

RECREATION OF “PLAN MAINTENANCE PROCESS” SECTION FROM “KENTUCKY STATE HAZARD MITIGATION PLAN: 2010 EDITION”

Appendix 6-5

Standard Portion: Plan Maintenance

Commonwealth of Kentucky Enhanced Hazard Mitigation Plan: 2013 Version

Kentucky Emergency Management (KYEM)

University of Kentucky, Martin School of Public Policy and Administration

Hazard Mitigation Grants Program (UK-HMGP)

University of Louisville Center for Hazards Research and Policy Development (CHR)

This appendix is provided in order to back up the following claim made in the text of the “Commonwealth of Kentucky Hazard Mitigation Plan: 2013 Update”: The plan maintenance section of the 2010 update of Kentucky’s hazard mitigation plan was almost singularly focused on the Community Hazard Assessment and Mitigation Planning System (CHAMPS).

P



e

7.1 Monitoring, Evaluating, and Updating the Plan

Requirement §201.4(c)(5)(i): [The Standard State Plan Maintenance Process must include an] established method and schedule for monitoring, evaluating, and updating the plan.

KyEM, CHR, UK, and the SHMT will monitor and evaluate the status and progress of the plan elements on a continual basis. The development of the CHAMPS system is scheduled to be on-line in the fall of 2010 and will provide a framework for a living planning document. As described previously, most of CHAMPS' primary functions are specifically designed for the monitoring, evaluating, and updating of the mitigation plans.

The CHAMPS development team is comprised of KyEM, CHR, and the engineering firm Stantec. The system is a comprehensive set of databases and frameworks which is synergized for all users. CHAMPS will exist on-line in a portal system. The portal will be the avenue for authorized users to enter and review data. This portal will be housed at KyEM with a back up at CHR. Upon completion of CHAMPS, KyEM will be the manager of the portal.

Within CHAMPS there will be functionalities to monitor the plan. Housing the plan in a linked set of databases and forms provides KyEM, CHR, UK, and planning partners the easy access to plan components and the functionality to evaluate and update the plan on a daily basis.

To further discuss the monitoring, evaluating, and update processes the following sections will describe how CHAMPS will enhance the plan maintenance process.

Planning Process

Within the CHAMPS system there will be added functionality to capture the roles of the planning partners. Each planning partner will be assigned a role from KyEM through a system called ITEAMS (See Appendix 4). The roles will indicate who is involved in the preparation of each plan and thus allow KyEM to monitor and evaluate the participants in each plan update. Also, within CHAMPS the team is building a function which captures attendance at each meeting thus providing a direct link to understanding how

other agencies participated in plan updates and who is involved in mitigation activities across the state. This functionality will also describe coordination among agencies and will provide a database to ensure this information is current. To assist with the program integration, CHAMPS will provide a direct link to the most current state mitigation planning programs and products. Again, with this information being linked into a database in a digital format, program integration data can be evaluated and updated on a daily basis. For example, if a new mitigation program (federal, state, or local) is developed, the end user can access their planning document and update the mitigation program database and thus update their plan.

These monitoring and evaluating functions will be provided to each identified planning partner as assigned by KyEM. An identified area of concern over the years has been the issue of high staff turnover. With the data being housed inside CHAMPS the end users can assume new job requirements and have a baseline to review inside the system. This will drastically improve the quality of every phase of the plans and thus improve the update process.

With the capacity to update the plans on a daily basis, it was necessary to add an iteration tracking system inside CHAMPS. Iteration tracker is a utility which manages plan and data versioning to support historical reporting and compliance with the Disaster Mitigation Act 2000 update requirements

Risk Assessment

Some of the key elements of the CHAMPS system will be housed in the risk assessment section. Using the system's database technology, KyEM will be able to capture real time hazard occurrence and loss data. This data will feed directly into capturing the probabilities and consequences from actual events and thus build the Annualized Loss Rank (ALR). KyEM, CHR, and Kentucky's mitigation partners are enthused about the possibilities this function can provide. The capturing of real-time hazard data will drastically improve Kentucky's understanding of risk and vulnerabilities. This real-time feed of hazard data will allow for a continual update to the risk assessment models. KyEM staff will monitor the capture of data.

The data capture will also provide the information needed to produce high benefit cost ratios (BCR). One area which has eliminated several projects in the past, is the lack of accurate loss and occurrence data. The data capture will allow local users to add loss and occurrence information into a system that not only will be building an improved risk

assessment, but also building the data to perform a BCA, and improving the chances of receiving mitigation funding for a specific area. Capturing of the data within CHAMPS will also promote efficient monitoring and evaluation capabilities for the project application reviewers.

