



## **APPENDIX J. NYS DHSES PLANNING STANDARDS**

This appendix includes the 2017 NYS DHSES planning standards and guidelines for hazard mitigation planning.



## New York State Hazard Mitigation Planning Standards

Congratulations on taking the first steps to create or update a multi-hazard mitigation plan for your community! Based on New York State's disaster history, the New York State Division of Homeland Security and Emergency Services (NYS DHSES) has developed the following mitigation planning standards. While we recommend incorporation of these standards into all mitigation plans, these are required actions for any mitigation plan developed with funds administered by NYS DHSES.

The goal of both NYS DHSES and FEMA is that all jurisdictions develop robust mitigation plans and tangible mitigation actions that will contribute to long-term risk reduction. These requirements are intended to improve the quality of hazard mitigation plans and encourage the development of the most appropriate and effective mitigation projects for your community. It is recognized that many jurisdictions have inherent constraints and certain information may be difficult to provide. NYS DHSES and FEMA will work with you throughout the entire planning process to ensure the successful development of your community's hazard mitigation plan.

There are a multitude of resources that exist to provide guidance and support throughout the planning process, developed by Federal and State agencies, as well as private and research based groups:

The **NYS Hazard Mitigation Planning Standards Guide** provides supplemental guidance and information to support efforts to meet the NYS Planning Standards. This will be made available online, and is included as an attachment.

The **2013 Local Mitigation Planning Handbook** is the official guide for local governments to develop, update and implement local mitigation plans:

<https://www.fema.gov/media-library/assets/documents/31598?id=7209>

The **2011 Local Mitigation Plan Review Guide** provides an overview of the tool that FEMA and NYS DHSES will use to revise plans:

<https://www.fema.gov/media-library/assets/documents/23194>

**Beyond the Basics: Best Practices in Local Mitigation Planning** is a website developed by the University of North Carolina which expands on FEMA's Handbook and features numerous examples and best practices from resources across the country:

<http://mitigationguide.org/>

We urge you to utilize the information available and to contact us so that we may direct you to additional resources and provide you with the most comprehensive technical assistance possible.

For questions and comments, please call our offices at 518-292-2304.

Additional contact information will be provided to sub-recipients for more direct assistance.

**Please note:**

**Jurisdiction** is used to describe all government entities within the boundaries set forth in the Multi-Jurisdictional Plan (typically County-wide), including the County itself, as well as cities, towns, villages and tribal entities.

**Special Flood Hazard Area (SFHA)** is defined as the area that will be inundated by the flood event having a 1-percent change of being equaled or exceeded in a given year (also known as the 100-year flood event).

---

**1. Establish Jurisdictional Teams**

*Plans developed with the participation of the widest range of organizations and stakeholders personally familiar with past damages to local infrastructure are likely to contain valuable, relevant information that will lead to a comprehensive plan and feasible projects.*

Jurisdictions must invite key stakeholders at the start of and throughout the planning process.

- The plan must document how stakeholders were invited to participate at each phase of the planning process, and provide a summary of feedback.

**2. Assess Critical Facilities**

*Critical facilities must remain accessible and functional before, during and after disasters to meet the jurisdictions Continuity of Government (COG) and Continuity of Operations (COOP) standards, and to support important emergency, government and sheltering functions.*

Jurisdictions must identify all critical facilities, assess vulnerabilities and ensure protection to a 500-year flood event. Critical facilities located in an SFHA, or having ever sustained previous flooding, must be protected to the 500-year flood event, or worst case scenario.

- The plan must document the name of facility, type of facility, jurisdictional location, and exposure to a 100- and 500-year event.
- The plan must document that critical facilities are protected to the 500-year flood event, or worst damage scenario. For those that do not meet this level of protection, the plan must include an action to meet this criteria, or explain why it is not feasible to do so. (See State Standard 7 for additional requirements related to project identification.)

**3. Plan for Displaced Residents**

*Intermediate and long-term housing options must be available to relocate displaced residents to maintain post-disaster social and economic stability.*

Jurisdictions containing an SFHA must identify potential sites that are compliant with the NYS Uniform Fire Prevention and Building Code (with first flood elevation placed no less than 2' above the Base Flood Elevation) for the placement of temporary housing units for residents displaced by disaster; and potential sites within the jurisdiction suitable for relocating houses out of the floodplain, or building new houses once properties in the floodplain are razed.

- The plan must document the location of viable sites, and include a letter from the local floodplain administrator certifying viability or listing any actions required to ensure conformance.

#### **4. Plan for Evacuation and Sheltering Needs**

*Evacuation and sheltering measures must be in place and available for public awareness to protect residents and mitigate risk, stress and personal hardships during hazard events.*

Jurisdictions must identify routes and procedures to evacuate citizens prior to and during an event, and identify shelters for evacuated citizens. Provisions must be included for a range of medical needs, accommodation for pets, and compliance with the Americans with Disabilities Act ([www.ada.gov](http://www.ada.gov)).

- The plan must document (or refer back to such components in existing valid plan):
  - ♦ Evacuation routes and procedures;
  - ♦ Location of shelters (outside of the SFHA);
  - ♦ Specific information about how these plans are accessible and available to the public, or include the related narrative from those plans in an appendix.

