style="list-style-type: none"> <li>The state submits a Notice of Funding Opportunity (NOFO) application, quarterly performance reports, a final ND grants application, and satisfies other grant award administrative requirements (as needed) by deadlines with no more than three late submissions; PoP extensions over the past three years do not exceed nine months in any one year.</li> </ul>	<ul style="list-style-type: none"> <li>The state submits a NOFO application, quarterly performance reports, a final ND grants application, and satisfies other grant award administrative requirements (as needed) by deadlines with no more than one late submission; PoP extensions over the past three years do not exceed three months in any one year.</li> </ul>	<ul style="list-style-type: none"> <li>The state submits a NOFO application, quarterly performance reports, a final ND grants application, and satisfies other grant award administrative requirements (as needed) by deadlines; no more than one extension of fewer than three months in the past three years.</li> </ul>
<b>Evidence</b>		
<i>The Regional CAP Coordinator will pull supporting evidence from ND Grants and other government databases and share it with the state for validation before assigning a corresponding tier for this characteristic.</i>		
<ul style="list-style-type: none"> <li>SF424 application submission date</li> </ul> <p><b>PLUS</b></p> <ul style="list-style-type: none"> <li>All quarterly report submission dates over the last two years</li> </ul> <p><b>PLUS</b></p> <ul style="list-style-type: none"> <li>Final ND Grants application submission date (inclusive of final SOW)</li> </ul>	<ul style="list-style-type: none"> <li>SF424 application submission date</li> </ul> <p><b>PLUS</b></p> <ul style="list-style-type: none"> <li>All quarterly report submission dates over the last two years</li> </ul> <p><b>PLUS</b></p> <ul style="list-style-type: none"> <li>Final ND Grants application submission date (inclusive of final SOW)</li> </ul>	<ul style="list-style-type: none"> <li>SF424 application submission date</li> </ul> <p><b>PLUS</b></p> <ul style="list-style-type: none"> <li>All quarterly report submission dates over the last two years</li> </ul> <p><b>PLUS</b></p> <ul style="list-style-type: none"> <li>Final ND Grants application submission date (inclusive of final SOW)</li> </ul>
<b>Submission Instructions</b>		
<i>The Regional CAP Coordinators will provide this data to the states via records from ND Grants. States also have access to this information and may verify it.</i>		
<ul style="list-style-type: none"> <li><b>No submission is required</b></li> </ul> <p>IFMIS, CIS, PARS, and ND Grants are all official FEMA systems of record. Though it is FEMA's intention to use <b>only</b> the records in these systems to demonstrate performance at these benchmarks, we do realize that data entry errors or other reporting limitations could be present. If you find an error in your FEMA-provided data, you may submit evidence to support this claim:</p> <ul style="list-style-type: none"> <li>Email evidence to support its position to the Regional CAP Coordinator</li> <li>Use the subject line: I.D: Administrative Grant Management Discrepancy</li> <li>List the information provided by FEMA, the tier the state believes it should be, and the supporting evidence.</li> </ul>		

## I.E Ability to Overmatch

This characteristic intends to measure that the state has additional floodplain management program capacity outside of CAP-SSSE funded activities and staff.

Foundational	Proficient	Advanced
<b>Benchmarks</b>		
<i>In order to qualify for a tier, states must demonstrate that they meet the description in the corresponding column listed below:</i>		
<ul style="list-style-type: none"> <li>The three-year average cost match is equal to 25% as required by the grant.</li> </ul>	<ul style="list-style-type: none"> <li>The three-year average cost match is greater than 25%.</li> </ul>	<ul style="list-style-type: none"> <li>The three-year average cost match is greater than 50%.</li> </ul>
<b>Evidence</b>		
<i>States must submit evidence that supports their tier assignment. Examples of such evidence are listed below.</i>		
<i>PLEASE NOTE that while there is no restriction on the types of costs allowed for the non-federal cost match requirement, in-kind contributions must specifically adhere to the "Funding Restrictions" and "Eligible Activities" sections of the CAP-SSSE NOFO.</i>		
<ul style="list-style-type: none"> <li>This data will come from ND Grants and be provided by FEMA</li> </ul>	<ul style="list-style-type: none"> <li>Part of this data will come from ND Grants and be provided by FEMA</li> <li>If a state can demonstrate a cost match above 25% outside of what is tracked in ND Grants, they may provide supplemental evidence, such as the number of employees, hours worked, or FTE percentage applied to CAP activities in the last three years, multiplied by the employees' hourly loaded wage (i.e., wage with indirect costs applied)</li> </ul>	<ul style="list-style-type: none"> <li>Part of this data will come from ND Grants and be provided by FEMA</li> <li>If a state can demonstrate a cost match above 50% outside of what is tracked in ND Grants, they may provide supplemental evidence, such as the number of employees, hours worked, or FTE percentage applied to CAP activities in the last three years, multiplied by the employees' hourly loaded wage (i.e., wage with indirect costs applied)</li> </ul>
<b>Submission Instructions</b>		
<i>Email any documentation of overmatch <u>outside of what is listed in ND Grants</u> to the Regional CAP Coordinator using the following naming convention:</i>		
<b>XX_Capacity_E_Foundational_title</b> <i>(where XX is your state's abbreviation)</i> <i>(where title is the name of the document being submitted, as determined by you)</i>	<b>XX_Capacity_E_Proficient_title</b> <i>(where XX is your state's abbreviation)</i> <i>(where title is the name of the document being submitted, as determined by you)</i>	<b>XX_Capacity_E_Advanced_title</b> <i>(where XX is your state's abbreviation)</i> <i>(where title is the name of the document being submitted, as determined by you)</i>
Example: MD_Capacity_E_Foundational_overmatch	Example: MD_Capacity_E_Proficient_overmatch	Example: MD_Capacity_E_Advanced_overmatch

## II. CAPABILITY

The characteristics in this category demonstrate that states enhance the professional expertise of their staff and can adequately educate communities on floodplain management topics.



The Capability category encompasses five characteristics:

- Investment in Professional Development
- Communication with Communities on NFIP Topics
- Training Variety
- Process for Reviewing and Improving Model Floodplain Management Regulations
- Substantial Damage Program

The following subsections discuss each characteristic in detail.

## II.A Investment in Professional Development

This characteristic intends to measure that the NFIP State Coordinator and floodplain management program staff have the appropriate credentials and are enhancing their learning/education through formalized training.

