(October 1, 2006 - September 30, 2007)

Introduction

Homeland Security Presidential Directive 5 (HSPD-5) *Management of Domestic Incidents* called for the establishment of a single, comprehensive National Incident Management System (NIMS). The NIMS is a system that improves response operations through the use of the Incident Command System (ICS) and other standard procedures and preparedness measures. It also promotes development of multi-jurisdictional, statewide and interstate regional mechanisms for coordinating incident management and obtaining assistance during large-scale or complex incidents. HSPD-5 dictated that Federal departments and agencies shall make adoption of the NIMS a requirement for the provision of Federal preparedness assistance funds.

HSPD-5 also established and designated the NIMS Integration Center (NIC) as the lead Federal agency to coordinate NIMS compliance. One of the primary functions of the NIC is to ensure NIMS remains an accurate and effective management tool through refining and adapting compliance requirements to address ongoing preparedness needs. To accomplish this, the NIC relies on input from Federal, state, local, tribal, multi-discipline and private authorities to assure continuity and accuracy of ongoing efforts.

As recent events have illustrated, all levels of government as well as community-based organizations and the private-sector must work together to prevent, prepare for, respond to, and recover from any emergency or disaster. NIMS compliance must be an ongoing effort as new personnel must be trained and plans must be revised to reflect lessons learned.

Tribal and local authorities have the primary responsibility in emergencies and disasters situations as the overwhelming majority of emergency incidents are handled on a daily basis by a single jurisdiction. It is critically important that all jurisdictions comply with the NIMS because the challenges we face as a nation are far greater than the capabilities of any one jurisdiction. As such, NIMS compliance should be considered and undertaken as a community-wide and nationwide effort. The benefit of NIMS is most evident at the local level, when a community as a whole prepares for and provides an integrated response to an incident. Incident response organizations (to include local public health, public works, emergency management, fire, emergency medical services, law enforcement, hazardous materials, private sector entities, non-governmental organizations, medical organizations, utilities, and others) must work together to comply with NIMS components, policies, and procedures. Implementation of the NIMS in every tribal and local jurisdiction establishes a foundation upon which more advanced homeland security capabilities can be built.

Goal

As NIMS becomes more incorporated into incident management, state/territorial and tribal/local jurisdictions will be able to:

- Ensure common and proven incident management doctrine, practices and principles are used to plan for, protect against, respond to and recover from emergency incidents and preplanned events;
- Maintain a response operation capable of expanding to meet an escalating situation and the ability to integrate resources and equipment from intrastate and interstate mutual aid agreements, state-provided assistance and federal government response;

NIMS Implementation Matrix for Tribal and Local Jurisdictions (October 1, 2006 – September 30, 2007)

- Order and track response assets using common resource typing and definitions, and draw on mutual aid agreements for additional assistance;
- Establish staging and allocation plans for the re-distribution of equipment, supplies and aid coming into the area from other localities, states or the federal government through mutual aid agreements;
- Conduct situational assessments and establish the appropriate ICS organizational structure to effectively manage the incident;
 and
- Establish communication processes, procedures and protocols that will ensure effective interoperable communications among emergency responders, 9-1-1 centers and multi-agency coordination systems such as Emergency Operations Centers (EOC).

The long-term goal of NIMS is to provide state, territorial, local, and tribal jurisdictions with a consistent operational framework for all aspects of incident management. This framework should be sustainable, flexible, and scalable to meet changing incident needs and allow for integration of other resources from various partners through mutual aid agreements.

NIMS Compliance

In previous years, the NIC took steps toward achieving this goal of NIMS implementation and compliance. In October 2005, the NIC disseminated the FY06 NIMS Compliance Requirements Matrices to the state, territory, tribal and local partners. Included was a letter to the nation's governors emphasizing the need to take the initial actions (as described in the matrices) to build a consistent operational framework for the nation. During FY06, states/territories were asked to self-certify their NIMS compliance by completing a NIMS certification form. Some states utilized the National Incident Management Capability Assessment Support Tool (NIMCAST) to assist in determining their NIMS compliance baseline.

