

# REGION IX TRIBAL HAZARD MITIGATION PLAN REVIEW TOOL

The *Tribal Mitigation Plan Review Tool* records how the tribal hazard mitigation plan meets the regulations in 44 CFR §§ 201.7 and 201.5 (if applicable) and offers FEMA plan reviewers an opportunity to provide feedback to the tribal government.

- **Section 1:** The Regulation Checklist documents FEMA’s evaluation of whether the plan has addressed all requirements. If plan requirements are not met, FEMA uses each Required Revisions section to indicate necessary changes.
- **Section 2:** The Strengths and Opportunities for Improvement summary identifies plan’s strengths as well as areas for improvement as part of the next plan update.
- **Section 3:** The Hazard Identification and Risk Assessment Matrix is an optional tool for plan reviewers to identify if all components of Element B are met.

<b>Tribal Jurisdiction:</b> Colorado river Indian Tribes	<b>Title of Plan:</b> Colorado river Indian Tribes Multi-Hazard Mitigation Plan	<b>Date of Plan:</b> December 2018
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<b>State Reviewer (if applicable):</b>  N/A	<b>Title:</b>	<b>Date:</b>
<b>Date Received at State Agency</b>		
<b>Date Sent to FEMA</b>		

<b>FEMA Reviewer:</b>	<b>Title:</b>	<b>Date:</b>
<b>Date Plan Received in FEMA Region IX</b>		
<b>Date Plan Not Approved</b>		
<b>Date Plan Approvable Pending Adoption</b>		
<b>Date Plan Approved</b>		

**SECTION 1:  
REGULATION CHECKLIST**

<b>Standard Regulation Checklist</b>		<b>Location in Plan</b>	<b>Met</b>	<b>Not Met</b>
<b>Regulation (44 CFR 201.7 Tribal Mitigation Plans)</b>		<b>(section and/or page number)</b>		
<b>ELEMENT A. PLANNING PROCESS</b>				
A1. Does the plan document the planning process, including how it was prepared and who was involved in the process? [44 CFR § 201.7(c)(1)]	a. Does the plan document how the plan was prepared, including the schedule or timeframe and the activities that made up the plan’s development?	Section I, A, P. 11-15		
	b. Does the plan document who was involved on the planning team, including each person’s position or title and department/agency?	Section I, A, 2 15-16		
A2. Does the plan document an opportunity for public comment during the drafting stage and prior to plan approval, including a description of how the tribal government defined “public”? [44 CFR § 201.7(c)(1)(i)]	a. Does the plan describe how the tribal government defined “public?”	Section I, B, 1 17-18		
	b. Does the plan describe how the public was given the opportunity to be involved in the planning process?	Section I, B, 1-2 17-19		
	c. Does the plan describe how public feedback was incorporated into the plan?	Section I, B, 3 19-21		
A3. Does the plan document, as appropriate, an opportunity for neighboring communities, tribal and regional agencies involved in hazard mitigation activities, agencies that have the authority to regulate development as well as other interests to be involved in the planning process? [44 CFR § 201.7(c)(1)(ii)]	a. Does the plan identify all tribal members/citizens, and partners who were given an opportunity to be involved in the planning process?	Section I, B, 4 22		
	b. Does the plan identify how tribal members/citizens and partners were invited to participate in the process?	Section I, B, 4 22		
A4. Does the plan describe the review and incorporation of existing plans, studies, and reports? [44 CFR § 201.7(c)(1)(iii)]	a. Does the plan describe <i>what</i> existing plans, studies, and reports were reviewed?	Section I, A, 1 P. 12-15 58-60		
	b. Does the plan document <i>how</i> relevant information was incorporated into the mitigation plan?	Section II, A, 1 P. 12-20 Section I, B, 2 P. 15-17		
A5. Does the plan include a discussion on how the planning process was integrated to the extent possible with other ongoing tribal planning efforts as well as other FEMA programs and initiatives? [44 CFR § 201.7(c)(1)(iv)]	a. Does the plan describe how the tribal government integrated the current planning process and/or findings with other ongoing tribal planning efforts?	Section I, C 23		
	b. Does the plan describe how the tribal government integrated the current planning process with other FEMA programs and initiatives?	Section I, C 23		