Foundational	Proficient	Advanced
<b>Benchmarks</b>		
<i>In order to qualify for a tier, states must demonstrate that they meet the description in the corresponding column listed below:</i>		
<ul style="list-style-type: none"> <li>The designated State NFIP Coordinator has education/experience in a floodplain management profession</li> </ul>	<ul style="list-style-type: none"> <li>For every full-time equivalent (FTE) covered by the CAP grant, the state can show eight verifiable hours of floodplain management-related training (i.e., floodplain management and other related trainings) per three-year cycle.</li> </ul>	<ul style="list-style-type: none"> <li>For every FTE covered by the CAP grant, the state can show the same number of CFMs and/or advanced professional certifications in sciences, engineering, planning, building construction, architecture</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>Those certifications are supported by eight hours of continuing education per year</li> </ul>
<b>Evidence</b>		
<i>States must submit evidence that supports their tier assignment. Examples of such evidence are listed below. All examples are potential options of evidence, unless noted with "PLUS," which signifies that more than one piece of evidence is required:</i>		
<p><b>One of the following:</b></p> <ul style="list-style-type: none"> <li>Degree/certification in land, water, or environmental management; building sciences; public works; geography; hydrology; or engineering related field (submit photocopy of degree, certification, or transcript)</li> <li>Proof of at least two years of experience in any field listed above</li> <li>Resume or proof of employment with job description</li> </ul>	<p><b>One of the following:</b></p> <ul style="list-style-type: none"> <li>Documentation of continuing education units (CEUs)/continuing education courses (CECs) from a relevant certification organization, totaling eight for each FTE covered by the CAP grant for the most recent assessment cycle</li> <li>Flyers or materials stating CEC/CEU information for trainings attended or led, totaling eight for each FTE covered by the CAP grant</li> <li>Hours spent being a mentor or mentee in a formal mentoring program (i.e. ASFPM mentoring program) totaling eight for each FTE covered by the CAP grant</li> <li>A combination of the above totaling eight for each FTE covered by the CAP grant</li> </ul>	<ul style="list-style-type: none"> <li>Proficient evidence</li> </ul> <p><b>PLUS</b></p> <ul style="list-style-type: none"> <li>Documentation of one certification from a certification organization OR advanced degree paperwork (submit photocopy of degree, certification, or transcript) for each FTE funded by the CAP grant</li> </ul>
<b>Submission Instructions</b>		
<i>For the FY2020 grant year, email all documentation to the Regional CAP Coordinator using the following naming convention:</i>		
<p><b>XX_Capability_A_Foundational_title</b> (where XX is your state's abbreviation) (where title is the name of the document being submitted, as determined by you)</p> <p>Example: MD_Capability_A_Foundational_Resume</p>	<p><b>XX_Capability_A_Proficient_title</b> (where XX is your state's abbreviation) (where title is the name of the document being submitted, as determined by you)</p> <p>Example: MD_Capability_A_Proficient_CEC_list_year##</p>	<p><b>XX_Capability_A_Advanced_title</b> (where XX is your state's abbreviation) (where title is the name of the document being submitted, as determined by you)</p> <p>Example: MD_Capability_A_Advanced_CFM_Cert</p>



## II.B Communication with Communities on NFIP Topics

This characteristic intends to measure how a state is engaging communities regarding risk reduction programs and topics.

Foundational	Proficient	Advanced
<p align="center"><b>Benchmarks</b></p> <p align="center"><i>In order to qualify for a tier, states must demonstrate that they meet the description in the corresponding column listed below:</i></p>		
<ul style="list-style-type: none"> <li>The State NFIP Coordinating Office communicates with communities during grant-related touchpoints (technical assistance, CAV/CAC touchpoints, etc.) each year.</li> </ul>	<ul style="list-style-type: none"> <li>The State NFIP Coordinating Office communicates with all communities in the state on at least a quarterly basis each year.</li> </ul>	<ul style="list-style-type: none"> <li>The State NFIP Coordinating Office has a strategic outreach or communications plan and can provide documentation that the plan is implemented (such as brochures, a website, newsletters, outreach calendar, etc.)</li> </ul>
<p align="center"><b>Evidence</b></p> <p align="center"><i>States must submit evidence that supports their tier assignment. Examples of such evidence are listed below. All examples are potential options of evidence, unless noted with "PLUS," which signifies that more than one piece of evidence is required:</i></p>		
<ul style="list-style-type: none"> <li>If a state does not qualify for Proficient or Advanced, FEMA will pull supporting evidence from FEMA records and previously submitted quarterly reports to support the Foundational tier for this characteristic</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of four or more push communications (at least one per quarter) with all communities in the state, such as newsletters, list serve/emails, or other evidence</li> </ul>	<ul style="list-style-type: none"> <li>Proficient evidence</li> </ul> <p><b>PLUS</b></p> <ul style="list-style-type: none"> <li>Evidence of state's communications or outreach plan</li> </ul> <p><b>PLUS</b></p> <ul style="list-style-type: none"> <li>Evidence of implementing activities listed in the Plan</li> </ul>
<p align="center"><b>Submission Instructions</b></p> <p align="center"><i>For the FY2020 grant year, email all documentation to the Regional CAP Coordinator using the following naming convention:</i></p>		
<p>No submission is required if a state does not meet Proficient or Advanced; the Foundational tier will be assigned.</p>	<p><i>XX_Capability_B_Proficient_title</i> (where XX is your state's abbreviation) (where title is the name of the document being submitted, as determined by you)</p> <p>Example: MD_Capability_B_Proficient_Q4Newsletter</p>	<p><i>XX_Capability_B_Advanced_title</i> (where XX is your state's abbreviation) (where title is the name of the document being submitted, as determined by you)</p> <p>Examples: MD_Capability_B_Advanced_OutreachPlan MD_Capability_B_Advanced_OutreachAction_7</p>



## II.C Training Variety

This characteristic intends to measure that the state offers a variety of trainings covering a range of topics.

Foundational	Proficient	Advanced
<b>Benchmarks</b>		
<i>In order to qualify for a tier, states must demonstrate that they meet the description in the corresponding column listed below:</i>		
<ul style="list-style-type: none"> <li>The state provides training covering two different NFIP topics* in the three-year cycle.</li> </ul> <p>*A basic floodplain management "101" course may count as one of the trainings. Any additional training is defined as four to six hours on a specialized floodplain management topic or other topic (such as mapping, insurance, CRS, etc.)</p>	<ul style="list-style-type: none"> <li>The state provides training covering three or four different NFIP topics* in the three-year cycle.</li> </ul> <p>* A basic floodplain management "101" course may count as one of the trainings. Each additional training is defined as four to six hours on a specialized floodplain management topic or other topic (such as mapping, insurance, CRS, etc.)</p>	<p>The state provides training covering at least five different NFIP topics* in the three-year cycle.</p> <p>* A basic floodplain management "101" course may count as one of the trainings. Each additional training is defined as four to six hours on a specialized floodplain management topic or other topic (such as mapping, insurance, CRS, etc.)</p>
<b>Evidence</b>		
<i>States must submit evidence that supports their tier assignment. Examples of such evidence are listed below. All examples are potential options of evidence, unless noted with "PLUS," which signifies that more than one piece of evidence is required:</i>		
<p><b>One of the following:</b></p> <ul style="list-style-type: none"> <li>Training plan</li> <li>Records of training classes held, including attendee sign-in sheets (or similar) with dates and topic titles</li> </ul>	<p><b>One of the following:</b></p> <ul style="list-style-type: none"> <li>Training plan</li> <li>Records of training classes held, including attendee sign-in sheets (or similar) with dates and topic titles</li> </ul>	<p><b>One of the following:</b></p> <ul style="list-style-type: none"> <li>Training plan</li> <li>Records of training classes held, including attendee sign-in sheets (or similar) with dates and topic titles</li> </ul>
<b>Submission Instructions</b>		
<i>For the FY2020 grant year, email all documentation to the Regional CAP Coordinator using the following naming convention:</i>		
<p><b>XX_Capability_C_Foundational_title</b> (where XX is your state's abbreviation) (where title is the name of the document being submitted, as determined by you)</p> <p>Example: MD_Capability_C_Foundational_TrainingList</p>	<p><b>XX_Capability_C_Proficient_title</b> (where XX is your state's abbreviation) (where title is the name of the document being submitted, as determined by you)</p> <p>Example: MD_Capability_C_Proficient_TrainingList</p>	<p><b>XX_Capability_C_Advanced_title</b> (where XX is your state's abbreviation) (where title is the name of the document being submitted, as determined by you)</p> <p>Example: MD_Capability_C_Advanced_TrainingList</p>



## II.D Process for Reviewing and Improving Model Floodplain Management Regulations

This characteristic intends to measure that the state has a process in place to ensure that, through the use of appropriately updated and tailorable model ordinances, it is satisfying the requirement from 14 CFR 60.25 to guide and assist county and municipal public bodies and agencies in developing, implementing, and maintaining local floodplain management regulations.