#### **5. Document Past Mitigation Accomplishments**

*Past mitigation actions provide a context for the jurisdictions' projects, and can help to evaluate accuracy of assumptions to support future mitigation planning.*

Jurisdictions must identify mitigation projects completed since the approval of the previous mitigation plan (or within the last five years), regardless of whether the project was included in the previous plan or the project's funding source.

- The plan must document the original problem and estimated annual damages, the solution (project), the cost, the level of protection and its success since implementation.

#### **6. Include Jurisdictional Annexes**

*Jurisdictional annexes provide a unique, stand-alone guide to mitigation planning for each jurisdiction.*

The plan must be organized so that there is an annex for every jurisdiction within the county's borders, including the County.

- The plan must include a table in the Introduction section clearly identifying all jurisdictions and their level of participation.
- Each participating jurisdictional annex must include the following (at a minimum) and non-participating jurisdictions must include a cover sheet and should include as much information as is available:
  - ♦ Contact Information;
  - ♦ Jurisdiction Profile;
  - ♦ Hazard Identification (specific to the jurisdiction);
  - ♦ Hazard Event History;
  - ♦ National Flood Insurance Program (NFIP) Summary (to meet Federal Standards);
  - ♦ Critical Facilities Information (to meet State Standard 2);
  - ♦ Jurisdiction/public identified vulnerabilities;
  - ♦ Additional public involvement;
  - ♦ Capabilities Assessment;
  - ♦ Mitigation Strategy:
    - All identified previous mitigation activities with current status;
    - Previous mitigation activities completed (to meet State Standard 5);
    - All proposed mitigation activities (both new and carried forward, to meet State Standard 7);
    - Action Worksheets for a minimum of two (2) proposed mitigation activities (to meet State Standard 7).

## 7. Develop Mitigation Actions

*Projects that are well developed and documented in one place are more quickly identifiable for selection when grants become available, making implementation that much more likely.*

Within each jurisdictional annex, jurisdictions must develop projects to include all information requested in the NYS DHSES Proposed Project Tables and provide a minimum of two (2) worksheets for the jurisdiction's highest priority projects.

- The plan must document all mitigation projects that have reasonable potential to be accomplished within the lifespan of the plan (five years) to include all information requested in the NYS DHSES Proposed Project Tables.
- The plan must include at least two (2) NYS DHSES Action Worksheet for the jurisdiction's highest priority projects. For jurisdictions containing an SFHA, one (1) of these Action Worksheets must be for a project that addresses flooding.

## 8. Identify Funding Sources

*Identifying strategic funding sources is integral to successful coordination and implementation of mitigation actions.*

- The plan must include a list of potential local, State and Federal funding sources.

## 9. Plan for Climate Change

*Acknowledging and planning for climate change protects residents, avoids or reduces damage to property and public infrastructure, and reduces personal hardship.*

The county and its municipalities must assess how climate change may affect vulnerability to the increased/decreased frequency of occurrence and/or severity of hazards due to climate change.

- The plan must document the assessment how climate change may affect the following hazards (at a minimum): flooding, wildfire, drought and extreme temperatures.
- The plan must document strategies and/or projects to address the above hazards as they specifically relate to climate change.
- For coastal jurisdictions, the plan must discuss sea level rise and its potential impacts.

## 10. Post Draft Plan Online

*Allowing the public to comment on the draft plan increases awareness about how mitigation saves lives and reduces risk, and allows a final opportunity for public input.*

The public must have an opportunity to view and comment on the draft plan prior to submittal.

- The draft plan must be posted in full (with the exception of discretionary sensitive information) on an existing county/jurisdiction website, or one created for the purpose of soliciting comments, for 30 days or the time prescribed by local law, whichever is greater. The website must clearly identify how the public can comment on the plan, to include either specific contact information to send comments or a user-friendly form or survey.

## After NYS DHSES and FEMA Approval

- Once designated Approvable Pending Adoption (APA) by FEMA, the final plan must be placed on the same website (cited above) in its entirety (with the exception of discretionary sensitive information).
- Final payment will occur only after 50% of the participating jurisdictions have adopted the FEMA-approved plan and provided adoption resolutions to NYS DHSES. For county-led hazard mitigation planning efforts, the county must be one of the adopting jurisdictions.

The chart below shows the requirements as they appear on the plan review tool used by NYS DHSES and FEMA Region II to determine whether or not a submitted plan meets federal and state requirements.

