Principle 1. State floodplain management programs need strong, clear authority.

*Effective state programs are stable and long lasting – they are founded with clear legal authority, work cooperatively with local governments and other state and federal agencies, and are supported by adequate resources. Good state-level floodplain management programs allow evolution and improvement in response to changes such as major floods, new research and management techniques, and new federal programs and initiatives.*

The questions in this section relate to the authority held by your state and its localities for administering floodplain management measures.

1. **What kind of agency operates your state's primary floodplain management program?**
   - Environmental Protection/Natural Resources
   - Emergency Management/Military Affairs
   - Planning and Community Development
   - Other Please explain

2. **Which of these describes the division of authority for floodplain-related action in your state?**
   - The state explicitly or implicitly grants full regulatory authority to communities and retains no clearly defined regulatory role at the state level
   - The state splits authority with communities by granting authority to regulate some areas of the floodplain or some activities, while retaining sole regulatory jurisdiction over certain areas of the floodplain or certain activities
   - The state and communities have overlapping or shared regulatory authority over the same area and/or same activities

3. **What enabling legislation exists within your state for the following policies and where does authority lie in relation to those policies?**

<table>
<thead>
<tr>
<th>Policy</th>
<th>No Policy Exists within State</th>
<th>State Authority</th>
<th>State-enabled Local Authority</th>
<th>No State Authority Required</th>
<th>No policy exists within state</th>
</tr>
</thead>
<tbody>
<tr>
<td>Floodplain management</td>
<td>☐</td>
<td>☜</td>
<td>☜</td>
<td>☜</td>
<td>☜</td>
</tr>
<tr>
<td>Floodplain resource protection</td>
<td>☐</td>
<td>☜</td>
<td>☞</td>
<td>☜</td>
<td>☜</td>
</tr>
<tr>
<td>Floodplain permitting</td>
<td>☐</td>
<td>☜</td>
<td>☞</td>
<td>☜</td>
<td>☜</td>
</tr>
<tr>
<td>Growth management</td>
<td>☞</td>
<td>☜</td>
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<td>☜</td>
<td>☜</td>
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<tr>
<td>Adverse impact minimization</td>
<td>☞</td>
<td>☜</td>
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<tr>
<td>Land use planning</td>
<td>☜</td>
<td>☜</td>
<td>☜</td>
<td>☜</td>
<td>☜</td>
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<tr>
<td>Zoning</td>
<td>☞</td>
<td>☜</td>
<td>☞</td>
<td>☜</td>
<td>☜</td>
</tr>
<tr>
<td>Subdivision ordinances</td>
<td>☞</td>
<td>☜</td>
<td>☞</td>
<td>☜</td>
<td>☜</td>
</tr>
<tr>
<td>Watershed-based planning</td>
<td>☞</td>
<td>☜</td>
<td>☞</td>
<td>☜</td>
<td>☜</td>
</tr>
<tr>
<td>Stormwater management</td>
<td>☞</td>
<td>☜</td>
<td>☞</td>
<td>☜</td>
<td>☜</td>
</tr>
<tr>
<td>Public stream/wetland alterations</td>
<td>☞</td>
<td>☜</td>
<td>☞</td>
<td>☜</td>
<td>☜</td>
</tr>
</tbody>
</table>

4. **What statewide standards have been established by your state for the activities listed below? Please indicate if the standards were created by Governor's Executive Order or the State Legislature:**

<table>
<thead>
<tr>
<th>Activity</th>
<th>Exec. Order</th>
<th>Legislative</th>
<th>Neither or not-applicable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Floodplain management</td>
<td>☞</td>
<td>☞</td>
<td>☜</td>
</tr>
<tr>
<td>Wetlands protection</td>
<td>☞</td>
<td>☞</td>
<td>☜</td>
</tr>
<tr>
<td>Hazard mitigation coordination</td>
<td>☞</td>
<td>☞</td>
<td>☜</td>
</tr>
<tr>
<td>Other floodplain-related matters</td>
<td>☞</td>
<td>☞</td>
<td>☜</td>
</tr>
</tbody>
</table>

*Please explain other*
Please include the citation to the above executive orders or legislation

<table>
<thead>
<tr>
<th>Exec. Order</th>
<th>Legislative</th>
<th>Neither or not-applicable</th>
</tr>
</thead>
</table>

5. **Since 2003, what state regulatory changes have affected floodplain management within your state?**

- Enabling legislation
- Enforcement authority
- Executive orders
- Opinions by attorney general
- Case law
- Planning functions
- Natural resources protection
- Mandatory disclosure
- Liability/takings limits
- Dam regulation
- Levee regulation
- Funding and taxation
- Other  *Please explain*

5.1 Please explain any changes in authority you designated above

6. **Since 2003, what have been the two most significant evolutionary changes in your state program in response to any sort of event: e.g., state laws or programs, federal initiatives, floods, political or economic climate, public interest, etc?**

The following questions refer to state agency authority to carry out a program of monitoring and enforcement. Monitoring is defined as the review or oversight of activities that affect the floodplain, including local permitting and staff capabilities, as well as the actions of other state agencies.

7. **Which agencies in your state have oversight or monitoring responsibilities for floodplain management regulations or standards that are based on state (not local) law?**

- Agricultural Extension Service
- Agriculture and Food Safety
- Climate Change
- Coastal Zone Management
- Emergency Management
- Environmental Protection/Natural Resources
- Forestry
- Game and Fish or Fish & Wildlife
- Historic Preservation Office
- Housing, Community and Economic Development
- Insurance Commissioner, Agency and Flood Insurance
- Mining of Aggregates
- Parks and Recreation
- Public Service Commission
- State Building Code
- State Dam Safety
State Geographic Information Systems Office or Coordination (GIO)  
State Geological Survey  
State Health Department  
State Planning Agency  
State Transportation Agency  
State University or College  
Water Resources Agency  
Wild & Scenic Rivers  
Other Please explain

7.1 If no state agencies have oversight responsibility, where does such authority lie, according to state law?
- Local government  
- Regional government/special government district  
- Tribal  
- Federal authority  
- Other Please explain

*8. What authority does your state have to enforce local floodplain management standards?
- Authority resides with community  
- Authority is shared between state and community  
- Authority is shared among state, community and FEMA  
- Authority is shared between FEMA and community  
- State has final authority

9. Please indicate which of the following state enforcement actions are available for violations of state floodplain management standards.
- Injunction  
- Remedial action  
- Money damages  
- Writ of mandamus  
- Fine  
- Citation  
- Appeal local decision  
- Overrule local decision  
- Consent decree  
- Other Please explain

9.1 Please estimate the number of times per year injunctions were used as the state enforcement actions?

9.2 Please estimate the percentage of times per year injunctions were successful in achieving compliance as the state enforcement action.  

9.3 Please estimate how many days per year the floodplain management staff spends on injunctions as the selected state enforcement action.

9.1 Please estimate the number of times per year remedial actions were used as the state enforcement actions?

9.2 Please estimate the percentage of times per year remedial actions were successful in achieving compliance as the state enforcement action.  

9.3 Please estimate how many days per year the floodplain management staff spends on remedial actions as the selected state enforcement action.

9.1 Please estimate the number of times per year money damages were used as the state enforcement actions?
9.1 Please estimate the number of times per year writs of mandamus were used as the state enforcement action.  

9.2 Please estimate the percentage of times per year writs of mandamus were successful in achieving compliance as the state enforcement action. %  

9.3 Please estimate how many days per year the floodplain management staff spends on writs of mandamus as the selected state enforcement action.  

9.1 Please estimate the number of times per year fines were used as the state enforcement actions.  

9.2 Please estimate the percentage of times per year fines were successful in achieving compliance as the state enforcement action. %  

9.3 Please estimate how many days per year the floodplain management staff spends on fines as the selected state enforcement action.  

9.1 Please estimate the number of times per year citations were used as the state enforcement actions.  

9.2 Please estimate the percentage of times per year citations were successful in achieving compliance as the state enforcement action. %  

9.3 Please estimate how many days per year the floodplain management staff spends on citations as the selected state enforcement action.  

9.1 Please estimate the number of times per year appeals were used as the state enforcement actions.  

9.2 Please estimate the percentage of times per year appeals were successful in achieving compliance as the state enforcement action. %  

9.3 Please estimate how many days per year the floodplain management staff spends on appeals as the selected state enforcement action.  

9.1 Please estimate the number of times per year overrules were used as the state enforcement actions.  

9.2 Please estimate the percentage of times per year overrules were successful in achieving compliance as the state enforcement action. %  

9.3 Please estimate how many days per year the floodplain management staff spends on overrules as the selected state enforcement action.  

9.1 Please estimate the number of times per year consent decrees were used as the state enforcement actions.  

9.2 Please estimate the percentage of times per year consent decrees were successful in achieving compliance as the state enforcement action. %  

9.3 Please estimate how many days per year the floodplain management staff spends on consent decrees as the selected state enforcement action.
Principle 2. State floodplain management programs should be comprehensive and integrated with other state, federal, and local functions.

Effective state floodplain management programs set a performance standard by ensuring not only that flood hazards are identified, avoided, minimized, and mitigated but also that floodplain functions and resources are protected whenever state construction projects or state-funded projects are undertaken. In addition, state floodplain management programs should be comprehensive and be integrated with elements from many state agencies and programs.

10. Is your state compliant with the NFIP? That is, is it meeting all the requirements of 44 CFR 60.25 (summarized below)?