Foundational	Proficient	Advanced
<b>Benchmarks</b>		
<i>In order to qualify for a tier, states must demonstrate that they meet the description in the corresponding column listed below:</i>		
<ul style="list-style-type: none"> <li>The State NFIP Coordinating Office provides a model ordinance that meets at least minimum NFIP standards.</li> </ul>	<ul style="list-style-type: none"> <li>The state meets the Foundational benchmark;</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>The state maintains and updates one or more model ordinances which take into account any changes in the state or local regulatory environment;</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>The state performs model ordinance review and updates (if needed) at least every five years.</li> </ul>	<ul style="list-style-type: none"> <li>The state meets Foundational benchmark;</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>The state maintains and updates a collection of model ordinances which take into account any changes in the state or local regulatory environment and incorporate higher standards where possible and practicable;</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>The state performs model ordinance review and updates (if needed) at least every three years.</li> </ul>
<b>Evidence</b>		
<i>States must submit evidence that supports their tier assignment. Examples of such evidence are listed below. All examples are potential options of evidence, unless noted with "PLUS," which signifies that more than one piece of evidence is required:</i>		
<ul style="list-style-type: none"> <li>A state model ordinance that meets NFIP minimums, with date of last update and instructions to communities included in document.</li> </ul>	<ul style="list-style-type: none"> <li>Foundational evidence</li> </ul> <p><b>PLUS</b></p> <ul style="list-style-type: none"> <li>Process documentation/SOP that shows a five-year update cycle, including the dates, findings, and descriptions of updates performed during the last model ordinance review</li> </ul>	<ul style="list-style-type: none"> <li>Foundational evidence</li> </ul> <p><b>PLUS</b></p> <ul style="list-style-type: none"> <li>Process documentation/SOP that shows a three-year update cycle and integration of higher standards, including the dates, findings, and descriptions of updates performed during the last model ordinance review</li> </ul>
<b>Submission Instructions</b>		
<i>For the FY2020 grant year, email all documentation to the Regional CAP Coordinator using the following naming convention:</i>		
<p><b>XX_Capability_D_Foundational_title</b> (where <b>XX</b> is your state's abbreviation) (where <b>title</b> is the name of the document being submitted, as determined by you)</p> <p>Example: MD_Capability_D_Foundational_Model_Ordinance,</p>	<p><b>XX_Capability_D_Proficient_title</b> (where <b>XX</b> is your state's abbreviation) (where <b>title</b> is the name of the document being submitted, as determined by you)</p> <p>Example: MD_Capability_D_Proficient_Model_Review_SOP</p>	<p><b>XX_Capability_D_Advanced_title</b> (where <b>XX</b> is your state's abbreviation) (where <b>title</b> is the name of the document being submitted, as determined by you)</p> <p>Example: MD_Capability_D_Advanced_Model_Review_SOP</p>



## II.E Substantial Damage Program

This characteristic intends to measure that the state is working towards or has implemented statewide Substantial Damage Plan(s) and encourages communities to adopt Substantial Damage Plans where it makes sense to do so.

Foundational	Proficient	Advanced
<b>Benchmarks</b>		
<i>In order to qualify for a tier, states must demonstrate that they meet the description in the corresponding column listed below:</i>		
<ul style="list-style-type: none"> <li>The state is in the process of developing a State Substantial Damage Plan.</li> </ul>	<ul style="list-style-type: none"> <li>The state has a documented State Substantial Damage Plan in place.</li> </ul>	<ul style="list-style-type: none"> <li>The state meets Proficient threshold</li> </ul> <p><b>AND</b></p> <ul style="list-style-type: none"> <li>Substantial Damage Plans are in place for targeted communities (to be determined jointly by state and Regional CAP Coordinator)</li> </ul>
<b>Evidence</b>		
<i>States must submit evidence that supports their tier assignment. Examples of such evidence are listed below. All examples are potential options of evidence, unless noted with "PLUS," which signifies that more than one piece of evidence is required:</i>		
<p><b>One of the following:</b></p> <ul style="list-style-type: none"> <li>Draft State Substantial Damage Plan</li> <li>Draft State Substantial Damage Plan outline</li> <li>Documentation of meetings or workgroup sessions to begin developing State Substantial Damage Plan</li> </ul>	<ul style="list-style-type: none"> <li>State Substantial Damage Plan</li> </ul>	<ul style="list-style-type: none"> <li>State Substantial Damage Plan</li> </ul> <p><b>PLUS</b></p> <ul style="list-style-type: none"> <li>Local Substantial Damage Plans for targeted communities</li> </ul>
<b>Submission Instructions</b>		
<i>For the FY2020 grant year, email all documentation to the Regional CAP Coordinator using the following naming convention:</i>		
<p><b>XX_Capability_E_Foundational_title</b> (where XX is your state's abbreviation) (where title is the name of the document being submitted, as determined by you)</p> <p>Example: MD_Capability_E_Foundational_WorkgroupSummaryQ4</p>	<p><b>XX_Capability_E_Proficient_title</b> (where XX is your state's abbreviation) (where title is the name of the document being submitted, as determined by you)</p> <p>Example: MD_Capability_E_Proficient_StateSDPlan</p>	<p><b>XX_Capability_E_Advanced_title</b> (where XX is your state's abbreviation) (where title is the name of the document being submitted, as determined by you)</p> <p>Example: MD_Capability_E_Advanced_LocalSDPlan_Target1</p>

### III. PERFORMANCE MEASURES

The characteristics in this category demonstrate that the State NFIP Coordinating Office has a history of performing at or above expectations while advancing the goals of the NFIP and effectively administers the programmatic requirements of the CAP grant.