Another functionality which will be developed in CHAMPS is the capacity to capture exposure data to improve the assessment of vulnerability and estimation of losses. Again, an identified area of need has been the enhancement of exposure data. KyEM and CHR have reviewed the efforts of other states and based on those observations are developing CHAMPS database formats. This repository will allow end users to add data on population, property, essential facilities, and infrastructure. This type of data will vastly improve the risk assessment section and overall emergency management planning. As mentioned in the planning process, KyEM will be responsible for the tracking any necessary system changes.

Mitigation Strategy

The Mitigation Strategy section will realize significant improvements through the use of CHAMPS for monitoring, evaluating, and updating. This section will have several linked database tables developed to promote integration, prioritization, and evaluation. Database forms will be provided in CHAMPS for use by each planning partner to add mitigation goals, objectives, and actions. This will allow KyEM, UK, and CHR to easily review and integrate local mitigation goals, objectives, and actions into the state plan. The review of 2007 plan update revealed the need for CHAMPS to facilitate the integration of local plan strategies into the state plan. The database capture will provide a resource which can be monitored, evaluated, and updated on a continual basis.

Another important CHAMPS addition is the development of Mitigation Action Forms (MAFs). The MAFs will combine two (2) current functions, 1) the Letter of Intent (LOI) and 2) the mitigation actions located within the mitigation strategy section. The current process of capturing LOIs after a presidential declaration has proven cumbersome, especially in light of the multiple disaster occurrences experienced by Kentucky over the last three (3) years. The urgency of potential applicants to deliver LOIs and the application review process at the state level has become overwhelming. Also, KyEM and UK noticed, with the increased volume, it was increasingly difficult to accurately track projects represented in local mitigation plans. CHAMPS is designed to improve

this process through the use of MAFs. Within the mitigation action section of the plans, the end user will enter their mitigation actions into a standardized format. That format is a combination of what was captured from the LOIs and what needs to be captured from the mitigation action crosswalk questions. Capturing the data in this database format will allow KyEM to easily sort, prioritize, and pre-identify projects for disaster areas. KyEM will also be able to transition the MAFs into the project application process and track the workflow of the grant from start to finish.

Through CHAMPS, the monitoring, evaluating, and updating of the state and local capabilities section will also be enhanced. These capabilities sections will be entered into a database which can be monitored and updated on a continual basis. KyEM will be able to track which mitigation capabilities are being used throughout the state. Using the data capture capabilities of CHAMPS will provide KYEM a tool by which to perform program oversight in a more efficient manner.

Lastly, one of the most important aspects of CHAMPS will be the ability to track avoided losses. By capturing and tracking mitigation projects through the portal, KyEM and its partners will finally have of the capacity to identify avoided losses. Each mitigation action and project will be housed inside CHAMPS. After a project is complete, the geo-location and project details will be maintained in the database. This data will be used to locate where mitigation has occurred over time, thus providing a blueprint of where the state has avoided losses. This functionality will allow KyEM to showcase the true benefits of mitigation to stakeholders. KyEM will be the lead agency to monitor and evaluate the projects from start to finish.

Coordination of Local Mitigation Planning

CHAMPS was designed primarily for this section of the plan. CHAMPS will provide locals with the opportunity to search data, apply for grants, and to update their plans. The CHAMPS database structure was developed to create a synergized flow between local mitigation plans and state mitigation plans. Capturing critical components for the risk assessment and mitigation strategy sections, local mitigation planners will be able to review and update their plans.

The CHAMPS MyPlan component is developed to provide a local planner a blueprint to follow in the development of the local mitigation plan. MyPlan will follow the crosswalk steps allowing the locals to complete their plans in a standardized and correct format. With the iteration tracking function, KyEM and UK will be able to monitor and evaluate

each plan's life span and understand in which phase the plan is on a continual timeframe. Adding prioritization functionality is also a major focal point in CHAMPS. With the standardization of the risk assessment and the mitigation strategy sections, KyEM and its partners will have a better understanding of the priorities set forth in a plan and how those priorities might justify funding.

Plan Maintenance

The CHAMPS system will completely change how plan maintenance is achieved in the future. KyEM realized that the current maintenance schedule of updating plans every three (3) years was not an efficient and comprehensive methodology. CHAMPS is designed to provide KyEM and its partners a comprehensive planning system. Monitoring, evaluating, and updating functions are major components of CHAMPS. KyEM's vision of CHAMPS is to develop a comprehensive solution for supporting emergency and hazard management, response, recovery, and mitigation activities. This system is created to connect new and existing information subsystems, or modules, together in a manner that unites multiple agency workflows and decision making processes. CHAMPS allows for constant plan maintenance by KyEM and for its partners.

7.2 Monitoring Progress of Mitigation Activities

Requirement §201.4(c)(5)(ii): [The Standard State Plan Maintenance Process must include a] system for monitoring implementation of mitigation measures and project closeouts.

The State Hazard Mitigation Officer (SHMO) and KyEM staff will continue to evaluate the implementation of mitigation measures on a local, regional, and statewide basis.