View 44 CFR 60.25

- Enact legislation enabling counties and municipalities to regulate development within flood-prone areas;
- Encourage and help communities qualifying for participation in the NFIP;
- Assist county and municipal public bodies and agencies in developing, implementing, and maintaining local floodplain management regulations;
- Provide local governments and the public with NFIP information on the coordination of local, Federal, and State floodplain management requirements;
- Help communities disseminate information on minimum elevation requirements;
- Assist in the delineation of riverine and coastal flood-prone areas and supply relevant technical information to the NFIP;
- Recommend priorities for Federal floodplain management activities based on the needs of localities within the State;
- Notify the NFIP of apparent irreconcilable differences between a community's local floodplain management program and the minimum requirements of the NFIP;
- Establish minimum State floodplain management regulatory standards consistent with those of the NFIP and other Federal and State environmental and water pollution standards for preventing pollution during flooding;
- Assure coordination and consistency of floodplain management activities with other State, area-wide and local planning and enforcement agencies;
- Assist in the identification and implementation of flood hazard mitigation recommendations which are consistent with the minimum floodplain management criteria of the NFIP;
- Participate in floodplain management training opportunities and other flood hazard preparedness programs whenever practicable;

11. Please indicate the degree of coordination or interaction that is done between your state floodplain management program and each of the following state programs.

<table>
<thead>
<tr>
<th>State Program</th>
<th>Regular, formally established</th>
<th>Regular but not formally established</th>
<th>As needed</th>
<th>Minimal or none</th>
<th>Not applicable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Attorney general</td>
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<tr>
<td>Coastal or riverine erosion</td>
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<tr>
<td>Coastal zone management</td>
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<tr>
<td>Dam safety</td>
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<tr>
<td>Economic development</td>
<td></td>
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<tr>
<td>Emergency management</td>
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<tr>
<td>Environmental quality</td>
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<tr>
<td>Fish, game, wildlife</td>
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<tr>
<td>Geological survey</td>
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<td>Health</td>
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<tr>
<td>Housing</td>
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</tbody>
</table>
12. Please indicate the degree of coordination or interaction that is done between your state floodplain management program and each of the following federal agencies.

<table>
<thead>
<tr>
<th>Agency</th>
<th>Regular, formally established</th>
<th>Regular but not formally established</th>
<th>As needed</th>
<th>Minimal or none</th>
<th>Not applicable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Levee safety</td>
<td></td>
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<tr>
<td>Mining, mineral survey</td>
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<tr>
<td>Natural resources protection</td>
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<tr>
<td>Parks, recreation, forests</td>
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<tr>
<td>Planning</td>
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<tr>
<td>Shoreland/coastal management</td>
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<tr>
<td>Soil erosion</td>
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<tr>
<td>State mandated building codes</td>
<td></td>
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<tr>
<td>Stormwater management</td>
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<tr>
<td>Transportation</td>
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<tr>
<td>Wetlands regulation, protection</td>
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<tr>
<td>Others</td>
<td></td>
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</tbody>
</table>

13. Considering your program's overall effort, including time, personnel and funding, what proportion of your state’s floodplain management program is devoted to the following: (Enter a value between 0 and 100 for each - All efforts should
13.1 If you included any value for “Grant programs” above, what proportion of your state’s floodplain management grant program is devoted to the following? (Enter a value between 0 and 100 for each - All efforts should total 100%)

<table>
<thead>
<tr>
<th>Activity</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mitigation planning</td>
<td></td>
</tr>
<tr>
<td>Mitigation implementation</td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
</tr>
</tbody>
</table>

Please explain

Dam Safety Program

14. Please indicate the division of work between the FEMA Regional Office and your office, for each of the following activities.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Always State</th>
<th>Mostly State</th>
<th>Evenly Split</th>
<th>Mostly FEMA Region</th>
<th>Always FEMA Region</th>
<th>Not Applicable</th>
</tr>
</thead>
</table>
Always
Mostly
Evenly
Split
Mostly
FEMA
Region
Always
FEMA
Region
Not
Applicable

* Ordinance Reviews
* General Technical Assistance
* Engineering Assistance
* Planning Assistance
* Submit for Rate Applications
* Repetitive Loss Activities
* Insurance-related Activities
* Pre-disaster Mitigation Activities

Principle 3. Flood hazards and floodplain resources within the state must be identified and assessed.

This series of questions focuses on any and all statewide flood mapping in your state that currently exists in addition to any NFIP mapping activities. In other words, do you prepare or manage flood maps and data beyond what FEMA requires? The term flood maps or flood mapping is defined to include the terms floodplain and flood hazard mapping. Flood mapping in this section also will include floodplain resources such as wetlands, riparian vegetation, dunes and habitat along with special flood hazards mapping such as coastal erosion, alluvial fans and dam inundation areas, to name a few. In later sections, any flood mapping activities related to the NFIP will include any of the maps or data related to FIRMs, DFIRMs, FHBM and Q3s.

15. Does your state have its own flood mapping program?
   - Yes
   - No

15.1. Which state agency handles the flood mapping program?
   - Agricultural Extension Service
   - Agriculture and Food Safety
   - Climate Change
   - Coastal Zone Management
   - Emergency Management
   - Environmental Protection/Natural Resources
   - Forestry
   - Game and Fish or Fish & Wildlife
   - Historic Preservation Office
   - Housing, Community and Economic Development
   - Insurance Commissioner, Agency and Flood Insurance
   - Mining of Aggregates
   - Parks and Recreation
   - Public Service Commission
   - State Building Code
   - State Dam Safety
   - State Geographic Information Systems Office or Coordination (GIO)
   - State Geological Survey
   - State Health Department
   - State Planning Agency
   - State Transportation Agency
   - State University or College
   - Water Resources Agency
   - Wild & Scenic Rivers
   - Other

15.2. What is the source and amount of funding for the flood mapping program?
   - FEMA Funding ($)
15.3. Does your state produce flood maps?
- Yes
- No

15.3.1. Does your state hire private companies to produce flood maps?
- Yes
- No

15.3.2. What is the format of your state-produced flood maps?
- Check all that apply:
  - [ ] Hard copy
  - [ ] PDF
  - [ ] Image (e.g. jpg, tiffs)
  - [ ] CADD
  - [ ] GIS
  - [ ] Web-based, interactive maps
  - [ ] Other Please explain

15.4. Does your state cooperate with federal agencies, other than FEMA, to produce flood-related maps?
- Yes
- No

15.4.1. Which federal agencies, other than FEMA does your state cooperate with to produce flood maps?
- Check all that apply:
  - Federal Depositors Insurance Corp (FDIC)
  - Federal Emergency Management Agency
  - Federal Energy Regulatory Commission
  - Federal Highway Administration (FHA)
  - Small Business Administration
  - Tennessee Valley Authority
  - U.S. Army Corps of Engineers
  - U.S. Environmental Protection Agency
  - Wild & Scenic Rivers (BLM, NPS, USFS, F&W)
  - U.S. Forest Service
  - Natural Resources Conservation Service
  - Rural Development Administration
15.5. Does your state perform hydrologic and hydraulic (H&H) modeling (engineering studies) associated with flood mapping?
- Yes
- No

15.6. Does your state have an archive system for H&H models?
- Yes
- No

15.7. Does your state have an archive system for flood mapping?
- Yes
- No

15.8. Does your state have a flood mapping data retrieval system accessible to the public?
- Yes
- No

15.9. Does your state flood mapping efforts include mapping any of the following special flood hazards?
- Flash floods
- Erosion-prone coastal areas
- Moveable bed streams and riverine erosion
- Dam inundation zones
- Levee- and floodwall-protected areas
- Flood hazard areas affected by subsidence
- Ice jam areas
- Closed basin lakes
- Alluvial fan hazards
- Debris flows (mud flood, mudslide, mud flow)
- Tsunami hazards
- Wildfire areas
- Volcanic hazards
- Other Please explain: Sinkholes

15.10. Does your state flood mapping include any of the following features that reflect state higher-standards related to development that go beyond FEMA's NFIP requirements?
- Shoreline environmental designations
- Stream corridor buffer zones
- Critical area setbacks
15.11. In your state, are floodplain areas with residual risk behind levees required to be delineated on the flood map?
- Yes
- No

16. Does your state contribute funds to the U.S. Geological Survey stream gaging program?
- Yes
- No

17. Does your state operate a stream gaging program separate from the U.S. Geological Survey?
- Yes
- No

17.1. Please indicate if your state stream gaging program undertakes any of the following:
- Funds gages owned by others
- Requires gages as part of a permit requirement
- Installs and maintains gages
- Collects data from gages regardless of ownership

17.2. Does your state stream gaging program provide flood data?
- Yes
- No

17.3. How is your state stream gaging information made available?
- Walk-in requests
- Mail requests
- Telephone requests
- On-line data base

This next section focuses on additional mapping efforts and mapping technologies such as Geographic Information Systems (GIS) and their use for the production of flood hazard mapping or base mapping efforts as part of your state flood mapping program or the NFIP.

18. Which of the following natural and human-made resource features are mapped and available to the state floodplain management program or the public in your state?
- [ ] Orthophotos (Aerial Photos)
- [ ] Digital Elevation Models (includes DEM, DTM, LiDAR)
- [ ] Hydrography
- [ ] Roads and Highways
- [ ] Jurisdictional Boundaries
- [ ] Geodetic Control
- [ ] Buildings/Structures
- [ ] Land Cover & Land Use
- [ ] Habitat
- [ ] Wetlands & marshes (including coastal)
- [ ] Shorelines
- [ ] Parcels (Cadastre)
- [ ] Bridge locations
- [ ] Utilities
18.1. Are any of the natural and human-made resource features that are mapped not available in a GIS format? Please list

* 19. Are riverine or coastal flood hazard areas included in your state GIS mapping efforts?
  - Yes
  - No

* 20. Does the state floodplain management program have staff trained in the use of GIS?
  - Yes
  - No

* 21. Does your state maintain an inventory of state buildings in flood hazard areas?
  - Yes
  - No

21.1. What attributes are available for the state building inventory?
  - Geographic location coordinates (e.g. latitude, longitude)
  - Number of buildings
  - Contents of buildings
  - Occupants/users
  - Flood insurance coverage
  - Degree of flood risk (first-floor elevation, retrofitting, floodproofing, etc.)