The current NIMCAST tool is being redesigned to better meet stakeholder needs. Once released (in early 2007), the NIMCAST will be the preferred tool for use by states to assess NIMS compliance. All jurisdictions will be encouraged to use the NIMCAST to assess their compliance; however, other independently-developed electronic tools may be used for this purpose, provided that those tools can replicate the questions and metrics NIMCAST will assess.

In FY07, the self-certification approach will transition to performance-based questions and a measurement system of "metrics" which were derived, in part, from the required actions for compliance specified in the FY06 matrices. A collaborative approach with various state and local stakeholders was used to develop the metrics. This approach was based on the broad experiences of the subject matter experts from within the stakeholder group. Overall these metrics will measure the specific compliance requirements of state, territorial, tribal, and local jurisdictions for NIMS implementation in a consistent and achievable manner.

The metrics were separated into two categories:

NIMS Implementation Matrix for Tribal and Local Jurisdictions (October 1, 2006 – September 30, 2007)

• **Tier 1** metrics and questions (**bold type**) were deemed critical to measuring FY07 compliance. The Tier 1 metrics were derived from previously established NIMS requirements, and are fundamental to the success of NIMS implementation.

All Tier 1 questions require answers in the affirmative to achieve compliance by the end of FY 07.

All other metrics and questions (not in bold type) were deemed necessary in establishing a clear path ahead. These metrics and
questions form the basis of FY 08 NIMS requirements and will be deemed critical at the end of FY 08. At present, they should be
used to assess current implementation activities and revise long-term planning to ensure compliance in FY 08.

All other questions do not require answers in the affirmative to achieve compliance by the end of FY 07.

NIMS refinement will continue to evolve as policy and technical issues are further developed and clarified. This may well result in additional requirements being issued by the NIC as to what will constitute NIMS compliance in FY07 and beyond. With the completion of the FY07 actions, state, territorial, local, and tribal governments will have the foundational support for future NIMS implementation and compliance. The effective and consistent implementation of the NIMS nationwide will result in a strengthened national capability to prevent, prepare for, respond to and recover from any type of incident.

FY07 Compliance Matrix

The FY07 NIMS Implementation Matrices have been updated to reflect the transition from self-certification to specific performance-based metrics (see table below). The matrices describe the necessary actions for tribal/local jurisdictions to be compliant with NIMS in FY07 (September 30, 2007). These implementation requirements are in addition to the FY06 NIMS requirements as established in October, 2005. These requirements are available on the NIMS web page at: http://www.fema.gov/emergency/nims/index.shtm.

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Specific updates include:

- New Required Compliance Actions: These are indicated by "NEW FOR FY07" and should be addressed in FY07.
- **Specific Areas of Measure:** This new column indicates the specific areas that will be measured by the NIMS Integration Center. Additionally, areas determined essential to successful NIMS implementation are emphasized in **BOLD** (supporting areas are in regular font).

NIMS Implementation Matrix			
Required Actions Specific Areas for Compliance of Measure		Guidance and Technical Assistance Resources	
Section Title			
Current Compliance Requirement	 Essential area required for compliance in FY07 Areas to be measured for compliance in FY07 	Guidance and resources to assist in performing the required action	
NEW FOR FY07: New FY07 Compliance Requirement	New area to be developed in FY07 and measured in FY08	Guidance and resources to assist in performing the required action	

More information on NIMS and NIMS compliance, and answers to frequently asked questions are available on the NIMS Integration Center web page: (www.fema.gov/emergency/nims/nims.shtm).