The Performance Measures category encompasses four characteristics:

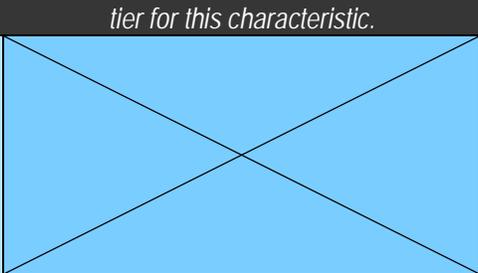
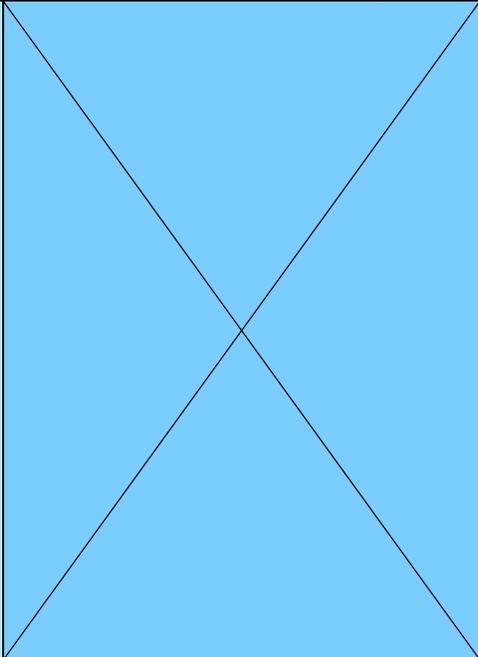
- Communities Engaged
- Higher Standards Adoption
- Community Compliance Improvement
- Percent of Participating Communities

The following subsections discuss each characteristic in detail.



## III.A Communities Engaged

This characteristic intends to measure that the state engages with an agreed-upon number of communities each year.

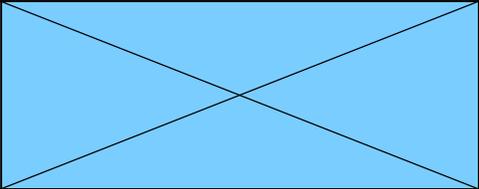
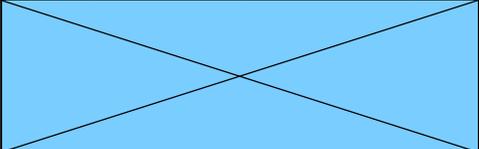
Foundational	Proficient	Advanced
<b>Benchmarks</b>		
<i>In order to qualify for a tier, states must demonstrate that they meet the description in the corresponding column listed below:</i>		
<ul style="list-style-type: none"> <li>The state meets the "Expected" target for Communities Engaged in at least two of the past three years.</li> </ul>	<p><i>There is no Proficient benchmark for this characteristic</i></p>	<ul style="list-style-type: none"> <li>The state meets the "Excellence" target for Communities Engaged in at least two of the past three years</li> </ul>
<b>Evidence</b>		
<i>FEMA will pull supporting evidence from FEMA records and share it with the state for validation before assigning a corresponding tier for this characteristic.</i>		
<ul style="list-style-type: none"> <li>Community Information System (CIS) data reports (combined CAV/CAC, GTA, Ordinance Review, and Workshop reports to determine number of communities engaged in the FY)</li> <li>State Report Cards (i.e., state performance targets and final results)</li> </ul>		<ul style="list-style-type: none"> <li>CIS data reports (combined CAV/CAC, GTA, Ordinance Review, and Workshop reports to determine number of communities engaged in the FY)</li> <li>State Report Cards (i.e., state performance targets and final results)</li> </ul>
<b>Submission Instructions</b>		
<i>FEMA HQ will provide CIS report data and report cards to states.</i>		
<ul style="list-style-type: none"> <li><b>No submission is required</b></li> </ul> <p>IFMIS, CIS, PARS, and ND Grants are all official FEMA systems of record. Though it is FEMA's intention to use <b>only</b> the records in these systems to demonstrate performance at these benchmarks, we do realize that data entry errors or other reporting limitations could be present. If you find an error in your FEMA-provided data, you may submit evidence to support this claim:</p> <ul style="list-style-type: none"> <li>Email evidence to support its position to the Regional CAP Coordinator</li> <li>Use the subject line: III.A: Communities Engaged Discrepancy</li> <li>List the information provided by FEMA, the tier the state believes it should be, and the supporting evidence.</li> </ul>		<ul style="list-style-type: none"> <li><b>No submission is required</b></li> </ul> <p>IFMIS, CIS, PARS, and ND Grants are all official FEMA systems of record. Though it is FEMA's intention to use <b>only</b> the records in these systems to demonstrate performance at these benchmarks, we do realize that data entry errors or other reporting limitations could be present. If you find an error in your FEMA-provided data, you may submit evidence to support this claim:</p> <ul style="list-style-type: none"> <li>Email evidence to support its position to the Regional CAP Coordinator</li> <li>Use the subject line: III.A: Communities Engaged Discrepancy</li> <li>List the information provided by FEMA, the tier the state believes it should be, and the supporting evidence.</li> </ul>



### III.B Higher Standards Adoption

This characteristic intends to measure that the state influences an agreed-upon number of communities to take action to exceed the minimum regulatory requirements each year.

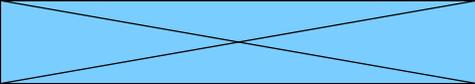
**NOTE: THIS CHARACTERISTIC WILL NOT BE INCLUDED IN THE FY20 ASSESSMENT. THIS MEASURE WILL BE IMPLEMENTED IN THE 2020 NOFO/SOW. HOWEVER NO ASSESSMENT ACTION RELATED TO THIS CHARACTERISTIC IS REQUIRED. IT IS INCLUDED FOR YOUR AWARENESS ONLY.**

Foundational	Proficient	Advanced
<b>Benchmarks</b>		
<i>In order to qualify for a tier, states must demonstrate that they meet the description in the corresponding column listed below:</i>		
<ul style="list-style-type: none"> <li>The state meets the "Expected" target for Higher Standards Adoption in at least two of the past three years</li> </ul>	<i>There is no Proficient benchmark for this characteristic</i>	<ul style="list-style-type: none"> <li>The state meets the "Excellence" target for Higher Standards Adoption in at least two of the past three years</li> </ul>
<b>Evidence</b>		
<i>FEMA will pull supporting evidence from FEMA records and share it with the state for validation before assigning a corresponding tier for this characteristic</i>		
<ul style="list-style-type: none"> <li>Custom CIS data query (which participating communities in the state have a more restrictive ordinance)</li> <li>State Report Cards (i.e., state performance targets and final results)</li> </ul>		<ul style="list-style-type: none"> <li>Custom CIS data query (which participating communities in the state have a more restrictive ordinance)</li> <li>State Report Cards (i.e., state performance targets and final results)</li> </ul>
<b>Submission Instructions</b>		
<i>For the FY20 grant year, this characteristic does not require submission of evidence since the state will not be evaluated on it. In the future, FEMA HQ will provide CIS report data and report cards to states.</i>		
<ul style="list-style-type: none"> <li>None for FY20. This measure has only recently been implemented and there is not a full year's worth of performance data upon which to be assessed.</li> </ul>		<ul style="list-style-type: none"> <li>None for FY20. This measure has only recently been implemented and there is not a full year's worth of performance data upon which to be assessed.</li> </ul>

### III.C Community Compliance Improvement

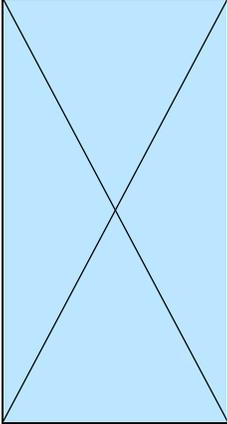
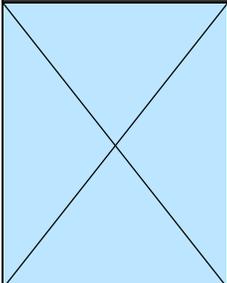
This characteristic intends to measure that a state influences an agreed upon number of communities to improve their compliance with NFIP requirements each year.