21.2. Who or what state agency maintains this list for the state building inventory?
  - Agricultural Extension Service
  - Agriculture and Food Safety
  - Climate Change
  - Coastal Zone Management
  - Emergency Management
  - Environmental Protection/Natural Resources
  - Forestry
  - Game and Fish or Fish & Wildlife
  - Historic Preservation Office
  - Housing, Community and Economic Development
  - Insurance Commissioner, Agency and Flood Insurance
  - Mining of Aggregates
  - Parks and Recreation
  - Public Service Commission
  - State Building Code
  - State Dam Safety
  - State Geographic Information Systems Office or Coordination (GIO)
  - State Geological Survey
  - State Health Department
  - State Planning Agency
  - State Transportation Agency
22. What data does your state possess that could be used to produce flood maps for non-modernized or unmapped jurisdictions or to improve FEMA's flood maps for your state?

- Digital Elevation Model (DEM)
- Statewide flow accumulation grid (from DEM)
- Statewide slope mapping (from DEM)
- Hydro-enforced DEM
- Current land use/land cover (hydrology)
- Current/accurate soils (hydrology)
- Stormwater Management mapping or data
- Inventory of Bridge as-built drawing/cross-section
- Inventory of Culverts
- Other Please list

23. Does any agency in your state maintain an inventory of available DEM data adequate to support NFIP flood mapping?

- Yes
- No

23.1. Which state agency maintains an inventory of available DEM data adequate to support NFIP flood mapping?

- Agricultural Extension Service
- Agriculture and Food Safety
- Climate Change
- Coastal Zone Management
- Emergency Management
- Environmental Protection/Natural Resources
- Forestry
- Game and Fish or Fish & Wildlife
- Historic Preservation Office
- Housing, Community and Economic Development
- Insurance Commissioner, Agency and Flood Insurance
- Mining of Aggregates
- Parks and Recreation
- Public Service Commission
- State Building Code
- State Dam Safety
- State Geographic Information Systems Office or Coordination (GIO)
- State Geological Survey
- State Health Department
- State Planning Agency
- State Transportation Agency
- State University or College
- Water Resources Agency
- Wild & Scenic Rivers
- Other Please list

24. For approximately what percentage of the state is Digital Elevation Model (DEM) data adequate to support NFIP flood mapping? [ ]

25. Does the state floodplain management program contribute information (metadata) about its flood mapping data to
the National States Geographic Information Council’s (NSGIC) GIS Inventory?  NSGIC GIS Inventory

☐ Yes
☐ No
☐ Unaware of GIS Inventory

26. Does your state utilize a GIS-based stream/shoreline framework data layer (e.g. National Hydrography Dataset - NHD) to facilitate linkage, access or analysis of flood related mapping data (e.g. engineering models)?

☐ Yes
☐ No

26.1. Which GIS-based stream/shoreline framework data layer do you use?

☐ USGS National Hydrography Dataset (NHD)
☐ State Hydrography Dataset
☐ Other Please explain

27. What percentage of the localities in your state has GIS capability?  25 %

28. Does your state provide its GIS flood mapping data to localities that have GIS capability?

☐ Yes
☐ No

29. Do you provide flood maps for public inspection on a walk-in basis?

☐ Yes
☐ No

30. Describe how your state floodplain management program is utilizing flood-related data within a GIS for the following tasks or programs:

☐ Flood zone determinations
☐ Customized flood maps
☐ View/Overlay with Orthophotos or other GIS data
☐ Make flood data available as a part of a web-based mapping service
☐ Make preliminary FEMA DFIRMs available to public
☐ Public outreach and education
☐ Mitigation planning
☐ Risk assessment
☐ Disaster response planning
☐ Land use planning
☐ Conservation and restoration programs
☐ Permitting
☐ Other Please list

31. Does your state use FEMA’s HAZUS-MH flood loss estimation software?

☐ Yes
☐ No

31.1. Please describe how your state uses HAZUS-MH?

☐ Public outreach and education
☐ Mitigation planning
☐ Risk assessment
☐ Disaster response planning
☐ Other Please list

32. Does your state undertake any of the following activities in addition to any USGS post-flood activities to document and map peak flood conditions?

☐ High water marks (HWMs)
This next section focuses on questions related to the engineering review and approval process of hydrologic and hydraulic (H&H) models and flood maps.

33. Does your state floodplain management program conduct an engineering review of H&H models developed to establish 1% chance flood elevations?

☐ Yes  ☐ No

33.1 Please explain how the engineering review procedure works, who does it, and when it occurs?

Review for compliance with FEMA G & S; independent contractor review of all engineering studies; secondary review of all engineering studies by Kentucky Division of Water.

33.2. Do you issue a formal approval letter in conjunction with the engineering review?

☐ Yes  ☐ No

33.3. Is your state engineering review equivalent to FEMA’s engineering review?

☐ Yes  ☐ No

33.4. Does your state have an engineering review checklist?

☐ Yes  ☐ No

34. Does your state floodplain management program review proposed flood maps before they are adopted in local zoning ordinances?

☐ Yes  ☐ No

34.1. Is the state review of proposed flood maps required by law?

☐ Yes  ☐ No

34.2. Please explain how the review or approval procedure for proposed flood maps works.

34.3 Do you issue an approval letter in conjunction with the review or approval of proposed flood maps?

☐ Yes  ☐ No

35. Do you maintain and/ or regularly update a priority list for mapping/ Flood Insurance Studies/ restudies?

☐ Yes  ☐ No

35.1 What federal agencies, other than FEMA, may be able to assist or meet those restudy needs?

**36. Is your state a FEMA Cooperating Technical Partner (CTP)?**
- **Yes**
- **No**

**36.1 When did your state become a CTP?** [1999]

**36.2 Is the CTP agreement for the entire state or local government?**
- **State**
- **Local government**

**36.3 Under your CTP agreement are you receiving any funds from FEMA? (Note: MMMS funding and activities are covered next)**
- **Yes**
- **No**

**36.4 Which of the activities listed below are you doing under your CTP agreement or through your own state resources?**

<table>
<thead>
<tr>
<th>Activity</th>
<th>State</th>
<th>CTP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Set priorities for mapping</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Participate in pre-mapping scoping meetings</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Participate in final meetings</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Conduct engineering or floodplain delineation review</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Approve the hydrology and hydraulic analyses for use within your state</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Assist in base map acquisition</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Process LOMAs</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Process LOMRs</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Conduct detailed studies to produce work maps used for DFIRMs</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>
Conduct approximate analyses or re-delineation projects that produce work maps for DFIRMS
QA/QC Preliminary D-FIRMs
Produce DFIRMS

Other (please describe)

36.5. What has prevented your state from becoming a CTP? Please describe

37. Does your state have adequate resources to provide the 20% non-federal cost share under FEMA's Risk MAP Program?
   ☐ Yes
   ☐ No

37.1. What is the nature of the match?
   ☑ Staff resources
   ☑ Data
   ☐ Funding match
   ☐ Other Please explain

38. In 2002, FEMA made supplemental funds available for developing State Business Plans and Map Modernization Maintenance Support (MMMS). Did your state receive any of this supplemental funding?
   ☐ Yes
   ☐ No

38.1. What did you use these supplemental funds for?

38.2. Why did your state not receive these supplemental funds?

39. If supplemental funding were continued under MMMS would you plan to utilize this program?
   ☐ Yes
   ☐ No

39.1. Why would your state not use MMMS funding? Please explain

40. Would a cost share requirement for receiving MMMS funding in the future limit your state involvement?
   ☐ Yes
   ☐ No

Principle 4. Natural floodplain functions and resources throughout the state need to be respected.
Effective state floodplain management programs recognize that protecting and restoring floodplain functions and resources is one of the two principal goals of floodplain management. Techniques to minimize flood losses (the other goal) rarely operate to protect resources. Effective state programs, therefore, take a holistic approach that goes beyond simply protecting people and property to recognizing the value of allowing floodplains to function as floodplains, and enjoying the benefits that accrue when they do. Effective states coordinate and integrate their goals and activities with the many others whose activities affect floodplain functions.

41. What kinds of programs or activities does your state operate (or authorize) to encourage identification, protection, and/or restoration of the natural values/resources of flood prone areas (excluding regulatory requirements)?

- Public information programs
- Habitat preserves/protection
- River-basin management
- Conservation commissions
- River Flow Advisory Commissions
- Easement/restriction programs
- Restrictive deed covenants
- Public disclosure of hazards
- Watershed councils
- Open space preservation
- Dune/beach restoration or protection
- Other: Please explain and give examples if you have some

42. What natural floodplain functions and/or resources are the focus of protection or enhancement programs in your state?

- Aquatic habitat
- Riparian habitat
- Riparian vegetation
- Access to water bodies
- Recreation opportunities
- Open space
- Wetlands
- Estuaries
- Dunes
- Mangroves
- Other: Please explain

43. What funding and/or technical assistance does your state provide for programs or activities (state, local, other) that preserve and/or restore natural floodplain functions and resources (including coastal and lakeshore)?

- Funds to purchase floodplain lands for open space
- Funds/assistance for trail systems
- Funds/assistance for protection of wildlife habitat/endangered species
- Funds for agricultural conservation
- Funds for marsh restoration
- Funds/assistance for historic preservation
- Funds/assistance for cultural, scientific, educational sites
- Funds/assistance for scenic easements, scenic areas
- Others: Please list

44. What programs or activities does your state use to directly protect or restore natural floodplain (including coastal and lakeshore) functions and resources? Please check only those that have been used in the last few years.

- Designation of flood prone areas as conservation reserves or natural area preserves
- Easements downstream of dams
- Authorization of counties to establish open space farmland banking systems
- Reclamation of mining operations in riparian areas
- Dam removal
45. About how many acres of flood prone land (including lakeshores, coastal zones, and riparian zones) did your state protect or restore last year using the methods you checked in questions 41, 43 or 44 above?

- Wetlands  Estimated number of acres [ ]
- Public access to coastline  Estimated number of acres [ ]
- Sensitive coastal areas  Estimated number of acres [ ]
- Riparian zones  Estimated number of acres [ ]
- Erosion-prone areas  Estimated number of acres [ ]
- Floodplain  Estimated number of acres [ ]
- Endangered species habitat  Estimated number of acres [ ]
- Aquatic habitat  Estimated number of acres [ ]
- Terrestrial habitat  Estimated number of acres [ ]
- Tidal flats  Estimated number of acres [ ]
- Flood storage  Estimated number of acres [ ]
- Other  Estimated number of acres [ ]

*46. Does your state have a coordinating committee or other mechanism to ensure that the natural functions and resources of flood prone areas (including lake and ocean coasts and watersheds) are accounted for in decision making?

