

FY 2007 NIMS COMPLIANCE METRICS GUIDE FOR TRIBAL NATIONS AND LOCAL GOVERNMENTS

April 2007



FEMA

*Questions, comments and suggested improvements
related to this document are encouraged.*



FEMA

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FEMA

Dear State, Territory, Tribal and Local Officials,

On February 28, 2003, the President issued Homeland Security Presidential Directive (HSPD)-5, *Management of Domestic Incidents*, which directed the Secretary of Homeland Security to develop and administer a National Incident Management System (NIMS). NIMS was established to provide a consistent nationwide template enabling Federal, State, tribal nations and local governments, as well as private-sector and nongovernmental organizations, to work together effectively and efficiently to prevent, prepare for, respond to, and recover from domestic incidents. Towards this end, the NIMS Integration Center provides strategic direction for and oversight of NIMS. A key component of this oversight is developing compliance requirements and compliance timelines for NIMS standards and guidelines.

Since Fiscal Year (FY) 2005, the NIMS Integration Center has provided the States, territories, tribal nations and local governments with required annual NIMS Implementation Activities selected to enhance the national incident management capability in a consistent and cumulative approach. On October 23, 2006, the NIMS Integration Center published the *FY 2007 NIMS Implementation Matrix for States and Territories* and the *FY 2007 NIMS Implementation Matrix for Tribal and Local Jurisdictions*. These matrices outline implementation requirements that must be met by September 30, 2007 to be considered NIMS compliant. Also released on October 23, 2006, were the *FY 2007 NIMS Compliance Metrics: States and Territories* and *FY 2007 NIMS Compliance Metrics: Tribal and Local Jurisdictions*. These performance-based metrics will be used to determine compliance in FY 2007.

The NIMS Integration Center has developed *FY 2007 NIMS Compliance Metrics Guide for Tribal Nations and Local Governments* assist you in the measurement and reporting of NIMS compliance. It provides specific guidance on how use the metrics to report the key information required to assess NIMS implementation. In order to be designated compliant in FY 2007, you must answer in the affirmative the critical activity ("Tier 1") metrics included and explained in this guidance.

To improve the efficiency and effectiveness of compliance monitoring and reporting, the NIMS Integration Center has significantly upgraded the NIMS Capability Assessment Support tool (NIMCAST). As a result, the NIMS Compliance Assistance Support Tool (NIMSCAST) now incorporates all of the compliance metrics for FY 2007. Jurisdictions are strongly urged to take advantage of this resource. Additional information on NIMSCAST is available at <http://www.fema.gov/nimcast/index.jsp>.

I look forward to working with you on the continued development of NIMS.

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FY 2007 NIMS COMPLIANCE METRICS GUIDE FOR TRIBAL NATIONS AND LOCAL GOVERNMENTS

I. Purpose

The purpose of the *FY 2007 NIMS Compliance Metrics Guide for Tribal Nations and Local Governments* is to provide clear guidance and instruction to tribal nation and local government officials on measuring and reporting performance on the implementation activities required for NIMS compliance in FY 2007.

II. References

- *Homeland Security Presidential Directive (HSPD) 5, Management of Domestic Incidents*
- *National Incident Management System, FEMA 501, March 1, 2004*
- *FY2005 NIMS Compliance letter to Governors, September 8, 2004*
- *FY2006 Letter to the Governors, October 4, 2005*
- *FY2006 Summary of NIMS Implementation Schedule*
- *FY2006 NIMS State and Territory Compliance Activities*
- *FY2006 NIMS Tribal Government and Local Jurisdiction Compliance Activities*
- *FY2007 Letter to Governors, October 23, 2007*
- *FY2007 NIMS Implementation Activities Schedule*
- *FY2007 NIMS Implementation Matrix for States and Territories*
- *FY2007 NIMS Compliance Metrics: State and Territories*
- *FY2007 NIMS Implementation Matrix for Tribal and Local Jurisdictions*
- *FY2007 NIMS Compliance Metrics: Tribes and Local Jurisdictions*

III. Overview

On September 8, 2004, in a letter to the Nation's Governors, the NIMS Integration Center outlined the initial steps that States, territories, tribal nations, and local jurisdictions needed to take in FY 2005 to implement NIMS. The activities outlined in that letter provided the foundation for NIMS implementation and compliance today. Since that time, the NIMS Integration Center has expanded on this foundation and added an additional 24 activities – each selected to enhance the way incidents are managed at all levels of government. This consistent and cumulative implementation of NIMS activities nationwide will result in a continually improving national capability to prevent, prepare for, respond to and recover from any incident.

The NIMS Integration Center has developed the *FY 2007 NIMS Compliance Metrics Guide for States and Territories* to provide officials with the tools necessary to capture and measure progress towards NIMS implementation and compliance.

In FY's 2005-2006, States and territories self-certified NIMS compliance by signing and submitting the *NIMS Certification Form* to the NIMS Integration Center. Many States and territories documented their NIMS implementation using the NIMS Capability Assessment Support Tool (NIMCAST). States and territories certified performance and compliance on behalf of local jurisdictions. In FY 2007, the NIMS Integration Center has transitioned measurement of NIMS compliance from self-certification to performance-based questions and a measurement system of "metrics." NIMCAST has been expanded to incorporate these metrics and provide stakeholders with an efficient and effective way to collect and report on implementation activities.

FY 2007 compliance with NIMS requirements will be based on the performance-based responses to these metrics. A NIMS compliant State, territory, tribal nation or local jurisdiction will be able to report that they have successfully integrated the required implementation activities into their incident management system. State departments or agencies, tribal nations or local jurisdictions that have not integrated the required activities must provide a plan for meeting the compliance requirements within 120 days to the State or Territorial NIMS Coordinator.

IV. FY 2007 NIMS Implementation Activities

In October 2006, the NIMS Integration Center released new implementation activities that States, territories, tribal nations and local jurisdictions must take by the end of FY 2007 (September 30, 2007) to comply with NIMS. These implementation requirements are in addition to the NIMS requirements released in FYs 2005 and 2006. As illustrated in **Figure 1**, State, territory, tribal nations, and local governments must demonstrate continuous support of all NIMS implementation activities required or underway in order to achieve NIMS compliance.

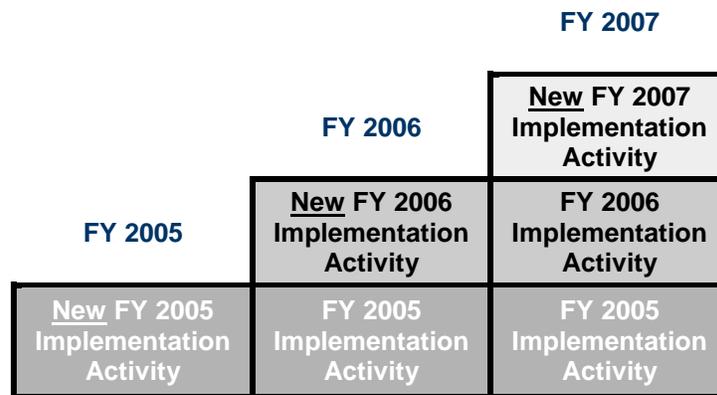


Figure 1: NIMS Compliance

Figures 2 and 3 summarize all on-going NIMS implementation activities that have been prescribed by the NIMS Integration Center in FYs 2005 and FY 2006, as well as the seven new activities for States and territories and six new activities for tribal nations and local jurisdictions required for FY 2007. State, territorial, tribal nations and local jurisdictions should bear in mind that implementation activities for previous fiscal years remain on-going commitments in the present fiscal year.

STATE AND TERRITORY NIMS IMPLEMENTATION ACTIVITIES	
FY 2007	<ol style="list-style-type: none"> 1. Designate a single point of contact within each of the jurisdiction’s departments and agencies 2. Monitor and assess outreach and implementation of NIMS Requirements 3. Establish public information system to gather, verify, coordinate, and disseminate information during an incident 4. Complete training—ICS-300, ICS-400 5. Validate that inventory of response assets conforms to FEMA Resource Typing Standards 6. Utilize response asset inventory for Emergency Management Assistance Compact (EMAC) requests, exercises, and actual events 7. Develop systems and processes to ensure that incident managers at all levels share a common operating picture of an incident

STATE AND TERRITORY NIMS IMPLEMENTATION ACTIVITIES

FY 2006

8. Adopted NIMS for all government departments and agencies; as well as promote and encourage NIMS adoption by associations, utilities, non-governmental organizations (NGOs) and private sector incident management and response organizations
9. Monitor formal adoption of NIMS by all tribal and local jurisdictions
10. Establish a planning process to ensure the communication and implementation of NIMS requirements, providing a means for measuring progress and facilitate reporting
11. Designate a single point of contact to serve as the principal coordinator for NIMS implementation
12. To the extent permissible by law, ensure that Federal preparedness funding to State and territorial agencies and tribal and local jurisdictions is linked to satisfactory progress in meeting FY2006 NIMS implementation requirements
13. To the extent permissible by State and territorial law and regulations, audit agencies and review organizations routinely included NIMS implementation requirements in all audits associated with Federal preparedness grant funds, validating the self-certification process for NIMS compliance
14. Manage all emergency incidents and pre-planned (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 and Common Communications Plans
15. 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 (ICP), local 911 Centers, local Emergency Operations Centers (EOCs), the State EOC, regional and Federal EOCs, and NRP organizational elements.
16. Institutionalize, within the framework of ICS, the Public Information System (PIS), comprising of the Joint Information System (JIS) and a Joint Information Center (JIC).
17. Establish NIMS baseline against the FY 2005 and FY 2006 implementation requirements
18. Develop and implement a system to coordinate and leverage all Federal preparedness funding to implement the NIMS
19. Revise and update plans and SOPs to incorporate NIMS and National Response Plan (NRP) components, principles and policies, to include planning, training, response, exercises, equipment, evaluation and corrective actions
20. Participate in and promote intrastate and interagency mutual aid agreements, to include agreements with the private sector and non-governmental organizations
21. Leverage training facilities to coordinate and deliver NIMS training requirements in conformance with the NIMS National Standard Curriculum
22. Complete training—IS-700 *NIMS: An Introduction*, Complete IS-800 *NRP: An Introduction*; ICS-100 and ICS-200
23. Incorporate NIMS/ICS into training and exercises
24. Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions
25. Incorporate corrective actions into preparedness and response plans and procedures
26. Inventory response assets to conform to FEMA Resource Typing standards
27. Develop State plans for the receipt and distribution of resources as outlined in the National Response Plan (NRP) Catastrophic Incident Annex and Catastrophic Incident Supplement
28. To the extent permissible by State and local law, ensure that relevant national standards and guidance to achieve equipment, communication and data interoperability are incorporated into State and local acquisition programs

STATE AND TERRITORY NIMS IMPLEMENTATION ACTIVITIES	
	29. Apply standardized and consistent terminology, including the establishment of plain language communications standards across public safety sector
FY 2005	30. Support the successful adoption and implementation of the NIMS 31. To the extent permissible by law, ensure that Federal preparedness funding, including DHS Homeland Security Grant Program and the Urban Areas Security Initiative (UASI), support NIMS implementation at the State and local levels Incorporate NIMS into existing training programs and exercises 32. Coordinate and provide technical assistance to local entities regarding NIMS institutionalized use of ICS 33. Incorporate NIMS into Emergency Operations Plans (EOP) 34. Promote intrastate mutual aid agreements, to include agreements with private sector and non-governmental organizations

Figure 2: State and Territory NIMS Implementation Activities for FYs 2005-2006

TRIBAL NATION AND LOCAL GOVERNMENT NIMS IMPLEMENTATION ACTIVITIES	
FY 2007	1. Designate a single point of contact to serve as the principal coordinator for NIMS implementation 2. Establish public information system to gather, verify, coordinate, and disseminate information during an incident 3. Complete training—ICS-300, ICS-400 4. Validate that inventory of response assets conforms to FEMA Resource Typing Standards 5. Utilize response asset inventory for Emergency Management Assistance Compact (EMAC) requests, exercises, and actual events 6. Develop systems and processes to ensure that incident managers at all levels share a common operating picture of an incident
FY 2006	7. Adopted NIMS for all government departments and agencies; as well as promote and encourage NIMS adoption by associations, utilities, non-governmental organizations (NGOs) and private sector incident management and response organizations 8. Manage all emergency incidents and pre-planned (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 and Common Communications Plans 9. 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 (ICP), local 911 Centers, local Emergency Operations Centers (EOCs), the State EOC and regional and/ Federal EOCs and /NRP organizational elements 10. Institutionalize, within the framework of ICS, the Public Information System (PIS), comprising of the Joint Information System (JIS) and a Joint Information Center (JIC) 11. Establish NIMS baseline against the FY 2005 and FY 2006 implementation requirements 12. Develop and implement a system to coordinate and leverage all Federal preparedness funding to implement the NIMS

TRIBAL NATION AND LOCAL GOVERNMENT NIMS IMPLEMENTATION ACTIVITIES	
	<ol style="list-style-type: none"> 13. Revise and update plans and SOPs to incorporate NIMS and National Response Plan (NRP) components, principles and policies, to include planning, training, response, exercises, equipment, evaluation and corrective actions 14. Participate in and promote intrastate and interagency mutual aid agreements, to include agreements with the private sector and non-governmental organizations 15. Complete training—IS-700 <i>NIMS: An Introduction</i>, Complete IS-800 <i>NRP: An Introduction</i>; ICS-100 and ICS-200 16. Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions 17. Incorporate corrective actions into preparedness and response plans and procedures 18. Inventory response assets to conform to FEMA Resource Typing standards 19. To the extent permissible by State and local law, ensure that relevant national standards and guidance to achieve equipment, communication and data interoperability are incorporated into State and local acquisition programs 20. Apply standardized and consistent terminology, including the establishment of plain language communications standards across public safety sector
FY 2005	<ol style="list-style-type: none"> 21. Support the successful adoption and implementation of the NIMS 22. Promote intrastate mutual aid agreements, to include agreements with private sector and non-governmental organizations 23. Incorporate NIMS into Emergency Operations Plans (EOP)

Figure 3: Tribal Nation and Local NIMS Implementation Activities for FYs 2005-2006

V. Compliance Roles and Responsibilities

Successful implementation of the NIMS requires the commitment of all States, territories, tribal nations, local jurisdictions, and non-governmental and private sector organizations that actively prevent, prepare for, respond to, and recover from an incident. Clear understanding of the roles and responsibilities for stakeholders in demonstrating compliance is critical for NIMS implementation and performance measurement.