**NOTE: this characteristic will not be included in the FY20 assessment. No action related to this characteristic is required and is included for your awareness only.**

Foundational	Proficient	Advanced
<b>Benchmarks</b>		
<i>In order to qualify for a tier, states must demonstrate that they meet the description in the corresponding column listed below:</i>		
<ul style="list-style-type: none"> <li>The state meets the "Expected" target for Community Compliance Improvement in at least two of the past three years.</li> </ul>	<i>There is no Proficient benchmark for this characteristic</i>	<ul style="list-style-type: none"> <li>The state meets the "Excellence" target for Community Compliance Improvement in at least two of the past three years.</li> </ul>
<b>Evidence</b>		
<i>States must submit evidence that supports their tier assignment. Examples of such evidence are listed below. All examples are potential options of evidence, unless noted with "PLUS," which signifies that more than one piece of evidence is required:</i>		
<ul style="list-style-type: none"> <li>Future CAV/CAC documentation methods</li> </ul>		<ul style="list-style-type: none"> <li>Future CAV/CAC documentation methods</li> </ul>
<b>Submission Instructions</b>		
<i>For the FY20 grant year, this characteristic does not require submission of evidence since the state will not be evaluated on it.</i>		
<p><i>None for FY20. This measure will be implemented in FY21.</i></p>		<p><i>None for FY20. This measure will be implemented in FY21.</i></p>

## III.D Percent of Participating Communities

This characteristic intends to measure that the state is actively working to increase the percentage of communities with mapped risk that participate in the NFIP.

Foundational	Proficient	Advanced
<b>Benchmarks</b> <i>In order to qualify for a tier, states must demonstrate that they meet the target via the FEMA-provided data in bullet A. OR they can meet the descriptions outlined in both bullets B. and C.</i>		
<i>This characteristic has no Foundational benchmark.</i>	<b>Use A, or prove both B and C</b> <ul style="list-style-type: none"> <li>A. At least 80% of communities with mapped risk are participating in the NFIP at the time the data is pulled (<i>FEMA-provided data</i>)</li> <li>B. The State NFIP Coordinating Office has completed an analysis of the non-participating communities within the last three years</li> <li>C. The State NFIP Coordinating Office has conducted outreach to all non-participating communities at least once in the last three years</li> </ul>	<b>Use A, or prove both B and C</b> <ul style="list-style-type: none"> <li>A. At least 90% of communities with mapped risk are participating in the NFIP at the time the data is pulled (<i>FEMA-provided data</i>)</li> <li>B. The State NFIP Coordinating Office has completed an analysis of the non-participating communities within the last three years</li> <li>C. The State NFIP Coordinating Office has a written action plan for expanding community participation and conducts outreach to all non-participating communities at least once per year</li> </ul>
<b>Evidence</b> <i>States may choose to use the FEMA-provided data and not submit anything OR they may submit sufficient evidence as outlined.</i>		
	<ul style="list-style-type: none"> <li>Use CIS participating communities report (provided by FEMA)</li> </ul> <p><b>OR submit all of the following:</b></p> <ul style="list-style-type: none"> <li>Analysis of the non-participating communities and their reasoning for not joining the NFIP, including the date that the analysis was conducted</li> <li>Documentation of outreach (email blasts, letters, etc.) to all non-participating communities in the state in the last three-year period (can be pulled from CIS-GTA Report)</li> </ul>	<ul style="list-style-type: none"> <li>Use CIS participating communities report (provided by FEMA)</li> </ul> <p><b>OR submit all of the following:</b></p> <ul style="list-style-type: none"> <li>Analysis of the non-participating communities and their reasoning for not joining the NFIP, including the date that the analysis was conducted</li> <li>A state action plan for expanding community NFIP participation</li> <li>Documentation of outreach (email, letters, etc.) to all non-participating communities in the state in the last year (can be pulled from CIS-GTA Report)</li> </ul>
<b>Submission Instructions</b> <i>FEMA HQ will provide CIS report data to states. Email all supplemental documentation to the Regional CAP Coordinator using the following naming convention:</i>		
	<ul style="list-style-type: none"> <li><b>No submission is required</b> if a State uses the tier assignment from the FEMA-provided data.</li> </ul> <p>Those who are 'below foundational' may choose to submit the analysis and outreach documentation outlined above.</p> <p><i>Example: MD_Performance_D_Proficient_Outreach</i></p>	<ul style="list-style-type: none"> <li><b>No submission is required</b> if a State uses the tier assignment from the FEMA-provided data.</li> </ul> <p>Those who are 'below foundational' or 'proficient' may choose to submit the analysis, outreach documentation, and state action plan outlined above.</p> <p><i>Example: MD_Performance_D_Advanced_ActionPlan</i></p>



## IV. PLANNING AND COORDINATION

The characteristics in this category demonstrate that the State NFIP Coordinator's Office successfully coordinates across agencies to ensure that floodplain management and insurance is integrated into the state's priorities.



The Performance Measures category encompasses six characteristics:

- Promotion of Flood Risk Awareness Products
- Coordination and Integrated Planning Across the State
- Coordination with OFAs (other than FEMA)
- Coordination with Insurance Professionals
- Coordination and Integration into State Emergency Operations
- Optimized Use of Mitigation Funding for Priority Structures

The following subsections discuss each characteristic in detail.

## IV.A Promotion of Flood Risk Awareness Products

This characteristic intends to measure that the state increases awareness and understanding of flood risks in its communities by participating in the delineation of riverine and coastal flood-prone areas, whenever possible, and disseminating flood risk data and information.