- Yes
- No

46.1. Please describe:

*47. Does your state have a program or plan for adaptation to climate change?

- Yes
- No

47.1. Does that program include consideration of how to protect natural functions and resources of flood-prone lands if storms become more intense, erosion increases, coastal areas subside, or water supplies diminish (for example)?

- Yes
- No

48. Does your state have a program for fostering the creation and/ or maintenance of green infrastructure? Please describe

49. Does your state require setbacks or buffer zones in the following areas?

- High risk erosion areas
- Greenbelt or riparian zones
- Floodplains
- Wetlands
- Shoreland areas (like a coastal construction line or lakeshore setbacks)
- Sand dunes
- Designated natural rivers
- Fill
- Coastal features such as dunes or marshes
50. Does your state have enabling legislation that allows communities to establish riparian, lakeshore, or coastal setbacks?
- Yes
- No

51. Does your state have legislation that requires review and approval of activities that could modify or alter the natural functions and/or resources of flood-prone areas (including lake and ocean coasts)?
- Yes
- No

51.1. Please provide the citation of any state legislation that requires review and approval of activities that could modify or alter the natural functions and/or resources of flood prone areas.

51.2. Is the review and approval accomplished at the state or community level?
- State
- Community
- Neither

51.3. Is the review and approval tied to a size or impact threshold for activities that could modify or alter the natural functions and/or resources of flood prone areas?
- Yes
- No

51.4. What are the size or threshold triggers that bring the review and approval into play? Please describe.

52. What tax incentives does your state have to keep or restore floodplain lands (including coastal and lakeshore areas) to their natural state or to donate them to public open space use? (Please check if this provision is in your tax code and could apply to floodplain lands, even if you do not know whether it has been used)
- Property tax break for open space or public donation
- Income tax break for open space or public donation
- Inheritance tax break for open space or public donation
- Purchase of easements
- Tax breaks for forest preservation
- Tax breaks for farmland preservation
- Tax breaks for wildlife habitat preservation
- Tax return check-off for endangered resource protection
- None
- Other Please explain

53. Besides tax incentives, what legal techniques does your state use to preserve and/or restore natural floodplain functions and/or resources? Please check only if you know the technique has been applied to flood-prone lands in the last few years.
- Easements
- Land acquisitions
- Transfer of development rights
- Land swaps
- Rezoning
- Mitigation banking (wetlands, other resources)
- Others Please list

54. Which natural functions and resources related to floodplains or activities that impact these natural functions and
**Resources are depicted in the state's GIS?**
- Land cover
- Wetlands
- Coastal zones
- Setbacks
- Buffer zones
- Rare/endangered species habitat
- Vegetation types
- Environmentally sensitive areas
- Submerged lands grants and leases (lakebed grants)
- Fill
- Others Please list ____________________________

**54.1. Does the state floodplain management program have ready-access to these GIS data sets?**
- Yes
- No

**55. Are federal activities and/or regulations contributing to the loss of natural resources in your state?**
- Yes
- No

**55.1. How are federal activities and/or regulations contributing to the loss of natural resources in your state? Please describe**

**55.2. Would you be willing to list which federal agencies may be contributing to the resource loss?**
- Yes
- No

**55.2.1. Please check all that apply:**
- Federal Depositors Insurance Corp (FDIC)
- Federal Emergency Management Agency
- Federal Energy Regulatory Commission
- Federal Highway Administration (FHA)
- Small Business Administration
- Tennessee Valley Authority
- U.S. Army Corps of Engineers
- U.S. Environmental Protection Agency
- Wild & Scenic Rivers (BLM, NPS, USFS, F&W)
- U.S. Forest Service
- Natural Resources Conservation Service
- Rural Development Administration
- Economic Development Administration
- National Geodetic Survey
- National Hurricane Center
- National Marine Fisheries Service
- National Weather Service
- Office of Ocean & Coastal Management
- Department of Housing and Urban Development
- Bureau of Indian Affairs
- Bureau of Land Management
- Bureau of Reclamation
56. Please indicate if your state floodplain management program (or state association) provides input and/or training related to floodplain functions and resources into your state licensing programs and examinations for any of the following allied professionals. Please, also indicate if Continuing Education Credits (CEC’s) or state licensing is required for these same allied professionals.

<table>
<thead>
<tr>
<th>Professional</th>
<th>Input for licensing or exams</th>
<th>Training for licensing or exams</th>
<th>CEC’s Required</th>
<th>State License Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Building Officials</td>
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<tr>
<td>Code Enforcement Officers</td>
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<tr>
<td>Plans examiners</td>
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<tr>
<td>Planners</td>
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<tr>
<td>Elected Officials</td>
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<tr>
<td>Emergency Managers</td>
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<tr>
<td>Other state agencies</td>
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<tr>
<td>Professional Land Surveyors</td>
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<tr>
<td>Real estate agents</td>
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<tr>
<td>Insurance agents</td>
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<tr>
<td>Lenders</td>
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<tr>
<td>Building Contractors</td>
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<tr>
<td>Architects</td>
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<tr>
<td>Landscape Architects</td>
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<tr>
<td>Professional Engineers</td>
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<tr>
<td>Attorneys</td>
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<tr>
<td>Housing Inspectors</td>
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<tr>
<td>Site evaluators</td>
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<tr>
<td>Manufactured housing installers</td>
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<tr>
<td>General public</td>
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<td></td>
</tr>
<tr>
<td>Others</td>
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</tbody>
</table>

Principle 5. Development within the state should be guided away from areas that are flood-prone and/or environmentally sensitive; adverse impacts of development both inside and outside the floodplain must be minimized.

The next set of questions is about communities and their planning as it relates to flooding.

57. Are communities required by your state to conduct land use planning as part of their land development review process?

- Yes
- No

57.1. Does the state have oversight responsibilities for local land use planning?

- Yes
- No

57.2. Does local land use planning include a requirement for consideration of hazards?

- Yes
58. Who regulates the following portion of the floodplain? (you may check both if both apply or neither)

<table>
<thead>
<tr>
<th></th>
<th>State</th>
<th>Community</th>
</tr>
</thead>
<tbody>
<tr>
<td>Floodway</td>
<td>✔</td>
<td></td>
</tr>
<tr>
<td>Floodway fringe</td>
<td>✔</td>
<td></td>
</tr>
<tr>
<td>Velocity zones</td>
<td></td>
<td></td>
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<tr>
<td>Alluvial fans</td>
<td></td>
<td></td>
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<tr>
<td>Erosion Hazard Area</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

59. Which of the following floodplain management regulations or standards are required by your state, by localities, or both? And which have been implemented in your state? Please check applicable boxes.

<table>
<thead>
<tr>
<th>regulation</th>
<th>Required by State</th>
<th>Required by Local</th>
<th>Implemented by State</th>
<th>Implemented by Local</th>
</tr>
</thead>
<tbody>
<tr>
<td>Flood hazard disclosure</td>
<td></td>
<td></td>
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<tr>
<td>Floodplain/coastal/watershed planning</td>
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<tr>
<td>Stormwater management/ detention requirements</td>
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<tr>
<td>Floodplain Open Space Preservation</td>
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<tr>
<td>Freeboard standards (___ Feet above BFE)</td>
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<tr>
<td>Floodway encroachment standards</td>
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<tr>
<td>Public awareness/outreach programs</td>
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<tr>
<td>Compensatory storage requirements</td>
<td></td>
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<tr>
<td>Dam failure warning/ response systems &amp; plans</td>
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<tr>
<td>X-zone drainage/protection Requirements</td>
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<tr>
<td>Sensitive areas/watershed protection regulations</td>
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<tr>
<td>Critical facilities protection to _____-year standard</td>
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<tr>
<td>Setback requirements from water-bodies: lakes, ocean, rivers</td>
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<tr>
<td>Water quality regulations</td>
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<tr>
<td>Special hazard regulations</td>
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<tr>
<td>Coastal erosion protection</td>
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<tr>
<td>Flood warning system program</td>
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<tr>
<td>Levee maintenance/failure emergency response</td>
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<tr>
<td>Drainage system maintenance</td>
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<tr>
<td>Dry land access</td>
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<tr>
<td>Other statewide standards or activities</td>
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</tbody>
</table>

Please explain


60. Which of the following activities within the floodplain are exempted from local regulations? Please indicate the source of the exemption (e.g., exempted by state law, by regulation, governor’s executive order, because its not specifically identified as regulated, etc.). Please check all that apply.

<table>
<thead>
<tr>
<th>Activity</th>
<th>State statute</th>
<th>Governor’s executive order</th>
<th>Attorney General’s opinion</th>
<th>Case law</th>
<th>Don’t know</th>
</tr>
</thead>
<tbody>
<tr>
<td>State property/facilities</td>
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<tr>
<td>Federal property/facilities</td>
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<tr>
<td>Development by local governments</td>
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<tr>
<td>Agriculture</td>
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<tr>
<td>Public utilities</td>
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</tr>
<tr>
<td>Private utilities</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Small projects (&lt; $50,000)</td>
<td></td>
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<tr>
<td>Small drainage basins (&lt; 2 sq. mi.)</td>
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<tr>
<td>Transportation facilities</td>
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<td></td>
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<tr>
<td>Mining</td>
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<tr>
<td>Forestry</td>
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<tr>
<td>On-site waste disposal</td>
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<tr>
<td>Setback requirement for small buildings</td>
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<tr>
<td>Other</td>
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</tbody>
</table>

Please explain

61. Of the activities you indicated as being exempt from local floodplain regulation in Question 60 (above), which ones are otherwise regulated by the state? (for example the public utilities may be exempted from the local floodplain management standards but are regulated by the state’s public utility commission)

62. Taken together, how are these exemptions affecting flood damage in your state?

- Contributing greatly
- Contributing somewhat
- Reducing damages somewhat
- Reducing damages greatly
- No effect: why not

63. How are these exemptions affecting natural floodplain resources in your state?

- Contributing to their restoration
- Contributing to their loss or degradation
- No effect: why not

64. When adopting local floodplain regulations, communities must regulate to the most recent effective date of the FEMA/ NFIP map in their regulations. However, some communities are being allowed to provide language that allows the maps to be updated without having to update the ordinance. They accomplish this by providing automatic adoption language. Does your state allow communities to provide for automatic flood-map adoption without having to amend the local regulations?

