



# SUBSTANTIAL IMPROVEMENT/SUBSTANTIAL DAMAGE (SI/SD) Administrative Procedures

The purpose of this document is to outline how **{Name of Community}** will administer and implement steps to fulfill the Substantial Improvement/ Substantial Damage (SI/SD) requirements.

## 1. RECOGNIZING REGULATORY AND LEGISLATIVE AUTHORITY

### A. Location of SI/SD Regulatory Language

Substantial Improvement/Substantial Damage (SI/SD) procedures in **{Name of Community}** are established and regulated as per **{Name of Community}**'s

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Other applicable authority is established through \_\_\_\_\_

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Additionally, SI/SD procedures and other information pertaining to the SI/SD can be found in **{Name of Community}**'s \_\_\_\_\_

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### B. Ancillary SI/SD Authorities

**{Name of Community}** has established the following agreements that enable **{Name of Community}** to access external SI/SD resources in the event additional assistance is required:

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

## 2. COMMUNITY ENGAGEMENT AND THE CURRENT STRUCTURE

### A. Communication Methods

The following communication methods are employed pre- and/or post-event to communicate permitting and process information to the public:

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

### HELPFUL HINTS FOR COMPLETING THE TEMPLATE

Your community identified its existing authority to establish an SI/SD process. Examples include your floodplain management ordinance, zoning/land use ordinance, and/or building codes.

*See page 3 of the Guided Community Self-Assessment.*

Examples of these agreements include MOUs, Volunteer Contracts, State Emergency Management Assistance Compact.

*See page 4 of the Guided Community Self-Assessment.*

Use the communication resources your community identified in the Guided Community Self-Assessment.

*See page 6.*

List where communication methods are documented, e.g., your Emergency Operations Plan, and identify your timeline for evaluating those methods.

**B. Communication Pre-Event**

Outreach information provided pre-event includes: \_\_\_\_\_

\_\_\_\_\_

**C. Communication Post-Event**

SI/SD information provided in post-event communication includes: \_\_\_\_\_

\_\_\_\_\_

**D. Communication Process Location**

The application of the above-listed methods in communicating SI/SD information is documented in \_\_\_\_\_

\_\_\_\_\_

**E. Effectiveness of Communication Process Implementation**

The effectiveness of the above-listed methods is evaluated \_\_\_\_\_

\_\_\_\_\_

**HELPFUL HINTS FOR COMPLETING THE TEMPLATE**

Consider what information you have already developed that could apply to SI/SD.

Consider how you would tailor the outreach post-disaster. For instance if the power is out, door knockers may be more useful than website updates.

Consider how your communication process will be evaluated, timeframe for review, and where it is documented.

**3. DETERMINING IMPACT AREA**

Immediately after an event, community officials will undertake an initial review of the extent of damage including a broad characterization of the number of buildings impacted and the level of anticipated damage.

In some cases, the initial survey is followed by an official Preliminary Damage Assessment (PDA) coordinated by the local emergency manager and performed by teams (may include representatives from local building officials, floodplain managers, and if there is a large enough impact, the State and/or FEMA as well). **{Name of Community}** will use the results of the PDA to help identify significant damage and coordinate SI/SD inspections.

**A. Extent of Impacted Areas**

To determine the extent of the impact area, **{Name of Community}** will use \_\_\_\_\_

\_\_\_\_\_

**B. Resources to Make Extent Determination**

This \_\_\_\_\_ (map/table/other)

is available at \_\_\_\_\_ (location)

and updated by \_\_\_\_\_ (position/department).

List the available resource(s) to be used and the party(ies) responsible for the resource(s).

See page 8 of the Guided Community Self-Assessment.

Please keep in mind the area surveyed for PDAs may be different from the structures impacted in the SFHA.

Emergency “just-in-time” training for the use of the resource(s) identified will be provided as needed. See section 4 for further information on personnel training.

The following steps outline how the resource(s) identified will be used to determine the impact area:

**HELPFUL HINTS FOR COMPLETING THE TEMPLATE**

In the box, include a detailed explanation of how your community will use its identified resources to determine the impact area.

Under the NFIP guidance for SI/SD determinations, only properties with boundaries that overlap with the Special Flood Hazard Area are required for inspection. **{Name of Community}** will estimate the number of damaged structures using the following steps:

During the initial post-event “windshield review” and when determining the impact area, your community should also determine the approximate percentage of damaged structures in the Special Flood Hazard Area.

In the box, include a detailed explanation of how your community will estimate this percentage.

It is also important to identify properties in the SFHA as they may have additional requirements and opportunities.

Remember, if your community has higher standard, the requirements may extend beyond the SFHA.