For projects funded by HMGP, PDM, FMA, RFC, and SRL, monitoring will include, at a minimum, quarterly progress reports (See Appendix 57) and project tracking spreadsheets. The staff will also maintain regular contact with the local project managers (subgrantees) through phone calls and email. State staff will continue to travel to each project site a minimum of two (2) times, once for an award briefing and initial site visit and again to conduct a final site visit. Other site visits may be conducted if requested by the subgrantee or if the state determines a need.

The auditing of payment requests also serves as a tool for monitoring implementation. Each payment request is audited financially and programmatically for grant compliance. This serves as a check of the implementation progress of the project.

For projects occurring outside the five (5) federal grant programs monitored by the State Hazard Mitigation Office, the Mitigation Action Reports were created for an update process and will continue to be used on an annual basis.

Quarterly Reports

Quarterly reports must be submitted by subapplicants at the end of each fiscal quarter. The report includes information on the latest quarter's activities, expenditures, accomplishments, and shortcomings (See Appendix 58). This allows the State to predict any extension request or project underrun or overruns. It also provides an update on the progress of the project.

The State will review the quarterly reports and combine all the information on a single spreadsheet. Once the spreadsheet is reviewed for accuracy it is then submitted to FEMA Region IV within 30 days of the end of the quarter.

Project Tracking Sheets

Due to the volume of disasters over the past few years, KyEM has created a “Project Tracking Sheet” (See Appendix 52). This project tracking spreadsheet includes the status of all projects that are approved as well as those in the development stages. This allows any staff member to update or view the status of any project at any given time. The tracking sheet is also being formatted for posting on the KyEM website for the convenience of the subapplicants. The project tracking sheet is updated weekly.

CHR has developed a statewide mapping system to track where KyEM mitigation projects are occurring. This provides a visual tracking mechanism for the promoted actual cost avoidance based on where projects are at the county level. The data used to develop the map is derived from approved project data located on the Project Tracking Sheet. The approach is very similar to the mitigation actions displayed through the Mitigation Action Reports (See Appendix 44). A total dollar and project summation has been developed to display which counties have completed the most mitigation efforts and thereby improved the probability of avoided losses (See Appendix 60). Furthermore, to capture the value of avoided losses the multiplication of the county dollar summation by four (4) reflects for every one dollar of mitigation spent there is benefit equaling four (4) dollars.

Additional Subrecipient Monitoring

In 2009, KyEM created a Subrecipient Monitoring Section within its Administrative Branch. This section is responsible for the ongoing monitoring of all federal grant activities associated with KyEM programs.

Routinely, the Subrecipient Monitoring Section requests and reviews all OMB A-133 audits from KyEM subrecipients expending more than \$500,000 in federal awards during a fiscal year. If there are material weaknesses or conditions which jeopardize the federal funds subgranted by KyEM, actions are implemented to ensure program goals and requirements are met. Such instances are handled on a case-by-case basis and may include corrective action plans, additional site visits, decelerated reimbursement schedules, etc.

The Subrecipient Monitoring Section routinely performs site visits, and while on location assesses all KyEM-related program involvement. Site visits include review of documentation and visual inspection of projects.

The KyEM Mitigation Program has also enlisted the assistance of KyEM regional managers to assist with subrecipient monitoring. An inventory of all previously funded projects is being entered into the KyEM ITEAMS repository. Projects will be sorted according to KyEM regions and each region will be asked to perform visual inspections on an annual basis for projects which received funding for items such as emergency generators and land acquisitions with deed restrictions.

Closeout Process

Project closeout worksheets are created by state staff while performing both a programmatic and financial audit of the project file during closeout activities (Appendix 59). The SHMO compares the program file financials against the state's accounting system. After the amounts are reconciled, the SHMO prepares a Request to Close Letter. This letter is reviewed by KyEM's Administrative Branch Pre-Audit Section to ensure accuracy. The letter is then submitted to FEMA Region IV. After a Final Claim Letter is received from FEMA, a concurrence letter is prepared, verified by both the SHMO and Administrative Branch Pre-Audit Section, and submitted to FEMA Region IV. This is the last documentation of the project.

Since the 2007 update of the State Plan, the KyEM Hazard Mitigation Program has completely closed five (5) disasters:

1. DR-1388
2. DR-1471
3. DR-1475
4. DR-1578
5. DR-1617

As mentioned in section 7.1, the CHAMPS system is being developed to effectively manage KyEM Hazard Mitigation Program projects and plans. This will enhance the capabilities of the staff and subrecipients during the life cycle of the mitigation activity. CHAMPS allows for continuous access to monitor, update, and evaluate projects and plans. This database will also enable the mitigation staff to achieve maximum efficiency and accountability for every project which is submitted in each of the five (5) programs. It will also provide for more effective use of federal and state funds, as well as track avoided losses.