- Yes
- No

64.1. Please explain how the communities reflect the adoption of a regulatory flood map
The following questions are about state agencies’ compliance and floodplain regulations. In formulating your responses, you may wish to involve those agencies that are involved in permitting or enforcement of regulations. Please be as forthright as possible. Your responses are not intended to be used to get your state or its agencies into a compliance problem. You may wish to contact the appropriate state agency staff to review and respond to the following questions.

**65. Are you aware of occasions when your state agencies have not complied with NFIP minimum floodplain management requirements?**
- [ ] Yes
- [ ] No

**66. Are state agencies required to obtain development permits from the community for state construction projects within the local jurisdiction?**
- [ ] Yes
- [ ] No

**67. Are state agencies required to obtain development permits or approvals from another state agency?**
- [ ] Yes
- [ ] No

**67.1. If agencies are not required to obtain development permits or approvals from another state agency, please select the reasons and types of developments below.**

<table>
<thead>
<tr>
<th>Reason</th>
<th>State</th>
<th>Governor's Executive Order</th>
<th>Attorney General's Opinion</th>
<th>Case Law</th>
<th>Don't Know</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Property/Facilities</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>Transportation Facilities</td>
<td>[ ]</td>
<td>[ ]</td>
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<td>[ ]</td>
</tr>
</tbody>
</table>

**Other**

**68. What design standards are used for state, local, and private road and bridge projects in your state? Please indicate the appropriate response in the table below.**

<table>
<thead>
<tr>
<th>Standard</th>
<th>State Projects</th>
<th>Municipal Projects</th>
<th>Private Projects</th>
</tr>
</thead>
<tbody>
<tr>
<td>25-year return frequency flow</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>50-year return frequency flow</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>One foot rise or less</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>No more rise than the allowable increase shown on the FIS floodway table</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>Site-specific considerations</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
</tbody>
</table>

**69. Who sets the design standards used for state, local, and private road and bridge projects in your state? Please indicate the appropriate response in the table below.**

<table>
<thead>
<tr>
<th>Standard</th>
<th>Legislature</th>
<th>State Agency</th>
<th>Federal Policy</th>
<th>FPM Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>25-year return frequency flow</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>50-year return frequency flow</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>One foot rise or less</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>No more rise than the allowable increase shown on the FIS floodway table</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>Site-specific considerations</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
</tbody>
</table>

**70. Are state agencies prohibited from constructing in the floodway?**
70.1. Comments:

*71. Are federal activities and/or regulations contributing to flooding problems in your state?

☐ Yes
☐ No

71.1. How are federal activities and/or regulations contributing to flooding problems in your state?

*71.2. Would you be willing to list which federal agencies may be contributing to the flooding problems?

☐ Yes
☐ No

71.2.1. Check all the federal agencies that apply.

- Federal Depositors Insurance Corp (FDIC)
- Federal Emergency Management Agency
- Federal Energy Regulatory Commission
- Small Business Administration
- Tennessee Valley Authority
- U.S. Army Corps of Engineers
- U.S. Environmental Protection Agency
- Wild & Scenic Rivers
- U.S. Forest Service
- Natural Resources Conservation Service
- Rural Development Administration
- Economic Development Administration
- National Geodetic Survey
- National Hurricane Center
- National Marine Fisheries Service
- National Weather Service
- Office of Ocean & Coastal Management
- Department of Housing and Urban Development
- Bureau of Indian Affairs
- Bureau of Land Management
- Bureau of Reclamation
- Fish & Wildlife Service
- Minerals Management Service
- National Park Service
- U.S. Geological Survey
- Department of Transportation
- Other

The next series of questions are in regard to state and local building codes and their relationship to floodplain management regulations. You may wish to include those agencies that are involved in permitting, regulating, or maintaining building codes in the process of formulating your responses.

*72. Has your state adopted a building code?
72.1. By which of the following is the state building code required to be administered? (please check all that apply)
- All local jurisdictions
- Only unincorporated parts of counties
- Only in incorporated towns, cities, villages, and townships
- The state issues permits for certain occupancies only
- Other Please explain

72.2. By which of the following is the state building code required to be enforced? (please check all that apply)
- All local jurisdictions
- Only unincorporated parts of counties
- Only in incorporated towns, cities, villages, and townships
- The state issues permits for certain occupancies only
- Other Please explain

*72.3. What state agency or department is responsible for your state building code administration?
- Agricultural Extension Service
- Agriculture and Food Safety
- Climate Change
- Coastal Zone Management
- Emergency Management
- Environmental Protection/Natural Resources
- Forestry
- Game and Fish or Fish & Wildlife
- Historic Preservation Office
- Housing, Community and Economic Development
- Insurance Commissioner, Agency and Flood Insurance
- Mining of Aggregates
- Parks and Recreation
- Public Service Commission
- State Building Code
- State Dam Safety
- State Geographic Information Systems Office or Coordination (GIO)
- State Geological Survey
- State Health Department
- State Planning Agency
- State Transportation Agency
- State University or College
- Water Resources Agency
- Wild & Scenic Rivers
- Other Please explain

*72.4. If the state agency or department responsible for building codes issues interpretations, does it consult with your office before issuing an interpretation of the flood provisions in the codes?
- Yes, the state floodplain management office is consulted
- No, the state floodplain management office is not consulted
- Does not issue interpretations
- Not sure
**72.5. Please indicate the basis of your state building code(s)?**
- International Building Code Series (I-Codes)
- NFPA 5000 (National Fire Protection Association)

**72.5.1. Did your state modify or delete any of the flood provisions in the I-Codes or NFPA 500?**
- No
- Don't know
- Yes, and the state floodplain management office was consulted
- Yes, but the state floodplain management office was not consulted

**72.5.2. How did your state handle Appendix G (administrative provisions and non-building development) of the International Building Code?**
- Did not adopt it
- Did adopt it
- Allows communities to adopt it
- Don't know

**72.6. If your state has floodplain management requirements in a separate statute or regulation, is the state building code consistent with those requirements?**
- Yes
- No

**72.7. Can local jurisdictions amend the state building code?**
- Yes
- No

**72.7.1. Can local jurisdictions amend the state building code without state approval?**
- Yes
- No

**72.8. How frequently are your state building codes updated?**
- Every 3 years
- When the legislature requires the update
- When the Building Commission/Council determines it appropriate
- Unknown

**72.9. If your state allows (but does not require) local jurisdictions to adopt a code, how would you characterize the status of building code adoption among communities in your state. (Skip this question if your state adopts the code at the state level and requires local enforcement.)**
- Strong interest
- Moderate interest
- Some interest
- No interest

**Comments:**

---

**73. If your state does not require local jurisdictions to administer a building code, are communities allowed to adopt a building code of their choice?**
- Yes
- No, if they adopt a code, they must adopt a specified building code.
- No, they are prohibited from adopting any building code

*The next series of questions are in regard to levees and their regulations. In formulating your responses, you may wish to include those agencies that are involved in permitting, regulating, or maintaining levees.*
74. Does your state require permits for levee construction?

- Yes
- No

74.1. What state agency or agencies issue the levee construction permit?

- Agricultural Extension Service
- Agriculture and Food Safety
- Climate Change
- Coastal Zone Management
- Emergency Management
- Environmental Protection/Natural Resources
- Forestry
- Game and Fish or Fish & Wildlife
- Historic Preservation Office
- Housing, Community and Economic Development
- Insurance Commissioner, Agency and Flood Insurance
- Mining of Aggregates
- Parks and Recreation
- State Building Code
- State Dam Safety
- State Geographic Information Systems Office or Coordination (GIO)
- State Geological Survey
- State Health Department
- State Planning Agency
- State Transportation Agency
- State University or College
- Water Resources Agency
- Wild & Scenic Rivers
- Other

74.2. What other state agency or agencies provide input to the levee permit process?

- Agricultural Extension Service
- Agriculture and Food Safety
- Climate Change
- Coastal Zone Management
- Emergency Management
- Environmental Protection/Natural Resources
- Forestry
- Game and Fish or Fish & Wildlife
- Historic Preservation Office
- Housing, Community and Economic Development
- Insurance Commissioner, Agency and Flood Insurance
- Mining of Aggregates
- Parks and Recreation
- Public Service Commission
- State Building Code
- State Dam Safety
- State Geographic Information Systems Office or Coordination (GIO)
- State Geological Survey
- State Health Department
- State Planning Agency
- State Transportation Agency
- State University or College
74.3. Is there a process in your state to obtain public input before levees are permitted?
- Yes
- No

74.3.1. At what point is public input allowed in levee permit process?
- Within a specified time following the application
- Only if a request for a hearing is made
- Only if the proposed levee exceeds a certain threshold
- Other Please explain

74.4. Is public input to the levee permit process guaranteed by state statute?
- Yes
- No

74.5. Is public input to the levee permit process provided for by rulemaking?
- Yes
- No

75. In your state, if a proposed levee would raise flood heights on other properties or communities, would your state allow it to go forward in the permitting process?
- Yes
- No

76. Who at the state level is responsible for the review of the engineering adequacy of the levee?

77. Is there an approval letter issued for the review of the engineering adequacy of the levee?
- Yes
- No

78. Is there a further review of the approving engineering analysis before the final levee approval is granted?
- Yes
- No

78.1. Who performs the further review of the approving engineering analysis before the final levee approval is granted?
- Peer review
- Consultant
- Other Please explain

78.1.1. If peer review is provided who makes up the peer review staff?

79. Is there a state freeboard standard for levees?
- Yes
- No

79.1. What is the amount of the state freeboard standard for levees?
- 1 foot
*80. Does your state restrict development in levee “protected” areas?
- Yes
- No

*80.1. What type of development is restricted in levee “protected” areas?
- residential activity
- industrial activity
- commercial development

*81. Are there any floodplain management regulations or other requirements in levee “protected” areas?
- Yes
- No

81.1. Please describe any floodplain management regulations or other requirements in levee “protected” areas

The next series of questions concern dams and their regulation. In formulating your responses, you may wish to include those agencies that are involved in permitting, regulating, or maintaining dams.