## 4. IDENTIFYING AVAILABLE PERSONNEL

### People

Based on training and availability during an emergency, **{Name of Community}** will utilize the following staff and/or departments to conduct damage assessments:

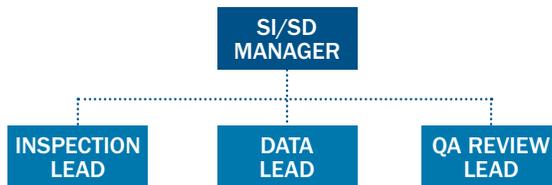
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

The SI/SD team comprises the following positions and associated responsibilities:

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

The following chart defines the **{Name of Community}**'s scalable organizational structure for the SI/SD team.

*Sample Organizational Chart:*



### HELPFUL HINTS FOR COMPLETING THE TEMPLATE

List all staff and/or departments identified to complete damage assessments.

List all SI/SD team positions, assigned staff, and each position's responsibilities.

As part of the Guided Community Self-Assessment, your community identified these roles and responsibilities. See [page 11](#).

In the box, capture your community's SI/SD organizational structure. Please note, this may be different than your day to day structure.

*This can be the organizational chart as referenced on page 13 of the Guided Community Self-Assessment.*

As part of {Name of Community}'s agreement(s) identified in section 1 of this procedure document, {Name of Community} will also utilize available personnel from outside resources to conduct damage assessments as needed. These individuals/agencies will be included in the organizational chart here.

**HELPFUL HINTS FOR COMPLETING THE TEMPLATE**

**In the box, identify where third party contractors and other resources would plug into your community's SI/SD organizational chart. For instance, will the contractors be split by role? Or perhaps all report to the SI/SD Manager?**

- {Name of Community} will utilize outside resources as provided through these agreements when an event impacts \_\_\_\_\_ or if \_\_\_\_\_ of {Name of Community}'s available staff are impacted by the disaster.
- Should an event impact \_\_\_\_\_, {Name of Community} will request additional external support beyond existing agreements.
- *The equation developed in section 6 to determine the timeframe to complete the assessments influences these thresholds.*

Define your community's thresholds for requesting external resources and assistance.

## Training

{Name of Community} will ensure that all internal and external personnel involved in the SI/SD process who require emergency “just-in-time” training will receive such training according to the following plan:

The process/procedure for getting these resources trained is documented in

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The position/department responsible for updating the training documentation is

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### HELPFUL HINTS FOR COMPLETING THE TEMPLATE

In the box, identify how your community will provide emergency training when needed.

This may include a list of personnel and/or positions/roles and what training is required. For instance, some communities find that augmenting permitting staff would require more training than can be provided “just-in-time,” while conducting SI/SD assessment training can be completed relatively quickly with the right materials.

If your personnel do not have the training, please include information on how you will bridge that gap. Please also consider what training the “just-in-time” trainers may need.

## 5. DETERMINING TIMEFRAMES

{Name of Community} will use the following inputs to estimate level of effort and duration. The process to estimate will be \_\_\_\_\_

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{Name of Community} will calculate the time it will take to conduct SI/SD assessments using a variation on the below equation:

The position/department responsible for estimating this will be \_\_\_\_\_

For each structure type to be assessed, {Name of Community} will determine the amount of time necessary for completing all SI/SD assessments.

### A. Threshold for Requesting Assistance

In addition to accounting for varying conditions related to structure types and land use patterns, when estimating timeframes, {Name of Community} will identify other obstacles that may prevent the timely completion of assessments, such as areas with heavy debris blocking access or gated communities.

If the timeline calculated using the equation identified above estimates that SI/SD assessment cannot be completed within \_\_\_\_\_, {Name of Community} will request external resources.

### HELPFUL HINTS FOR COMPLETING THE TEMPLATE

As an example for the equation to the left, if a community has 200 damaged structures in the SFHA, and each takes 15 minutes to assess and 15 minutes to get to the next structure, and there are only 3 teams, the SI/ SD assessment would likely take 30- 35 hours.

Your community may find a different equation is preferable based on the data you will have available.

Calculating timeframes will vary by available staffing. Your community should revisit section 3 and consider any external resources and the time to get those resources activated when estimating timeframes.

Remember, most rebuilding work begins within the first seven days after an event!

## 6. ESTABLISHING A SUBSTANTIAL IMPROVEMENT/SUBSTANTIAL DAMAGE DETERMINATION PROCESS AND METHODOLOGY

Structures damaged between 50 and 100 percent are considered substantially damaged and are required to be brought into compliance with both the local building code and the local floodplain development regulations. A structure that is damaged to 55 percent (e.g., of its market value) is not treated differently than a structure that is 90 percent damaged in terms of floodplain development regulations. {Name of Community} will determine these percentages based on

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### Preliminary Structure Determinations: Screening and Categorizing (All Damaged Structures)

#### A. Timeframe

{Name of Community} will conduct preliminary structure evaluations within -----  
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{Name of Community} will conduct preliminary structure evaluations to classify damaged structures into the following categories: 0 to 40 percent damaged, 40 to 60 percent damaged, and 60 percent or more damaged. This initial classification of damaged structures is based on the following criteria:

#### B. Initial Screening

This initial screening of the structures in an area(s) is based on the following criteria: -----

After the preliminary evaluations, {Name of Community} will refine the delineation of the impact area and differentiate areas with structures that are between 40 and 60 percent damaged.