<b>Standard Regulation Checklist</b>		<b>Location in Plan</b> (section and/or page number)	<b>Met</b>	<b>Not Met</b>
<b>Regulation (44 CFR 201.7 Tribal Mitigation Plans)</b>				
A6. Does the plan include a description of the method and schedule for keeping the plan current (monitoring, evaluating and updating the mitigation plan within the plan update cycle)? [44 CFR § 201.7(c)(4)(i)]	a. Does the plan identify how, when, and by whom the plan will be <i>monitored</i> (how will implementation be tracked) over time?	Section I, D, 1 24		
	b. Does the plan identify how, when, and by whom the plan will be <i>evaluated</i> (assessing the effectiveness of the plan at achieving stated purpose and goals) over time?	Section I, D, 2 24		
	c. Does the plan identify how, when, and by whom the plan will be <i>updated</i> during the 5-year cycle?	Section I, D, 3 24-25		
A7. Does the plan include a discussion of how the tribal government will continue public participation in the plan maintenance process? [44 CFR § 201.7(c)(4)(iv)]		Section I, E 26-27		
<b><u>ELEMENT A: REQUIRED REVISIONS</u></b>				
<b><u>ELEMENT B. HAZARD IDENTIFICATION AND RISK ASSESSMENT</u></b>				
B1. Does the plan include a description of the type, location, and extent of all natural hazards that can affect the tribal planning area? [44 CFR § 201.7(c)(2)(i)]	a. Does the plan include a description of the tribal planning area?	Section II, A-F 28-50		
	b. Does the plan include a description of the natural hazards that can affect the tribal planning area?	Section II, G, 1 52-53, 55 Section II, J 61-125		
	c. Does the plan provide the rationale for the omission of any natural hazards that are commonly recognized to affect the tribal planning area?	Section II, G, 1 52 None omitted.		
	d. Does the plan include a description of the <i>type</i> of all natural hazards that can affect each tribal planning area?	Section II, G, 1 52-53, 55 Section II, J 61-125		
	e. Does the plan include a description of the <i>location</i> for all natural hazards that can affect each tribal planning area?	Section II, G, 1 52-53, 55 Section II, J 61-125		
	f. Does the plan include a description of the <i>extent</i> for all natural hazards that can affect each tribal planning area?	Section II, G, 1 52-53, 55 Section II, J 61-125		
B2. Does the plan include information on previous occurrences of hazard events and on the probability of future hazard events for the tribal planning area? [44	a. Does the plan include information on <i>previous occurrences</i> of hazard events for each tribal planning area?	Section II, G, 1 52-53, 55 Section II, J 61-125		