FY07 Compliance Activities			
Required Actions for Compliance	Specific Areas of Measure	Guidance and Technical Assistance Resources	
	Community Adoption		
Adopt NIMS at the community level for all government departments and agencies; as well as promote and encourage NIMS adoption by associations, utilities, nongovernmental organizations (NGOs), and private sector incident management and response organizations.	 Formal NIMS adoption achieved by tribal/local jurisdictions. Tribal/local jurisdictions promote and encourage NIMS adoption by tribal/local level stakeholders (associations, utilities, NGOs, and appropriate private sectors partners). Tribal/local jurisdictions monitor formal NIMS adoption. 	 Adopt NIMS through executive order, proclamation, resolution, or legislation as the jurisdiction's official all-hazards, incident response system. Develop a baseline assessment of the NIMS implementation requirements that your jurisdiction already meets, and using that baseline, develop a strategy for full NIMS implementation and maintenance. NIMS Capability Assessment Support Tool (NIMCAST): www.fema.gov/nimcast/index.jsp NIMS Adoption Tools and Templates: www.fema.gov/emergency/nims/nims_toolsandtemplates.shtm 	

FY07 Compliance Activities		
Required Actions for Compliance	Specific Areas of Measure	Guidance and Technical Assistance Resources
NEW FOR FY07: Designate a single point of contact within the tribal/local jurisdiction to serve as the principal coordinator for NIMS implementation.	Single point of contact for overall NIMS implementation designated by tribal/local jurisdictions.	 Consider establishing new or leverage existing cross-jurisdictional and cross-discipline advisory group to assist and ensure full implementation of NIMS. Example: tribal/local representative designated to coordinate NIMS implementation within the tribal/local jurisdiction.

FY07 Compliance Activities		
Required Actions for Compliance	Specific Areas of Measure	Guidance and Technical Assistance Resources
	Command and Manage	ement
Incident Command System (ICS): Manage all emergency incidents and preplanned (recurring/special) events in accordance with ICS organizational structures, doctrine, and procedures, as defined in NIMS. ICS implementation must include the consistent application of Incident Action Planning (IAP) and Common Communications Plans (CCP), as appropriate.	 Tribal/local responders utilize NIMS-prescribed ICS during all-hazards incident response. Tribal/local responders utilize NIMS-prescribed ICS during preplanned events. Tribal/local jurisdiction consistently applies NIMS-prescribed ICS to IAPs. Tribal/local jurisdiction consistently applies NIMS-prescribed ICS to CCPs. Utilization of ICS verified by exercises. 	 Institutionalize ICS: Terms and definitions: www.fema.gov/txt/nims/institutionalizing_ics.txt Incorporate concepts and principles of NIMS Chapter II, Command and Management including ICS characteristics such as: common terminology modular organization management by objectives incident action planning manageable span of control pre-designated incident facilities comprehensive resource management integrated communications transfer of command unity of command unified command personnel and resource accountability information and intelligence management

FY07 Compliance Activities		
Required Actions for Compliance	Specific Areas of Measure	Guidance and Technical Assistance Resources
Multi-agency Coordination System: Coordinate and support emergency incident and event management through the development and use of integrated multi-agency coordination systems, i.e. develop and maintain connectivity capability between local Incident Command Posts (ICPs), local 911 Centers, local Emergency Operations Centers (EOCs) and state/territorial EOC.	MACS utilized for preplanned (recurring/special) events, incident-specific hazards, no-notice events and/or specific events.	 NIMS Chapter II, Command and Management. IS-701 NIMS Multi-agency Coordination System: http://training.fema.gov/EMIWeb/IS/is701.asp FEMA NIMS Training: www.fema.gov/emergency/nims/nims_training.shtm National Emergency Training Center 2006-2007 Training Catalog: Introduction to Unified Command for Multi-Agency and Catastrophic Incidents: www.usfa.dhs.gov/downloads/pdf/nfa/fa-273-nfa.pdf Multi-agency Coordination System Best Practices will be available at: www.fema.gov/emergency/nims
Public Information System: Implement processes, procedures, and/or plans to communicate timely, accurate information to the public during an incident through a Joint Information System and Joint Information Center.	 The tribal/local jurisdictions preparedness and emergency plans have provisions for utilizing a NIMS-prescribed PIS including the establishment of: Joint Information System (JIS) Joint Information Center (JIC) 	 NIMS Chapter II, Command and Management. IS-702 National Incident Management Systems (NIMS) Public Information Systems: http://training.fema.gov/EMIWeb/IS/is702.asp Public Information Training (E388, Advanced Public Information Officers and G290, Basic Public Information Officers). Public Information System Best Practices will be available at: www.fema.gov/emergency/nims
NEW FOR FY07: Ensure that the Public Information System can gather, verify, coordinate, and disseminate information during an incident.	 Public Information System can gather, verify, coordinate, and disseminate information during an incident. Public Information System capability verified by exercises. 	Utilize existing Public Information System and/or other communication systems for best practices and technical aids.