States and Territories

States and territories are responsible for overseeing NIMS implementation and compliance reporting within their borders. In FY07, States and territories should:

1. Review the FY 2007 NIMS packet, including FY 2007 Implementation matrices, metrics, and associated guidance document;
2. Develop and implement a plan for gathering information and identifying appropriate stakeholders who will contribute information for FY 2007 NIMS implementation;
3. Collect information from appropriate stakeholders; and
4. Complete the FY 2007 NIMS Compliance metrics (Note: NIMSCAST may be utilized to complete the metrics).

The reporting requirements for States and territories include:

1. Providing the FEMA Regional Office or the NIMS Integration Center a report measuring NIMS implementation within State/territorial departments and agencies based on the FY 2007 metrics;
2. Providing the FEMA Regional Office or the NIMS Integration Center a report measuring NIMS implementation by local jurisdictions based on the FY 2007 metrics. At a minimum, this report should reflect NIMS implementation at the county-wide level. States may elect to report on implementation

- by intrastate region, local jurisdiction or other organizational boundary (e.g. Homeland Security Districts, Operational Area, etc.) as appropriate; and
3. Providing the FEMA Regional Office or the NIMS Integration Center an overall measurement of State/territorial NIMS implementation based on the FY 2007 metrics.

In some cases, States and territories may also coordinate NIMS implementation and collecting of NIMS implementation-related information for tribal nations.

Tribal Nations

Tribal nations are responsible for overseeing specific NIMS implementation activities and compliance reporting within their jurisdiction. In FY 2007, tribal nations should:

1. Coordinate Tribal NIMS implementation activities with their respective Federal, State/territory, local jurisdictions, non-governmental and private sector organizations as appropriate;
2. Disseminate NIMS information to stakeholders within their tribal nation; and
3. Provide a report measuring NIMS implementation based on the FY 2007 metrics to the State or territorial NIMS Coordinator, as appropriate.

Local Jurisdictions

Local jurisdictions share many implementation activities and responsibilities with States and territories and they are responsible for implementation activities specific to their jurisdiction. Given that incidents are managed locally, it is imperative that local jurisdictions implement NIMS throughout their communities, emergency management departments, and response agencies (i.e., public works, fire, emergency medical services, law enforcement etc.). In FY 2007, local jurisdictions should:

1. Coordinate local NIMS implementation activities with their respective State or territory, as appropriate;
2. Disseminate NIMS information to appropriate local departments and agencies and/or community-based groups; and
3. Provide to the State or Territorial NIMS Coordinator a report measuring NIMS implementation based on the FY 2007 metrics as appropriate.

Non-governmental and Private Sector Organizations

NIMS implementation depends on shared commitment and coordination between States, territories, tribal nations, local jurisdictions, non-governmental and private sector organizations that actively prevent, prepare for, respond to, and recover from an incident. The NIMS Integration Center recommends that non-governmental and private sector organizations implement NIMS activities that will ensure interoperability with State, territorial, tribal and local governments during emergency response. Information on specific recommended activities for non-governmental and private sector organizations is available at the NIMS web site, <http://www.fema.gov/emergency/nims/index.shtml>.

VI. FY 2007 NIMS Compliance

As mentioned previously, in FYs 2005 and 2006, NIMS compliance was based on self-certification of the stakeholder's ability to implement the required NIMS activities. In FY 2007, NIMS compliance will be determined from a jurisdiction's response to performance-based questions and a measurement system of "metrics." The NIMS Integration Center released two sets of metrics—one for States and territories and one for tribal nations and local jurisdictions.

The FY 2007 metrics have been prioritized into two “tiers” reflecting the importance of the corresponding NIMS Implementation activities. Tier 1 metrics measure those activities considered critical for NIMS Implementation. Tier 2 metrics reinforce previous year activities and measure ongoing progress towards NIMS implementation.

State departments and agencies, tribal nations and local jurisdictions must respond to Tier 1 metrics affirmatively to demonstrate compliance. If the State department or agency, tribal nation or local jurisdictions has not successfully implemented all required NIMS activities, a Corrective Action Plan that outlines how compliance will be attained within 120 days must be submitted to the State or Territorial NIMS Coordinator by September 30, 2007.

States, territories, tribal nations and local jurisdictions are required to respond to all FY07 Tier 1 and Tier 2 metrics questions in order to provide comprehensive assessment of the status of NIMS implementation activities nationwide.

A State or territory will not be determined to be out of compliance with the required FY 2007 NIMS activities if:

- The tribal nation or local jurisdiction that has not implemented the required NIMS activities receives no Federal preparedness funding.

VII. Compliance Reporting Using the FY 2007 Metrics

Organization

The metrics are arranged in accordance with the FY 2007 NIMS Implementation Matrix published by the NIMS Integration Center and made available on the NIMS Web Site at <http://www.fema.gov/emergency/nims/index.shtm>.

Developed in accordance with the five components of NIMS—Command and Management, Preparedness, Resource Management, Communication and Information Management, and Supporting Technologies, each component of the metrics reflects the FY 2007 implementation requirements.

Metrics Questions

Several types of questions are used to collect information. While some implementation activities can be measured by “yes” or “no” responses, others require alternate formats for response. In these cases, the metrics provides multiple choice options (“check all that apply”) or free text explanation fields. The structure and outline of the metrics questions are provided in **Figure 4** (next page).

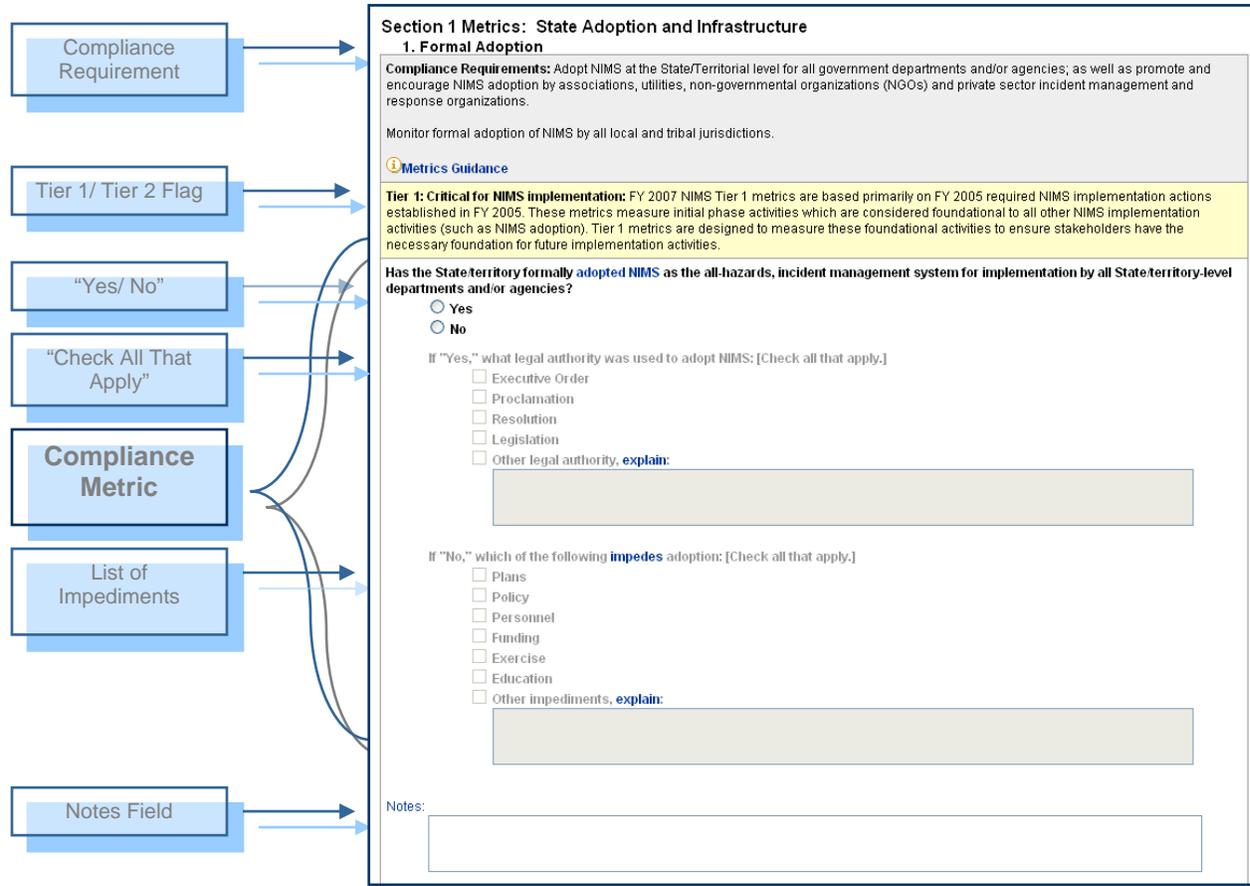


Figure 4: NIMS Compliance Metrics Components

Responding to Tier 1 Metrics

States, territories, tribal nations, and local jurisdictions should provide information for Tier 1 metrics that accurately reflect their level of implementation at the time of submission. In order to be considered NIMS compliant in FY07, States, territories, tribal nations and local jurisdictions must answer all Tier 1 metrics affirmatively.

Responding to Tier 2 Metrics

Tier 2 questions are based on ongoing FY 2006 and FY 2007 NIMS implementation activities. While an affirmative answer is not required, States, territories, tribal nations, and local jurisdictions are required to respond to each question. These metrics will be used to monitor implementation and identify and prioritize future metrics.

Impediments to Implementation

As noted previously, FY 2007 compliance requires the successful implementation of the required activities demonstrated by an affirmative response to Tier 1 metrics questions. For metrics questions that ask for identification of the factors impeding successful implementation, examples are provided (e.g. plans, policy, personnel, funding, exercises, and training.) The metrics provide the opportunity to outline other factors preventing successful implementation. This information is critical for the NIMS Integration Center in identifying policy and programmatic obstacles to NIMS implementation.

VIII. Using NIMSCAST to Report Compliance

In January 2005, the NIMS Integration Center provided the NIMS Capability Assessment Support Tool (NIMCAST) to State, territorial, tribal nations, and local governments as a free, web-based, self-assessment tool regarding jurisdictional achievement of the NIMS implementation activities. In FY 2007, NIMCAST has transitioned into NIMSCAST, which incorporates the FY 2007 Compliance Metrics.

States, territories, tribal nations and local jurisdictions using NIMSCAST benefit by having a common, “real time” picture of progress toward NIMS implementation. The common picture allows NIMS coordinators at all levels to identify programmatic challenges and adjust efforts to the users below them, accordingly. At the end of the Fiscal Year, the NIMS Integration Center will compile the assessment information and use it to develop and provide technical assistance to State, territories, tribal and local jurisdictions.

By the end of FY 2007, NIMSCAST will provide the NIMS Integration Center with the ability to assess NIMS implementation at the National, FEMA region, State, territory, tribal, and local jurisdictional levels. This will be utilized to provide information to Congress, identify best practices, and recognize programmatic shortfalls requiring additional guidance and technical assistance.

Specific Features of the NIMSCAST have been enhanced in FY 2007 to provide stakeholders with the following:

- Account control access for State, territorial, tribal and local NIMS Coordinators
- Compliance status reporting on Tier 1 and Tier 2 metrics
- Enhanced reporting functions
- “Roll up” capabilities for consolidating reports from multiple stakeholders
- Identification of the emergency management and first responder disciplines within established accounts

NIMSCAST can accommodate self assessment and reporting from various stakeholders including:

- FEMA Regional NIMS Coordinator
- Tribal Nations
- State/Territorial NIMS Coordinator
- State/Territorial Departments and Agencies
- Intra-state and Intra-territorial Organizations
- Local governments (to include counties, municipalities, cities, towns, townships, local public authorities, school districts, special districts, intrastate districts, councils of government, regional or interstate government entities, or agencies or instrumentalities of a local government; Indian tribes or authorized tribal organizations, or in Alaska Native villages or Alaska Regional Native Corporations; rural communities, unincorporated towns or villages, or other public entities)
- Non-governmental and Private Sector Organizations

The NIMS Integration Center strongly encourages States and territories to assume the primary responsibility for utilizing NIMSCAST in the reporting of NIMS implementation progress for all State, territorial, tribal nations (when appropriate) and local jurisdictions. Tribal entities may use the NIMSCAST to submit their NIMS Implementation to the FEMA Region or State directly.