Foundational	Proficient	Advanced
<b>Benchmarks</b>		
<i>In order to qualify for a tier, states must demonstrate that they meet the description in the corresponding column listed below:</i>		
<ul style="list-style-type: none"> <li>The State NFIP Coordinating Office participates in providing FEMA Risk Analysis products to communities</li> </ul>	<ul style="list-style-type: none"> <li>The State NFIP Coordinating Office coordinates/collaborates with other state programs/agencies to utilize data</li> </ul>	<ul style="list-style-type: none"> <li>The State NFIP Coordinating Office provides flood risk data to the public and communities using state-facilitated GIS technology</li> </ul>
<b>Evidence</b>		
<i>States must submit evidence that supports their tier assignment. Examples of such evidence are listed below. All examples are potential options of evidence, unless noted with "PLUS," which signifies that more than one piece of evidence is required:</i>		
<p><b>One of the following:</b></p> <ul style="list-style-type: none"> <li>Meeting minutes/summary (CCO/Open House/Resilience/ or other meeting where products are presented to communities) with the date, location, and attendee list</li> <li>Project documents showing NFIP Coordinator Office representation in mapping projects</li> </ul>	<ul style="list-style-type: none"> <li>Foundational evidence</li> </ul> <p><b>PLUS</b></p> <ul style="list-style-type: none"> <li>A document that includes a list of data (with descriptions) from other state agencies/programs utilized in flood hazard mapping products (i.e. erosion mapping, USGS or NOAA gauges)</li> </ul>	<ul style="list-style-type: none"> <li>Foundational evidence</li> </ul> <p><b>PLUS</b></p> <ul style="list-style-type: none"> <li>The link to the state website that disseminates flood risk data for public consumption</li> </ul>
<b>Submission Instructions</b>		
<i>For the FY2020 grant year, email all documentation to the Regional CAP Coordinator using the following naming convention:</i>		
<p><b>XX_PlanningCoordination_A_Foundational_title</b> (where XX is your state's abbreviation) (where title is the name of the document being submitted, as determined by you)</p> <p>Example: MD_PlanningCoordination_A_Foundational_MeetingNotes</p>	<p><b>XX_PlanningCoordination_A_Proficient_title</b> (where XX is your state's abbreviation) (where title is the name of the document being submitted, as determined by you)</p> <p>Example: MD_PlanningCoordination_A_Proficient_DataList</p>	<p><b>XX_PlanningCoordination_A_Advanced_title</b> (where XX is your state's abbreviation) (where title is the name of the document being submitted, as determined by you)</p> <p>Example: MD_PlanningCoordination_A_Advanced_Website</p>

## IV.B Coordination and Integrated Planning Across the State

This characteristic intends to measure that the State NFIP Coordinating Office is integrated with hazard mitigation planning activities across the state.

Foundational	Proficient	Advanced
<b>Benchmarks</b>		
<i>In order to qualify for a tier, states must demonstrate that they meet the description in the corresponding column listed below:</i>		
<ul style="list-style-type: none"> <li>The State NFIP Coordinating Office reviews/provides information as requested by the State Hazard Mitigation Officer (SHMO) to influence mitigation</li> </ul>	<ul style="list-style-type: none"> <li>The State NFIP Coordinating Office participates in writing and/or /submits recommendations to the State Hazard Mitigation Plan and other related plans integrating floodplain management issues</li> </ul>	<ul style="list-style-type: none"> <li>The state's floodplain management priorities are integrated into other state plans (i.e., State Hazard Mitigation Plans)</li> </ul>
<b>Evidence</b>		
<i>States must submit evidence that supports their tier assignment. Examples of such evidence are listed below. All examples are potential options of evidence, unless noted with "PLUS," which signifies that more than one piece of evidence is required:</i>		
<p><b>One of the following:</b></p> <ul style="list-style-type: none"> <li>Meeting minutes/participant lists</li> <li>Email correspondence that details requests from the SHMO as well as input provided</li> <li>Other evidence of coordination</li> </ul>	<p><b>One of the following:</b></p> <ul style="list-style-type: none"> <li>Evidence of formal input into State Hazard Mitigation Plan, which could be in the format of emails, letters, or feedback submitted</li> <li>A list of meetings attended (with dates) where floodplain management input was provided to a plan</li> <li>A letter from the primary authoring agency of the plan that details the input that they received</li> </ul>	<ul style="list-style-type: none"> <li>The most recent state plan (or opportunity to submit updates) with floodplain management priorities highlighted (i.e. Hazard Mitigation Plan, Comprehensive Emergency Management Plan, Emergency Operations Plan, etc.)</li> </ul>
<b>Submission Instructions</b>		
<i>For the FY2020 grant year, email all documentation to the Regional CAP Coordinator using the following naming convention:</i>		
<p><b>XX_PlanningCoordination_B_Foundational_title</b> (where <b>XX</b> is your state's abbreviation) (where <b>title</b> is the name of the document being submitted, as determined by you)</p> <p>Example: MD_PlanningCoordination_B_Foundational_EmailToSHMO</p>	<p><b>XX_PlanningCoordination_B_Proficient_title</b> (where <b>XX</b> is your state's abbreviation) (where <b>title</b> is the name of the document being submitted, as determined by you)</p> <p>Example: MD_PlanningCoordination_B_Proficient_PlanInputEmail</p>	<p><b>XX_PlanningCoordination_B_Advanced_title</b> (where <b>XX</b> is your state's abbreviation) (where <b>title</b> is the name of the document being submitted, as determined by you)</p> <p>Example: MD_PlanningCoordination_B_Advanced_StateHMP</p>



## IV.C Coordination with Other Federal Agencies (OFAs) (other than FEMA)

This characteristic intends to measure that the State NFIP Coordinating Office is building relationships with OFAs in advance of and outside of flood events.

Foundational	Proficient	Advanced
<b>Benchmarks</b>		
<i>In order to qualify for a tier, states must demonstrate that they meet the description in the corresponding column listed below:</i>		
<ul style="list-style-type: none"> <li>• The State NFIP Coordinating Office coordinates annually with two federal agencies other than FEMA on floodplain management issues</li> </ul>	<ul style="list-style-type: none"> <li>• The State NFIP Coordinating Office coordinates annually with three federal agencies other than FEMA on floodplain management issues</li> </ul>	<ul style="list-style-type: none"> <li>• The State NFIP Coordinating Office coordinates annually with more than three federal agencies other than FEMA on floodplain management issues</li> </ul>
<b>Evidence</b>		
<i>States must submit evidence that supports their tier assignment. An example of such evidence is listed below:</i>		
<ul style="list-style-type: none"> <li>• For each federal agency a State NFIP Coordinating Office coordinates with, submit a document with the following:                             <ul style="list-style-type: none"> <li>– Date of last meeting with the agency</li> <li>– The agency name</li> <li>– Full name, title, and email address of your primary POC</li> <li>– Agenda/content of the meeting</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• For each federal agency a State NFIP Coordinating Office coordinates with, submit a document with the following:                             <ul style="list-style-type: none"> <li>– Date of last meeting with the agency</li> <li>– The agency name</li> <li>– Full name, title, and email address of your primary POC</li> <li>– Agenda/content of the meeting</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• For each federal agency a State NFIP Coordinating Office coordinates with, submit a document with the following:                             <ul style="list-style-type: none"> <li>– Date of last meeting with the agency</li> <li>– The agency name</li> <li>– Full name, title, and email address of your primary POC</li> <li>– Agenda/content of the meeting</li> </ul> </li> </ul>
<b>Submission Instructions</b>		
<i>For the FY2020 grant year, email all documentation to the Regional CAP Coordinator using the following naming convention:</i>		
<p><b>XX_PlanningCoordination_C_Foundational_title</b>                      (where <b>XX</b> is your state's abbreviation)                      (where <b>title</b> is the name of the document being submitted, as determined by you)</p> <p><i>Example:</i>                      MD_PlanningCoordination_C_Foundational_FederalCoordination</p>	<p><b>XX_PlanningCoordination_C_Proficient_title</b>                      (where <b>XX</b> is your state's abbreviation)                      (where <b>title</b> is the name of the document being submitted, as determined by you)</p> <p><i>Example:</i>                      MD_PlanningCoordination_C_Proficient_FederalCoordination</p>	<p><b>XX_PlanningCoordination_C_Advanced_title</b>                      (where <b>XX</b> is your state's abbreviation)                      (where <b>title</b> is the name of the document being submitted, as determined by you)</p> <p><i>Example:</i>                      MD_PlanningCoordination_C_Advanced_FederalCoordination</p>