<b>Standard Regulation Checklist</b>		<b>Location in Plan</b> (section and/or page number)	<b>Met</b>	<b>Not Met</b>
<b>Regulation (44 CFR 201.7 Tribal Mitigation Plans)</b>				
CFR § 201.7(c)(2)(i)]	b. Does the plan include information on the <i>probability</i> of future hazard events for each tribal planning area? Probability must include considerations of future conditions, including the effects of long-term changes in weather patterns on identified hazards.	Section II, G, 1 52-53, 55 Section II, J 61-125		
B3. Does the plan include a description of each identified hazard’s impact as well as an overall summary of the vulnerability of the tribal planning area? [44 CFR § 201.7(c)(2)(ii)]	a. Is there a description of each hazard’s <i>impacts</i> on each tribal planning area (what happens to structures, infrastructure, people, environment, cultural sites, etc.)?	Section II, G, 1 52-53, 55 Section II, J 61-125		
	b. Is there a description of each identified hazard’s overall <i>vulnerability</i> (structures, systems, populations, or other community assets defined by the tribal government that are identified as being susceptible to damage and loss from hazard events) for each tribal planning area?	Section II, G, 1 52-53, 55 Section II, J 61-125		
<b><u>ELEMENT B: REQUIRED REVISIONS</u></b>				
<b><u>ELEMENT C. MITIGATION STRATEGY</u></b>				
C1. Does the plan include a discussion of the tribal government’s pre-and post-disaster hazard management policies, programs, and capabilities to mitigate the hazards in the area, including an evaluation of tribal laws and regulations related to hazard mitigation as well as to development in hazard-prone areas? [44 CFR §§ 201.7(c)(3) and 201.7(c)(3)(iv)]	a. Does the plan describe the tribal government’s <i>existing</i> capabilities to mitigate hazards in the tribal planning area, including pre-disaster and post-disaster hazard management policies and programs?	Section III A, 1-2 128-136		
	b. Does the plan include an evaluation of the tribal laws, regulations, policies, programs, and resources related to hazard mitigation and development in hazard-prone areas?	Section III A, 1-2 128-136		
C2. Does the plan include a discussion of tribal funding sources for hazard mitigation projects and identify current and potential sources of Federal, tribal, or private funding to implement mitigation activities? [44 CFR §§ 201.7(c)(3)(iv) and 201.7(c)(3)(v)]	a. Does the plan describe the tribal government’s <i>existing</i> funding sources for hazard mitigation actions and/or projects?	Section III, B 137-139		
	b. Is there a general discussion of how the tribal government has used non-FEMA (tribal, private or other federal) funds for hazard mitigation projects?	Section III, B 137-139		

<b>Standard Regulation Checklist</b>		<b>Location in Plan</b> (section and/or page number)	<b>Met</b>	<b>Not Met</b>
<b>Regulation (44 CFR 201.7 Tribal Mitigation Plans)</b>				
	c. Is there a general discussion of how the tribal government has used FEMA mitigation funding, including HMGP, PDM, FMA, PA (C-G), and FMAG?	Section III, B 137-139		
	d. Does the plan identify <i>potential</i> sources of funding to implement mitigation actions and/or projects?	Section III, B 137-139		
C3. Does the Mitigation Strategy include goals to reduce or avoid long-term vulnerabilities to the identified hazards? [44 CFR § 201.7(c)(3)(i)]		Section III, D 141-147		
C4. Does the plan identify and analyze a comprehensive range of specific mitigation actions and projects being considered to reduce the effects of each hazard, with emphasis on new and existing buildings and infrastructure? [44 CFR § 201.7(c)(3)(ii)]	a. Does the plan identify and analyze a comprehensive range of specific mitigation actions and projects to reduce the impacts from each identified hazard?	Section III, D 141-147 Section III, E, 1 148-157		
	b. Do the identified mitigation actions and projects have an emphasis on new and existing buildings and infrastructure?	Section III, D 141-147 Section III, E, 1 148-157		
C5. Does the plan contain an action plan that describes how the actions identified will be prioritized, implemented, and administered by the tribal government? [44 CFR § 201.7(c)(3)(iii)]	a. Does the plan explain how the mitigation actions will be prioritized?	Section III, D, 2 158-163		
	b. Does the plan identify the position, office, department, or agency responsible for implementing and administering each action?	Section III, D, 2 160-163		
C6. Does the plan describe a process by which the tribal government will incorporate the requirements of the mitigation plan into other planning mechanisms, when appropriate? [44 CFR § 201.7(c)(4)(iii)]	a. Does the plan identify other planning mechanisms where hazard mitigation information and/or actions may be incorporated?	Section III, C 139-141 Section III, E, 3 164-167		
	b. Does the plan describe the process to integrate the data, information, and hazard mitigation goals and actions into other planning mechanisms?	Section III, C 139-141 Section III, E, 3 164-167		
C7. Does the plan describe a system for reviewing progress on achieving goals as well as activities and projects identified in the mitigation strategy, including monitoring implementation of mitigation measures and project closeouts? [44 CFR §§ 201.7(c)(4)(ii) and 201.7(c)(4)(v)]	a. Does the system for tracking the implementation of mitigation activities and projects identified in the mitigation strategy include a schedule?	Section III, D, 2 160-163 Section III, D, 4 165-167 Appendix C		
	b. Does the system noted above identify the tribal department or tribal office responsible for coordination (or non-tribal entity or agency, if the tribe allows)?	Section III, D, 2 160-163 Section III, D, 4 158-167 Appendix C		
	c. Does the system noted above describe the role of the agencies/offices identified in the mitigation strategy?	Section III, D, 2 160-163 Section III, D, 4 158-167 Appendix C		

