



NIMS *Guide*

NG 0003
May 2, 2007
NIMS Integration Center
202-646-3850

NIMS Compliance Corrective Action Plan

States, territories, tribal nations, or local jurisdictions that cannot meet all of the FY 2007 Tier 1 implementation activities/compliance metrics by September 30, 2007, will submit a Corrective Action Plan (CAP). The CAP program provides an additional 120 days to ensure specific shortfalls in NIMS implementation and compliance are corrected as well as to inform the FEMA Incident Management Systems Division¹ about potential areas of NIMS implementation where additional technical assistance may be required.

In FY 2007, NIMS compliance moved from a “self-certification” system to a performance-based system that requires NIMS compliance to be demonstrated. The new metrics are prioritized into two “tiers” reflecting the importance of the corresponding NIMS implementation activities. Tier 1 metrics measure those activities considered critical for NIMS implementation and must be completed. Tier 2 metrics reinforce previous years’ activities and measure ongoing progress toward NIMS implementation. There are two sets of metrics - one for States and territories and one for tribal nations and local jurisdictions. Compliance with the NIMS must be completed to continue to receive federal preparedness funding.

In this first year of demonstrated compliance, some States and jurisdictions may experience difficulty in adapting to the new reporting methodology. Therefore, States, territories, tribal nations or jurisdictions that want to continue to receive preparedness funding and are unable to respond affirmatively to all required Tier 1 metrics, may file a NIMS Corrective Action Plan. The CAP:

- Identifies the Tier 1 requirement that can not be answered in the affirmative;
- Identifies the Tier 1 metric that can not be answered in the affirmative;
- Provides a brief narrative outlining the reason for non-compliance;
- Lists the corrective actions that will be accomplished by January 28, 2008;
- Establishes a timeline for implementing the corrective actions; and
- Identifies a Point of Contact and pertinent contact information.

The following timelines for the CAP process must be met:

- August 30, 2007 – State agencies or local jurisdictions notify state NIMS coordinator (tribal nations notify appropriate state or regional NIMS coordinator) that they will not meet the September 30, 2007, compliance reporting deadline, identify NIMS compliance deficiencies and submit a Corrective Action Plan;
- September 30, 2007 – State agencies or local jurisdictions are notified by State NIMS Coordinators (tribal nations notified by appropriate NIMS coordinator) that the CAPs are accepted;
- September 30, 2007 – FEMA Regional NIMS Coordinators are given Corrective Action Plan Summaries; and
- January 28, 2008 - FEMA Regional NIMS Coordinators validate that corrective actions have been completed.

¹ Formerly NIMS Integration Center

NIMS COMPLIANCE CORRECTIVE ACTION PLAN

State/Territory: _____

Tribal Nation/State Agency/Jurisdiction: _____

Submission Date: _____

Contact Name: _____

Title: _____

Phone Number: _____

Email Address: _____

1. By August 30, 2007 identify the **Tier 1 implementation requirement** that your jurisdiction cannot answer affirmatively prior to the end of FY 2007 (September 30, 2007).
2. Identify the specific **Tier 1 NIMS Compliance Metric** that your jurisdiction cannot answer affirmatively prior to the end of FY 2007.
3. Provide a **brief narrative** outlining the reason for non-compliance.
4. List the **corrective actions** required to meet the Tier 1 requirement/Tier 1 Metric.
5. Establish a **timeline** for implementing the corrective actions, which **must be complete prior to January 28, 2008**.
6. Identify the appropriate **individual(s), department(s), agencies, and/or jurisdiction(s)** responsible for completing the corrective actions prior to January 28, 2008.