<b>1. REGULATION CHECKLIST</b>	<b>Location in Plan</b>	<b>Met</b>	<b>Not Met</b>
<b>Regulation (44 CFR 201.6 Local Mitigation Plans)</b>	(section and/or page number)		
<b>ELEMENT F. ADDITIONAL STATE REQUIREMENTS – NYS DHSES HAZARD MITIGATION PLANNING STANDARDS.</b>			
<b>These are required actions for plans developed with NYS DHSES-administered funds.</b>			
F1. Does the plan document how stakeholders were invited to participate at each phase of the planning process and provide a summary of feedback?			
F2. Do jurisdictions identify critical facilities, assess vulnerabilities and ensure protection to a 500-year flood event or worst case scenario?			
F3. Do jurisdictions containing an SFHA identify: <ul style="list-style-type: none"> <li>a. potential sites for the placement of temporary housing units for residents displaced by disaster; and</li> <li>b. potential sites within the jurisdiction suitable for relocating houses out of the floodplain, or building new houses once properties in the floodplain are razed?</li> </ul>			
F4. Do jurisdictions identify: <ul style="list-style-type: none"> <li>a. routes and procedures to evacuate citizens prior to and during an event; and</li> <li>b. shelters for evacuated citizens, to include provisions for a range of medical needs, accommodation for pets, and compliance with the Americans with Disabilities Act (<a href="http://www.ada.gov">www.ada.gov</a>)?</li> </ul>			
F5. Do jurisdictions identify mitigation projects completed since the approval of the previous mitigation plan (or within the last five years)?			
F6. Does the plan include an annex for every jurisdiction within the County's boundaries?			
F7. Within each jurisdictional annex, are: <ul style="list-style-type: none"> <li>a. projects developed in accordance with the NYS DHSES Proposed Projects Table; and</li> <li>b. two (2) NYS DHSES Action Worksheets provided?</li> </ul>			
F8. Does the plan include a list of potential funding sources?			
F9. Does the plan assess how climate change may affect vulnerability to hazards, propose actions to address this, and discuss sea level rise (if applicable)?			
F10. Was the draft plan posted for public comment?			
<p><b>Note:</b> The applicant is required to address the 2016 NYS DHSES Hazard Mitigation Planning Standards as required actions for a hazard mitigation plan developed with funds administered by NYS DHSES.</p> <p><b><u>ELEMENT F: REQUIRED REVISIONS</u></b></p> <p><b><u>Please see opportunities for improvement</u></b></p>			

# New York State

## Hazard Mitigation Planning Standards Guide

Prepared as supplemental guidance to support the development of Multi-jurisdictional Hazard Mitigation Plans to meet the New York State Planning Standards.

**Please note:**

***Jurisdiction*** is used to describe all government entities within the boundaries set forth in the Multi-Jurisdictional Plan (typically County-wide), including the County itself, as well as cities, towns, villages and tribal entities.

***Special Flood Hazard Area (SFHA)*** is defined as the area that will be inundated by the flood event having a 1-percent change of being equaled or exceeded in a given year (also known as the 100-year flood event).

## **1. Establish Jurisdictional Teams**

*Plans developed with the participation of the widest range of organizations and stakeholders personally familiar with past damages to local infrastructure are likely to contain valuable, relevant information that will lead to a comprehensive plan and feasible projects.*

During initial stages of development, jurisdictions should identify organizations and key stakeholders in order to develop individual jurisdictional teams. Once jurisdictional teams are established, all members should be invited at every stage of the process.

Jurisdictions must invite key stakeholders when initiating the planning process and identifying mitigation strategies. At a minimum (if applicable), this should include:

- County Hazard Mitigation Coordinator
- County Floodplain Administrator (or person acting as such)
- County Emergency Managers
- County Planners
- County GIS staff
- County Soil & Water Conservation Districts
- Elected and executive officials
- Regional & Metropolitan (Transportation) Planning Organizations
- Statewide/Local Watershed Commissions
- Educational Representation (Schools/Universities)
- Economic Development/Chamber of Commerce
- Local Hazard Mitigation Coordinators and Floodplain Managers
- Local Code Enforcement Officials
- First Responder Organizations
- Local Emergency Planning Committees (LEPC)
- Local Emergency Management
- Local Planners and planning consultants
- Local Engineers and engineering consultants
- Local Public Works or Highway Superintendents
- Health Care
- Neighboring Counties
- Utilities (gas, electric, water)

The plan must present information to show that such persons were included in the process. Examples:

- Copies of electronic or hard copy meeting invitations.
- A list of persons invited, their position, the jurisdiction represented and if they participated.
- Meeting sign-in sheets, minutes or other documentation showing specific activity in which the identified persons participated, and how their input was included in the plan.

Plans developed with the participation of a wide range of organizations and stakeholders are the most likely to contain viable, innovative or useful projects and project data, as they each bring unique perspectives to the table:

- *Elected and executive officials* have an understanding of overall jurisdiction needs and are able to communicate how the mitigation plan can support social, economic, or environmental conditions.
- *Local planners* can help the jurisdiction understand past, current, and future jurisdiction development trends, policies or activities that affect development, how development affects vulnerability to hazards, and how hazard mitigation can be incorporated into various planning mechanisms.
- *Emergency Managers and first responders* have information on past occurrences and existing preparedness measures, and have a direct line of communication with the NYS DHSES.
- *Geographic Information System (GIS) specialists* can analyze and map data to support the planning process and communicate complex information, such as the locations of assets at risk in hazard prone areas and estimates of damage for a particular disaster scenario. This might be done in consultation with County GIS staff.
- *Floodplain administrators* provide information on local flood hazard maps, floodplain ordinance, repetitive loss properties, and actions to continue compliance with the National Flood Insurance Program and reduce flood losses.
- *Public works staff* can help identify current or projected problems for the jurisdictions' infrastructure that can be addressed through capital improvements supported by the mitigation plan.

For more guidance on stakeholder identification, see:

[Mitigation Guide - Worksheet 2.1](#)

The following table provides an example of how the plan might document the identification and invitation of key stakeholders for each jurisdiction.