<b>Standard Regulation Checklist</b>		<b>Location in Plan</b> (section and/or page number)	<b>Met</b>	<b>Not Met</b>
<b>Regulation (44 CFR 201.7 Tribal Mitigation Plans)</b>				
	d. Does the system noted above include project closeout procedures?	Section III, D, 2 159 Section III, D, 4 168-169 Appendix C		
<b><u>ELEMENT C: REQUIRED REVISIONS</u></b>				
<b>ELEMENT D. PLAN UPDATES</b>				
D1. Was the plan revised to reflect changes in development? [44 CFR § 201.7(d)(3)]	a. Does the plan describe changes in development that have occurred in hazard prone areas since the last plan was approved?	Section IV, A 171-172		
D2. Was the plan revised to reflect progress in tribal mitigation efforts? [44 CFR §§ 201.7(d)(3) and 201.7(c)(4)(iii)]	a. Does the plan describe the status of each mitigation action and/or project identified in the previous plan?	Section IV, B 173		
	b. For those actions not completed, does the plan provide a narrative describing the status (for example, a description of why the action is no longer relevant)?	Section IV, B 173		
	c. Does the updated plan describe how the tribal government incorporated the previous mitigation plan into other planning mechanisms, as applicable?	Section IV, C 174-176		
D3. Was the plan revised to reflect changes in priorities? [44 CFR §201.7(d)(3)]		Section IV, D 177-178		
<b><u>ELEMENT D: REQUIRED REVISIONS</u></b>				
<b>ELEMENT E. ASSURANCES AND PLAN ADOPTION</b>				
E1. Does the plan include assurances that the tribal government will comply with all applicable Federal statutes and regulations in effect with respect to the periods for which it receives grant funding, including 2 CFR Parts 200 and 3002, and will amend its plan whenever necessary to reflect changes in tribal or Federal laws and statutes? [44 CFR § 201.7(c)(6)]		Section V, A 179		
E2. Does the plan include documentation that it has been formally adopted by the governing body of the tribal government requesting approval? [44 CFR § 201.7(c)(5)]		Section V, B 179		

**Standard Regulation Checklist**

Regulation (44 CFR 201.7 Tribal Mitigation Plans)

Location in Plan  
(section and/or  
page number)

Met

Not  
Met

**ELEMENT E: REQUIRED REVISIONS**

**PAUSE...**

If the tribal jurisdiction is seeking an enhanced planning status, continue providing information for the requirements in Elements F-I. If an enhanced status is *not* being sought, skip ahead to the Strengths and Opportunities for Improvement section and do not fill out location in plan or met/not met columns.