FY07 Compliance Activities		
Required Actions for Compliance	Specific Areas of Measure	Guidance and Technical Assistance Resources
	Preparedness Plann	ing
Establish the community's NIMS baseline against the FY05 and FY06 implementation requirements.	Tribal and local jurisdictions have completed NIMS baseline against the FY05 and FY06 implementation requirements.	 Assess which NIMS implementation requirements your community already meets. NIMS Capability Assessment Support Tool (NIMCAST): www.fema.gov/nimcast/index.jsp NIMS Implementation Plan Tools and Templates: www.fema.gov/emergency/nims/nims_toolsandtemplates.shtm
Develop and implement a system to coordinate all Federal preparedness funding to implement the NIMS across the community.	 DHS Federal Preparedness Funding is being utilized to coordinate tribal/local level preparedness and response activities. Other (non-DHS) Federal Preparedness Funding is being utilized to coordinate Tribal/local level preparedness and response activities. 	 A list of the Federal preparedness grant programs that have been reported to the NIC are available on the NIMS web page at: www.fema.gov/emergency/nims 2006 Homeland Security Grant Program Guidance: www.ojp.usdoj.gov/odp/docs/fy2006hsgp.pdf National Preparedness Goal and National Preparedness Guidance: www.ojp.usdoj.gov/odp/assessments/hspd8.htm Catalog of Federal Domestic Preparedness Assistance (CFDA): www.cfda.gov
Revise and update plans and SOPs to incorporate NIMS components, principles and policies, to include planning, training, response, exercises, equipment, evaluation, and corrective actions.	Tribal/local plans, Standard Operating Guidance (SOG) and Standard Operating Procedures (SOPs) are consistent with NIMS and NRP.	 Plans and SOP/SOGs have been updated, incorporating lessons learned and best practices from exercises and response operations. National Response Plan (NRP): www.dhs.gov/nationalresponseplan 2006 Homeland Security Grant Program Guidance: www.ojp.usdoj.gov/odp/docs/fy2006hsgp.pdf National Preparedness Goal and National Preparedness Guidance: www.ojp.usdoj.gov/odp/assessments/hspd8.htm National Incident Management System (NIMS): www.fema.gov/emergency/nims

FY07 Compliance Activities			
Required Actions for Compliance	Specific Areas of Measure	Guidance and Technical Assistance Resources	
Participate in and promote intrastate and interagency mutual aid agreements (to include agreements with private sector and nongovernmental organizations).	Tribal/local jurisdictions promote the use of interagency and interstate mutual aid agreements within its departments and/or agencies.	EMAC model state-county mutual aid deployment contract: <u>www.emacweb.org/?123</u> EMAC model intrastate mutual aid legislation: <u>www.emacweb.org/docs/NEMA%20Proposed%20Intrastate%20Model-Final.pdf</u>	
	Preparedness Training		
Complete IS-700 NIMS: An Introduction.	Completion of IS-700 by: Entry level first responders and disaster workers First line supervisors Middle management Command and general staff	 All personnel with a direct role in emergency preparedness, incident management or response must complete this training. NIMS National Standard Curriculum Training Development Guidance: www.fema.gov/pdf/nims/nims_training_development.pdf FEMA NIMS Training: www.fema.gov/emergency/nims/nims_training.shtm IS-700: An Introduction On-line course: http://training.fema.gov/EMIWeb/IS/is700.asp NIMS National Standard Curriculum Training Development Guidance: www.fema.gov/pdf/nims/nims_training_development.pdf The NIMS web page provides guidance for who should complete this training: www.fema.gov/emergency/nims 	
Complete IS-800 NRP: An Introduction.	Completion of IS-800 A by: Emergency management personnel in Middle management Emergency management personnel in Command and general staff	 NIMS National Standard Curriculum Training Development Guidance: www.fema.gov/pdf/nims/nims_training_development.pdf FEMA NIMS Training: www.fema.gov/emergency/nims/nims_training.shtm IS-800 A NRP: An Introduction On-line course available at: training.fema.gov/EMIWeb/IS/is800a.asp The NIMS web page provides guidance for who should complete this training. www.fema.gov/emergency/nims 	