NIMSCAST also provides States and territories with a mechanism for the distribution of specific guidance to tribal nations and local jurisdictions within their boundaries. NIMSCAST allows stakeholders at all levels access to compliance instructions and status reports as appropriate.

Although all jurisdictions are strongly encouraged to use the NIMSCAST to assess their compliance, other independently-developed technical assistance tools may be used, provided that those are compatible with the metrics and report functions contained in the NIMSCAST.

A link to the NIMSCAST Technical Users Guide is available on the NIMS Integration Center web site at http://www.fema.gov/emergency/nims/nims_compliance.shtm. Please look under the Templates and Tools section.

IX. Use of Compliance Measurement in Federal Preparedness Assistance Programs

As FY 2007 is a transition year from self certification to performance-based metrics, reports must be submitted to the NIMS Integration Center by the end September 30, 2007 using NIMSCAST or a compatible system. Federal Preparedness Assistance Program awards for FY 2008 will be based on the compliance reports supplied by the States and territories.

X. FY 2007 Metrics Instructions

The remainder of this guide will provide States, territories, tribal nations and local jurisdictions with specific guidance on how to approach and address the performance-based metrics for the FY07 NIMS implementation activities.

Each section provides the compliance requirement, the assigned tier, and the metric that is used for assessment. Clarification on responding to each metrics is included. This clarification outlines the intended stakeholder for the metric, supporting guidance, explanation of the tier assigned to the requirement, and the definitions needed to understand the metrics options as appropriate.

Questions on responding to specific compliance metrics should be directed to the NIMS-Integration-Center@dhs.gov.

XI. Summary

The NIMS Integration Center has developed the *Guide to Fiscal Year 2007 NIMS Implementation: Compliance Metrics for States and Territories* and the *Guide to Fiscal Year 2007 NIMS Implementation: Compliance Metrics for Tribal and Local Jurisdictions* to assist in measuring compliance with FY 2007 NIMS requirements. In FYs 2005 and FY 2006, NIMS compliance was based on self-certification. The FY 2007 NIMS Implementation Activities will be measured using a performance-based system of metrics.

The FY 2007 compliance metrics have been prioritized into two “tiers” reflecting the importance of the corresponding NIMS Implementation activities. Tier 1 metrics measure those activities considered critical for NIMS Implementation, while Tier 2 metrics reinforce previous year activities and measure ongoing progress towards NIMS implementation.

To be considered NIMS compliant in FY 2007, States or territories must report affirmatively that they have successfully implemented the required Tier 1 activities. State departments and agencies, tribal nations and local jurisdictions must also respond to Tier 1 metrics affirmatively to demonstrate compliance.

States, territories, tribal nations and local jurisdictions are required to respond to all FY 2007 Tier 1 and 2 metrics in order to provide comprehensive assessment of the status of NIMS implementation activities nationwide.

The reporting requirements are as follows:

States and Territories

- Provide the FEMA Regional Office or the NIMS Integration Center a report measuring NIMS implementation within State/territorial departments and agencies based on the FY 2007 metrics;
- Provide the FEMA Regional Office or the NIMS Integration Center a report measuring NIMS implementation by local jurisdictions based on the FY 2007 metrics. At a minimum, this report should reflect NIMS implementation at the county-wide level. States may elect to report on implementation by intrastate region, local jurisdiction or other organizational boundary (e.g. Homeland Security Districts, Operational Area, etc.) as appropriate; and
- Provide the FEMA Regional Office or the NIMS Integration Center an overall measurement of State/territorial NIMS implementation based on the FY 2007 metrics.

Tribal Nations

- Provide a report to measuring NIMS implementation based on the FY 2007 metrics to the State/Territorial NIMS Coordinator or the NIMS Integration Center as appropriate.

Local Jurisdictions

- Provide to the State or Territorial NIMS Coordinator a report measuring NIMS implementation based on the FY 2007 metrics as appropriate.

Compliance reports must be provided to the State or Territorial NIMS Coordinator, FEMA Regional NIMS Coordinator or NIMS Integration Center as appropriate by September 30, 2007.



FEMA

FY 2007 NIMS COMPLIANCE GUIDANCE FOR TRIBAL NATIONS AND LOCAL GOVERNMENTS

NIMS COMPLIANCE METRICS INSTRUCTIONS

Section 1: Metrics: Community Adoption

Section 1 addresses NIMS adoption, monitoring, communicating and implementing NIMS across tribal and local jurisdictions. It also includes assessment of the implementation of NIMS, designation of a single point of contact as the NIMS coordinator, and linking Federal preparedness funding to satisfactory progress in attaining the FY 2007 NIMS implementation requirements.

In Section 1, Tribal/ Local NIMS Coordinators will be asked to respond to questions related to State adoption and infrastructure to support NIMS implementation.

Section 1 Metrics: State Adoption and Infrastructure
1. Formal Adoption

Compliance Requirements: Adopt NIMS at the State/Territorial level for all government departments and/or agencies; as well as promote and encourage NIMS adoption by associations, utilities, non-governmental organizations (NGOs) and private sector incident management and response organizations.

Monitor formal adoption of NIMS by all local and tribal jurisdictions.

Metrics Guidance

Tier 1: Critical for NIMS implementation: FY 2007 NIMS Tier 1 metrics are based primarily on FY 2005 required NIMS implementation actions established in FY 2005. These metrics measure initial phase activities which are considered foundational to all other NIMS implementation activities (such as NIMS adoption). Tier 1 metrics are designed to measure these foundational activities to ensure stakeholders have the necessary foundation for future implementation activities.

Has the State/territory formally adopted NIMS as the all-hazards, incident management system for implementation by all State/territory-level departments and/or agencies?

Yes
 No

If "Yes," what legal authority was used to adopt NIMS: [Check all that apply.]

Executive Order
 Proclamation
 Resolution
 Legislation
 Other legal authority, **explain:**

If "No," which of the following **impedes** adoption: [Check all that apply.]

Plans
 Policy
 Personnel
 Funding
 Exercise
 Education
 Other impediments, **explain:**

Notes:

1.1 Formal Adoption

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinator

Supporting Guidance:

- Select "Yes" if your Tribal/ Local Jurisdiction has taken steps toward the formal adoption of NIMS.
- Select "No" if your Tribal/ Local Jurisdiction has made no effort toward the formal adoption of NIMS.

Tier 1 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an affirmative answer to compliance metric above (below) to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS Implementation Fact Sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

NIMS Adoption

The establishment of a legal authority (e.g., executive order, proclamation, resolution, legislation, or other legal mandate) that requires all departments and agencies operating within the jurisdiction to use NIMS principles and methodologies in their all-hazards incident management system.

Impediments

Limitations or restrictions in conducting NIMS activities. The following list defines the constraints/impediments:

- **Education:** The knowledge or skill obtained or developed by a learning process.
- **Equipment:** Instrumentality needed for an undertaking or to perform a service including its associated supplies. Equipment can range from small personal items such as search and rescue gear (flashlights, dusk masks, etc.) to large-scale multi-jurisdictional systems (radio repeater systems, computer networks, etc).
- **Exercise:** Opportunity provided to demonstrate, evaluate, and improve the combined capability and interoperability of elements to perform assigned missions and tasks to standards necessary to achieve successful outcomes. (<http://www.mwcog.org/uploads/committee-documents/tVtYVik20051031174251.doc>)
- **Federal Standards:** Common rules, conditions, guidelines or characteristics, established by the Federal Government.
- **Funding:** Financial resources available to assist in achievement of tasks associated with NIMS implementation.
- **Organization:** Individual teams, an overall organizational structure, and leadership at each level in the structure that comply with relevant laws, regulations, and guidance necessary to perform assigned missions and tasks. (<http://www.mwcog.org/uploads/committee-documents/tVtYVik20051031174251.doc>)
- **Personnel:** Paid and volunteer staff who meet required qualification and certification standards necessary to perform assigned missions and tasks. (<http://www.mwcog.org/uploads/committee-documents/tVtYVik20051031174251.doc>)
- **Plans:** Documents such as procedures, mutual aid agreements, strategies, and other publications that may describe some of the following: governance, management, standard operating procedures, technology, and activities in support of defined missions and tasks. (<http://www.mwcog.org/uploads/committee-documents/tVtYVik20051031174251.doc>)
- **Policy:** A course of action, guidance, or principle intended to influence and guide decisions, actions, and other matters.
- **Training:** Specialized instruction and practice to improve performance and lead to task proficiency.

Section 1 Metrics: Community Adoption
2. Promotion and Encouragement Methods

Compliance Requirements: Adopt NIMS at the community level for all government departments and/or agencies; as well as promote and encourage NIMS adoption by associations, utilities, non-governmental organizations (NGOs) and private sector incident management and response organizations.

Metrics Guidance

Tier 1: Critical for NIMS implementation: FY 2007 NIMS Tier 1 metrics are based primarily on FY 2005 required NIMS implementation actions established in FY 2005. These metrics measure initial phase activities which are considered foundational to all other NIMS implementation activities (such as NIMS adoption). Tier 1 metrics are designed to measure these foundational activities to ensure stakeholders have the necessary foundation for future implementation activities.

For each of the following, indicate to which groups and with which methods the tribal/local has promoted and encouraged the adoption of NIMS: [Check all that apply.]

	Meetings (e.g., committees, conferences, working groups, etc.)	Mailings (e.g., newsletters, letters, etc.)	Email or other electronic means (e.g., websites)	Exercises (e.g., drills, tabletop, full-scale)	Other methods used to promote and encourage the adoption of NIMS	Not applicable	No methods
Associations (e.g., professional organization or trade associations)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Critical Infrastructure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Utilities (e.g., transportation, electric, water)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Private sector incident management and response organizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Non-governmental organizations (NGOs)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Local Departments and Agencies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Describe efforts to promote and encourage NIMS adoption:

Which of the following impedes the promotion and encouragement of NIMS adoption: [Check all that apply.]

- No impediments exist
- Plans
- Policy
- Personnel
- Funding
- Training
- Exercise
- Education
- Other impediments, explain:

1.2 Promotion and Encouragement Methods

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinator
- Local Departments and Agencies

Supporting Guidance

- If “Other Methods used to promote and encourage the adoption of NIMS” column is selected, please identify those methods in the text box “Describe efforts made to promote and encourage NIMS adoption”

Tier 1 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an affirmative answer to compliance metric above to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS Implementation Fact Sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Critical Infrastructure

As defined in the NRP, Critical Infrastructure is defined as systems and assets, whether physical or virtual, so vital to the United States that the incapacity or destruction of such systems and assets would have a debilitating impact on security, national economic security, national public health or safety, or any combination of those matters.

Government Department or Agencies

The State NIMS Coordinator should answer this question for State agencies only. This question does not refer to local units of government or local agencies.

Response

Activities that address the short-term, direct effects of an incident. Response includes immediate actions to save lives, protect property, and meet basic human needs. Response also includes the execution of emergency operations plans and incident

mitigation activities designed to limit the loss of life, personal injury, property damage, and other unfavorable outcomes. For additional information please see the NRP, page 72 or the NIMS document, page 136.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

[Switch Account] » USA » Region » State » Local ? Questions/Comments

Section 1 Metrics: Community Adoption
3. NIMS Coordinator

Compliance Requirements: Designate a single point of contact within the tribal/local jurisdiction to serve as the principal coordinator for NIMS implementation. (New for FY07)

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

Has the tribal/local jurisdiction designated a single point of contact within the authority to serve as the **principal coordinator** for overall **NIMS implementation**?

Yes
 No

If "Yes," who has been designated?

Name of Designee	<input type="text"/>
Title of Designee	<input type="text"/>
Email Address of Designee	<input type="text"/>
Phone Number of Designee	<input type="text"/>
Street	<input type="text"/>
Street Continued	<input type="text"/>
City	<input type="text"/>
State Abbreviation (e.g. KY)	<input type="text"/>
Zipcode	<input type="text"/>
Date of Appointment	<input type="text"/> <input type="calendar"/> [mm/dd/yyyy]

If "No," when will the tribal/local jurisdiction designate a single point of contact for NIMS implementation? [mm/dd/yyyy]

Also if "No," which of the following **impedes** designating a single point of contact for NIMS implementation: [Check all that apply.]

- Plans
- Policy
- Personnel
- Funding
- Training
- Education
- Other impediments, [explain](#)

1.3 NIMS Coordinator

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Principal Coordinator

The Principal Coordinator for local NIMS Implementation: The position responsible for coordination of all NIMS-related directives. This includes dissemination and collection of information and monitoring and reporting on compliance activities.

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

DHS Funding

DHS Funding refers to Grants and Training (G&T) grants only.

Other Preparedness Funding

Other Preparedness Funding includes all funding streams other than G&T that directly or indirectly support Homeland Security initiatives, e.g., Center for Disease Control (CDC) and Health Resources and Services Administration (HRSA) preparedness funds.