#### HELPFUL HINTS FOR COMPLETING THE TEMPLATE

How will your community determine these percentages? For example, will they be based on market value, tax assessed value, or otherwise.

Define the timeframe within which preliminary structure evaluations are conducted.

To classify damaged structures, community-defined indicators can be utilized. For example, some communities use high water marks to estimate damage in certain neighborhoods.

Identify the threshold percentage(s) your community will apply when determining where to conduct further assessments.

For example, “between 40 and 60% damaged.”

### C. Assigned Structures to Damage Percentage Categories

#### Zero to 40% Damaged

For structures that are less than 40 percent damaged, the process will be \_\_\_\_\_.

#### Greater than 60% Damaged

For structures identified as more than 60 percent damaged, the process will be \_\_\_\_\_.

#### Damaged 40%- 60%

For structures that are more likely to be controversial in the 40-60 percent damaged, the process will be \_\_\_\_\_.

### Conducting Determinations (Structures Damaged 40-60%)

To conduct SI/SD assessments for structures damaged between 40 and 60 percent, **{Name of Community}** will utilize \_\_\_\_\_.

The process is outlined as follows:

**{Name of Community}** will utilize the following data to conduct SI/SD assessments:

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

#### HELPFUL HINTS FOR COMPLETING THE TEMPLATE

Some communities choose to conduct more detailed assessments for structures in the 40-60% (or even 30- 70%) damaged window to make sure the process is applied consistently.

Identify tools and methodology your community will use to conduct assessments.

*Refer to page 19 of the Guided Community Self-Assessment.*

List the data item and source.

*Refer to the list your community developed on page 20 of the Guided Community Self-Assessment.*

## 7. COMMUNICATING DAMAGE TO PARTNERS (Local/State/Federal)

### State Communications

#### A. Position Responsible

The position responsible for communicating SI/SD information to State partners is \_\_\_\_\_.

#### B. State Partnering Agencies

State partners include:

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

#### C. Communication Method

As determined in section 4, and based on the equation developed in section 6, State partners will be contacted if \_\_\_\_\_.

#### D. Timeframe for Response to Support Request

In agreement with State guidance, State partners will be available to deploy and/or arrive within \_\_\_\_\_ hours/days.

### Federal Communications

#### A. Position Responsible

The position responsible for communicating SI/SD information to Federal partners is \_\_\_\_\_.

#### B. Federal Partnering Agencies

Federal partners include:

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

#### C. Communication Method

As determined in section 4, and based on the equation developed in section 6, Federal partners will be contacted if \_\_\_\_\_.

#### D. Timeframe for Response to Support Request

In agreement with Federal guidance for your region, Federal partners will be available to deploy and/or arrive within \_\_\_\_\_ hours/days.

#### HELPFUL HINTS FOR COMPLETING THE TEMPLATE

It may be helpful to develop a similar section for community to county communications, if that applies to your jurisdiction.

See page 22 of the *Guided Community Self-Assessment for partners your community has identified*.

Identify the circumstances through which State partners will be contacted.

Identify the circumstances through which Federal partners will be contacted.

Remember, federal partners may not be authorized to deploy until a Federal Disaster Declaration is issued.

## 8. COMMUNICATING SUBSTANTIAL IMPROVEMENT/SUBSTANTIAL DAMAGE INFORMATION TO STRUCTURE OWNERS

### A. Determine Timeframe

Residents will be notified of the SI/SD determination within \_\_\_\_\_ of an SI/SD assessment as per the detailed process identified in section 5.

### B. Determine Delivery Method

{Name of Community} will use the following means of communication for notifying structure owners of SI/SD determinations and the appeal process:

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

## Appeals

### A. Location of Appeals Language

The SI/SD appeals process is documented in {Name of Community}'s \_\_\_\_\_.

### B. Appeals Review Body

{Name of Community}'s appeals process allows for structure owners to voice dissent and potentially change the process. The community will also work to ensure SI/SD determinations are accurate, consistent, and defensible. The process includes:

### HELPFUL HINTS FOR COMPLETING THE TEMPLATE

See page 23 of the *Guided Community Self-Assessment for the information your community collected on post-disaster outreach and the appeals process.*

Identify the timeframe within which structure owners are notified of SI/SD determinations.

Identify the document that establishes your community's appeals process. List all requirements of the process in the box.

The following methods of determination are recognized as valid and legally sound:

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

The outcome of any appeal will be documented in \_\_\_\_\_  
\_\_\_\_\_

**HELPFUL HINTS FOR  
COMPLETING THE TEMPLATE**

Include the document(s)  
wherein which your community  
records appeals decisions.

## 9. MONITORING AND REINTEGRATION

Any external resources requested will be demobilized and the continuity of the SI/SD process will be maintained based on the following:

{Name of Community} will integrate SI/SD follow-up into the regular permitting and appeals process based on the following: