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## 6 PLAN MAINTENANCE PROCESS

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This chapter focuses on two aspects of the process Kansas uses to maintain the Kansas Hazard Mitigation Plan:

- Monitoring, evaluating, and updating the plan
- Monitoring progress of mitigation actions

## 6.1 Monitoring, Evaluating, and Updating the Plan

**44 CFR requirement 201.4(c)(5)(i): [The Standard State Plan Maintenance Process must include an] established method and schedule for monitoring, evaluation, and updating the plan.**

The process to develop this 2013 plan update is described in detail in chapter 2 and the Supplemental Documentation maintained by KDEM supplies the details of individuals representing each agency, agendas meeting minutes, and sign-in sheets from the past year.

Hazard mitigation planning is a continuous and ongoing process. Policies and procedures established in this plan reflect the current hazard mitigation philosophy at both the state and national level. Changes in hazard mitigation programs and/or priorities, including changes in legislation and available funding, may necessitate modifications to this plan.

### 6.1.1. Plan Monitoring and Evaluation

This section describes the actions that will be taken by the KHMT and participating agencies to monitor implementation of the Kansas Hazard Mitigation Plan and to evaluate its effectiveness in reducing the vulnerability of Kansas to future disasters. The plan's monitoring and evaluation process assesses progress made in plan implementation, emphasizing the State's efforts to achieve the plan's mitigation goals and objectives through completion of identified actions. The committee found the existing method to be adequate for continued monitoring of the plan.

Monitoring and evaluation of the state plan will continue to occur through regular meetings of the KHMT. The KHMT will meet quarterly, with flexibility, and following major disasters and will review State mitigation project implementation, noting with successes and challenges. An annual plan review will be conducted to examine the State's mitigation programming more comprehensively. At these annual meetings, the KHMT will evaluate the plan in the context of the State's current hazard environment, vulnerabilities, funding availability and needs, as well as federal and state policy changes. For the annual plan review, in addition to the activities conducted at the quarterly meetings, the KHMT will update the status of each action in the mitigation strategy as well as focus on the following questions (criteria) to evaluate the plan:

- Does the State have the resources it needs to continue implementing the plan as written (e.g., funding, technical, and staffing resources)?
- Are there new hazards that threaten the State or new vulnerabilities that require a shift in hazard priorities?
- Are the goals and objectives still relevant?
- Have there been any changes in state capabilities (gained or lost)?
- Are the actions being implemented as planned?

- Are the actions helping to meet goals and objectives?
- Is the State taking full advantage of possible funding sources in its implementation of the State hazard mitigation program?
- Can action effectiveness be documented?
- Has the process to monitor and evaluate the plan been effective?

Information at the quarterly and annual meetings will be collected and incorporated into the official plan update (see Section 6.1.2 Plan Updating and Maintenance). Changes or amendments to the plan may be made prior to the official plan update as necessary to address significant changes in priorities or federal and state regulations, statutes, or policies. These changes will be submitted to FEMA as part of the required official plan update.

### ***Schedule for Plan Monitoring and Evaluation***

The KHMT meets once a quarter. Annual plan reviews will be conducted at the August meeting on a yearly basis. The next annual plan review is scheduled for August 2014 for the annual review of the 2013 plan update.

### ***Responsibility for Plan Monitoring and Evaluation***

The KHMT is charged with the overall responsibility for plan monitoring and evaluation. KDEM, in its capacity as support agency to the KHMT, is responsible for coordination and leadership of the KHMT. KDEM's responsibilities for monitoring and evaluating the plan include the following:

- Communicating the schedule and activities for plan updating and maintenance to the KHMT,
- Facilitating meetings of the KHMT,
- Assisting other agencies with the implementation of mitigation actions,
- Coordinating with agencies between KHMT meetings,
- Coordinating and conducting outreach to other stakeholders or interested parties and the public,
- Obtaining local/regional mitigation plan data to be used in plan update cycles,
- Conducting all plan evaluation and monitoring activities that are not otherwise assigned to another agency,
- Monitoring, capturing, and communicating mitigation success stories,
- Documenting and incorporating the findings of the evaluation and monitoring analyses into the next update of the Kansas Hazard Mitigation Plan,
- Updating the KHMT on mitigation grant funds available or dispersed for actions, and
- Engaging and maintaining the interest of the agencies participating on the KHMT.

### ***State agency responsibilities as a member of the KHMT***

As participants of the KHMT, state agencies have the following responsibilities for plan monitoring and evaluation:

- Participating in meetings of the KHMT,
- Leading the implementation of their agency's respective mitigation action(s),

- Providing progress reports on their agency's respective mitigation action(s),
- Monitoring and documenting disasters of significance to state agencies and providing this information to KDEM,
- Suggesting plan revisions to reflect changes in priorities, regulations, policies, or procedures, and
- Taking action as needed to effectively monitor and evaluate the agency's role in the planning process

Local/regional mitigation planning efforts in Kansas also have responsibilities to support the State's efforts to monitor and evaluate the statewide mitigation program. These local/regional responsibilities include the following:

- Providing initial and updated local/regional mitigation plan data to KDEM,
- Maintaining and enhancing participation in the local/regional mitigation planning process,
- Tracking data regarding the implementation status of local/regional mitigation actions,
- Tracking changes in the number of people and property at risk, the vulnerabilities of critical facilities, and the development of mitigation-related policies to understand how the local/regional mitigation plan is influencing community-level mitigation capabilities,
- Tracking actions proposed and completed that address local/regional mitigation goals and objectives as well as the vulnerabilities of previously assessed facilities and neighborhoods, and
- Conducting other monitoring and evaluation activities that would be unique to their jurisdiction and its local/regional mitigation planning and programming

### **6.1.2. Plan Maintenance**

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The State's system for updating and maintaining the mitigation plan will be implemented through ongoing activities. KDEM will maintain a file to capture information valuable for the next update of the plan. This file will include the following:

- Records of all KHMT meetings, including agendas, sign-in sheets, minutes, and other handouts,
- Documentation of annual plan reviews,
- Recommendations made from annual plan reviews,
- Records of notable disasters for hazard identification and risk assessment profile updates,
- New reports or studies on hazards and vulnerability,
- Mitigation success stories, and
- Annual reports from the Adjutant General's Department and the Commission on Emergency Planning and Response (and others as available).

State agencies participating on the KHMT should maintain similar files of information that will be useful to the update process. The process of updating the plan will follow the general process utilized for the 2013 update, which is outlined in Section 2.1.2 2013 Plan Update Process. It will also incorporate updated FEMA state plan update guidance, as appropriate.

## ***Schedule for Plan Updating and Maintenance***

Updates to state plans are required by FEMA every three years or as directed by new legislation. As of June 2013, the next update of the Kansas Hazard Mitigation Plan will need to be reviewed and approved by FEMA by November 2016. The KHMT will aim to complete the plan by early October of the year the update is due, to allow enough time for FEMA to review the plan and for the State to readopt it. The plan will need to be readopted by the Governor's Authorized Representative, the Adjutant General, Director of Emergency Management and Homeland Security.

At the August 2015 KHMT meeting, KDEM will issue a schedule for the KHMT for the 2016 state plan update. If or when regulations change and allow for plan updates every five years, these dates will reflect the new timelines for plan updates. The following activities will occur at the next kickoff of the plan update:

- Describe schedule for KHMT plan update meetings,
- Determine involvement and activities of newly participating state agencies (as well as changes in existing ones) representatives,
- Update assessment of hazard profiles and vulnerabilities,
- Describe there will be an update to State programs and policies as well as State capabilities,
- Identification of new mitigation actions will occur,
- Describe that they will update status of mitigation actions identified in the previous update, and
- Introduce the contract consultant assisting in the plan update.

## ***Responsibility for Plan Updating and Maintenance***

KDEM, as the designated support agency for the KHMT, has the primary responsibility for ensuring that the Kansas Hazard Mitigation Plan is updated and maintained. In this coordination role, KDEM will do the following:

- Schedule and facilitate meetings of the KHMT in every quarter (this includes the annual meetings to be held each August, kicking off the 2016 update in 2015),
- Track completion of mitigation actions,
- Solicit the involvement of additional public and private sector participants in the statewide mitigation planning process,
- Print and publish updates of the Kansas Hazard Mitigation Plan,
- Coordinate and implement a state-level "after action" review of disasters of statewide significance to document the impacts, review the effectiveness of pre-existing mitigation actions, and define the need for new actions to be proposed and incorporated into the Kansas Hazard Mitigation Plan,
- Manage and administer the local/regional mitigation planning process, including establishing a schedule for submittal of local/regional plan updates (all initial plans are done except Wallace County); incorporating data from the State plan into the local/regional plans, providing technical guidance to local emergency managers assisting KDEM with regional plans; facilitating regional plan updates; and submitting the regional plans to FEMA.,

- Incorporate available local/regional mitigation plan data into the state plan and advise the KHMT on the implications of the local/regional data to statewide mitigation planning and programming,
- Conduct periodic reviews and evaluations of the progress in implementing the Kansas Hazard Mitigation Plan and in achieving state-level mitigation goals and objectives
- Serve as the point of contact for the KHMT and the agencies participating in the plan, and
- Take other actions as necessary to maintain and expand the Kansas Hazard Mitigation Plan.

All agencies participating in the statewide mitigation planning process will do the following to fulfill their responsibilities for updating and maintaining the Kansas Hazard Mitigation Plan:

- Cooperate with requests from KDEM for updated or new technical data relevant to the agency and mitigation plan,
- Assign staff, as indicated or on request, to attend meetings of the KHMT,
- Complete assigned mitigation actions when assigned as the lead agency, or assist the designated lead agency as a support agency,
- Propose mitigation actions to reduce vulnerabilities to future disasters and endeavor to implement the proposed mitigation actions as the resources and/or opportunities become available,
- Cooperate with efforts for program coordination and/or with consolidation when appropriate, and
- Serve as a technical resource for local/regional mitigation planning groups, when indicated.

### **6.1.3. Successes and Challenges to Monitoring, Evaluating, and Updating the Plan**

The success of the State Mitigation Plan update process has been demonstrated by continuous involvement and coordination of state agency representatives and federal and state stakeholders that have invested their time and energy into the KHMT and attend the quarterly meetings and annual reviews on a regular basis. This long-standing team is dedicated to sharing knowledge, success stories, and working thru issues such as funding shortfalls for mitigation projects. With the continued plan to utilize the KHMT for future monitoring, reviews, and updates, this successful coordination will continue.

## **6.2 Monitoring Progress of Mitigation Actions**

**44 CFR requirement 201.4(c)(5)(ii)and(iii): [The Standard State Plan Maintenance Process must include a] system for monitoring implementation and a system for reviewing progress on achieving goals as well as activities and projects in the Mitigation Strategy.**

This section describes the State’s system for monitoring implementation of mitigation actions and reviewing progress toward meeting plan goals. The State’s system relies on a quarterly meeting schedule with annual plan reviews, and the lines of responsibility are similar to those in the previous plan. It also uses a structured mitigation strategy to review overall progress toward meeting goals.

## **6.2.1. Monitoring Action Implementation and Closeouts**

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As part of the plan update, each designated lead agency completed a Modified Mitigation Action Implementation Worksheet providing the status on mitigation actions and implementation details from the previous update. Actions were given a status update as completed, ongoing, delete, or deferred and reported on in this 2013 plan. New actions identified by the KHMT as part of the 2013 plan update were added. The results of this review are discussed in Section 4.4.1 Identifying, Evaluating, and Prioritizing Mitigation Actions.

This approach forms the basis for the State's system for monitoring future implementation of mitigation actions and reviewing the progress of its mitigation strategy. The KHMT will meet on a quarterly basis as previously discussed. Each year, the August meeting will serve as the meeting for annual plan review. In association with the annual plan review, state agencies will complete Mitigation Action Implementation Worksheets on the actions for which they are responsible. The worksheets will capture whether implementation has begun, and, if so, the implementation details. If implementation has been completed, the date of completion will be documented. If the agency no longer intends to implement the action, it is classified as deleted. KDEM will update the State of Kansas Planning System database with the new information. At the annual review meeting, the KHMT will review the current implementation status of all actions and modify priorities and methods as needed.

During quarterly meetings, the KHMT will review implemented actions, including those funded through FEMA. This schedule will be consistent with progress reporting on FEMA-funded state or local mitigation actions, which occurs on a quarterly basis. Subgrantees are required to submit quarterly reports to KDEM 15 workdays after the end of each federal quarter. Quarterly reports will be summarized by KDEM and provided to FEMA no later than 30 days after the end of each federal quarter. Site visits, telephone conversations, and quarterly reports will be used to monitor and track the progress of actions funded with FEMA mitigation grants.

The KHMT will use the State of Kansas Planning System database to sort out implemented actions and track specific information, such as funding sources, action types, closeouts, and eventually, effectiveness. KDEM already maintains a database of property buyouts that tracks where properties have been removed from the floodplain. This database could be linked or expanded to track all implemented actions. By spatially linking the database with GIS, the State could map locations of mitigation actions.

The State will also update the database after disasters and will evaluate action effectiveness, if possible. For example, after a disaster, KDEM could contact the local entity where an action has been implemented to determine if it was effective in reducing losses or saving lives. These results would be assessed to inform future planning processes. Documented success stories will be posted on the KDEM website.

Monitoring implementation status of mitigation actions will occur at the State and local/regional levels. Monitoring the implementation of local/regional mitigation actions and linking these to state actions will be challenging and requires a shared responsibility between the State and

local governments. The local/regional actions will be maintained in the State of Kansas Planning System.