Notes Section

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NIMS Compliance Metrics Instructions: Tribal Nations and Local Governments

Section 2: Command and Management

Section 2 addresses the Incident Command System (ICS), Multi-Agency Coordination Systems (MACS), and Public Information Systems (PIS) to ensure these components are incorporated and used as prescribed by NIMS.

In Section 2, Tribal/ Local NIMS Coordinators will be asked to respond to questions related to:

- ICS
- MACS
- Public Information Systems (PIS) components of NIMS

Section 2 Metrics: Command and Management

1. Implementation of NIMS-Prescribed ICS for All-Hazards Incident Response

Compliance Requirements: 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 and Common Communications Plans, as appropriate.

Metrics Guidance

Tier 1: Critical for NIMS implementation: FY 2007 NIMS Tier 1 metrics are based primarily on FY 2005 required NIMS implementation actions established in FY 2005. These metrics measure initial phase activities which are considered foundational to all other NIMS implementation activities (such as NIMS adoption). Tier 1 metrics are designed to measure these foundational activities to ensure stakeholders have the necessary foundation for future implementation activities.

Does the tribal/local jurisdiction implement NIMS-prescribed ICS for all-hazards incident response?

Yes

No

If "No," which of the following **impedes** implementation: [Check all that apply.]

Plans

Personnel

Funding

Education

Training

Exercise

Other impediments, **explain:**

2.1 Implementation of NIMS-Prescribed ICS for All-Hazards Incident Response

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Supporting Guidance

- "NIMS-prescribed ICS" as identified in ICS-100 and ICS-200.
- Select "Yes" if State/Territory has taken steps to implement ICS (i.e., integrate ICS into plans, processes, and procedures.
- Select "No" if State/Territory has not implemented ICS.

Tier 1 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an affirmative answer to compliance metric above to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS Implementation Fact Sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Incident Command System (ICS)

A standardized on-scene emergency management system which provides for the adoption of an integrated organizational structure. ICS is the combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure, designed to aid in the management of resources during incidents. It is used for all kinds of emergencies, and is applicable to small as well as large and complex incidents. For additional information please refer to the NIMS document, page 14 at http://www.fema.gov/pdf/emergency/nims/nims_doc_full.pdf

Incident Action Plan (IAP)

An oral or written plan containing general objectives reflecting the overall strategy for managing an incident. For additional information, please see the NIMS document, page 96.

Common Communication Plan (CCP)

An interoperable communications plan designed to be utilized for multi-agency and multi-jurisdictional incident management operations. All entities involved in managing the incident will utilize common terminology, prescribed by the NIMS, for communications.

Preplanned Events

A preplanned event is a non-emergency activity. ICS can be used as the management system for a wide range of events, e.g., parades, concerts, or sporting events. For additional information please refer to the NIMS document, page 129.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 2 Metrics: Command and Management

2. Implementation of NIMS-Prescribed ICS for Preplanned Events

Compliance Requirements: 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 and Common Communications Plans, as appropriate.

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

Does the tribal/local jurisdiction implement NIMS-prescribed ICS for managing preplanned events?

- Yes
 No

If "No," which of the following impedes implementation: [Check all that apply]

- Plans
 Personnel
 Funding
 Education
 Training
 Other impediments, explain:

2.2 Implementation of NIMS-Prescribed ICS for Preplanned Events

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Supporting Guidance

- "NIMS-prescribed ICS" as identified in ICS-100 and ICS-200.
- Select "Yes" if Tribal/Local government departments and agencies have taken steps to implement ICS (i.e., integrate ICS into plans, processes, and procedures) for managing pre-planned events.
- Select "No" if Tribal/Local government departments and agencies have not implemented ICS for managing preplanned (recurring/special) events.

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at

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Incident Command System (ICS)

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Preplanned Events

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Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 2 Metrics: Command and Management

3. Consistent Application of Incident Action Planning

Compliance Requirements: 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 and Common Communications Plans, as appropriate.

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

Does ICS implementation include the consistent application of **incident action planning**?

- Yes
 No

If "No," which of the following **impedes** the consistent application of incident action planning: [Check all that apply.]

- Plans
 Personnel
 Funding
 Education
 Training
 Exercise
 Other impediments, [explain](#).

2.3 Consistent Application of Incident Action Planning

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at

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Incident Command System (ICS)

A standardized on-scene emergency management system which provides for the adoption of an integrated organizational structure. ICS is the combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure, designed to aid in the management of resources during incidents. It is used for all kinds of emergencies, and is applicable to small as well as large and complex incidents. For additional information please refer to the NIMS document, page 14 at http://www.fema.gov/pdf/emergency/nims/nims_doc_full.pdf.

Incident Action Plan (IAP)

An oral or written plan containing general objectives reflecting the overall strategy for managing an incident. For additional information, please see the NIMS document, page 96.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 2 Metrics: Command and Management
4. Consistent Application of Common Communications Plans

Compliance Requirements: 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 and Common Communications Plans, as appropriate.

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

Does ICS implementation include the consistent application of **common communications plans**?

Yes
 No

If "No," which of the following **impedes** the consistent application of common communication plans: [Check all that apply]

Plans
 Personnel
 Funding
 Education
 Training
 Exercise
 Other impediments, **explain**.

2.4 Consistent Application of Common Communications Plans

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Incident Command System (ICS)

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Common Communication Plan (CCP)

An interoperable communications plan designed to be utilized for multi-agency and multi-jurisdictional incident management operations. All entities involved in managing the incident will utilize common terminology, prescribed by the NIMS, for communications.

Notes Section

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Section 2 Metrics: Command and Management
5. Incident Action Plan Concepts

Compliance Requirements: 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 and Common Communications Plans, as appropriate.

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

Do **incident action plans** incorporate the following **ICS** concepts:

	Yes	No, explain:
Designation of measurable objectives	<input type="radio"/>	<input type="radio"/>
Designation of command staff positions	<input type="radio"/>	<input type="radio"/>
Manageable span of control	<input type="radio"/>	<input type="radio"/>
Clear chain of command	<input type="radio"/>	<input type="radio"/>
Use of plain language	<input type="radio"/>	<input type="radio"/>

2.5 Incident Action Plan Concepts

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at

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Incident Action Plan (IAP)

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Common Communication Plan (CCP)

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Preplanned Events

A preplanned event is a non-emergency activity. ICS can be used as the management system for a wide range of events, e.g., parades, concerts, or sporting events. For additional information please refer to the NIMS document, page 129.

Notes Section

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Section 2 Metrics: Command and Management
6. Communication Plan Components

Compliance Requirements: 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 and Common Communications Plans, as appropriate.

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

Do **Common Communication Plans** address:

	Yes	No, explain:
Utilization of communications equipment and facilities assigned to the incident	<input type="radio"/>	<input type="radio"/>
Installation of and testing of all communications equipment	<input type="radio"/>	<input type="radio"/>
Supervision and operation of the incident communications	<input type="radio"/>	<input type="radio"/>
Distribution and recovery of communications equipment assigned to incident personnel	<input type="radio"/>	<input type="radio"/>
Maintenance and repair of communications equipment on site	<input type="radio"/>	<input type="radio"/>

2.6 Communication Plan Components

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

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An interoperable communications plan designed to be utilized for multi-agency and multi-jurisdictional incident management operations. All entities involved in managing the incident will utilize common terminology, prescribed by the NIMS, for communications.

Preplanned Events

A preplanned event is a non-emergency activity. ICS can be used as the management system for a wide range of events, e.g., parades, concerts, or sporting events. For additional information please refer to the NIMS document, page 129.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 2 Metrics: Command and Management

7. Encouraging Multi-Agency Coordination Systems (MACS)

Compliance Requirements: 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 (ICP), local 911 Centers, local Emergency Operations Centers (EOCs), and the State/Territorial EOC.

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

Which of the following does the tribal/local jurisdiction provide to encourage the use of **(multi-agency coordination systems (MACS))**:

	Yes	No, explain:
Framework (e.g., organizational capacities, state EOPs, state disaster plans)	<input type="radio"/>	<input type="radio"/>
Training Curriculum	<input type="radio"/>	<input type="radio"/>
Exercises	<input type="radio"/>	<input type="radio"/>

2.7 Encouraging Multi-Agency Coordination Systems (MACs)

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at

http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Multi-Agency Coordination System (MACS)

A MACS is a combination of facilities, equipment, personnel, procedures, and communications integrated into a common system with responsibility for coordinating and supporting domestic incident management activities (NIMS, 33)

Framework

A framework is defined as a conceptual structure that supports or contains set of systems and/or practices.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 2 Metrics: Command and Management
8. Designation or Utilization of Multi-Agency Coordination Systems

Compliance Requirements: 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 (ICP), local 911 Centers, local Emergency Operations Centers (EOCs), and the State/Territorial EOC.

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

Does the tribal/local jurisdiction designate or utilize **MACS** for:

	Yes, explain how a MACS has been successfully utilized:	No
Preplanned Events (Recurring/Special)	<input type="radio"/> <input type="text"/>	<input type="radio"/>
Incident-specific Hazards	<input type="radio"/> <input type="text"/>	<input type="radio"/>
No-notice Events	<input type="radio"/> <input type="text"/>	<input type="radio"/>
Specific Events	<input type="radio"/> <input type="text"/>	<input type="radio"/>

Which of the following **impedes** establishing a MACS: [Check all that apply]

- No impediments exist
- Plans
- Policy
- Training
- Organization
- Personnel
- Funding
- Other impediments, **explain:**

2.8 Designation or Utilization of Multi-Agency Coordination Systems

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Multi-Agency Coordination System (MACS)

A MACS is a combination of facilities, equipment, personnel, procedures, and communications integrated into a common system with responsibility for coordinating and supporting domestic incident management activities (NIMS, 33)

Incident-Specific Hazards

An incident-specific hazard is defined as anticipated events that may or may not occur that require coordinated response to protect life or property, e.g., pandemic flu, avian flu, etc.

No-Notice Events

A no-notice event is defined as an event that does not allow for prior planning, e.g., terrorist event, earthquake, etc.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 2 Metrics: Command and Management

9. MACS Function Coordination

Compliance Requirements: 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 (ICP), local 911 Centers, local Emergency Operations Centers (EOCs), and the State/Territorial EOC.

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

Which of the following primary functions is coordinated by a tribal/local MACS: [Check all that apply]

- Situation assessment
- Critical resource acquisition and allocation
- Tribal/local, state/territory, and Federal disaster support
- Coordination with elected and appointed officials
- Coordination of summary information
- Incident priority determination
- Other functions that tribal/local MACS provide, explain:

2.9 MACS Function Coordination

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at

http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Multi-Agency Coordination System (MACS)

A MACS is a combination of facilities, equipment, personnel, procedures, and communications integrated into a common system with responsibility for coordinating and supporting domestic incident management activities (NIMS, 33)

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 2 Metrics: Command and Management

10. Public Information System (PIS) Included in Emergency Operations Plan (EOP)

Compliance Requirements: 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.

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

Does the tribal/local jurisdictional Emergency Operations Plan (EOP) include processes and procedures for utilizing a **Public Information System (PIS)**, including establishment of a **Joint Information System (JIS)** and a **Joint Information Center (JIC)** as incidents dictate?

- Yes
 No, explain:

If "Yes," how many out of how many individuals are trained in utilizing the PIS? /

Which of the following **impedes** the inclusion of processes and procedures for utilizing a PIS into the tribal/local jurisdictional EOP: [Check all that apply.]

- Plans
 Personnel
 Funding
 Education
 Training
 Exercise
 Other impediments, explain:

2.10 Public Information System (PIS) Included in Emergency Operations Plan (EOP)

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at

http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Public Information System (PIS)

The processes, procedures, and systems for communicating timely and accurate information to the public during crisis or emergency situations. For additional information please refer to the NIMS document, page 35.

Joint Information System (JIS)

Integrates incident information and public affairs into a cohesive organization designed to provide consistent, coordinated, timely information during a crisis or incident operations. The JIS provides a structure for developing and delivering coordinated interagency messages; developing, recommending, and executing public information plans and strategies on behalf of the Incident Commander (IC); advising the IC concerning public affairs issues that could affect a response effort; and controlling rumors and inaccurate information that could undermine public confidence in the emergency response effort. For additional information, please refer to the NIMS document, page 14.

Joint Information Center (JIC)

A facility established to coordinate all incident-related public information activities. It is the central point of contact for all news media at the scene of the incident. Public information officials from all participating agencies should collocate at the JIC. For additional information please refer to the NIMS document, page 14 or the NRP page 68.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric

Section 2 Metrics: Command and Management

11. Types of Information That PIS Can Gather, Verify, Coordinate and Disseminate

Compliance Requirements: Ensure that the Public Information System can gather, verify, coordinate, and disseminate information during an incident. (New for FY07)

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

During incidents, can the tribal/local Public Information System (PIS) gather, verify, coordinate, and disseminate the following types of information: [Check all that apply.]

	Gather	Verify	Coordinate	Disseminate
Critical Emergency Information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Crisis Communication	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Public Affairs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other types of information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Describe other types of information, if applicable.