## IV.D Coordination with Insurance Professionals

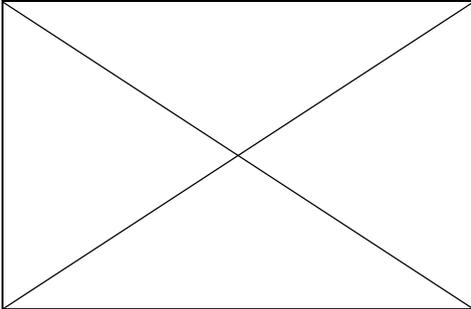
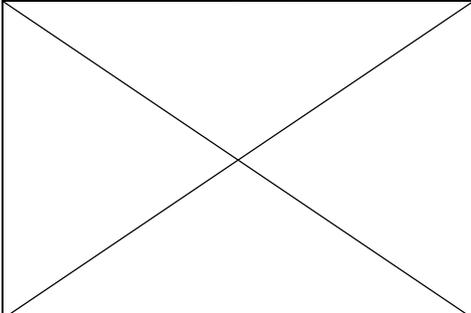
This characteristic intends to measure that the State NFIP Coordinating Office encourages and supports the flood insurance aspects of the NFIP within the state.

Foundational	Proficient	Advanced
<b>Benchmarks</b>		
<i>In order to qualify for a tier, states must demonstrate that they meet the description in the corresponding column listed below:</i>		
<ul style="list-style-type: none"> <li>The State NFIP Coordinating Office actively collaborates with Regional Flood Insurance Liaison (RFIL)</li> </ul>	<ul style="list-style-type: none"> <li>The State NFIP Coordinating Office collaborates with insurance professionals on joint flood insurance initiatives or actively engages in insurance agent training and professional development at least once per year for the last three years.</li> </ul>	<ul style="list-style-type: none"> <li>The State NFIP Coordinating Office collaborates on a statewide initiative with state flood insurance commissioner at least once per year for the last three years.</li> </ul>
<b>Evidence</b>		
<i>States must submit evidence that supports their tier assignment. Examples of such evidence are listed below. All examples are potential options of evidence, unless noted with "PLUS," which signifies that more than one piece of evidence is required:</i>		
<ul style="list-style-type: none"> <li>Documentation of state-led collaboration with the RFIL (emails, call logs, meeting minutes, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>Foundational evidence</li> <li><b>PLUS</b> one or more of the following:               <ul style="list-style-type: none"> <li>Insurance agent training records</li> <li>Meeting minutes/summaries and dates of collaborative efforts with insurance professionals, including organization name and contact information</li> <li>Deliverables, pamphlets, or materials developed in conjunction with insurance professionals</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Foundational evidence</li> <li><b>PLUS</b> one or more of the following:               <ul style="list-style-type: none"> <li>Meeting minutes/summaries and dates</li> <li>Deliverables developed jointly</li> <li>Email correspondence on the initiative</li> <li>Letter from the state insurance commissioner on the initiative, which details the collaborative effort and state NFIP role</li> <li>Deliverables, pamphlets, or materials developed in coordination with state insurance commissioner</li> </ul> </li> </ul>
<b>Submission Instructions</b>		
<i>For the FY2020 grant year, email all documentation should be submitted via email to the Regional CAP Coordinator using the following naming convention:</i>		
<p><b>XX_PlanningCoordination_D_Foundational_title</b> (where <b>XX</b> is your state's abbreviation) (where <b>title</b> is the name of the document being submitted, as determined by you)</p> <p>Example: MD_PlanningCoordination_D_Foundational_RFIL</p>	<p><b>XX_PlanningCoordination_D_Proficient_title</b> (where <b>XX</b> is your state's abbreviation) (where <b>title</b> is the name of the document being submitted, as determined by you)</p> <p>Example: MD_PlanningCoordination_D_Proficient_Coordination</p>	<p><b>XX_PlanningCoordination_D_Advanced_title</b> (where <b>XX</b> is your state's abbreviation) (where <b>title</b> is the name of the document being submitted, as determined by you)</p> <p>Example: MD_PlanningCoordination_D_Advanced_Coordination</p>



## IV.E Coordination and Integration into State Emergency Operations

This characteristic intends to measure that the State NFIP Coordinating Office understands if/when/how it fits into the state's Emergency Management Center (EOC) operations and procedures.

Foundational	Proficient	Advanced
<b>Benchmarks</b>		
<i>In order to qualify for a tier, states must demonstrate that they meet the description in the corresponding column listed below:</i>		
<p><i>There is no Foundational benchmark for this characteristic</i></p>	<ul style="list-style-type: none"> <li>• The State NFIP Coordinating Office has regular coordination with the Emergency Management Office (EMO) and collaborates in a post-disaster environment</li> </ul>	<ul style="list-style-type: none"> <li>• State floodplain management participates at the EOC, is used as a resource, and/or provides subject matter expertise as part of emergency operations or post-disaster support</li> </ul>
<b>Evidence</b>		
<i>States must submit evidence that supports their tier assignment. Examples of such evidence are listed below. All examples are potential options of evidence, unless noted with "PLUS," which signifies that more than one piece of evidence is required:</i>		
	<p><b>One of the following:</b></p> <ul style="list-style-type: none"> <li>• Meeting minutes/summary and a participant list</li> <li>• Email correspondence</li> <li>• Other documented evidence of coordination with EMO, for example a signed letter from someone at the EMO which details the collaboration with the State NFIP Coordinating Office</li> </ul>	<ul style="list-style-type: none"> <li>• Documentation of a designated position in the EOC (for example: a plan/annex that assigns the role, screenshot from WebEOC, etc.)</li> </ul>
<b>Submission Instructions</b>		
<i>For the FY2020 grant year, email all documentation to the Regional CAP Coordinator using the following naming convention:</i>		
	<p><b>XX_PlanningCoordination_E_Proficient_title</b>  <i>((where XX is your state's abbreviation)            (where title is the name of the document being submitted, as determined by you)</i></p> <p><i>Example:</i>            MD_PlanningCoordination_E_Proficient_ParticipantList</p>	<p><b>XX_PlanningCoordination_E_Advanced_title</b>  <i>((where XX is your state's abbreviation)            (where title is the name of the document being submitted, as determined by you)</i></p> <p><i>Example:</i>            MD_PlanningCoordination_E_Advanced_EOCdocumentation</p>

## IV.F Optimized Use of Mitigation Funding for Priority Structures

This characteristic intends to measure that funding is prioritized and used to mitigate priority structures impacted by flooding in the state.

