

Section 1 Metrics: State Adoption and Infrastructure

Compliance Requirement: 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.

1. 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: []

2. For each of the following, indicate to which groups and with which methods the state/territory 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
• Associations (e.g., professional organization or trade associations)	[]	[]	[]	[]	[]
• Critical Infrastructure	[]	[]	[]	[]	[]
• Utilities (e.g., transportation, electric, water)	[]	[]	[]	[]	[]
• Private sector incident management and response organizations	[]	[]	[]	[]	[]
• Non-governmental organizations (NGOs)	[]	[]	[]	[]	[]
• State/territorial departments and/or agencies	[]	[]	[]	[]	[]

- Describe efforts made to promote and encourage NIMS adoption: [Narrative. _____]
- Which of the following impedes the promotion and encouragement of NIMS adoption: [Check all that apply.]
 - [] Plans
 - [] Policy
 - [] Personnel
 - [] Funding
 - [] Training
 - [] Exercise
 - [] Education
 - [] Other impediments, explain: [_____]

- If “Yes,” who has been designated? _____ (Name, Title, Email Address, Phone Number, and Mailing Address)
 - What was the date of appointment? _____
- If “No,” when will the state/territory designate a single point of contact for NIMS implementation? _____ (Date)
 - 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: [_____]

Compliance Requirement: To the extent permissible by law, ensure that Federal preparedness funding to state/territorial departments and/or agencies and tribal/local jurisdictions is linked to the satisfactory progress in meeting the requirements related to FY06 NIMS implementation requirements.

7. Does the state/territory monitor compliance with FY06 NIMS implementation requirements as a condition to distribute DHS funding and other Federal preparedness funding to the following:

State/territorial departments and/or agencies:

	Yes	No
DHS Funding	<input type="checkbox"/>	<input type="checkbox"/>
If “No,” explain: [_____]		

	Yes	No
Other Federal Preparedness Funding	<input type="checkbox"/>	<input type="checkbox"/>
If “No,” explain: [_____]		

- Which of the following impedes monitoring compliance with FY06 NIMS implementation requirements: [Check all that apply.]
 - Plans
 - Policy
 - Personnel
 - Funding
 - Training
 - Exercise
 - Education
 - Other impediments, explain: [_____]

- Has the state/territory completed NIMCAST?

Yes

No

- If "No," which of the following impedes completing NIMCAST: [Check all that apply.]

Plans

Policy

Personnel

Funding

Training

Exercise

Education

Other impediments, explain: []

Local jurisdictions:

	Yes	No
DHS Funding	<input type="checkbox"/>	<input type="checkbox"/>
If "No," explain: []		

	Yes	No
Other Federal Preparedness Funding	<input type="checkbox"/>	<input type="checkbox"/>
If "No," explain: []		

- Which of the following impedes monitoring compliance with FY06 NIMS implementation requirements: [Check all that apply.]

Plans

Policy

Personnel

Funding

Training

Exercise

Education

Other impediments, explain: []

Tribal jurisdictions:

	Yes	No	N/A
DHS Funding	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Explain: []			

Other Federal Preparedness Funding	[]	[]	[]
Explain: []			

▪ Which of the following impedes monitoring compliance with FY06 NIMS implementation requirements: [Check all that apply.]

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

Compliance Requirement: To the extent permissible by state/territorial law and regulations, audit agencies and review organizations should routinely include NIMS implementation requirements in all audits associated with Federal preparedness grant funds. This process will validate the self-certification process for NIMS compliance.

8. Does the state/territory review NIMS compliance as a part of grant-related state/territorial audits of:

state/territorial departments and/or agencies:

	Yes	No
DHS Funding	[]	[]
Explain: []		

	Yes	No
Other Federal Preparedness Funding	[]	[]
Explain: []		

▪ Which of the following impedes the state/territorial review of NIMS compliance for state/territorial departments and/or agencies: [Check all that apply.]

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

Local jurisdictions:

	Yes	No
DHS Funding	[]	[]
Explain: []		

	Yes	No
Other Federal Preparedness Funding	[]	[]
Explain: []		

- Which of the following impedes the state/territorial review of NIMS compliance for local jurisdictions: [Check all that apply.]

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

Tribal jurisdictions:

	Yes	No	N/A
DHS Funding	[]	[]	[]
Explain: []			
Other Federal Preparedness Funding	[]	[]	[]
Explain: []			

- Which of the following impedes the state/territorial review of NIMS compliance for tribal jurisdictions: [Check all that apply.]