*82. Does your state have a stakeholders group that crosses agency jurisdictions that meets to discuss and review dam-related issues?
- Yes
- No

*83. Does your state regulate the occupation of the area that would be inundated in the event of a dam failure?
- Yes
- No

*83.1. How does your state regulate the occupation of the dam safety inundation area?
- Floodplain zoning requirement
- Occupation prohibited
- Elevation required
- Warning plans required
- Other Please explain

*84. Do your communities regulate the occupation of the dam safety inundation area?
- Yes
- No

84.1. How does your state regulate the occupation of the dam safety inundation area?
- Occupation prohibited
- Elevation required
- Warning plans required
- Other Please explain

Principle 6. Flood mitigation and recovery strategies should be in place.
85. Do you have a statewide standard for reconstruction of flood-prone buildings that have been substantially damaged?

☐ Yes
☐ No

85.1. What is the damage threshold for reconstruction of flood-prone buildings that are substantially damaged?

___ %

85.2. In what areas does the standard for reconstruction of flood-prone buildings that are substantially damaged apply?

☐ floodway
☐ floodway fringe
☐ velocity zones
☐ Erosion hazard area

85.3. How is your state’s substantial damage standard applied?

☐ Each damage event is independent of others
☐ Cumulative over a specific time period
  Number of years ___
☐ Cumulative over a specific number of damaging events
  Number of years ___

85.4. How is the damage measured for substantially damaged buildings?

☐ Market value
☐ Pre-flood value
☐ Replacement cost
☐ Assessed value
☐ Other Please explain _______________________

86. In light of the requirements that communities have all-hazard mitigation plans in place in order to be eligible for future federal mitigation funds (and other funds), has your state integrated floodplain management components to facilitate local mitigation planning?

☐ Yes
☐ No

86.1. What approaches have you used to facilitate local mitigation planning?

☐ Agency cooperation
☐ Risk assessments, using HAZUS
☐ State-developed computer software to assess hazards and vulnerability
☐ State Multi-Hazard Mitigation Plan
☐ Work with regional planning agencies to help communities develop and adopt plans.
☐ Community outreach and technical assistance
☐ State agencies providing input into the state/local plans.
☐ State requires local mitigation plans
☐ State conducted training classes
☐ Mitigation is part of state model plan
☐ Other Please explain _______________________

86.2. Has your state updated its flood mitigation planning provisions since 2003?

☐ Yes
☐ No

86.3. Has your state shifted its approach from its original flood mitigation planning efforts in 2003?

☐ Yes
☐ No

Please explain how and/or why your state shifted its approach from its original flood mitigation planning efforts since 2003?
87. Does your state have a hazard mitigation council or similar coordinating body?
- Yes
- No

87.1. How was your state hazard mitigation council or similar coordinating body created?
- Executive order
- Legislative action
- Other

87.2. Please describe its provisions

87.3. Who are the stakeholders on your hazard mitigation coordinating body? Please list

88. Thinking of all of the different activities that can be undertaken to reduce flood losses and preserve floodplain resources, what provisions are there in your state for coordination of all these activities to plan for flood mitigation? (e.g., state-level coordinating committee for flood mitigation, no adverse impact activities, stormwater management planning, state/community coordination, community/community coordination, etc.)

Please indicate if the coordination is mandated or voluntary?

<table>
<thead>
<tr>
<th>Mandatory</th>
<th>Voluntary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Development of state and local procedures for planning</td>
<td>☐ ☐</td>
</tr>
<tr>
<td>Requirement for local-level master drainage plans</td>
<td>☐ ☐</td>
</tr>
<tr>
<td>A drainage committee that coordinates mitigation planning among state agencies</td>
<td>☐ ☐</td>
</tr>
<tr>
<td>State hazard mitigation council, committee, or planning team</td>
<td>☐ ☐</td>
</tr>
<tr>
<td>Interagency coordination body (not just mitigation)</td>
<td>☐ ☐</td>
</tr>
<tr>
<td>State floodplain management association</td>
<td>☐ ☐</td>
</tr>
<tr>
<td>State emergency management agency has provisions for doing this</td>
<td>☐ ☐</td>
</tr>
<tr>
<td>Legislation that specifies coordination procedures for state permits, etc.</td>
<td>☐ ☐</td>
</tr>
<tr>
<td>Other</td>
<td>☐ ☐</td>
</tr>
</tbody>
</table>

89. What coordination is there between the NFIP State Coordinator and the State Hazard Mitigation Officer in the context of mitigation planning?
- Regular, formally established coordination/involvement
- Regular but not formally established coordination/involvement
- Coordination/involvement only on an as-needed basis
- Minimal or no coordination
- Other Please describe

90. Does your state have funds reserved to carry out flood mitigation projects?
- Yes
- No

90.1. What is the source of the funding that is reserved to carry out flood mitigation projects?
- Funds allocated by legislature
- Grants from within the state
- Other grants
90.2. Who administers funds reserved to carry out flood mitigation projects?
- State floodplain management program
- State hazard mitigation office
- Governor’s office
- Other [Please explain]

90.3. How are the reserved funds disbursed in order to carry out flood mitigation projects (e.g., competitive grant application)? Explain

*91. How involved is your state floodplain management office in reviewing/evaluating mitigation applications?
- Regular, formally established coordination/involvement
- Regular but not formally established coordination/involvement
- Coordination/involvement only on an as-needed basis
- Minimal or no coordination

92. Within your state, who carries out mitigation planning at the local level?
- The state
- The community
- Private consultants
- Other [Please explain]

93. Within your state, who carries out mitigation planning at the state level?
- The state
- Private consultants
- Other [Please explain]

*94. Since 2003 has your state, or localities within your state, adopted any No Adverse Impact (NAI) management laws, programs, or activities (e.g., zero rise floodway)?
- Yes
- No

94.1. Please list any known NAI laws, programs or activities

*95. Does your agency administer the Unified Flood Mitigation Assistance Program?
- Yes
- No

*95.1. Does your agency have any input into UFMA decisions?
- Yes
- No

95.2. Does your state perform any of the following functions/tasks under the Unified Flood Mitigation Assistance Program?
- Assist in mitigation plan development
- Review project applications
- Prioritize projects
- Select projects
96. What kind of tracking does your state conduct to capture evidence of the success of its mitigation efforts?

- Before and after photographs
- Photographs of elevated buildings safe above flood level
- Number of (and case studies of) homeowners who benefits from flood insurance, compared to number uninsured
- Number of and stories about property owners who took mitigation measures and suffered less damage
- Estimates of how much damage and disruption was avoided because of the mitigation techniques applied to public facilities and infrastructure
- Other Please explain

97. Does your state have a program to plan for adaptation to climate change?

- Yes
- No

97.1. What efforts does that program include, with regard to flood-prone areas?

- Revisions to coastal mapping
- Revisions to floodplain mapping
- Assessment of infrastructure at risk from rising sea level or more intense storms
- Assessment of private property at risk from rising sea level or more intense storms
- Assessment of critical facilities
- Assessment of threats to life
- Changes to state programs/policies to account for increased flood risk
- Other Please explain

97.2. Explain your state floodplain management program’s involvement in the state’s climate change initiatives.

98. What activities or programs does your state conduct to mitigate properties that are subject to repetitive flood losses?

- Technical assistance to localities
- Funding
- Acquisition program
- Retrofitting program
- Other Please explain

99. What authority exists in your state for declaring moratoria on repair/redevelopment after a disaster?

- State has authority
- Localities have authority
- State has used authority to declare moratoria
- Localities have used authority to declare moratoria

100. What post-flood mobilization activities are undertaken in your state on behalf of floodplain management?

- Substantial damage determinations
- Damage assessments
- Increased cost of compliance advice
- Permit reviews and variance reviews
- Public awareness and information initiatives
- Cooperative agreements with other states and/or in-state associations
101. Please indicate if your state floodplain management program (or state association) provides input and/or training related to No Adverse Impact (NAI) floodplain management and/or flood mitigation into your state licensing programs and examinations for any of the following allied professionals?

<table>
<thead>
<tr>
<th>NAI Input</th>
<th>NAI Training</th>
<th>Mitigation Input</th>
<th>Mitigation Training</th>
<th>State license required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Building Officials</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Code Enforcement Officers</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Plans examiners</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Planners</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Elected Officials</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Emergency Managers</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Other state agencies</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Professional Land Surveyors</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Real estate agents</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Insurance agents</td>
<td>☐</td>
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<td>☐</td>
</tr>
<tr>
<td>Lenders</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Building Contractors</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Architects</td>
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<td>☐</td>
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<tr>
<td>Landscape Architects</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Professional Engineers</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Attorneys</td>
<td>☐</td>
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</tr>
<tr>
<td>Housing Inspectors</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Site evaluators</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Manufactured housing installers</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>General public</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Others</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

Principle 7. The state’s people need to be informed about flood hazards, natural floodplain resources, and mitigation options.