*Insert Jurisdiction's Name Here*

**Individuals Notified of the Mitigation Plan Development and Invited to Participate**

Local Jurisdiction Role/Position	Name of Person Invited	Email of Person Invited	Date of Invitation	Method of Invitation	Agreed to participate? yes/no	Feedback Provided? Yes/no
Land Use/ Jurisdiction Planner						
Emergency Manager						
Floodplain Manager/ Administrator						
Public Works Director/ City Engineer						
Building Code Official						
Fiscal/Budget Officer						
Elected Officials						
Local Hospital						
Major University						
Significant Business						
Neighboring County 1						
Neighboring County 2						
Tribal Nation						
<b>Example</b>	George Washington	<a href="mailto:gwashington@town.gov">gwashington@town.gov</a>	12/12/14	Email and letter sent	Yes	Yes

## **2. Assess Critical Facilities**

*Critical facilities must remain accessible and functional before, during and after disasters to meet the jurisdiction's Continuity of Government (COG) and Continuity of Operations (COOP) standards, and to support emergency, government and sheltering functions.*

### ***Identifying Critical Facilities: Federal Guidelines (FEMA)***

FEMA defines a critical facility as one that provides services and functions essential to a community, especially during and after a disaster. More information can be found on the agency web site at <https://www.fema.gov/critical-facility>. Examples of critical facilities include:

- Police stations
- Fire stations
- Critical vehicle and equipment storage facilities
- Emergency Operations Centers
- Utilities and power generating stations
- Communication centers
- Medical facilities, including hospitals, nursing homes, blood banks, and health care facilities
- Schools and day care centers, especially if designated as a disaster shelter
- Public and private utility facilities
- Drinking water and wastewater treatment plants
- Drug and alcohol treatment custodial care programs
- Homeless shelters
- Tier 2 facilities: Structures or facilities that produce, use, or store highly volatile, flammable, explosive, toxic, and/or water-reactive materials; facilities designed for bulk storage of chemicals, petrochemicals, hazardous or toxic substances, or floatable materials (as defined by NYS DEC)

Jurisdictions may also want to analyze risks to major employers and assess the economic impact of prolonged down-time due to disasters.

### ***Identifying Critical Facilities: State Guidelines (NYS DEC and NYS DHSES)***

New York Department of Environmental Conservation (DEC) Statute 6 CRR-NY 502.4 sets forth floodplain management criteria for State projects located in flood hazard areas. The law states that no such projects related to critical facilities shall be undertaken in a Special Flood Hazard Area (SFHA) unless constructed according to specific mitigation specifications, including being raised 2' above the Base Flood Elevation (BFE). This statute is outlined at <http://tinyurl.com/6-CRR-NY-502-4>.

### ***Protecting Critical Facilities***

In assessing vulnerabilities to critical facilities, jurisdictions must identify exposure to hazards and propose methods to mitigate risks. This can be accomplished through a table, or with GIS overlay maps specific to hazards of concern.

FEMA provides the following recommendations for protecting infrastructure and critical facilities from damage:

- Incorporate hazard mitigation principles into all aspects of publicly-funded development;
- Incorporate mitigation retrofits for public facilities into the annual capital improvements program;
- Engineer or retrofit roads and bridges to withstand hazards and ensure access;
- Relocate or underground electrical infrastructure;
- Design and build water tanks or wells for use in times of potable water interruption;
- Install quick-connect emergency generator hook-ups for critical facilities.

While all vulnerabilities should be assessed and documented, the State places a high priority on exposure to flooding. Critical facilities located in an SFHA, or having ever sustained previous flooding, must be protected to the 500-year flood even, or worst damage scenario. For those that do not meet this criteria, the jurisdiction must identify an action to achieve this level of protection.

For at-risk facilities that are not owned by or the responsibility of the jurisdiction, the jurisdiction should include an action to work with the responsible party to develop a mitigation strategy

### **3. Plan for Displaced Residents**

*Intermediate and long-term housing options must be available for relocating displaced residents and maintain post-disaster social and economic stability.*

#### ***Intermediate Needs – Temporary Housing***

The jurisdiction must identify sites for the placement of temporary housing units to house residents displaced by disaster. While sites can be coordinated county wide, it is critical that each jurisdiction identify a site. Residents may be accommodated by a temporary housing location that is outside of the jurisdiction in which they live as long as mutual aid agreements between municipalities are in place.

Examples of potential locations include existing mobile home parks; recreational vehicle/camping grounds; public or private land or parkland; or a site easily convertible for the placement of temporary housing units. Such sites must:

- Be compliant with the New York State Uniform Fire Prevention and Building Code <http://www.dos.ny.gov/cns/lq03.htm>;
- Be constructed with a first-floor elevation placed no less than 2' above the Base Flood Elevation (i.e., of the 100-year flood level);
- If located in a neighboring jurisdiction, include discussion about plans with residents and ensure procedures are consistent with local mitigation and emergency plans, recovery plans, evacuation routes, etc.;
- Consider water, wastewater, electrical and firefighting accessibility.

#### ***Long-term Needs – Permanent Housing***

Structures located in the SFHA may need to be relocated, or new properties must be built once severely damaged properties are razed. Jurisdictions must identify all suitable sites currently owned by the jurisdiction, and potential sites under private ownership that meet applicable local zoning requirements and floodplain laws.