KDEM is responsible for the overall continued management and maintenance of the monitoring system for the Kansas Hazard Mitigation Plan. The agencies of the KHMT are responsible for tracking the status and implementation of actions for which they are the designated lead agency. KDEM, as the state agency responsible for management of FEMA mitigation funds, is also responsible for monitoring the progress, implementation, and closeout of any state or local mitigation actions funded by the Hazard Mitigation Grant Program (HMGP), Pre-Disaster Mitigation (PDM) program, Repetitive Flood Claims program, and Severe Repetitive Loss program.

Final closeout and audit procedures are the responsibility of the lead agency for that action. For purposes of the KHMT, documentation of completion by the sponsoring organization constitutes closeout. KDEM will assist agencies on the reporting and closeout of FEMA funded actions (e.g., HMGP funds and PDM grants administered by KDEM with state or local eligible agencies as the subgrantee will be closed out in accordance with the established requirements of the FEMA grant). HMGP closeout procedures are detailed in the State of Kansas Hazard Mitigation Grant Program Administrative Plan (DR-4010-KS, 2011 and the Annex for DR-4112-KS, 2013).

## **6.2.2. Reviewing Progress on Achieving Goals**

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The Kansas Hazard Mitigation Plan includes provisions to review progress toward achieving the identified mitigation goals and objectives. Because goal statements are normally phrased as idealized future conditions, they may not be fully attainable and are difficult to measure. By breaking goals down into more specific and measurable objectives and actions, the KHMT is able to monitor progress toward achieving goals.

In identifying mitigation actions, the KHMT focused on those actions intended to further specific plan goals and objectives, which is shown in Section 4.4.2 2013 Updated Mitigation Actions. During each plan update cycle, the KHMT will review each plan goal and objective and the status of associated actions will be assessed.

The Kansas mitigation strategy links actions specifically with goals and objectives. Thus, progress toward achieving goals is directly measurable by the actions that are completed. There are four mitigation actions completed from the 2010 plan linked to the following goals and objectives:

- 1.3 Reduce repetitive property losses due to flood, wildfire, and other hazards;
- 2.1 Encourage all Kansas communities to develop, implement, and adopt a local/regional hazard Mitigation plan, and update FEMA-approved mitigation plans every five years;
- 3.5 Enhance capabilities to collect, analyze, update, and exchange data and information to support risk assessment and mitigation needs; and
- 3.6 Incorporate a standardized probability methodology for local/regional plans to all consistency and ease the roll up of information into the state plan.

The status of the Mitigation Actions from the 2010 Plan is discussed in Section 4.2.1 Identifying, Evaluating, and Prioritizing Mitigation Actions. Actions may contribute to meeting more than one goal or objective but are linked with only one goal and objective for tracking purposes. Many actions in the plan will be ongoing and progress will have occurred even though the action is not designated as “completed.”

The KHMT may use quantitative measures to assess the progress of some actions. An example is the increase in number of participants in the National Flood Insurance Program or Community Rating System over time. Other quantitative measures of progress may include the change in the numeric risk estimates for different hazard types and local jurisdictions. Changes in the estimated number of people and the dollar value of state and local property at risk from different hazard types, and mitigation grant funding dispersed over time, are also included. Many mitigation actions are related to agency coordination or education and training, thus it is difficult to gauge the actual cost-benefit or future losses avoided. Progress on these actions may be quantified through the number of workshops conducted or partnership initiatives developed.

The review of progress is the responsibility of the agencies and stakeholders of the KHMT and will be facilitated by KDEM. It is also the responsibility of local jurisdictions to notify KDEM when a mitigation action successfully reduced losses to lives or property. KDEM will initiate this review as part of the plan update process every three years.

### **6.2.3. Successes and Challenges to Monitoring Progress of Mitigation Actions**

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For the 2013 update, progress on all actions was solicited from the lead agency associated with each action. The State has made progress completing several mitigation actions such as creating a model ordinance for dam breach inundation areas and wildfire vulnerability with the Kansas Forest Action Plan. These actions are identified in Section 4.4.1 Identifying, Evaluating, and Prioritizing Mitigation Actions.

Many of the completed actions were implemented within existing state agency programs and budgets. These will remain a focus in identifying effective and achievable mitigation actions in the future. A challenge during the 2013 plan update was tracking the number of actions in each local plan. A large number of local plans included actions that were described as “multi-jurisdictional” without specifying which jurisdictions were participating in the action. In some instances a single coordinating jurisdiction, usually the emergency management agency, was listed for multi-jurisdictional actions, but it was not obvious which other agencies would be participating. In the roll-up of local actions, no attempt was made to assign jurisdictions to these types of actions. In these cases, the action was counted as a single action. Because of the large number of actions in some plans and the vagueness of the participating entities in other plans, it will be extremely difficult to provide action updates in the new regional planning process.