102. Does your state provide authority for local flood hazard identification?
- Yes
- No

103. Does your state provide authority for flood hazard notification?
- Yes
- No

104. Does your state provide authority for flood mitigation options?
- Yes
- No

105. Does your state floodplain management agency or program or a state/ regional floodplain management association issue a newsletter?
- Yes
- No

105.1. To whom is the floodplain management newsletter distributed (please indicate whether it is distributed by your
**105.2.1** Please describe how often the floodplain management newsletter is distributed by the State Floodplain Management Program (number of issues per year)

**105.2.2** Please describe how many issues of the floodplain management newsletter are distributed by the State Floodplain Management Program (number distributed per issue)

**105.2.3** Please describe how often the floodplain management newsletter is distributed by the Floodplain Management Association (number of issues per year)

**105.2.4** Please describe how many issues of the floodplain management newsletter are distributed by the Floodplain Management Association (number distributed per issue)

**105.3.** What is the method of distribution for the floodplain management newsletter?

- [ ] Hard copy
- [ ] Electronic
- [ ] Posted on State agency website
- [ ] Linked to or by other websites
- [ ] Other please explain

**106. Do you contribute floodplain management information to another statewide newsletter or other newsletters?**

- [ ] Yes
- [ ] No

**106.1. Explain:**

**107. Does the state maintain a floodplain management-oriented website?**

- [ ] Yes
- [ ] No
108. Does the state maintain a floodplain management-oriented database?

- Yes
- No

108.1. What does the floodplain management-oriented database contain?

- Community data (contact info & status)
- Mapping related content (e.g., LOMAs, LOMRs, FIRMs, mapping needs)
- State regulations
- State issued permits
- Repetitive loss properties
- Flooding history
- CAV and CAC information
- Ordinances
- Engineering Studies
- Engineering Models
- Contacts
- Technical assistance

108.2. How is the floodplain management-oriented database accessible to the public?

- 

109. Does your state require flood hazard disclosures for properties, such as deed restrictions?

- Yes
- No

110. What public outreach activities does your state conduct for flooding or floodplain management awareness?

- Setup booths at malls, fairs
- Work with the legislature or other sites
- Issue press releases
- Initiate public television spots/interviews
- Promote flood awareness day or week
- Provide a retrofitting open house
- Contact or work with homeowners or homeowner groups
- Other Please explain

111. What public outreach activities does your state conduct for awareness of natural resources of floodplains and coastal areas?

- Setup adopt-a-stream programs
- Advocate wildlife or nature walks
- Setup booths at malls, fairs
- Work with the legislature or other sites
- Issue press releases
- Initiate public television spots/interviews
- Promote beach cleanup
- Other Please explain

112. Does your state floodplain management program produce materials or otherwise help communities in their public outreach activities? (e.g., press release, media kits, handouts, brochures)

- Yes
- No

112.1. Please describe what materials or how your program helps communities in their public outreach activities
113. Does your state program participate or coordinate with private sector efforts to conduct public outreach/awareness of floodplain management or floodplain resources? (e.g. fast food placemats; grocery bags; church activities; Home Depot workshops, etc.)

☐ Yes
☐ No

113.1. Please describe what materials or how your program works with private sector partners in their public outreach activities

Principle 8. Training and technical assistance in floodplain management and resource protection need to be available to the state’s communities.

114. What methods do you use to monitor local programs?

☐ Phone call
☐ Mail survey
☐ Site visit
☐ Complaints
☐ NFIP Submit-to-Rate requests
☐ Biennial report
☐ Other Please explain

115. Ideally how often do you think NFIP communities should have a Community Assistance Call (CAC)?

Every _____ years

Every _____ years (If there is little or no development activity)

Once every _____ years (If there is a history of floodplain mgmt problems)

Once every _____ years (If the community is experiencing growth)

Every _____ years for communities with small policy counts (i.e.,<10) and low population (i.e.,<500)

116. Ideally how often do you think NFIP communities should have a Community Assistance Visit (CAV)?

Every _____ years

Every _____ years (If there is little or no development activity)

Once every _____ years (If there is a history of floodplain mgmt problems)

Once every _____ years (If the community is experiencing growth)
Every __________ years for communities with small policy counts (i.e.,<10) and low population (i.e.,<500)

117. Given your state's staffing and budgetary situation, how often are the NFIP communities monitored?

* Once every __________ years

117.1. How has that frequency changed since 2003?
- Increase
- Decrease
- Similar

118. How do you set priorities for community monitoring visits?
Rank from most frequently used to least with 1 being the most commonly used and 6 the least used.

* Complaints
  2

* Community contact suggests need for a visit
  1

* Community request
  6

* FEMA guidelines (Regional Request)
  5

* Submit-to-Rate applications
  4

* Development activity
  3

Other

119. If in the course of monitoring local programs you find an NFIP violation, who is responsible for follow-up?
- FEMA
- State

119.1. Please explain the process or steps taken when acting on NFIP violations.

120. Do you receive the support you consider appropriate and necessary from your FEMA Regional Office to address enforcement needs in your state?
- Yes
- No
- Sometimes

120.1. If no or sometimes, what additional support do you think is needed?
121. Please indicate which of the following activities your state floodplain management program accomplishes under your Community Assistance Program (CAP) agreement with FEMA.

- Community Assistance Calls (CACs)
- Community Assistance Visits (CAVs)
- Community Rating System
- Workshops
- Regional coordination meetings with states
- Outreach
- Ordinance review
- General technical assistance
- Maintain Community Information System
- Map assistance activities
- State interagency coordination efforts
- Public affairs and media work
- Other Please describe [ ]

For each activity selected in Question 121 above, please indicate the time spent (as % of total time) for each of the activities your state floodplain management program accomplishes under your CAP agreement with FEMA. (Enter a value between 0 and 100 for each - Total for all activities should be 100%)

- Time for: Community Assistance Calls (CAC) 15 %
- Time for: Community Assistance Visits (CAV) 20 %
- Time for: Community Rating System 0 %
- Time for: Workshops 15 %
- Time for: Regional coordination meetings with states 3 %
- Time for: Outreach 5 %
- Time for: Ordinance review 15 %
- Time for: General technical assistance 15 %
- Time for: Maintain Community Information System 5 %
- Time for: Map assistance activities 5 %
- Time for: State interagency coordination efforts 2 %
- Time for: Public affairs and media work 0 %
Time for: Other

Please describe other

123. Is there an unmet need for more floodplain management assistance to the communities in your state?

☐ Yes
☐ No

123.1. Please select which needs have been unmet.

☐ General technical assistance
☐ Training
☐ Community Assistance Calls (CACs)
☐ Community Assistance Visits (CAVs)
☐ Mapping
☐ Habitat evaluation
☐ Enforcement
☐ Ordinance assistance
☐ Ordinance review
☐ Community Rating System (CRS) support
☐ Other Please explain

124. Please indicate if your state floodplain management program (or state association) provides training or input related to floodplain management issues into your state licensing programs and examinations for any of the following allied professionals?

<table>
<thead>
<tr>
<th>Professional</th>
<th>Input for licensing or exams</th>
<th>Training for licensing or exams</th>
<th>CEC's Required</th>
<th>State License Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Building Officials</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Code Enforcement Officers</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Plans examiners</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
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<tr>
<td>Planners</td>
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<td>☐</td>
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<tr>
<td>Elected Officials</td>
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<td>☐</td>
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<tr>
<td>Emergency Managers</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Other state agencies</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Professional Land Surveyors</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Real estate agents</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Insurance agents</td>
<td>☐</td>
<td>☐</td>
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<td>☐</td>
</tr>
<tr>
<td>Lenders</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Building Contractors</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Architects</td>
<td>☐</td>
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<td>☐</td>
</tr>
<tr>
<td>Landscape Architects</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Professional Engineers</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
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<tr>
<td>Attorneys</td>
<td>☐</td>
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</tr>
<tr>
<td>Housing Inspectors</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Site evaluators</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Manufactured housing installers</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>General public</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>
125. Does your state floodplain management program, state association, or local group(s) hold floodplain management oriented workshops for any of the following?

- [ ] General public  How often annually
- [ ] Professional groups  How often annually
- [ ] Other  How often annually

126. How many people/communities attended floodplain management-related workshops or training sessions carried out by your state floodplain management staff during the last year?

* Number of attendees
200

* Number of communities represented
44

*127. Are continuing education credits (CECs) awarded for any of your agency’s state-sponsored floodplain management training opportunities?

- [ ] Yes
- [ ] No

127.1. Under which certification program(s) are CECs granted for any of your agency’s state-sponsored floodplain management training opportunities?


128. Are the state floodplain management agency/program staff encouraged to take advantage of training opportunities such as?

- [ ] State agency conferences or workshops
- [ ] State association conferences
- [ ] FEMA-sponsored classes and workshops
- [ ] The state’s emergency management agency conference or workshops
- [ ] ASFPM annual conferences/specialty conferences or workshops
- [ ] Other
- [ ] Not encouraged

*128.1. Does your agency consider the training time as “work hours”?

- [ ] Yes
- [ ] No

*129. Does your FEMA Regional Office support field-delivery of the Emergency Management Institute’s (EMI) training classes to local communities and officials in your state?

- [ ] Yes
- [ ] No

*129.1. Have you held any deployed EMI training in your state?

- [ ] Yes
- [ ] No

129.1.1. What EMI training classes have you offered?

- [ ] E172 HAZUS Multi-Hazards for Flood
130. If any flood-related EMI classes or field-deployed classes were planned but not held, was it because of lack of any of the following?
- Funding
- Staffing
- Community interest

131. Please list the name and date of any publications produced by your state designed to be a technical assistance tool for community officials or other professional groups.

Principle 9. The levels and quality of funding and staffing for floodplain management should meet the demand within each state.

Effective state floodplain management programs know that it is not enough to rely on federal funding to meet state needs or effectively reduce flood costs and damage. Behind an effective state floodplain management program are state executive and legislative branches that have committed adequate staff resources and funding to the necessary program elements and agencies.

Effective states have assessed the needed level of funding and staffing, based on factors appropriate to their states such as flooding, local administration, anticipated functions of staff members. Floodplain management program budgets are developed with this information to include salaries, operations, mapping, mitigation grants, and other activities. States seek creative ways of obtaining funds and generating revenue.