Consideration should be given to allowing residents of a given jurisdiction to continue to reside there. However, discussion of this matter may need to include site development elsewhere if such available locations are not available in a given jurisdiction.

#### **4. Plan for Evacuation Needs and Sheltering**

*Evacuation and sheltering measures must be in place and available for public awareness to protect residents and mitigate risk, stress and personal hardships during hazard events*

A jurisdiction's existing Comprehensive Emergency Management Plan (CEMP) or other plans, policies and procedures may outline evacuation routes and procedures to remove citizens from a vulnerable location prior to and during an incident. If plans for evacuation and sheltering are already in place, the mitigation planning jurisdiction should analyze and update these materials as needed. The plan must refer to this information and include the URL of where it can be found on the county web site.

If such plans do not exist, they must be developed and:

- Identify evacuation routes and how this information is accessible to the public;
- Identify shelters for evacuated citizens and how this information is accessible to the public leading up to and during an incident;
- Explain provisions available to address medical needs, access and functional needs, accommodation for pets, and compliance with the Americans with Disabilities Act (see [www.ada.gov](http://www.ada.gov));
- Outline pre-disaster actions required to make evacuation and shelter plans viable;
- Document evidence of coordination with adjoining jurisdictions (if applicable).

The plan should address jurisdictions with residential neighborhoods and critical facilities that have been flooded, inundated, or isolated by water.

## 5. Document Past Mitigation Accomplishments

Past mitigation actions provide a context for the jurisdiction's projects, and can help to evaluate accuracy of assumptions to support future mitigation planning.

FEMA Element D2 (see FEMA Local Mitigation Plan Review Guide, page 27) requires a progress update on local mitigation efforts and changes in priorities since the approval of the previous plan. NYS DHSES requirement F5 requires the documentation of local mitigation efforts and accomplishments within the past five (5) years for new plans as well as updates, regardless of inclusion in the previous plan, and regardless of funding source.

The goal is to provide a context for the jurisdictions' projects, act as a source of ideas for mitigation projects and evaluate the accuracy of assumptions and engineering solutions to inform future projects, and to support future mitigation planning and its coordination with other planning, zoning and environmental procedures within the jurisdiction.

It is recommended that a table be included within each jurisdictional annex to convey this information.

The following table provides an example of how the plan might include this information within each jurisdictional annex:

*Insert Jurisdiction's Name Here*  
**Past Mitigation Accomplishments**

Proj #	Project Name	Hazard Addressed	Brief Summary of the Original Problem and the Solution (Project)	Evaluation of Success	
				Cost	
				Level of Protection	
				Damages Avoided; Evidence of Success	
				Cost	
				Level of Protection	
				Damages Avoided; Evidence of Success	
				Cost	
				Level of Protection	
				Damages Avoided; Evidence of Success	

Other resources and ideas for documentation can be found at: [http://mitigationguide.org/wp-content/uploads/2013/05/Worksheet-7.1.pdf?sm\\_au=iVVnVbMZWR TNJKqj](http://mitigationguide.org/wp-content/uploads/2013/05/Worksheet-7.1.pdf?sm_au=iVVnVbMZWR TNJKqj).

## 6. Include Jurisdictional Annexes

*Jurisdictional annexes provide a unique, stand-alone guide to mitigation planning for each jurisdiction.*

Multi-jurisdictional Hazard Mitigation Plans allow certain elements of the planning process to be streamlined and shared, taking some of the burden of effort and cost off of each jurisdiction. The goal is to develop a shared portion of the plan that relates to the multiple jurisdictions therein from a county wide perspective, while also developing individual jurisdictional annexes to identify the unique local risks and mitigation strategies.

### **Identify Jurisdictional Participation**

Every jurisdiction within the county's borders should be included in this multi-jurisdictional plan, including the county itself. Efforts to participate should be included for all jurisdictions, including those that did not fully participate and are therefore not seeking FEMA/NYS DHSES approval at the time of submittal.

The plan must clearly identify all jurisdictions and whether or not they are seeking approval for adoption from FEMA and NYS DHSES.

The following table provides an example of how the plan might include this information in the introduction section:

### **XXX County Jurisdictions**

<b>Jurisdiction</b>	Letter of Commitment to Planning Process	Attended Planning Meetings	Provided Update on Past Projects	Submitted Mitigation Actions for Current Plan	<b>Seeking Approval for Adoption</b> (Meets all previous requirements)
Howard County	x	x	x	x	<b>x</b>
Aubrey, City	x	x		x	
Easterville, Town	x	x		x	
Easterville, Village	x	x	x	x	<b>x</b>
Louden, Town	x	x	x	x	<b>x</b>
Ontario, Village					
Pasadena, City	x			x	
Scupper, Town	x	x	x	x	<b>x</b>
Yardley, Village	x	x		x	

**Letters of Commitment to Planning Process** establishes a commitment from and a cooperative working relationship between all participating jurisdictions in the development and implementation of the plan.

<http://mitigationguide.org/wp-content/uploads/2013/05/Worksheet-1.2.pdf>

**Attending Planning Meetings** is a critical component of participation which facilitates group discussion and allows for a greater perspective of how jurisdictions can work together to further mitigation efforts.

Jurisdictions must **Provide an Update on Past Projects** to help evaluate past efforts and inform future planning.

Jurisdictions must **Submit Mitigation Actions for the Current Plan** to establish priorities and make successful implementation as likely as possible.

In order to **Seek Approval for Adoption**, jurisdictions must meet all Federal requirements.

### ***Provide Jurisdictional Information***

The plan must be organized to include an annex for every jurisdiction. Non-participating jurisdictions must have an annex included in the plan, with as much of the information noted below that is available, as a placeholder to allow for future participation.

Each jurisdictional annex must include the following information:

- Contact Information;
  - Name, Title, Phone Number, Address, Email Address;
  - If alternate contact information is available, this should be included as well.
- Jurisdiction Profile;
  - For example: population, land size, demographics, topography, brief history, governing body format.
- Hazard Identification;
  - Hazard Identification and Risk Assessment occurs in the county wide shared plan. The jurisdictional annex should identify only those hazards that are unique and specific to the jurisdiction.
- Summary of Unique Hazard Event History/Impact on jurisdiction;
  - A complete Hazard Event History will be included in the county wide shared plan. The jurisdictional annex should be a discretionary list of events that have had particular impact on the jurisdiction, and therefore inform the unique mitigation strategies developed to address.
- National Flood Insurance Program (NFIP) Summary (to meet Federal Standards);
- Critical Facilities Information (to meet State Standard F2);
- Public involvement;
  - Jurisdictional annexes should identify any specific problems, solutions or ideas brought to the planning process from the public or local authorities; if this is done holistically at the County level, this can be included only in the County annex.
- Capabilities Assessment;
- Mitigation Strategy;
  - All identified previous mitigation activities with current status;
  - Previous mitigation activities completed (to meet State Standard F5);
  - All proposed mitigation activities (both new and carried forward, to meet State Standard F7);
  - Action Worksheets for a minimum of two (2) proposed mitigation activities (to meet State Standard 7).

## **7. Develop Mitigation Actions**

*Projects that are well developed and documented in one place are more quickly identifiable for selection when grants become available, making implementation that much more likely.*

### ***List all proposed mitigation activities***

The plan must include a single complete list of mitigation projects in each jurisdictional annex. While all mitigation projects on a jurisdiction's wish list should be assessed and discussed, only those that have reasonable potential to be accomplished within the lifespan of the plan should be included. The capabilities and resources of a given jurisdiction should be taken into consideration when establishing its wish list. Projects should be prioritized according to jurisdiction need and focus on achievable efforts. The project list should include those that may not meet FEMA eligibility or cost-effectiveness requirements since funding should be sought from multiple sources to achieve a jurisdiction's mitigation goals most quickly.

The information requested in the NYS DHSES Proposed Project Table on the following page must be provided within the plan.

- Project Name and Number;
- Goal and/or Objective being met;
- Hazard to be mitigated;
- Description of the Problem;
- Description of the Solution (Project Description);
- Whether or not the project is related to a Critical Facility (and if so, assurance that the facility will be protected to the 500-year event or greatest damage scenario, to meet State Standard F2);
- Estimated Timeline;
- Lead Agency responsible for implementation;
- Estimated Costs;
- Estimated Benefits;
- Potential Funding Sources;
- Priority.

### ***Complete a NYS DHSES Action Worksheet for a minimum of two projects***

If a proposed mitigation project is viable and a priority to the jurisdiction, consideration should be given to the elements required to successfully implement. This provides the jurisdiction with a more developed starting point for implementation should funding become available or priorities dictate urgency. This also provides a guide for NYS DHSES to assess a county or jurisdiction's needs and quickly identifies eligible projects for funding should grants become available at the state level.

For mitigation activity ideas and suggestions, see: [https://www.fema.gov/media-library-data/20130726-1904-25045-0186/fema\\_mitigation\\_ideas\\_final508.pdf](https://www.fema.gov/media-library-data/20130726-1904-25045-0186/fema_mitigation_ideas_final508.pdf)

While we recommend further consideration be given to all proposed actions by completing a NYS DHSES Action Worksheet, each jurisdiction must complete a minimum of two (2) NYS DHSES Action Worksheets for the jurisdiction's highest priority projects. For jurisdictions containing a Special Flood Hazard Area, one (1) of these Action Worksheets must be for a project that addresses flooding.

DHSES administers three mitigation grant programs: the Hazard Mitigation Grant Program (HMGP) rolled out after a declared disaster in NYS, and the annual Pre-Disaster Mitigation (PDM) and Flood Mitigation Assistance (FMA) programs. Letters of Intent (LOIs) for projects more fully developed in the NYS DHSES Action Worksheets will rank higher and will be prioritized for funding over those that are not.

The NYS DHSES Action Worksheet can be found on page 12, with subsequent guidance. This Worksheet will be made available for completion in electronic format as well.

## PROPOSED PROJECTS

\*Projects related to Critical Facilities (CF) will protect the facility to the 500-year event or worst damage scenario, whichever is greater.