**Is the tribal jurisdiction seeking an enhanced planning status?**

Yes	No
	X

<b>Enhanced Regulation Checklist</b>		<b>Location in Plan</b> (section and/or page number)	<b>Met</b>	<b>Not Met</b>
<b>Regulation (44 CFR § 201.5 Enhanced Tribal Mitigation Plans)</b>				
<b>ENHANCED ELEMENT F. STANDARD PLAN REQUIREMENTS</b>				
F1. Does the enhanced plan include all elements of the standard tribal mitigation plan? [44 CFR §§ 201.3(e)(3), 201.5(b), and 201.7]				
<b>ENHANCED ELEMENT F: REQUIRED REVISIONS</b>				
<b>ENHANCED ELEMENT G. INTEGRATED PLANNING</b>				
G1. Does the enhanced plan demonstrate integration to the extent practicable with other tribal and/or regional planning initiatives and FEMA mitigation programs and initiatives? [44 CFR §§ 201.3(e)(3) and 201.5(b)(1)]	a. Does the enhanced plan demonstrate integration with other tribal and/or regional planning initiatives (and tribal organizations)? At a minimum, the following sectors must be included: <ul style="list-style-type: none"> <li>• Emergency Management</li> <li>• Economic Development</li> <li>• Land Use Development</li> <li>• Housing</li> <li>• Health and Social Services</li> <li>• Infrastructure</li> <li>• Natural and Cultural Resources</li> </ul>			
	b. Does the enhanced plan illustrate integration of FEMA mitigation programs and initiatives (including, if applicable, but not limited to: HMGP, PDM, FMA, NFIP, and Risk MAP, as well as other FEMA programs that advance mitigation, for example, THIRA and PA C-G?			
<b>ENHANCED ELEMENT G: REQUIRED REVISIONS</b>				
<b>ENHANCED ELEMENT H. TRIBAL MITIGATION CAPABILITIES</b>				

<b>Enhanced Regulation Checklist</b>		<b>Location in Plan</b> (section and/or page number)	<b>Met</b>	<b>Not Met</b>
<b>Regulation (44 CFR § 201.5 Enhanced Tribal Mitigation Plans)</b>				
H1. Does the tribal government demonstrate commitment to a comprehensive mitigation program? [44 CFR §§ 201.3(e)(3) and 201.5(b)(4)]	a. Does the enhanced plan illustrate targeted risk reduction for each of the identified hazards in the tribal planning area?			
	b. Does the enhanced plan illustrate a mitigation program that is inclusive of various agencies and sectors with mitigation capabilities and resources?			
	c. Does the enhanced plan demonstrate a mitigation program that is coordinated to increase resilience from the adverse impacts of future hazard events in the tribal planning area?			
H2. Does the enhanced plan document capability to implement mitigation actions? [44 CFR §§ 201.3(e)(3), 201.5(b)(2)(i), 201.5(b)(2)(ii), and 201.5(b)(2)(iv)]	a. Does the enhanced plan describe the system to rank the mitigation measures according to established eligibility criteria, including a process to prioritize between funding programs and proposals that address different or multiple hazards?			
	b. Does the enhanced plan describe how the tribal government will assess the effectiveness of mitigation actions, including the role of departments involved, the timeline, and the use of the results to inform the mitigation strategy?			
H3. Is the tribal government using existing mitigation programs to achieve mitigation goals? [44 CFR §§ 201.3(e)(3), 201.5(a) and 201.5(b)(3)]	a. Does the enhanced plan document how the tribal government has made full use of the funding available through the FEMA assistance programs (for example, PA C-G, HMGP, PDM, and FMA)?			
	b. Does the enhanced plan document how the tribal government uses existing programs to achieve its mitigation goals?			
<b><u>ENHANCED ELEMENT H: REQUIRED REVISIONS</u></b>				
<b>ENHANCED ELEMENT I. HMA GRANTS MANAGEMENT</b>				
I1. With regard to HMA, is the tribal government maintaining the capability to meet application timeframes and submitting complete project	a. Are all applications and amendments submitted by the end of each program's respective application period?			