FY07 Compliance Activities		
Required Actions for Compliance	Specific Areas of Measure	Guidance and Technical Assistance Resources
Complete ICS-100 and ICS-200 Training.	 Completion of ICS-100 by: Entry level first responders and disaster workers First line supervisors Middle management Command and general staff Completion of ICS-200 by: First line supervisors Middle management Command and general staff 	 ICS 100: www.training.fema.gov/emiweb/IS/is100.asp ICS 100: www.usfa.fema.gov/training/nfa ICS 200: www.training.fema.gov/emiweb/IS/is200.asp ICS 200: http://www.usfa.fema.gov/training/nfa NIMS National Standard Curriculum Training Development Guidance: www.fema.gov/pdf/nims/nims_training_development.pdf The NIMS web page provides guidance for who should complete this training: www.fema.gov/emergency/nims
NEW FOR FY07: Complete ICS-300 and ICS-400 Training.	 Completion of ICS-300 by: Middle Management Command and general Staff Completion of ICS-400 by: Command and general Staff 	 FEMA Training FY06 Requirements: <u>www.fema.gov/pdf/nims/06_training.pdf</u> FEMA Training Overview: http://training.fema.gov/EMIWeb/IS/ICSResource/ICSResCntr_Training.htm FEMA Emergency Management Institute: http://training.fema.gov/EMIWeb/ The NIMS web page provides guidance for who should complete this training: <u>www.fema.gov/emergency/nims</u>

FY07 Compliance Activities		
Required Actions for Compliance	Specific Areas of Measure	Guidance and Technical Assistance Resources
	Preparedness Exerci	ses
Incorporate NIMS/ICS into all tribal, local and regional training and exercises.	Tribal/local jurisdictional exercises incorporate NIMS.	 DHS Exercise Information: www.ojp.usdoj.gov/odp/exercises.htm Homeland Security Exercise and Evaluation Program (HSEEP) IS-120 Online Course: http://209.176.175.84/hseep2/IS120/login.asp FEMA NIMS Training: www.fema.gov/emergency/nims/nims_training.shtm NIMS National Standard Curriculum Training Development Guidance: www.fema.gov/pdf/nims/nims_training_development.pdf
Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions.	 Tribal/local jurisdictional exercises evaluate NIMS implementation. Multiple disciplines and multiple jurisdictions participate in exercises. 	 DHS Exercise Information: www.ojp.usdoj.gov/odp/exercises.htm Homeland Security Exercise and Evaluation Program (HSEEP) IS-120 Online Course: http://209.176.175.84/hseep2/IS120/login.asp NIMS National Standard Curriculum Training Development Guidance: www.fema.gov/pdf/nims/nims_training_development.pdf 2006 Homeland Security Grant Program Guidance: www.ojp.usdoj.gov/odp/docs/fy2006hsgp.pdf National Preparedness Goal and National Preparedness Guidance: www.ojp.usdoj.gov/odp/assessments/hspd8.htm
Incorporate corrective actions into preparedness and response plans and procedures.	Corrective actions have been incorporated into preparedness and response plans and procedures.	 DHS Exercise Information: www.ojp.usdoj.gov/odp/exercises.htm Homeland Security Exercise and Evaluation Program (HSEEP) IS-120 Online Course: http://209.176.175.84/hseep2/IS120/login.asp