2.11 Types of Information that PIS Can Gather, Verify, Coordinate and Disseminate

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at

http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Public Information System (PIS)

The processes, procedures, and systems for communicating timely and accurate information to the public during crisis or emergency situations. For additional information please refer to the NIMS document, page 35.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

NIMS Compliance Metrics Instructions: Tribal Nations and Local Governments

Section 3: Metrics: Preparedness Planning

This section addresses the jurisdiction's NIMS baseline, how it coordinates and leverages funding for NIMS implementation, the updating and revising of plans and Standard Operating Procedures (SOPs) to incorporate NIMS, and the level to which intrastate and interagency mutual aid agreements are used.

In Section 3, Tribal/ Local NIMS Coordinators will be asked to respond to questions related to preparedness planning and funding to support NIMS implementation.

Section 3 Metrics: Preparedness Planning
1. NIMS Baseline Established

Compliance Requirements: Establish the community's NIMS baseline against the FY05 and FY06 implementation requirements.

Metrics Guidance

Tier 1: Critical for NIMS implementation: FY 2007 NIMS Tier 1 metrics are based primarily on FY 2005 required NIMS implementation actions established in FY 2005. These metrics measure initial phase activities which are considered foundational to all other NIMS implementation activities (such as NIMS adoption). Tier 1 metrics are designed to measure these foundational activities to ensure stakeholders have the necessary foundation for future implementation activities.

Has the tribal/local jurisdiction established a NIMS baseline for FY05 and/or FY06?

Yes

No, explain:

If "Yes," what tool was used?

NIMCAST

Other, explain:

Which of the following impedes establishing a NIMS baseline: [Check all that apply.]

Plans

Personnel

Funding

Education

Training

Other impediments, explain:

3.1 NIMS Baseline Established

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Supporting Guidance

- Tribal/ Local Governments can select "Yes" if a baseline was determined using any means the deemed appropriate.
- For local governments, the State would determine what method has to be used to determine the baseline. The baseline does not have to be NIMCAST-centric or rely on any electronic instrument.
- If a NIMS Baseline has not been created, it is encouraged to complete original assessment identified in NIMCAST since 2005.

Tier 1 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an affirmative answer to compliance metric above to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS Implementation Fact Sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

NIMS Baseline

The NIMS baseline is an initial assessment of NIMS compliance conducted in 2005 and/or 2006 by participating jurisdictions at State, Territorial, local, and tribal levels.

Tool

"Tool" refers to any instrument, methodology, or process used by the jurisdiction to collect information in order to establish a NIMS baseline.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 3 Metrics: Preparedness Planning
2. Utilization of Federal Preparedness Funding to Improve NIMS Preparedness and Response Activities

Compliance Requirements: Develop and implement a system to coordinate all Federal preparedness funding to implement the NIMS across the local/tribal jurisdictions.

Metrics Guidance

Tier 1: Critical for NIMS implementation: FY 2007 NIMS Tier 1 metrics are based primarily on FY 2005 required NIMS implementation actions established in FY 2005. These metrics measure initial phase activities which are considered foundational to all other NIMS implementation activities (such as NIMS adoption). Tier 1 metrics are designed to measure these foundational activities to ensure stakeholders have the necessary foundation for future implementation activities.

Has the tribal/local jurisdiction utilized Federal preparedness funding to improve NIMS preparedness and response activities?

Yes

No, explain:

Does not apply, no federal funds received

If "Yes," indicate the Federal preparedness funding sources used?

DHS, specify funding sources:

Other Federal preparedness funding

Which of the following **impedes** utilizing Federal preparedness funding to improve activities: [Check all that apply.]

Plans

Personnel

Funding

Education

Training

Other impediments, explain:

3.2 Utilization of Federal Preparedness Funding to Improve NIMS Preparedness and Response Activities

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Supporting Guidance

- Select "Yes" if the Tribal or Local government applied for and received Federal Preparedness Funding.
- Select "No" if the Tribal or Local government applied for Federal Preparedness Funding, but did not receive award.
- Select "N/A" Tribal or Local government did not apply for Federal Preparedness Funding.

Tier 1 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an affirmative answer to compliance metric above to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS Implementation Fact Sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

NIMS Baseline

The NIMS baseline is an initial assessment of NIMS compliance conducted in 2005 and/or 2006 by participating jurisdictions at State, Territorial, local, and tribal levels.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 3 Metrics: Preparedness Planning

3. Quantify Department/Agencies that have Incorporated NIMS with Emergency Management or Response Functions

Compliance Requirements: Revise and update plans and SOPs to incorporate NIMS components, principles, and policies, to include planning, training, response, exercises, equipment, evaluation, and corrective actions.

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

Indicate in the table below the number of tribal/local jurisdictional departments and/or agencies with an emergency management or emergency response function that have incorporated NIMS into the following activities:

	Number of departments and/or agencies that have incorporated NIMS	Total number of departments and/or agencies
Planning	<input type="text"/>	<input type="text"/>
Training Programs	<input type="text"/>	<input type="text"/>
Response Activities	<input type="text"/>	<input type="text"/>
Exercise Program	<input type="text"/>	<input type="text"/>
Equipment Acquisition	<input type="text"/>	<input type="text"/>
Evaluations	<input type="text"/>	<input type="text"/>
Corrective Actions	<input type="text"/>	<input type="text"/>

3.3 Quantify Department/Agencies that have Incorporated NIMS with Emergency Management or Response Functions

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Supporting Guidance

- Total Number of department and/or agencies should be specific to those tribal/local departments/agencies with emergency response duties.

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Homeland Security Exercise and Evaluation Program (HSEEP)

As defined by HSEEP, there are seven types of exercises; seminar, workshop, tabletop, game, drill, functional, and full scale. For additional information, please refer to Volume I of HSEEP at www.hseep.dhs.gov

Equipment Acquisition

The process of obtaining resources to support operational needs.

Evaluations

Tools used after exercises or actual events to document strengths and weaknesses in a jurisdiction's preparedness, e.g., Lessons learned or after action reports.

Corrective Actions

Improved procedures that are based on lessons learned from actual incidents or from training and exercises.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 3 Metrics: Preparedness Planning

4. Extent of NIMS Concepts/Principles Incorporation

Compliance Requirements: Revise and update plans and SOPs to incorporate NIMS components, principles, and policies, to include planning, training, response, exercises, equipment, evaluation, and corrective actions.

Metrics Guidance

Tier 1: Critical for NIMS implementation: FY 2007 NIMS Tier 1 metrics are based primarily on FY 2005 required NIMS implementation actions established in FY 2005. These metrics measure initial phase activities which are considered foundational to all other NIMS implementation activities (such as NIMS adoption). Tier 1 metrics are designed to measure these foundational activities to ensure stakeholders have the necessary foundation for future implementation activities.

To what extent have the following NIMS concepts and principles been incorporated into incident management policies and SOPs/SOGs:

	Not Incorporated	Partially Incorporated	Fully Incorporated
Flexibility	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Scalability	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Standardization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Interoperability & Compatibility	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

3.4 Extent of NIMS Concepts/Principles Incorporation

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 1 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an affirmative answer to compliance metric above to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS Implementation Fact Sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Standard Operating Procedures (SOPs)

A complete reference document that details the procedures for performing a single function or a number of interdependent functions. For additional information please refer to the NIMS document, page 36.

Flexibility

A principle of the NIMS that provides a consistent and adjustable national framework within which government and private entities at all levels can work together to manage domestic incidents, regardless of their cause, size, location, or complexity. This flexibility applies across all phases of incident management: prevention, preparedness, response, recovery, and mitigation. For additional information please refer to the NIMS document, page 2.

Scalability

The ability of incident managers to adapt to incidents by either expanding or reducing the resources necessary to adequately manage the incident, including the ability to incorporate multiple jurisdictions and multiple responder disciplines.

Standardization

A principle of the NIMS that provides a set of standardized organizational structures—such as the ICS, multi-agency coordination systems, and public information systems—as well as requirements for processes, procedures, and systems designed to improve interoperability among jurisdictions and disciplines in various area, including: training; resource management; personnel qualification and certification; equipment certification; communications and information management; technology support; and continuous system improvement. For additional information please refer to the NIMS document, page 2.

Interoperability and Compatibility

A principle of the NIMS that holds that systems must be able to work together and should not interfere with one another if the multiple jurisdictions, organizations, and functions that come together under the NIMS are to be effective in domestic incident management. Interoperability and compatibility are achieved through the use of such tools as common communications and

data standards, digital data formats, equipment standards, and design standards. (Department of Homeland Security, National Incident Management System (March 2004), 55.)

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 3 Metrics: Preparedness Planning

5. Participate in mutual aid agreements

Compliance Requirements: Participate in and promote intrastate and interagency mutual aid agreements to include agreements with the private sector and non-governmental organizations.

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

The tribal/local jurisdiction participates in the following types of mutual aid agreements: [Check all that apply]:

Intrastate
 Interagency
 None, explain:

Which of the following impedes participation in intrastate and interagency mutual aid agreements: [Check all that apply]

No impediments exist
 Plans
 Policy
 Training
 Organization
 Personnel
 Funding
 Other impediments, explain:

3.5 Participate in Mutual Aid Agreements

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Mutual Aid Agreement

A written agreement between agencies, organizations, and/or jurisdictions that they will assist one another, on request, by furnishing personnel, equipment, and/or expertise in a specified manner. For additional information on mutual aid, please visit <http://www.fema.gov/emergency/nims/rm/ma.shtm>

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 3 Metrics: Preparedness Planning

6. Promotion of Intrastate and Interagency Mutual Aid Agreements

Compliance Requirements: Participate in and promote intrastate and interagency mutual aid agreements to include agreements with the private sector and non-governmental organizations.

Metrics Guidance

Tier 1: Critical for NIMS implementation: FY 2007 NIMS Tier 1 metrics are based primarily on FY 2005 required NIMS implementation actions established in FY 2005. These metrics measure initial phase activities which are considered foundational to all other NIMS implementation activities (such as NIMS adoption). Tier 1 metrics are designed to measure these foundational activities to ensure stakeholders have the necessary foundation for future implementation activities.

What actions have been taken by the tribal/local jurisdiction to promote intrastate and interagency mutual aid agreements: [Check all that apply.]

- Developed working groups and/or committees
- Signed Memorandum of Understanding/Memorandum of Agreement
- Engaged in regular correspondence via phone/email
- Developed mutual aid templates
- Other actions taken by the tribal/local jurisdiction to promote intrastate and interagency mutual aid agreements, explain:
- No actions have been taken, explain:

Which of the following impedes promoting intrastate and interagency mutual aid agreements: [Check all that apply.]

- No impediments exist
- Plans
- Policy
- Training
- Organization
- Personnel
- Funding
- Other impediments, explain:

3.6 Promotion of Intrastate and Interagency Mutual Aid Agreements

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 1 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an affirmative answer to compliance metric above to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS Implementation Fact Sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Mutual Aid Agreement

A written agreement between agencies, organizations, and/or jurisdictions that they will assist one another, on request, by furnishing personnel, equipment, and/or expertise in a specified manner. For additional information on mutual aid, please visit <http://www.fema.gov/emergency/nims/rm/ma.shtm>

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 3 Metrics: Preparedness Planning

7. Promotion of Mutual Aid Agreements with Private Sector and NGOs

Compliance Requirements: Participate in and promote intrastate and interagency mutual aid agreements to include agreements with the private sector and non-governmental organizations.

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

What actions have been taken by the tribal/local jurisdiction to promote **mutual aid agreements** with private sector and non-governmental organizations: [Check all that apply.]

- Developed working groups and/or committees
- Signed Memorandum of Understanding/Memorandum of Agreement
- Engaged in regular correspondence via phone/email
- Developed mutual aid templates
- Other actions taken by the tribal/local jurisdiction to promote mutual aid agreements with private sector and non-governmental organizations, explain:

- No actions have been taken, explain:

3.7 Promotion of Mutual Aid Agreements with Private Sector and NGOs

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Supporting Guidance

- All rationale as to why mutual aid agreements are not in place and/or required should be identified in the “No Actions have been taken” text box.

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Mutual Aid Agreement

A written agreement between agencies, organizations, and/or jurisdictions that they will assist one another, on request, by furnishing personnel, equipment, and/or expertise in a specified manner. For additional information on mutual aid, please visit <http://www.fema.gov/emergency/nims/rm/ma.shtm>

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 3 Metrics: Preparedness Planning

8. Types of Mutual Aid Agreements Trained and/or Exercised

Compliance Requirements: Participate in and promote intrastate and interagency mutual aid agreements to include agreements with the private sector and non-governmental organizations.

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

Indicate the types of mutual aid agreements for which the tribal/local jurisdiction has trained and/or exercised:

	Interstate	Intrastate	Interagency
Training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Exercises	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.8 Types of Mutual Aid Agreements Training and/or Exercised

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Supporting Guidance

- Tribal or Local governments should identify whether or not their jurisdiction is aware—through training and/or exercise—of the policies, protocols, and/or procedures relating to Interstate, Intrastate, and/or Interagency mutual aid agreements.

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at

http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Mutual Aid Agreement

A written agreement between agencies, organizations, and/or jurisdictions that they will assist one another, on request, by furnishing personnel, equipment, and/or expertise in a specified manner. For additional information on mutual aid, please visit <http://www.fema.gov/emergency/nims/rm/ma.shtm>

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

NIMS Compliance Metrics Instructions: Tribal Nations and Local Governments

Section 4: Metrics: Preparedness Training

This section addresses how training facilities are used to coordinate and deliver NIMS training and measures the level to which jurisdiction staff is trained in various NIMS courses.