<b>Enhanced Regulation Checklist</b>		<b>Location in Plan</b> (section and/or page number)	<b>Met</b>	<b>Not Met</b>
<b>Regulation (44 CFR § 201.5 Enhanced Tribal Mitigation Plans)</b>				
applications? [44 CFR §§ 201.3(e)(3), 201.5(b)(2)(iii)(A)]	b. Are all applications entered into FEMA’s electronic data systems (such as NEMIS and/or eGrants)?			
	c. Is an Eligibility and Completeness Checklist prepared for all applications?			
	d. Are all applications determined to be complete by FEMA within 90 days of submittal or selection for further review? (Required environmental and historic preservation reviews and consultations are not included in the 90-day review timeframe calculation.)			
I2. With regard to HMA, is the tribal government maintaining the capability to prepare and submit accurate environmental reviews and benefit-cost analyses? [44 CFR §§ 201.3(e)(3) and 201.5(b)(2)(iii)(B)]				
I3. With regard to HMA, is the tribal government maintaining the capability to submit complete and accurate quarterly progress and financial reports on time? [44 CFR §§ 201.3(e)(3) and 201.5(b)(2)(iii)(C)]	a. Have all progress reports been completed and submitted on time?			
	b. Have all federal financial reports (FFR), Standard Form (SF) SF-425 been submitted on time?			
	c. Has the tribal government consistently complied with the Standards for Financial and Program Management requirements described in 2 CFR §§ 200.300 to 200.309?			
I4. With regard to HMA, is the tribal government maintaining the capability to complete HMA projects within established performance periods, including financial reconciliation? [44 CFR §§ 201.3(e)(3) and 201.5(b)(2)(iii)(D)]	a. Is all work as part of HMA sub awards completed by the end of Period of Performance?			
	b. There are no major findings on the last single audit obtained by the tribal government related to HMA programs. For tribal governments without HMA grants, FEMA will review other federal grants.			
	c. Are all grant close-out activities, including financial reconciliation, completed within 90 days from the end of the performance period?			
	d. Have actual expenditures been documented and are they consistent with SF-424A or SF-424C (Application for Federal Assistance and Budget Information)?			
<b><u>ENHANCED ELEMENT I: REQUIRED REVISIONS</u></b>				

**SECTION 2:  
STRENGTHS AND OPPORTUNITIES FOR IMPROVEMENT**

**INSTRUCTIONS:** The purpose of the Strengths and Opportunities for Improvement section is for FEMA to provide more comprehensive feedback on the tribal mitigation plan to help the tribal government advance mitigation planning. The intended audience is the tribal staff responsible for the mitigation plan update. FEMA will address the following topics:

1. Plan strengths, including specific sections in the plan that are above and beyond the minimum requirements; and
2. Suggestions for future improvements.

Results from the Strengths and Opportunities for Improvement section are *not* required for Plan Approval.

**Element A: Planning Process**

**Strengths:**

- 1)
- 2)
- 3)

**Opportunities for Improvement:**

- 1)
- 2)
- 3)

**Element B: Hazard Identification and Risk Assessment**

**Strengths:**

- 1)
- 2)
- 3)

**Opportunities for Improvement:**

- 1)
- 2)
- 3)

**Element C: Mitigation Strategy**

**Strengths:**

- 1)
- 2)
- 3)

**Opportunities for Improvement:**

- 1)
- 2)
- 3)

**Element D: Plan Update, Evaluation, and Implementation (*Plan Updates Only*)**

**Strengths:**

- 1)
- 2)
- 3)

**Opportunities for Improvement:**

- 1)
- 2)
- 3)

**SECTION 3:**  
**HAZARD IDENTIFICATION AND RISK ASSESSMENT MATRIX (OPTIONAL TOOL)**

**INSTRUCTIONS:** This matrix can be used by the plan reviewer to help identify if all of the components of Element B have been met. List natural hazards (meteorological, geological, environmental) that are identified in the plan in the column labeled “Hazard” and put a “Y” or “N” for each component of Element B.

**HAZARD IDENTIFICATION AND RISK ASSESSMENT MATRIX**