Proj #	Project Name	Goal/Objective being Met	Hazard to be Mitigated	Description of the Problem	Description of the Solution	CF?*	EHP Issues	Estimated Timeline	Lead Agency	Estimated Costs	Estimated Benefits	Potential Funding Sources	Priority

The use of this table is not a requirement, but may be used as a starting point to develop actions that must provide:

- **Project Name and Number;**
  - This should be a unique identifier for the project. If the project was included in a previous plan and is being carried over, the identifier should be consistent or the previous one referenced.
- **Goal and/or Objective being met;**
  - The project must be consistent with a goal and/or objective identified in the plan.
- **Hazard to be mitigated;**
  - Identify the Hazard to be mitigated.
- **Description of the Problem;**
  - Provide a brief description of hazard’s impact to the community, both previous damages and/or potential damages.
- **Description of the Solution (Project Description);**
  - Provide a brief description of the proposed project, including location, scope of work of mitigation action (including studies/assessments required or already performed), and any known environmental or historic preservation concerns that may arise upon implementation.
- **Whether or not the project is related to a Critical Facility;**
  - Is this project related to a critical facility? Yes/No. As sampled above, it must be noted that any project related to a critical facility must assure that the facility will be protected to the 500-year event or greatest damage scenario, to meet State Standard F2.
- **Estimated Timeline;**
  - Identify the time required for completion of the project upon implementation.
- **Lead Agency responsible for implementation;**
  - Identify the lead agency or department responsible for implementation.
- **Estimated Costs;**
  - Provide an estimated cost for implementation. Rough dollar figures are ideal, but if unknown, a specified range is acceptable.
- **Estimated Benefits;**
  - Provide a description of the estimated benefits, either quantitative and/or qualitative.
- **Potential Funding Sources;**
  - Identify potential funding sources for implementation, which will be supported by a list as required in State Standard F8; and
- **Priority.**
  - Identify the prioritization of this project as determined by a methodology established by the community.

## XXXXXXX County Multi-Jurisdictional Hazard Mitigation Plan

(Name of Jurisdiction)

### NYS DHSES Action Worksheet

<b>Project Name:</b>			
<b>Project Number:</b>			
<b>Risk / Vulnerability</b>			
<b>Hazard of Concern:</b>			
<b>Description of the Problem:</b>			
<b>Action or Project Intended for Implementation</b>			
<b>Description of the Solution:</b>			
<b>Is this project related to a Critical Facility?</b>		Yes <input type="checkbox"/>	No <input type="checkbox"/>
(If yes, this project must intend to protect to the 500-year flood event or the actual worst damage scenario, whichever is greater.)			
<b>Level of Protection:</b>		<b>Estimated Benefits (losses avoided):</b>	
<b>Useful Life:</b>			
<b>Estimated Cost:</b>			
<b>Plan for Implementation</b>			
<b>Prioritization:</b>		<b>Desired Timeframe for Implementation:</b>	
<b>Estimated Time Required for Project Implementation:</b>		<b>Potential Funding Sources:</b>	
<b>Responsible Organization:</b>		<b>Local Planning Mechanisms to be Used in Implementation, if any:</b>	
<b>Three Alternatives Considered (including No Action)</b>			
<b>Alternatives:</b>	<b>Action</b>	<b>Estimated Cost</b>	<b>Evaluation</b>
	No Action	\$0	
<b>Progress Report (for plan maintenance)</b>			
<b>Date of Status Report:</b>			
<b>Report of Progress:</b>			
<b>Update Evaluation of the Problem and/or Solution:</b>			

## XXXXXXX County Multi-Jurisdictional Hazard Mitigation Plan

(Name of Jurisdiction)

### NYS DHSES Action Worksheet

<b>Project Name:</b>	Each action must have a unique project number referenced here and in the Action Tables.		
<b>Project Number:</b>	Each action must have a unique project name referenced here and in the Action Tables.		
<b>Risk / Vulnerability</b>			
<b>Hazard of Concern:</b>	Identify the hazard being addressed with this action.		
<b>Description of the Problem:</b>	Provide a detailed narrative of the problem. Describe the natural hazard you wish to mitigate, its impacts to the jurisdiction, past damages and loss of service, etc. Include the street address of the property/project location (if applicable), adjacent streets, and easily identified landmarks such as water bodies and well-known structures, and end with a brief description of existing conditions (topography, terrain, hydrology) of the site.		
<b>Action or Project Intended for Implementation</b>			
<b>Description of the Solution:</b>	Provide a detailed narrative of the solution. Describe the physical area (project limits) to be affected, both by direct work and by the project's effects; how the action would address the existing conditions previously identified; proposed construction methods, including any excavation and earth-moving activities; where you are in the development process (e.g., are studies and/or drawings complete), etc., the extent of any analyses or studies performed (attach any reports or studies).		
<b>Is this project related to a Critical Facility?</b>		Yes <input type="checkbox"/>	No <input type="checkbox"/>
(If yes, this project must intend to protect to the 500-year flood event or the actual worst damage scenario, whichever is greater.)			
<b>Level of Protection:</b>	Identify the level of protection the proposed project will provide. Ex. 100-year (1%) flood.	<b>Estimated Benefits (losses avoided):</b>	Identify the benefits that implementation of this project will provide. If dollar amounts are known, include them. If dollar amounts are unknown or are unquantifiable, describe the losses that will be avoided.
<b>Useful Life:</b>	Identify the number of years the project will provide protection against the hazard.		
<b>Estimated Cost:</b>	Identify all estimated costs associated with implementation.		
<b>Plan for Implementation</b>			
<b>Prioritization:</b>	Identify the priority based on the prioritization method agreed upon.	<b>Desired Timeframe for Implementation:</b>	Identify the desired start time for this project. Ex. Within 6 months.
<b>Estimated Time Required for Project Implementation:</b>	Provide the estimated time required to complete the project from start to end.	<b>Potential Funding Sources:</b>	Multiple sources of potential funding should be listed when appropriate.
<b>Responsible Organization:</b>	Identify the name of a department or agency responsible for implementation, not the jurisdiction.	<b>Local Planning Mechanisms to be Used in Implementation, if any:</b>	Consider the use of local planning mechanisms that will be used to implement this project.
<b>Three Alternatives Considered (including No Action)</b>			
<b>Alternatives:</b>	<b>Action</b>	<b>Estimated Cost</b>	<b>Evaluation</b>
	No Action	\$0	
	<i>Alternative 1</i> – Brief Description		Include a description of pros/cons of Alternative 1.
	<i>Alternative 2</i> – Brief Description		Include a description of pros/cons of Alternative 2.
<b>Progress Report (for plan maintenance)</b>			
<b>Date of Status Report:</b>	This section should be completed during plan maintenance/evaluation.		
<b>Report of Progress:</b>	Describe what progress, if any, has been made on this project. If it has been determined the jurisdiction no longer wishes to pursue implementation, state that here and indicate why.		
<b>Update Evaluation of the Problem and/or Solution:</b>	Provide an updated description of the problem and solution, and what has happened since initial consideration/development.		