In Section 4, Tribal/ Local NIMS Coordinators will be asked to respond to questions related to the communication, delivery, and tracking of preparedness training.

Section 4 Metrics: Preparedness Training

1. Quantify Trained Personnel

Compliance Requirements: Complete IS-700 NIMS: An Introduction. Complete IS-800 NRP: An Introduction. Complete ICS 100 and ICS 200 Training. Complete ICS 300 and ICS 400 Training (New for FY07)

Metrics Guidance

Tier 1: Critical for NIMS implementation: FY 2007 NIMS Tier 1 metrics are based primarily on FY 2005 required NIMS implementation actions established in FY 2005. These metrics measure initial phase activities which are considered foundational to all other NIMS implementation activities (such as NIMS adoption). Tier 1 metrics are designed to measure these foundational activities to ensure stakeholders have the necessary foundation for future implementation activities.

In the following table, indicate the number of people trained in the following courses (out of the total number of people identified); [Gray boxes are not applicable.]

	Entry-level first responders	First line supervisors	Middle Management	Command and General Staff	Personnel trained as trainers
IS-700	<input type="text"/> / <input type="text"/>				
IS-800			<input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/>	
ICS-100	<input type="text"/> / <input type="text"/>				
ICS-200	<input type="text"/> / <input type="text"/>				
ICS-300			<input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/>
ICS-400			<input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/>
Other Training	<input type="text"/> / <input type="text"/>				

4.1 Quantify Trained Personnel

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Supporting Guidance

- "NIMS National Standard Curriculum" is referring to the "NIMS National Standard Curriculum Training Development Guidance" located on the Training component of the NIMS Integration Center website (www.fema.gov/emergency/nims).

Tier 1 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an affirmative answer to compliance metric above to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS Implementation Fact Sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Entry-Level First Responders

Entry-level first responders are defined as any responders who are not a supervisor or manager.

IS-700

National Incident Management (NIMS) An Introduction

IS-800

National Response Plan (NRP) An Introduction

ICS-100

Introduction to Incident Command System (ICS)

ICS-200

ICS for Single Resources and Initial Action Incidents

ICS-300

Intermediate ICS

ICS-400
Advanced ICS

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 4 Metrics: Preparedness Training
2. Document Training Status of Personnel

Compliance Requirements: Leverage training facilities to coordinate and deliver NIMS training requirements in conformance with the NIMS National Standard Curriculum.

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

Does the local/tribal jurisdiction document the training status of personnel from:

	Yes	No	Not applicable
Your jurisdiction	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other emergency response organizations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

4.2 Document Training Status of Personnel

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at

http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Document Training Status

Document training status can include the State requiring state agencies/departments, local jurisdictions, and tribal jurisdictions to track their own training and provide the detailed training information to the State upon request.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

NIMS Compliance Metrics Instructions: Tribal Nations and Local Governments

Section 5: Metrics: Preparedness Exercise

This section addresses the incorporation of NIMS/ICS in training and exercises, involving multi-disciplinary and multi-jurisdictional responders in exercises, and incorporating corrective actions into preparedness and response plans and procedures.

In Section 5, Tribal/ Local NIMS Coordinators will be asked to respond to questions related to the communication, delivery, and tracking of preparedness exercises.

Section 5 Metrics: Preparedness Exercises

1. NIMS/ICS Incorporated into Exercises

Compliance Requirements: Incorporate NIMS/ICS into all tribal/local and regional training and exercises.

Metrics Guidance

Tier 1: Critical for NIMS implementation: FY 2007 NIMS Tier 1 metrics are based primarily on FY 2005 required NIMS implementation actions established in FY 2005. These metrics measure initial phase activities which are considered foundational to all other NIMS implementation activities (such as NIMS adoption). Tier 1 metrics are designed to measure these foundational activities to ensure stakeholders have the necessary foundation for future implementation activities.

Into which of the following activities are NIMS/ICS incorporated:

	Training	Exercises
Your Jurisdictional Level	<input type="checkbox"/>	<input type="checkbox"/>
Intrastate Regional Level	<input type="checkbox"/>	<input type="checkbox"/>

Which of the following impedes incorporating NIMS/ICS into tribal/local and regional training and exercises: [Check all that apply.]

- No impediments exist
- Plans
- Personnel
- Funding
- Education
- Training
- Other impediments, explain:

5.1 NIMS/ICS Incorporated into Exercises

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Supporting Guidance

- Not every State/Territory or State/Territory Agencies/Departments train and/or exercises at an intrastate regional level.

Tier 1 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an affirmative answer to compliance metric above to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS Implementation Fact Sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Incident Command System (ICS)

A standardized on-scene emergency management system which provides for the adoption of an integrated organizational structure. ICS is the combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure, designed to aid in the management of resources during incidents. It is used for all kinds of emergencies, and is applicable to small as well as large and complex incidents. For additional information please refer to the NIMS document, page 14 at http://www.fema.gov/pdf/emergency/nims/nims_doc_full.pdf.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 5 Metrics: Preparedness Exercises
2. Quantity of Exercises that Evaluate NIMS Implementation

Compliance Requirements: Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions.

Metrics Guidance

Tier 1: Critical for NIMS implementation: FY 2007 NIMS Tier 1 metrics are based primarily on FY 2005 required NIMS implementation actions established in FY 2005. These metrics measure initial phase activities which are considered foundational to all other NIMS implementation activities (such as NIMS adoption). Tier 1 metrics are designed to measure these foundational activities to ensure stakeholders have the necessary foundation for future implementation activities.

Indicate the number of exercises of each type that evaluate NIMS implementation during the exercise:

	# of exercises
Drills	<input type="text"/>
Tabletop Exercises (TTX)	<input type="text"/>
Functional Exercises (FE)	<input type="text"/>
Full-Scale Exercises (FSE)	<input type="text"/>
Other types of exercises in which NIMS has been implemented	<input type="text"/>
Total number of Exercises	<input type="text"/>

If other types of exercises specified, explain:

Which of the following NIMS components are evaluated through the exercises: [Check all that apply.]

- Preparedness
- Communication and Information Management
- Resource Management
- Command and Management
- Mutual Aid
- Interoperability
- Participation of non-governmental organizations (NGOs) and private industry
- Other NIMS-related components:

How have each of these exercises been evaluated for effectiveness of NIMS implementation? Explain:

Which of the following impedes evaluating NIMS implementation during exercises: [Check all that apply.]

- No impediments exist
- Plans
- Personnel
- Funding
- Education
- Training
- Other impediments, explain:

5.2 Quantity of Exercises that Evaluate NIMS Implementation

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Supporting Guidance

- This metrics collection should reflect all exercises conducted in FYs 2005-2007 which exercised NIMS principles and components.
- To ensure that there is not an inappropriate duplication of data collection, Tribal/Local Departments/Agencies must account only for the exercises for which they were named the lead agency. Tribal/Local Departments/Agencies should consult State/Territory NMS Coordinator for accuracy of information.

Tier 1 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an affirmative answer to compliance metric above to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS Implementation Fact Sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Incident Command System (ICS)

A standardized on-scene emergency management system which provides for the adoption of an integrated organizational structure. ICS is the combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure, designed to aid in the management of resources during incidents. It is used for all kinds of emergencies, and is applicable to small as well as large and complex incidents. For additional information please refer to the NIMS document, page 14 at http://www.fema.gov/pdf/emergency/nims/nims_doc_full.pdf.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 5 Metrics: Preparedness Exercises

3. Existence of an All-Hazard Exercise Program

Compliance Requirements: Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions.

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

Does the tribal/local jurisdiction have an all-hazard **exercise** program?

- Yes
 No

If "No," which of the following **impedes** developing an all-hazard exercise program: [Check all that apply.]

- Plans
 Personnel
 Funding
 Education
 Training
 Other impediments, **explain:**

5.3 Existence of an All-Hazard Exercises Program

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 1 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an affirmative answer to compliance metric above to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS Implementation Fact Sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Homeland Security Exercise and Evaluation Program (HSEEP)

As defined by HSEEP, there are seven types of exercises; seminar, workshop, tabletop, game, drill, functional, and full scale. For additional information, please refer to Volume I of HSEEP at www.hseep.dhs.gov

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 5 Metrics: Preparedness Exercises

4. Quantity of Exercises with Multi-Disciplinary and/or Multi-Jurisdictional Component

Compliance Requirements: Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions.

Metrics Guidance

Tier 1: Critical for NIMS implementation: FY 2007 NIMS Tier 1 metrics are based primarily on FY 2005 required NIMS implementation actions established in FY 2005. These metrics measure initial phase activities which are considered foundational to all other NIMS implementation activities (such as NIMS adoption). Tier 1 metrics are designed to measure these foundational activities to ensure stakeholders have the necessary foundation for future implementation activities.

Indicate the number of exercises that involve a multi-disciplinary and/or multi-jurisdictional component:

	Number of Exercises
Multi-disciplinary	<input type="text"/>
Multi-jurisdictional	<input type="text"/>

Of these, in which of the following types of exercises has NIMS been implemented as the all-hazards, incident management system: [Check all that apply.]

	Drills	Tabletop Exercises	Functional Exercises	Full-Scale Exercises	Other
Multi-disciplinary	<input type="checkbox"/>				
Multi-jurisdictional	<input type="checkbox"/>				

Explain how these exercises evaluate the effectiveness of NIMS implementation:

What number of exercises used HSEEP methodology? (Out of total number of exercises) /

If the tribal/local jurisdiction does not participate in multi-jurisdictional and/or multi-disciplinary, all-hazards exercises, explain:

Which of the following disciplines are included in multi-disciplinary exercises that evaluate NIMS implementation: [Check all that apply.]

- Public Works
- Health and Medical
- Fire Hazardous Materials (HAZMAT)
- Emergency Medical Services (EMS)
- Law Enforcement
- Search and Rescue
- Animal Control and Veterinary Health
- Incident Management
- Other disciplines, explain:

Which of the following impedes the implementation of NIMS in training and exercises: [Check all that apply.]

- No impediments exist
- Plans
- Policy
- Equipment
- Funding
- Education
- Other impediments, explain:

5.4 Quantity of Exercises with Multi-Disciplinary and/or Multi-Jurisdictional Component

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Supporting Guidance

- When answering this question, please disregard the “functional” distinction. All types of exercises (listed in Section 5.2) must be accounted for.

Tier 1 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an affirmative answer to compliance metric above to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS Implementation Fact Sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Homeland Security Exercise and Evaluation Program (HSEEP)

As defined by HSEEP, there are seven types of exercises; seminar, workshop, tabletop, game, drill, functional, and full scale. For additional information, please refer to Volume I of HSEEP at www.hseep.dhs.gov

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 5 Metrics: Preparedness Exercises
5. After Action Reports and/or Lessons Learned

Compliance Requirements: Incorporate corrective actions into preparedness and response plans and procedures.

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

Do tribal/local jurisdictional departments and/or agencies develop **after action reports** and/or **lessons learned** following exercises?

Yes

No, explain:

Which of the following **impedes** developing after action reports and/or lessons learned: [Check all that apply.]

Plans

Policy

Personnel

Funding

Education

Training

Other impediments, explain:

5.5 After Action Reports and/or Lessons Learned

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

After Action Report (AAR)

The AAR documents the performance of exercise related tasks and makes recommendations for improvements. The Improvement Plan outlines the actions that the exercising jurisdiction(s) plans to take to address recommendations contained in the AAR.

Lessons Learned

Knowledge gained through operational experience (actual events or exercises) that improve performance of others in the same discipline. For additional information please visit <https://www.llis.dhs.gov/>.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 5 Metrics: Preparedness Exercises

6. Incorporation of Corrective Action Plans, After Action Reports, and/or Lessons Learned

Compliance Requirements: Incorporate corrective actions into preparedness and response plans and procedures.

Metrics Guidance

Tier 1: Critical for NIMS implementation: FY 2007 NIMS Tier 1 metrics are based primarily on FY 2005 required NIMS implementation actions established in FY 2005. These metrics measure initial phase activities which are considered foundational to all other NIMS implementation activities (such as NIMS adoption). Tier 1 metrics are designed to measure these foundational activities to ensure stakeholders have the necessary foundation for future implementation activities.

Tribal/Local jurisdictions incorporate **corrective action plans, after action reports, and/or lessons learned** into which of the following: [Check all that apply.]

- Preparedness plans
- Response plans
- Response procedures
- Recovery plans and procedures
- None, explain:

Which of the following **impedes** incorporating corrective action plans, after action reports, and/or lessons learned: [Check all that apply.]

- No impediments exist
- Plans
- Policy
- Personnel
- Funding
- Education
- Training
- Other impediments, explain:

5.6 Incorporation of Corrective Action Plans, After Action Reports, and/or Lessons Learned

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 1 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an affirmative answer to compliance metric above to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS Implementation Fact Sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Corrective Action

Improved procedures that are based on lessons learned from actual incidents or from training and exercises.

After Action Report (AAR)

The AAR documents the performance of exercise related tasks and makes recommendations for improvements. The Improvement Plan outlines the actions that the exercising jurisdiction(s) plans to take to address recommendations contained in the AAR.