132. Since 2003, have any of your state floodplain management-related programs or functions changed in any of the following ways?
- Programs or functions added
- Programs or functions discontinued/abolished
- Programs or functions funding discontinued; activities continue
- No changes

132.1. Please explain how or why programs or functions have been added, discontinued, abolished, or not funded.

133. What is the total size of your state floodplain management staff? Indicate the number of full-time equivalent (FTE)
staff persons per year (If floodplain management staff also have other responsibilities, please estimate their combined floodplain management work in terms of FTEs.)

134. How many FTEs in the following disciplines characterize your state's floodplain management staff? (Enter a Zero “0” if none)

- Engineers, architects, landscape architects
  8
- Planners
  0
- Other technical (e.g. hydrologist, geologist, GIS)
  4
- Support (e.g. clerical, administrative)
  2
- Other
  0

135. For each of the FTEs in your state's floodplain management staff, what is the highest degree received? (Please insert a number on the line, e.g., 4 FTEs, 0.5 FTEs, etc. - Enter a Zero “0” if none)

- Post-graduate degree
  8
- College degree
  5
- Community college degree
  0
- Two-year technical degree
  0
- High school graduates
  1

136. How many collective years of floodplain management experience does your state's floodplain management staff have?

- Years
  60

137. How many Certified Floodplain Managers are in your state's floodplain management staff?

- Number of CFMs
  2

138. Has your state assessed statewide needs for any of the following?

- Technical assistance
- Mapping
- Enforcement
- Coordination
- Planning
- Monitoring
- Other Please explain
138.1. What were the statewide needs assessment(s) based on?

- Flood frequency & severity
- Damage potential
- Local administrative capabilities
- Anticipated state staff functions
- Community or regional planning commission surveys or expressed needs
- Past needs and community performance
- Regional input
- Other Please explain

138.2. Is your state able to develop its floodplain management program budget on the basis of that needs assessment?

- Yes
- No

138.2.1. Which of the following were considerations for your state's floodplain management program budget?

- Staff budget
- Operations
- Mapping
- Mitigation grants
- Other Please explain

139. What external factors or events have affected your state's floodplain management program staffing and funding levels since 2003, and what has been the impact of them?

Note that the first part of this section should be answered from your agency's (i.e., State Floodplain Management Program) perspective, not statewide.

140. What is the approximate total annual budget for your floodplain management program based on the following resources? (Enter a Zero “0” if none)

- State funding
  $350000
- FEMA funding under the CAP
  $130000
- CTP FEMA funding
  $150000
- Grant programs (e.g. cost-sharing mitigation funding)
  $50000
- Alternative sources (e.g. fees for state permits, surcharge on local permit fees, surcharge or tax on flood insurance policies, fees on property sales)
  $0
- Other funding sources
  $0

140.1. Please list the name and approximate amount of any grants that contributed to your annual budget? Grant name/amount:

140.2. Please list the name and approximate amount of any other funding sources that contributed to your annual
141. Please estimate your total budget allocated in each of the areas below.

* Salaries and fringe benefits
$650000

* Travel
$30000

141.1. Please indicate the percentage of each budget that comes from CAP funds and the percentage that comes from state funds.

* CAP funds (e.g. 75%)
75%

* State funds (e.g. 25%)
25%

* 142. What is your agency's current indirect rate? 31%

143. What is your floodplain management program's current budget status compared to last years based on state and federal funding sources?

<table>
<thead>
<tr>
<th>Increase</th>
<th>Decrease</th>
<th>No Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>State</td>
<td>☐</td>
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</tr>
<tr>
<td>Federal</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Other</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

*The remaining budgetary questions apply to your state as a whole and include all agencies that have a role in floodplain management-related activities, such as Departments of Transportation, Natural Resources, Emergency Management, Dam Safety, etc.*

144. Other state agencies may be involved in statewide floodplain management activities. Please provide your best estimate of the staffing and funding levels dedicated to floodplain programs in those agencies.

**Agency 1**

Name of Agency

FTEs Working in FPM Activities

Staff budget if known Salary & Fringes
$

**Agency 2**

Name of Agency

FTEs Working in FPM Activities

Staff budget if known Salary & Fringes
$

**Agency 3**
Name of Agency

FTEs Working in FPM Activities

Staff budget if known Salary & Fringes $

Agency 4

Name of Agency

FTEs Working in FPM Activities

Staff budget if known Salary & Fringes $

*145. Does your state cost share local floodplain management programs?

☐ Yes
☐ No

*145.1. What is the approximate budget for the local cost share program? $

145.2. What is the funding source for the local cost share program?

Source 1

Source 2

Source 3

Source 4

*146. Does your state cost share local flood loss reduction projects?

☐ Yes
☐ No

*146.1. What is the approximate budget for the local cost share of flood reduction projects? $

146.2. What is the funding source for the local cost share program?

Source 1

Source 2

Source 3

Source 4

*147. Does your state cost share local floodplain resource protection or restoration projects or programs?
Principle 10. Evaluation of the effectiveness of states’ floodplain management programs is essential and successes should be documented.

*Achieving and maintaining an effective state floodplain management program is an ongoing effort. When program effectiveness is measured through regular evaluations, it is easier to identify opportunities to make adjustments or to add new program elements.*

An effective state program finds ways to tally and record different aspects of the status of floodplain management such as inventorying flood-prone property, document damage avoided and the success of mitigation projects, acreage of floodplain lands preserved in a natural state or otherwise protected, monitoring community program administration, and tracing the progress of mitigation projects. Such data are essential to evaluating how effective programs are, and how to adjust the program to be even more effective.

There are two broad categories to determine the status of floodplain management in the states:
1. overall impacts (or outcomes) and
2. program operations

1.48. Does your state have defined management outcomes for floodplain management or floodplain resource protection?

- [ ] Yes
- [ ] No

1.48.1. Which management outcomes has your state defined for floodplain management or floodplain resource protection?

- [ ] Lower actual flood losses (direct & indirect)
- [ ] Lower potential for future losses (direct & indirect)
- [ ] Improved floodplain functions & resources
- [ ] Increased (FP) acreage in open space
- [ ] Other: Please explain [ ]

1.48.2. Have you established any of the following measures to identify losses and costs toward evaluating the defined management outcomes?

**Direct losses (e.g.):**

- [ ] Physical damage sustained by buildings – cost of repairs
- [ ] Loss of personal belongings and business inventory
- [ ] Physical damage of government buildings (e.g., water supply plants)
- [ ] Catastrophic losses due to failure of flood control levees, floodwalls, or dams
- [ ] Costs of repairs to infrastructure, including provision of temporary services
- [ ] None established
- [ ] Other: Please explain [ ]
Indirect losses (e.g.):
☐ Costs for emergency response (e.g., evacuation, search and rescue operations, and police and fire patrols)
☐ Costs for recovery (e.g., capital projects postponed, loss of government services)
☐ Costs associated with loss of use/access of buildings (e.g., lost business income, lost tax revenue, and lost wages)
☐ Reduced property values and home values for flooded areas
☐ Increased health risks, costs of treating or importing potable water, and environmental costs associated with cleanup after floods
☐ Health problems due to persistent mold from frequent or prolonged inundation
☐ None established
☐ Other Please explain

148.3. Has your state tracked, inventoried or gathered information for any of the following in order to develop baseline metrics for measuring progress?
☐ Flood-prone lands – amount, types
☐ Developed flood-prone lands in flood hazard – amount, types
☐ Potential growth (undeveloped) flood-prone lands – amount, location
☐ Protected or preserved flood-prone lands – amount, types
☐ “At-risk” flood-prone structures – amount, types, location & value
☐ Post-flood information – community, year, water-body, structures affected
☐ Mitigation costs, efforts and results
☐ Documented damage, losses, cost of repairs, including personal property
☐ None tracked, inventoried or collected

148.4. Does your state evaluate progress towards the management outcomes?
☐ Yes
☐ No

148.4.1. How does your state measure its progress towards these management outcomes?
☐ Fewer at-risk buildings in floodplains
☐ Home and business owners have more money more quickly after a flood due to increased purchase of insurance
☐ Increased attractiveness and higher property values near open space and recreation
☐ Fewer critical facilities in floodplains
☐ Reduced losses and flood costs
☐ Enhanced fisheries and reduction of sediment loading
☐ Savings to U.S. Treasury and taxpayers for fewer casualty losses, disaster declarations, emergency costs
☐ Improved water quality, natural storage, filtration and groundwater recharge
☐ Preserved natural habitats, forests, wetlands
☐ Other Please explain

149. Has your state evaluated the effectiveness of its state floodplain management and/or floodplain resource protection program?
☐ Yes
☐ No

149.1. Which of the following areas have you evaluated for effectiveness of your state floodplain management program and/or floodplain resource protection?
☐ Local programs
☐ State agencies’ compliance
☐ Floodplain management program operations and activities
☐ How the state floodplain management program’s work is affecting floodplain management outcomes throughout the state.
☐ Other Please explain

149.2. Did the floodplain management program evaluation consider any of the following operational components?
☐ Staffing levels
☐ Specific activities
*149.3. When was the last evaluation conducted? (month and/or year)

*149.4. Why was your program’s effectiveness reviewed?
☐ Legislative mandate
☐ Strategic planning compliance
☐ Other  *Please explain*

*149.5. How was the program evaluation conducted?
☐ Personal interviews
☐ Mail surveys
☐ GAP analysis
☐ Other  *Please explain*

*149.6. How was the program evaluation documented?
☐ Report hard copy/electronic
☐ Spreadsheet
☐ Database
☐ Other  *Please explain*

*149.7. Is an evaluation part of continual process to check the status of state and/or local programs and properties?
☐ Yes
☐ No

*149.7.1. How often is there an evaluation to check the status of state and/or local programs and properties?

149.8. How does your state adjust the floodplain management program based on the evaluation?

149.9. How was other state agencies’ floodplain management compliance reviewed, measured, and documented within your program evaluation?

*149.10. Were your state’s efforts to measure outputs and evaluate floodplain management program expectations helpful in building a more effective program?
☐ Yes
☐ No

Please explain

* 150. Has your state used FEMA’s CAP-SSSE GAP analysis to close any gaps in NFIP-related activities?
☐ Yes
☐ No

Please explain