Foundational	Proficient	Advanced
<b>Benchmarks</b>		
<i>In order to qualify for a tier, states must demonstrate that they meet the description in the corresponding column listed below:</i>		
There is no Foundational benchmark for this characteristic	There is no Proficient benchmark for this characteristic	<ul style="list-style-type: none"> <li>The State NFIP Coordinating Office participates with the SHMO in activities to mitigate state priority properties, such as substantially damaged structures, repetitive loss/severe repetitive loss (RL/SRL) properties, floodway structures, violations, compliance and mitigation of state-owned structures, etc., and creates annual reports of these mitigation activities</li> </ul>
<b>Evidence</b>		
<i>States must submit evidence that supports their tier assignment. An examples of such evidence is listed below. All examples are potential options of evidence, unless noted with "PLUS," which signifies that more than one piece of evidence is required:</i>		
X	X	<ul style="list-style-type: none"> <li>Demonstration that grants (from FEMA, and from other relevant grant sources) are mitigating priority flood prone properties or areas; for example:               <ul style="list-style-type: none"> <li>A table listing the state's current priority properties, and any active/recently completed grants relevant to such properties.</li> <li>For each relevant grant, a recent quarterly report or the grant's SOW to support the grant linkage to priority properties or areas.</li> </ul> </li> </ul> <p><b>PLUS</b></p> <ul style="list-style-type: none"> <li>Annual report of the mitigation activities</li> </ul>
<b>Submission Instructions</b>		
<i>For the FY2020 grant year, email all documentation to the Regional CAP Coordinator using the following naming convention:</i>		
X	X	<p><b>XX_PlanningCoordination_F_Advanced_title</b>            (where <b>XX</b> is your state's abbreviation)            (where <b>title</b> is the name of the document being submitted, as determined by you)</p> <p><i>Example:</i>            MD_PlanningCoordination_F_Advanced_MitFund            ing</p>

## Appendix A. SUMMARY TABLE OF CHARACTERISTICS AND BENCHMARKS

Category and Intent	Characteristic	FOUNDATIONAL Benchmark	PROFICIENT Benchmark	ADVANCED Benchmark
<b>CAPACITY</b>				
States ensure minimum NFIP requirements are met and enforced. States meet grant requirements of 2 CFR 200 and the NOFO.	<b>State Land Use Authority and Enforcement for Local Communities</b>	Regulations meet minimum standards	Enforcement sent to FEMA	Enforcement is state-led
	<b>State Land Use Authority and Enforcement for State-Owned Properties</b>	Regulations meet minimum standards	Enforcement sent to FEMA	Enforcement is state-led
	<b>Financial Grant Management</b>	≤30% deobligations	≤15% deobligations	No deobligations
	<b>Administrative Grant Management</b>	No more than 3 late submissions and extensions ≤9 months	No more than 1 late submission and extensions ≤3 months in any one year	All on-time documents and no more than 1 extension (<3 months) over three years
	<b>Ability to Overmatch</b>	Equal to 25% as required by the grant	>25%	>50%
<b>CAPABILITY</b>				
States enhance professional development of their staff and communicate and train communities on floodplain management topics.	<b>Investment in Professional Development</b>	Education and/or experience in floodplain management	8 hours of training per FTE covered by CAP grant	8 hours of training + advanced degree/certification per FTE covered by CAP grant
	<b>Communication with Communities on NFIP Topics</b>	Communication occurs only within standard CAP activities	Communication to all communities at least quarterly	Quarterly communications + communication plan (with evidence of implementation)
	<b>Training Variety</b>	2 Different Topics	3-4 Different Topics	≥5 Different Topics
	<b>Process for Reviewing and Improving Model Floodplain Management Regulations</b>	Provide model ordinances that meet minimum standards	Review and update model ordinances on five-year cycle	Review and update model ordinances on three-year cycle + integrate higher standards
	<b>Substantial Damage Program</b>	Statewide plan under development	Statewide plan in place	Statewide plan in place and targeted communities also have plans in place
<b>PERFORMANCE MEASURES</b>				
States identify performance measure targets that encompass floodplain management activities including CAV, CAC, GTA, Training, and Outreach to build local capability for managing the floodplain and reducing risk.	<b>Communities Engaged</b>	Meets "Expected" Target	<i>No Proficient requirement</i>	Meets "Excellence" Target
	<b>Higher Standards Adoption</b> <i>(not yet implemented)</i>	<i>Meets "Expected" Target</i>	<i>No Proficient requirement</i>	<i>Meets "Excellence" Target</i>
	<b>Community Compliance Improvement</b> <i>(not yet implemented)</i>	<i>Meets "Expected" Target</i>	<i>No Proficient requirement</i>	<i>Meets "Excellence" Target</i>
	<b>Percent of Participating Communities</b>	<i>No Foundational requirement</i>	≥80% mapped communities participate or non-participating communities are understood and engaged	≥90% mapped communities participate or non-participating communities are understood and engaged with an action plan in place
<b>PLANNING AND COORDINATION</b>				
States develop a working relationship with SHMO and other state and Federal Offices that have impact on floodplain management to create a coordinated effort for communities before, during and after disasters.	<b>Promotion of Flood Risk Awareness Products</b>	Provide FEMA Risk Analysis products to communities	Utilize data from other agencies	Delivers data via state-facilitated GIS technology
	<b>Coordination and Integrated Planning across the State</b>	Coordinates with SHMO	Submits formal input on State Hazard Mitigation Plan	Floodplain management targets included in State Hazard Mitigation Plan
	<b>Coordination with Other Federal Agencies (OFAs)</b>	Coordinate with 2 agencies	Coordinate with 3 agencies	Coordinate with >3 agencies
	<b>Coordination with Insurance Professionals</b>	State-led RIFL coordination	Agent training or collaboration	Collaborate on statewide initiative with state flood insurance commissioner
	<b>Coordination and Integration into State Emergency Operations</b>	<i>No Foundational requirement</i>	Coordinate with EMO	Integrated into emergency operations
	<b>Optimized use of Mitigation Funding for Priority Structures</b>	<i>No Foundational requirement</i>	<i>No Proficient requirement</i>	Floodplain management targets funded for mitigation

## **Appendix B. GLOSSARY**

**CAC:** Community Assistance Contacts

**CAP-SSSE:** Community Assistance Program – State Support Services Element

**CAV:** Community Assistance Visits

**CEC:** Continuing education course

**CEU:** Continuing education unit

**CFM:** Certified Floodplain Manager

**CIS:** Community Information System

**CRS:** Community Rating System (CRS)

**EMO:** Emergency Management Office

**EO:** Executive Order

**EOC:** Emergency Operations Center

**FEMA:** Federal Emergency Management Agency

**FTE:** Full-time equivalent

**GIS:** Geographic Information System

**HMP:** Hazard Mitigation Plan

**ND Grants:** Non-disaster grants

**NFIP:** National Flood Insurance Program

**NOAA:** National Oceanic and Atmospheric Administration

**NOFO:** Notice of Funding Opportunity

**OFA:** Other Federal Agency

**PARS:** Payment and Reporting System

**POC:** Point of contact

**PoP:** Period of Performance

**RFIL:** Regional Flood Insurance Liaison

**RL/SRL:** Repetitive loss/severe repetitive loss

**SD:** Substantial damage

**SHMO:** State Hazard Mitigation Officer

**SOP:** Standard operating procedure

**SOW:** Statement of Work

**TSF:** Tiered State Framework

**USGS:** United States Geological Survey