Lessons Learned

Knowledge gained through operational experience (actual events or exercises) that improve performance of others in the same discipline. For additional information please visit <https://www.llis.dhs.gov/>.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 5 Metrics: Preparedness Exercises

7. Maintenance of Correction Action Program

Compliance Requirements: Incorporate corrective actions into preparedness and response plans and procedures.

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

Does the tribal/local jurisdiction utilize **improvement plans** and **after action reports** to maintain a **Corrective Action Program**?

Yes

No, explain:

5.7 Maintenance of Correction Action Program

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Improvement plan

The AAR documents the performance of exercise related tasks and makes recommendations for improvements. The Improvement Plan outlines the actions that the exercising jurisdiction(s) plans to take to address recommendations contained in the AAR.

After Action Report (AAR)

The AAR documents the performance of exercise related tasks and makes recommendations for improvements. The Improvement Plan outlines the actions that the exercising jurisdiction(s) plans to take to address recommendations contained in the AAR.

Corrective Action

Improved procedures that are based on lessons learned from actual incidents or from training and exercises.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

NIMS Compliance Metrics Instructions: Tribal Nations and Local Governments

Section 6: Metrics: Resource Management

This section addresses the inventorying of response assets and its conformance to homeland security resource typing standards, the incorporation of national standards into acquisition programs to achieve equipment, communications, and data interoperability, and the utilization of the response asset inventory for Emergency Management Assistance Compact (EMAC) requests.

In Section 6, Tribal/ Local NIMS Coordinators will be asked to respond to questions related to resource management.

Section 6 Metrics: Resource Management
1. Inventory of Response Assets

Compliance Requirements: Inventory community response assets to conform to homeland security resource typing standards.

Metrics Guidance

Tier 1: Critical for NIMS implementation: FY 2007 NIMS Tier 1 metrics are based primarily on FY 2005 required NIMS implementation actions established in FY 2005. These metrics measure initial phase activities which are considered foundational to all other NIMS implementation activities (such as NIMS adoption). Tier 1 metrics are designed to measure these foundational activities to ensure stakeholders have the necessary foundation for future implementation activities.

Has the tribal/local jurisdiction inventoried its response resources?

Yes
 No

If "No," which of the following impedes inventorying response resources: [Check all that apply.]

Plans
 Policy
 Personnel
 Equipment
 Training
 Funding
 Education
 Other impediments, explain:

6.1 Inventory of Response Assets

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 1 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an affirmative answer to compliance metric above to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS Implementation Fact Sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Response Resources/Assets

Response Resources are defined as assets that include equipment, personnel and supplies that are available for use during an incident.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 6 Metrics: Resource Management
2. Response Asset Inventory Developed

Compliance Requirements: Inventory community response assets to conform to homeland security resource typing standards.

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

Has the tribal/local jurisdiction developed a **response asset inventory**?

Yes
 No

If "No," which of the following **impedes** developing a response asset inventory. [Check all that apply.]

Plans
 Policy
 Personnel
 Equipment
 Training
 Funding
 Education
 Other impediments, [explain](#)

Notes:

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6.2 Response Asset Inventory Developed

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Response Asset Inventory

An inventory of the jurisdiction's resources that have been identified and typed according to NIMS Resource Typing Standards. Development of a Response Asset Inventory requires resource typing of equipment, personnel, and supplies identified in the inventories of State resources.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 6 Metrics: Resource Management
3. Resource Typing for Response Assets

Compliance Requirements: Inventory community response assets to conform to homeland security resource typing standards.

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

Does the tribal/local jurisdiction use **resource typing** for response assets?

Yes
 No

If "Yes," has the tribal/local jurisdiction typed its **response assets** to conform to DHS standards, as identified by the NIC?

Yes
 No, explain:

6.3 Resource Typing for Response Assets

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Supporting Guidance

- Homeland Security Resource Typing standards refers to the 120 Resource Type Definitions posted on the NIMS Integration Center website <http://www.fema.gov/emergency/nims/rm/rt.shtm>

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Resource Typing

Resource typing is the categorization of resources that are commonly exchanged through mutual aid during disasters. Resource typing definitions help define resource capabilities for ease of ordering and mobilization during a disaster. For additional information please visit <http://www.fema.gov/emergency/nims/rm/rt.shtm>

Response Resources/Assets

Response Resources are defined as assets that include equipment, personnel and supplies that are available for use during an incident.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 6 Metrics: Resource Management

4. Acquisition Adoption of Interoperability Standards

Compliance Requirements: To the extent permissible by law, ensure that relevant national standards and guidance to achieve equipment, communication and data interoperability are incorporated into tribal/local acquisition programs.

Metrics Guidance

Tier 1: Critical for NIMS implementation: FY 2007 NIMS Tier 1 metrics are based primarily on FY 2005 required NIMS implementation actions established in FY 2005. These metrics measure initial phase activities which are considered foundational to all other NIMS implementation activities (such as NIMS adoption). Tier 1 metrics are designed to measure these foundational activities to ensure stakeholders have the necessary foundation for future implementation activities.

To what extent does the tribal/local jurisdiction require its acquisitions and purchases to adopt interoperable standards:

	Not Required	Partially Required	Fully Required
Equipment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Communications	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Data	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Which of the following impedes acquisitions and purchases from adopting interoperable standards: [Check all that apply.]

- No impediments exist
- Plans
- Policy
- Personnel
- Equipment
- Training
- Exercise
- Funding
- Education
- Other impediments, explain:

6.4 Acquisition Adoption of Interoperability Standards

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 1 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an affirmative answer to compliance metric above to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS Implementation Fact Sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Interoperable

A principle of the NIMS that holds that systems must be able to work together and should not interfere with one another if the multiple jurisdictions, organizations, and functions that come together under the NIMS are to be effective in domestic incident management. Interoperability and compatibility are achieved through the use of such tools as common communications and data standards, digital data formats, equipment standards, and design standards. For additional information please refer to the NIMS document, page 55.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 6 Metrics: Resource Management

5. Incorporation of Standard Equipment List and Other Federal Standards Data

Compliance Requirements: To the extent permissible by law, ensure that relevant national standards and guidance to achieve equipment, communication and data interoperability are incorporated into tribal/local acquisition programs.

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

To what extent does the tribal/local jurisdiction's current acquisition program incorporate the **Standard Equipment List (SEL)** and other Federal equipment standards data when purchasing interoperable equipment:

- Not Incorporated
- Partially Incorporated
- Fully Incorporated

6.5 Incorporation of Standard Equipment List and Other Federal Standards Data

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at

http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Standardized Equipment List (SEL)

A list issued annually to promote interoperability and standardization across the response community at the local, state, and federal levels by offering a standard reference and a common set of terminology. It is provided to the responder community by the Interagency Board (IAB) for Equipment Standardization and Interoperability.. The SEL contains a list of generic equipment recommended by the IAB to organizations in preparing for and responding to all-hazards.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 6 Metrics: Resource Management

6. Validation of Inventory

Compliance Requirements: Validate that the inventory of response assets conforms to homeland security resource typing standards and provide to the state/territory as required. (New for FY07)

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

Has the tribal/local jurisdiction validated the inventory of **response assets**?

- Yes
 No

If "Yes," does the inventory conform to homeland security **resource typing standards**?

- Yes
 No

If "No," does the tribal/local jurisdiction have plans to:

	Yes	No
Build or adopt a database to serve as a response asset inventory	<input type="radio"/>	<input type="radio"/>
Identify resources for a response asset inventory	<input type="radio"/>	<input type="radio"/>
Compile data and expand the response asset inventory	<input type="radio"/>	<input type="radio"/>

6.6 Validation of Inventory

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Response Resources/Assets

Response Resources are defined as assets that include equipment, personnel and supplies that are available for use during an incident.

Resource Typing

Resource typing is the categorization of resources that are commonly exchanged through mutual aid during disasters. Resource typing definitions help define resource capabilities for ease of ordering and mobilization during a disaster. For additional information please visit <http://www.fema.gov/emergency/nims/rm/rt.shtm>

Response Asset Inventory

An inventory of the jurisdiction's resources that have been identified and typed according to NIMS Resource Typing Standards. Development of a Response Asset Inventory requires resource typing of equipment, personnel, and supplies identified in the inventories of State resources.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 6 Metrics: Resource Management
7. Utilization of Response Asset Inventory

Compliance Requirements: Utilize the State/Territory response asset inventory for Intra-State Mutual Aid requests, exercises, and actual events. (New for FY07)

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

Does the tribal/local jurisdiction utilize the **response asset inventory** for:

	Yes	No, explain:
Mutual Aid Requests	<input type="radio"/>	<input type="radio"/>
Exercises	<input type="radio"/>	<input type="radio"/>
Actual Events	<input type="radio"/>	<input type="radio"/>

6.7 Utilization of Response Asset Inventory

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at

http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Response Asset Inventory

An inventory of the jurisdiction's resources that have been identified and typed according to NIMS Resource Typing Standards. Development of a Response Asset Inventory requires resource typing of equipment, personnel, and supplies identified in the inventories of State resources.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

NIMS Compliance Metrics Instructions: Tribal Nations and Local Governments

Section 7: Metrics: Communication and Information Management

This section addresses the application of standardized and consistent terminology and the development of systems, tools, and processes to present consistent and accurate information to incident managers.

In Section 7, Tribal/ Local NIMS Coordinators will be asked to respond to questions related to communication and information management.

Section 7 Metrics: Communication and Information Management

1. Implementation of Communication Standards During Multi-Agency and/or Multi-Jurisdictional Events

Compliance Requirements: Apply standardized and consistent terminology, including the establishment of plain language communications standards across the public safety sector.

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

During a multi-jurisdictional and/or multi-agency event, to what extent does the tribal/local jurisdiction implement the following communication standards:

	Not Implemented	Partially Implemented	Fully Implemented
Plain Language	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Standardized terminology in response operations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Standardized terminology in publications	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Which of the following **impedes** implementing communication standards: [Check all that apply.]

- No impediments exist
- Plans
- Policy
- Personnel
- Equipment
- Training
- Exercise
- Funding
- Education
- Other impediments, **explain:**

7.1 Implementation of Communication Standards during Multi-Agency and/or Multi-Jurisdictional Events

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at

http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Plain Language

Common terms and definitions that can be understood by individuals from all responder disciplines. The intent of plain language is to ensure the clear and accurate communication of information during an incident.

Standardized Terminology

Commonly accepted language that is consistent with policies, plans, or procedures in the NIMS and NRP to facilitate multi-agency, multi-disciplinary or multi-jurisdictional communications during an incident.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

Section 7 Metrics: Communication and Information Management

2. Methods to Ensure Consistent and Accurate Information During Incident

Compliance Requirements: Develop systems, tools, and processes to present consistent and accurate information to incident managers at all levels (e.g., common operating picture). (New for FY07)

Metrics Guidance

Tier 2: Required to measure ongoing progress of FY 2006 implementation activities: FY 2007 NIMS Tier 2 metrics are based on FY 2007 required NIMS implementation activities which are comprised of both FY 2006 NIMS implementation activities as well as new implementation activities for FY 2007. Tier 2 metrics are designed to measure the current level of implementation of these activities and may become Tier 1 activities beginning in FY 2008, once FY 2007 NIMS implementation data can be collected and analyzed. The data collected from Tier 2 metrics may be used by the NIC to develop future implementation activities and to provide technical assistance, as necessary.

Which of the following has the tribal/local jurisdiction developed to present consistent and accurate information during an incident:

	Systems	Tools	Processes
Communications	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Intelligence	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Information Management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Information Sharing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Resource Status	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

7.2 Methods to Ensure Consistent and Accurate Information During Incident

Intended NIMS Stakeholder

- Tribal/ Local NIMS Coordinators
- Local Departments and Agencies

Tier 2 Requirement

States and Territories (Tribal Nations/Local jurisdictions) must provide an answer to compliance metric above. Answers to the statement do not need to be in the affirmative to be deemed NIMS compliant. For additional information on NIMS compliance tiers, visit the NIMS implementation Fact sheet at http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf.

Systems

The principles, system components, and procedures needed to present consistent and accurate information during an incident.

Tools

The instruments used to convey incident information.

Processes

The procedures and protocols used for communicating timely and accurate information during incidents.

Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. For example, which department or agency manages a particular task, where to find additional information, or additional detail on the particular question or metric.

NIMS Compliance Metrics Instructions: Tribal Nations and Local Governments

List of Acronyms

AAR	After Action Report
CAP	Corrective Action Plan
CCP	Common Communication Plan
CDC	Center for Disease Control
DHS	Department of Homeland Security
EMAC	Emergency Management Assistance Compact
EOC	Emergency Operations Plan
FEMA	Federal Emergency Management Agency
G&T	Grants and Training (G&T)
HRSA	Health Resources and Services Administration
HSEEP	Homeland Security Exercise and Evaluation Program
HSPD	Homeland Security Presidential Directive
IAB	Interagency Board for Equipment Standardization and Interoperability
IAP	Incident Action Plan
IC	Incident Commander
ICS	Incident Command System
JIC	Joint Information Center
JIS	Joint Information System
MACS	Multi-Agency Coordination Systems
NEMA	National Emergency Management Association
NIMS	National Incident Management System
NIC	NIMS Integration Center
NIMCAST	NIMS Capability Assessment Support Tool
NIMSCAST	NIMS Compliance Assistance Support Tool
NRP	National Response Plan
PIS	Public Information Systems
RAMP	Remedial Action Management Program
SAA	State Administrative Agency
SEL	Standard Equipment List
SOP	Standard Operating Procedure

NIMS Compliance Metrics Instructions: Tribal Nations and Local Governments

Terms of Reference

Actual Event

A disaster (natural or man-made) that has warranted action to protect life, property, environment, public health or safety. Natural disasters include earthquakes, hurricanes, tornadoes, floods, etc.; man-made (either intentional or accidental) incidents can include chemical spills, terrorist attacks, explosives, biological attacks, etc.