## **8. Identify Funding Sources**

*Identifying strategic funding sources is integral to successful coordination and implementation of mitigation actions*

The list of potential funding sources must include a brief description of each funding program and a link to the web pages describing the funding opportunity.

Section 4 Table 4.5h of the NYS Hazard Mitigation Plan provides an example of how to document sources and can be used as a starting point to identify potential funding sources as applicable to the county. The jurisdiction is also expected to research and identify additional funding opportunities.

<http://www.dhSES.ny.gov/recovery/mitigation/documents/2014-shmp/Section-4-Mitigation-Strategy.pdf>

## **9. Plan for Climate Change**

*Acknowledging and planning for climate change protects residents, avoids or reduces damage to property and public infrastructure, and reduces personal hardship.*

Plans developed with NYS DHSES-administered funds must include this information as part of the hazard vulnerability analysis and contain strategies/projects to address increased vulnerability that may result from climate change. This requirement was established to encourage jurisdictions to plan for and accommodate climate change and sea level rise. By developing mitigating strategies and/or projects for hazards that are exacerbated by climate change, jurisdictions will better protect residents, avoid or reduce damage to property and public infrastructure, and reduce personal hardship.

Jurisdictions must consider how climate change may affect their vulnerability or increased frequency of occurrence and/or severity in exposure to flooding, wildfire, drought and extreme temperatures.

Jurisdictions with coastal property must also analyze their vulnerability to sea level rise.

Numerous resources are available to the mitigation planning committee, including the following:

**Resource:** ***NY State 2014 Hazard Mitigation Plan: Section 3.4 – Climate Change***

**Description:** Climate Change was first discussed in the 2011 NYS mitigation plan and expanded in 2014 update. The Climate Change section highlights current initiatives and reports on adaptation strategies being developed by the state.

**Location:** <http://www.dhSES.ny.gov/recovery/mitigation/plan.cfm>

**Resource:** ***Responding to Climate Change in New York State (ClimAID) – 2014 Update***

**Description:** ClimAID is a climate analysis of the seven regions of New York State. The report, produced by the NYS Energy Research and Development Authority (NYSERDA), builds on data released in 2014 by the worldwide Intergovernmental Panel on Climate Change.

**Location:** <https://www.nyserda.ny.gov/climaid>

**Resource:** ***New York Climate Change Science Clearinghouse***

**Description:** The Clearinghouse is a gateway for policymakers, local planners, and the public to identify and access documents, data, websites, tools, and maps relevant to climate change adaptation and mitigation across New York State. The goal of the NYCCSC is to support scientifically sound and cost-effective decision-making. The vision is a dynamic site where users can find information in multiple ways, including through interactive tools that use data from different sources.

**Location:** <https://www.nyclimatescience.org/>

**Resource:** ***FEMA: Climate Resilient Mitigation Activities***

**Description:** FEMA provides fact sheets, job aids and cost-benefit analysis tools to support community efforts to reduce the risk associated with climate change. Climate Resilient Mitigation Activities are eligible for Hazard Mitigation Grant Program funding available following a major disaster; and for competitive grants under the annual Pre-Disaster Mitigation and Flood Mitigation Assistance programs.

**Location:** <https://www.fema.gov/climate-resilient-mitigation-activities-hazard-mitigation-assistance>

**Resource:** ***NYS Climate Smart Communities Climate Smart Resiliency Planning: A Planning Evaluation Tool***

**Description:** Designed specifically for NYS Communities, this NYSDEC-developed resource is a self-administered planning assessment tool designed to help local officials assess their communities' readiness and resilience in the face of changing weather patterns and rising sea levels.

**Location:** See the Climate Smart Resiliency Planning link on the right under "Important Links"  
<http://www.dec.ny.gov/energy/82168.html>