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1. Monitoring, Evaluating, and Updating the Plan

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

Provisions for monitoring, evaluating, and updating the plan are located in the Code of Federal Regulations (44 CFR) and in the Iowa Code. The 44 CFR regulations require that the state “must review and revise its plan to reflect changes in development, progress in statewide mitigation efforts, and changes in priorities, and resubmit it for approval to the appropriate Regional Director every three (3) years.” The Iowa Code requires the Administrator of the Iowa Homeland Security and Emergency Management Division (HSEMD) to “prepare a comprehensive plan and emergency management program for homeland security, disaster preparedness, response, mitigation, emergency operation, and emergency resource management of this state”.

The HSEMD serves as the lead agency for preparation of the State 322 Plan and serves as lead agency for monitoring, evaluating, and updating the plan. The State Hazard Mitigation Officer (SHMO) is responsible for coordinating plan updates and maintenance. This position is located with HSEMD and is the lead coordinator with the State Hazard Mitigation Team (SHMT). Significant input into all phases of the planning process is derived from the SHMT. As mentioned in the Planning Process section of this plan, the SHMT serves due to the requirements of the Governor’s Executive Order Number 62.

Projecting into the future, the SHMT will be regularly involved in monitoring, evaluating, and updating of the plan over the next three (3) years to begin the first quarter and each quarter following approval of this plan as indicated in the table below. Triggers for plan updates include, but are not limited to:

- If a disaster requires HSEMD to reassess its goals and objectives
- If a reassessment indicates that some adjustments are needed on goals and objectives, the SHMT will be involved in that process
- If changes in federal or state laws require revisions, the SHMT will be consulted for advice on how to conform to new legislation

Monitoring, Evaluating, and Updating Activity	Responsibility	Quarterly	Annual	3-Years
Review and update the Hazard Analysis and Risk Assessment	HSEMD, SHMT			•
Evaluate progress on mitigation actions and projects	SHMT		•	
Agency Report to SHMT	State Agencies	•		
Identification of implementation issues	HSEMD, SHMT	•		
Evaluate participation by stakeholders in mitigation planning	HSEMD		•	
Provide briefings on updates	SHMT	•		
State Capability Assessment Updates	SHMT		•	
Plan review and approval	SHMT, Exec Council			•
Plan Adoption by Iowa Administrative Code	HSEMD			•
Plan Approval by FEMA	HSEMD, FEMA			•

Part of the monitoring, evaluating and updating evaluation component will be to use the following criteria:

- Do the goals and objectives still address current and expected conditions?
- What were the nature and the magnitude of problems encountered and changes that have occurred?
- Were the current resources appropriate for implementing the plan?
- What implementation problems occurred, as technical, political, legal, or coordination issues?
- Were the outcomes as expected?
- Did the agencies participate as originally proposed?

This process will require SHMT participation in updating all parts of the plan. Approval of the plan will be required from the SHMT and the Iowa Executive Council (which consists of the Governor, Secretary of State, State Auditor, State Treasurer, and Secretary of Agriculture).

Multiple activities will be addressed differently for future monitoring, evaluating, and updating efforts for the state mitigation plan. More frequent (quarterly) review of implementation issues, stakeholder participation, and the capability assessment will assist Iowa in keeping its mitigation planning on track and ensure measures and capabilities are in-line with needs. Reviews of the Hazard Analysis Risk Assessment (HARA) and associated mitigation actions and projects will also keep Iowa's efforts on track. Addressing the above items in a regular and consistent manner will allow for enhanced adaptability to new federal and state guidance and plan adoption.

For the next update the update process will be further refined and simplified to allow for a more efficient process for the collection and update of hazard specific information, local data integration, and agency specific capabilities and mitigation measures.

2. Monitoring Progress of Mitigation Activities

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

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

After reviewing and revising the goals and objectives, the SHMT evaluated and updated the mitigation measures (actions) that were originally developed from local plans submitted to the Iowa Homeland Security and Emergency Management Division (HSEMD). Local Data Collection Worksheets are used as a method of validating the State's existing hazard assessment, vulnerability assessment, goals, objectives, proposed and completed mitigation measures, and local plan integration. For future updates the existing and future local data collection worksheets will be consolidated and analyzed to determine statewide trends of hazard mitigation planning and activities. Information required for FEMA approval of a local hazard mitigation plan is incorporated within the Data Collection Sheet which includes: proposed mitigation measures; completed or in progress mitigation

measures; local capabilities summary; vulnerability assessment; critical facilities assessment; and hazard ranking evaluated and selected by local jurisdictions for their local plan. HSEMD requires the submittal of the Data Collection Worksheet established in a grant agreement for entities awarded planning grants starting with PDM 2007 and forward (PDM 2008, HMGP 1688, 1705, 1727, 1737, 1854, and future grants).

In an effort to simplify and guide local plan mitigation measures, the SHMT further refined and consolidated the previous measures into statewide general categories as well as incorporating data included with the Mitigation Data Collection Worksheets. The list of mitigation measures was reviewed and similar actions were revised and combined, each revision was also reviewed to ensure no measures were inadvertently eliminated. The process remains the same for tracking measures. For the next update the SHMT will be more involved in capturing the implemented measures quarterly and annually.

Review of mitigation measures (action activities) is an on-going process. Generally, mitigation measures (actions) will be monitored as described in the monitoring, evaluating, and updating action activity table. Iowa's leading efforts in mitigation using Federal Emergency Management Agency (FEMA) programs include the acquisition, relocation, and elevation of residential and commercial structures from flood areas and protection of critical public facilities. Annex 1.4-A represents the results from a tool provided to SHMT members to report on mitigation measures (action activities) accomplishments from 2007 to present date (not all agencies reported).

HSEMD and the SHMT work jointly for efforts in monitoring and coordinating mitigation activities. Each state agency member of the SHMT monitor grant and program activities through their unique systems of grants and program management related to the specific authorities, rules, and regulations associated with those programs. The SHMT functions as an interagency group that lends advice and assistance to each agency within the group in order to maximize the effectiveness of monitoring activities. Monitoring the progress of these and the other programs and activities included in the comprehensive capabilities of the State 322 Plan continues to be a major function of the SHMT.

As the grantee for federal funding under the Hazard Mitigation Grant Program (HMGP), Flood Mitigation Assistance (FMA) Program, and the Pre-Disaster Mitigation (PDM) Program, HSEMD implements a record keeping and financial system for each grant awarded based on the approved scope of work and budget. Sub-grantees are required to maintain financial records and receipts necessary to document all their expenditures relative to their projects.

Approved sub-grantees for HSEMD specific hazard mitigation programs are accountable to HSEMD and FEMA for the use of these grant funds.

HSEMD administered grants are audited by independent auditors in accordance with generally accepted government auditing standards covering financial audits.

Either the auditor examines the entire operations of the government or those departments or agencies that received, expended, or administered federal funds.

Quarterly reports are submitted to HSEMD and the SHMT that provide information necessary for effective monitoring activities. These reports describe the programs that the agency administers, the mitigation or mitigation related projects that are approved and funded by the agency for those programs, how mitigation projects are implemented, the grant administration process, reports of independent auditors, how projects are closed out, and any other information that may be especially applicable in determining the status of projects.