FY07 Compliance Activities		
Required Actions for Compliance	Specific Areas of Measure	Guidance and Technical Assistance Resources
	Resource Manageme	ent
Inventory community response assets to conform to homeland security resource typing standards.	 Tribal/local jurisdictions have inventoried their response resources. Tribal/local jurisdictions resource typing conforms to DHS standards as identified by the NIC. 	 Resource Typing Guidance: www.fema.gov/pdf/emergency/nims/resource typing qadoc.pdf IS-703 NIMS Resource Management: www.training.fema.gov/emiweb/IS/is703.asp Propose modifications or new resource definitions to the NIC for inclusion in the resource typing effort.
To the extent permissible by law, ensure that relevant national standards and guidance to achieve equipment, communication and data interoperability are incorporated into local and tribal acquisition programs.	Tribal/local jurisdiction aligns its acquisitions with state/territorial-level interoperable standards for equipment, communications, and data.	 DHS Equipment Program: www.ojp.usdoj.gov/odp/grants_goals.htm 2006 Homeland Security Grant Program Guidance: www.ojp.usdoj.gov/odp/docs/fy2006hsgp.pdf National Preparedness Goal and National Preparedness Guidance: www.ojp.usdoj.gov/odp/assessments/hspd8.htm DHS SAFECOM Program: www.safecomprogram.gov/SAFECOM
NEW FOR FY07: Validate that the inventory of response assets conforms to homeland security resource typing standards and provide to the state/territory as required.	Tribal/local jurisdictions are coordinating with the state/territory to validate the response asset inventory.	 Resource Typing Guidance: <u>www.fema.gov/pdf/emergency/nims/resource_typing_qadoc.pdf</u> FEMA Resource Management Course IS-703: NIMS Resource Management: <u>www.training.fema.gov/emiweb/IS/is703.asp</u> Identify resources to include in a state/territory-wide database to serve as a response asset inventory.
NEW FOR FY07: Utilize the state/territory response asset inventory for Intra-State Mutual Aid requests, exercises, and actual events.	Tribal/local jurisdictions' response asset inventory utilized for: Mutual Aid Exercises Actual events	 FEMA Resource Management Course IS-703: NIMS Resource Management: www.training.fema.gov/emiweb/IS/is703.asp FEMA Introductory EMAC training information: http://training.fema.gov/EMIweb/downloads/EMAC_Full_Precourse_04_14_05.pdf Emergency Management Assistance Compact: www.emacweb.org Centers for Disease Control and Prevention support for EMAC: www.bt.cdc.gov/planning/emac/

FY07 Compliance Activities		
Required Actions for Compliance	Specific Areas of Measure	Guidance and Technical Assistance Resources
	Communication and Information	n Management
Apply standardized and consistent terminology, including the establishment of plain language communications standards across public safety sector.	Tribal/local jurisdictions implement standardized terminology and plain language for all multi-jurisdictional and/or multi-agency response activities.	 Incident response communications (during exercises and actual incidents) should feature plain language commands so they will be able to function in a multi-jurisdiction environment. Field manuals and training should be revised to reflect the plain language standard. '10' codes may continue to be used during non-emergency, internal department communications. The Emergency Management Institute (EMI) is currently developing an independent study and classroom course on NIMS Communication and Information Management. Additional information will be posted on the NIMS Integration Center web page when available at: www.fema.gov/emergency/nims
NEW FOR FY07: Develop systems, tools, and processes to present consistent and accurate information to incident managers at all levels (e.g., common operating picture).	Common operating picture exists for all incident managers during actual events.	 A common operating picture allows incident managers at all levels to make effective, consistent, and timely decisions. Integrated systems for communication, information management, and intelligence and information sharing allow data to be continuously updated during an incident, providing a common framework that covers the incident's life cycle across jurisdictions and disciplines. A common operating picture helps ensure consistency at all levels of incident management across jurisdictions, as well as between various governmental jurisdictions and private-sector and nongovernmental entities that are engaged. Systems, tools, and/or processes may include written plans and/or functional tools (e.g. tabletop exercises, software).