After Action Reports (AARs)

The AAR documents the performance of exercise related tasks and makes recommendations for improvements. The Improvement Plan outlines the actions that the exercising jurisdiction(s) plans to take to address recommendations contained in the AAR.

Common Communication Plan (CCP)

An interoperable communications plan designed to be utilized for multi-agency and multi-jurisdictional incident management operations. All entities involved in managing the incident will utilize common terminology, prescribed by the NIMS, for communications.

Common Operating Picture

A broad view of the overall situation as reflected by situation reports, aerial photography, and other information or intelligence. (NIMS, 119)

Constraints/Impediments

These are defined below. For example, education and policy

Corrective Action Plan (CAP)

A process implemented after incidents or exercises to assess, investigate, and identify and implement appropriate solutions to prevent repeating problems encountered. For additional information on CAPs please visit <https://hseep.dhs.gov/caps/Login.jsp>

Corrective Actions

Improved procedures that are based on lessons learned from actual incidents or from training and exercises.

Critical Infrastructure

Systems and assets, whether physical or virtual, so vital to the United States that the incapacity or destruction of such systems and assets would have a debilitating impact on security, national economic security, national public health or safety, or any combination of those matters. (Department of Homeland Security, National Response Plan (December 2004), 64.)

Education

Formal instruction based on a curriculum that prepares an individual with the core knowledge and skill for entry into a discipline and for performing a job function

Entry-level First Responders

Entry-level first responders are defined as any responders who are not a supervisor or manager.

Emergency Management Assistance Compact (EMAC)

The EMAC is an interstate mutual aid agreement that allows states to assist one another in responding to all kinds of natural and man-made disasters. It is administered by the National Emergency Management Association (NEMA).

Emergency Operations Plan (EOP)

The plan maintained by various jurisdictional levels for managing a wide variety of potential hazards. For additional information please see the NRP, page 65 or the NIMS document, page 129.

Exercise

Exercises are a planned and coordinated activity allowing homeland security and emergency management personnel—from first responders to senior officials—to demonstrate training, exercise plans, and practice prevention, protection, response, and recovery capabilities in a realistic but risk-free environment. Exercises are a valuable tool for assessing and improving performance, while demonstrating community resolve to prepare for major incidents.

Evaluations

Tools used after exercises or actual events to document strengths and weaknesses in a jurisdiction's preparedness, e.g., Lessons learned or after action reports.

Federal Preparedness Funding

Funding designated for developing and/or enhancing State, Territorial, local, and tribal preparedness capabilities. This includes all funding streams that directly or indirectly support Homeland Security initiatives, e.g., Center for Disease Control and Health Resources and Services Administration preparedness funds.

Federal Standards

Common rules, conditions, guidelines or characteristics, established by the Federal Government.

Flexibility

A principle of the NIMS that provides a consistent, flexible, and adjustable national framework within which government and private entities at all levels can work together to manage domestic incidents, regardless of their cause, size, location, or complexity. This flexibility applies across all phases of incident management: prevention, preparedness, response, recovery, and mitigation. (Department of Homeland Security, National Incident Management System (March 2004), 2.)

Funding

Financial resources available to assist in achievement of tasks associated with NIMS implementation

Homeland Security Exercise and Evaluation Program (HSEEP)

A capabilities- and performance-based exercise program that provides a standardized policy, methodology, and language for designing, developing, conducting, and evaluating all exercises. HSEEP also facilitates the creation of self-sustaining, capabilities-based exercise programs by providing tools and resources such as guidance, training, technology, and direct support. For additional information please visit the HSEEP toolkit at <http://www.hseep.dhs.gov>

Improvement Plan

The After Action Report documents the performance of exercise related tasks and makes recommendations for improvements. The Improvement Plan outlines the actions that the exercising jurisdiction(s) plans to take to address recommendations contained in the AAR.

Incident Action Plan (IAP)

An oral or written plan containing general objectives reflecting the overall strategy for managing an incident. For additional information, please see the NIMS document, page 96.

Incident Command System (ICS)

A standardized on-scene emergency management system which provides for the adoption of an integrated organizational structure. ICS is the combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure, designed to aid in the management of resources during incidents. It is used for all kinds of emergencies, and is applicable to small as well as large and complex incidents. For additional information please refer to the NIMS document, page 14 at http://www.fema.gov/pdf/emergency/nims/nims_doc_full.pdf.

Incident-Specific Hazards

Anticipated events that may or may not occur that require coordinated response to protect life or property, e.g., pandemic flu, avian flu, etc.

Interagency

An organization or committee comprised of multiple agencies

Interoperable

A principle of the NIMS that holds that systems must be able to work together and should not interfere with one another if the multiple jurisdictions, organizations, and functions that come together under the NIMS are to be effective in domestic incident management. Interoperability and compatibility are achieved through the use of such tools as common communications and data standards, digital data formats, equipment standards, and design standards. (Department of Homeland Security, National Incident Management System (March 2004), 55.)

Interstate

A region comprised of multiple states.

Intrastate

A region within a single state.

Joint Information Center (JIC)

A facility established to coordinate all incident-related public information activities. It is the central point of contact for all news media at the scene of the incident. Public information officials from all participating agencies should collocate at the JIC. For additional information please refer to the NIMS document, page 14 or the NRP page 68.

Joint Information System (JIS)

Integrates incident information and public affairs into a cohesive organization designed to provide consistent, coordinated, timely information during a crisis or incident operations. The JIS provides a structure for developing and delivering coordinated interagency messages; developing, recommending, and executing public information plans and strategies on behalf of the Incident Commander (IC); advising the IC concerning public affairs issues that could affect a response effort; and controlling rumors and inaccurate information that could undermine public confidence in the emergency response effort. For additional information, please refer to the NIMS document, page 14.

Lessons Learned

Knowledge gained through operational experience (actual events or exercises) that improve performance of others in the same discipline. For additional information please visit <https://www.llis.dhs.gov/>

Measure

A determination of a jurisdiction's specific level of NIMS compliance, evaluated according to that jurisdiction's responses to the NIMS metrics that have been established by the NIMS Integration Center (NIC).

Metric

Metrics are measurements in the form of questions that were derived from NIMS implementations activities. These metrics were separated into two categories; tier 1 and tier 2.

Multi-Agency Coordination System (MACS)

A MACS is a combination of facilities, equipment, personnel, procedures, and communications integrated into a common system with responsibility for coordinating and supporting domestic incident management activities (NIMS, 33)

Mutual Aid Agreement

A written agreement between agencies, organizations, and/or jurisdictions that they will assist one another, on request, by furnishing personnel, equipment, and/or expertise in a specified manner. For additional information on mutual aid, please visit <http://www.fema.gov/emergency/nims/rm/ma.shtm>

National Response Plan (NRP)

A plan mandated by HSPD-5 that integrates Federal domestic prevention, preparedness, response, and recovery plans into one all-discipline, all-hazards plan. For additional information please visit www.dhs.gov/nrp

NIMS Compliance Assistance Support Tool (NIMSCAST)

The NIMSCAST will be a self assessment instrument for State, territorial, tribal, local, private sector, and non-governmental organizations to evaluate and report their jurisdiction's achievement of all NIMS implementation activities.

NIMS Adoption

The establishment of a legal authority (e.g., executive order, proclamation, resolution, legislation, or other legal mandate) that requires all departments and agencies operating within the jurisdiction to use NIMS principles and methodologies in their all-hazards incident management system.

NIMS Baseline

An initial assessment of NIMS compliance conducted in 2005 and/or 2006 by participating jurisdictions at State, Territorial, local, and tribal levels.

NIMS Implementation

All activities necessary for adopting and institutionalizing NIMS. Implementation includes the formal adoption of NIMS, the use of a NIMS-compliant approach to all incident management operations, etc.

NIMS National Standard Curriculum

A curriculum designed to provide training on the NIMS. This curriculum will be built around available federal training opportunities and course offerings that support NIMS implementation. The curriculum also will serve to clarify training that is necessary for NIMS-compliance and streamline the training approval process for courses recognized by the curriculum. Initially, the curriculum will be made up of NIMS awareness training and training to support the ICS. Eventually it will expand to include all NIMS training requirements including training established to meet national credentialing standards.

NIMS Promotion and Encouragement

Activities such as meetings (e.g., conferences, working groups, etc.), mailings (e.g., newsletters, letters, etc.), email, or other established methods (e.g., broadcast media).

No-Notice Event/ Incident

An occurrence or event, natural or human-caused, that requires an emergency response to protect life or property (i.e., terrorist attacks and threats, wild land and urban fires, floods, hazardous materials spills, nuclear accident, aircraft accident, earthquakes, hurricanes, tornadoes, public health and medical emergencies etc.)

Organization

Formalized structured planning groups and governing bodies with defined authorities, missions, and responsibilities.

Personnel

Paid and volunteer staff who meet required qualification and certification standards necessary to perform assigned missions and tasks.

Plain Language

Common terms and definitions that can be understood by individuals from all responder disciplines. The intent of plain language is to ensure the clear and accurate communication of information during an incident. For additional information, refer to http://www.fema.gov/pdf/emergency/nims/plain_lang.pdf

Plans

Documents such as procedures, mutual aid agreements, strategies, and other publications that may describe some of the following: governance, management, standard operating procedures, technology, and activities in support of defined missions and tasks.

Policy

A course of action, guidance, or principle intended to influence and guide decisions, actions, and other matters

Preplanned Event

A non-emergency activity. ICS can be used as the management system for a wide range of events, e.g., parades, concerts, or sporting events. (Department of Homeland Security, National Incident Management System (March 2004), 129.)

Principal Coordinator

The position designated by the State Administrative Agency (SAA) primarily responsible for coordination of all NIMS-related directives. This includes dissemination and collection of information and monitoring and reporting on compliance activities.

Public Information System (PIS)

The processes, procedures, and systems for communicating timely and accurate information to the public during crisis or emergency situations. For additional information please refer to the NIMS document, page 35.

Remedial Action Management Program (RAMP)

A program that will identify and remedy operational and programmatic issues encountered in disaster response and recovery operations and exercises. Known as the RAMP, it will also capture lessons learned and smart practices that will become part of a Web-based national library accessible to all levels of government...The RAMP replaces the Disaster Corrective Action Program and involves restructured procedures and new issue-management authorities.

Resource Typing

Resource typing is the categorization of resources that are commonly exchanged through mutual aid during disasters. Resource typing definitions help define resource capabilities for ease of ordering and mobilization during a disaster. For additional information please visit <http://www.fema.gov/emergency/nims/rm/rt.shtm>

Response

Activities that address the short-term, direct effects of an incident. Response includes immediate actions to save lives, protect property, and meet basic human needs. Response also includes the execution of emergency operations plans and incident mitigation activities designed to limit the loss of life, personal injury, property damage, and other unfavorable outcomes. For additional information please see the NRP, page 72 or the NIMS document, page 136.

Response Asset Inventory

An inventory of the jurisdiction's resources that have been identified and typed according to NIMS Resource Typing Standards. Development of a Response Asset Inventory requires resource typing of equipment, personnel, and supplies identified in the inventories of State resources.

Response Assets/Resources

Response Resources are defined as assets that include equipment, personnel and supplies that are available for use during an incident.

Scalability

The ability of incident managers to adapt to incidents by either expanding or reducing the resources necessary to adequately manage the incident, including the ability to incorporate multiple jurisdictions and multiple responder disciplines.

Standardized Equipment List (SEL)

A list issued annually to promote interoperability and standardization across the response community at the local, state, and federal levels by offering a standard reference and a common set of terminology. It is provided to the responder community by the Interagency Board for Equipment Standardization and Interoperability (IAB). The SEL contains a list of generic equipment recommended by the IAB to organizations in preparing for and responding to all-hazards.

Standard Operating Procedures (SOPs)

A complete reference document that details the procedures for performing a single function or a number of interdependent functions. (Department of Homeland Security, National Incident Management System (March 2004), 36.)

Standardization

A principle of the NIMS that provides a set of standardized organizational structures—such as the ICS, multi-agency coordination systems, and public information systems—as well as requirements for processes, procedures, and systems designed to improve interoperability among jurisdictions and disciplines in various areas, including: training; resource management; personnel qualification and certification; equipment certification; communications and information management; technology support; and continuous system improvement. (Department of Homeland Security, National Incident Management System (March 2004), 2.)

Standardized Terminology

Commonly accepted language that is consistent with policies, plans, or procedures in the NIMS and NRP to facilitate multi-agency, multi-disciplinary or multi-jurisdictional communications during an incident.

Strategy

Plans, policies, procedures for how the State or Territory will achieve NIMS implementation.

Training

Specialized instruction and practice to improve performance and lead to enhanced emergency management capabilities

Training Curriculum

A course or set of courses designed to teach personnel specific processes, concepts, or task-oriented skills.