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

NEW FOR FY07 Compliance Requirement: Monitor and assess outreach and implementation of NIMS requirements across the state/territory, including tribal/local jurisdictions.

3. 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: []

4. 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: []

5. Do incident action plans incorporate the following ICS concepts::

	Yes	No
Designation of measurable objectives	[]	[]
▪ If "No," explain: []		
Designation of command staff positions	[]	[]
▪ If "No," explain: []		
Manageable span of control	[]	[]
▪ If "No," explain: []		
Clear chain of command	[]	[]
▪ If "No," explain: []		
Use of plain language	[]	[]
▪ If "No," explain: []		

6. Do common communication plans address:

	Yes	No
Utilization of communications equipment and facilities assigned to the incident	[]	[]
▪ If "No," explain: []		
Installation and testing of all communications equipment	[]	[]
▪ If "No," explain: []		
Supervision and operation of the incident communications	[]	[]
▪ If "No," explain: []		
Distribution and recovery of communications equipment assigned to incident personnel	[]	[]
▪ If "No," explain: []		
Maintenance and repair of communications equipment on site	[]	[]
▪ If "No," explain: []		

Compliance Requirement: 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), the state/territorial EOC and regional/Federal EOCs and NRP organizational elements.

7. Which of the following does the state/territory provide to encourage the use of multi-agency coordination systems (MACS):

	Yes	No
Framework (e.g., organizational capacities, state EOPs, state disaster plans)	[]	[]
<ul style="list-style-type: none"> ▪ If "No," explain: [] 		
Training Curriculum	[]	[]
<ul style="list-style-type: none"> ▪ If "No," explain: [] 		
Exercises	[]	[]
<ul style="list-style-type: none"> ▪ If "No," explain: [] 		

8. Does the state/territory designate or utilize MACS for:

	Yes	No
Preplanned Events (Recurring/Special)	[]	[]
<ul style="list-style-type: none"> ▪ If "Yes," explain how a MACS has been successfully utilized to manage preplanned events: [] 		
Incident-specific Hazards	[]	[]
<ul style="list-style-type: none"> ▪ If "Yes," explain how a MACS has been successfully utilized to manage incident-specific hazards: [] 		
No-notice Events	[]	[]
<ul style="list-style-type: none"> ▪ If "Yes," explain how a MACS has been successfully utilized to manage no-notice events: [] 		
Specific Events	[]	[]
<ul style="list-style-type: none"> ▪ If "Yes," explain how a MACS has been successfully utilized to specific events: [] 		

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

- [] Plans
- [] Policy
- [] Training
- [] Organization
- [] Personnel
- [] Funding
- [] Other impediments, explain: []

9. Which of the following primary functions is coordinated by a State/territory MACS: [Check all that apply.]

- [] Situation assessment
- [] Critical resource acquisition and allocation
- [] Local/tribal, State/territory, and Federal disaster coordination
- [] Coordination with elected and appointed officials
- [] Coordination of summary information
- [] Incident priority determination
- [] Other functions that state/territorial MACS provide, explain: []

5. During an incident, can the following plans be integrated with the Federal response as described in the NRP:

	Yes	No
State Emergency Operations Plan (EOP)	[]	[]
Other plans, explain []	[]	[]

▪ If "No," explain: []

Compliance Requirement: Promote intrastate and interagency mutual aid agreements (to include agreements with the private sector and non-governmental organizations).

6. What actions have been taken by the state/territory 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
- Communicated the benefits of mutual aid to state/territorial departments and/or agencies
- Communicated the benefits of mutual aid to local jurisdictions
- Communicated the benefits of mutual aid to tribal jurisdictions
- Other actions taken by the state/territory 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.]

- Plans
- Policy
- Training
- Organization
- Personnel
- Funding
- Other impediments, explain: []

7. What actions have been taken by the state/territory 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 state/territory to promote mutual aid agreements with private sector and non-governmental organizations, explain:
[]
- No actions have been taken, explain: []

8. Indicate the types of mutual aid agreements that the state/territory 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"/>

	agencies			
Communicated NIMS training requirements to:	[]	[]	[]	[]
▪ Explain any unchecked boxes: []				
Communicated NIMS training delivery mechanisms (online courses, classroom settings, etc.) to:	[]	[]	[]	[]
▪ Explain any unchecked boxes: []				
Coordinated multiple NIMS training delivery mechanisms to:	[]	[]	[]	[]
▪ Explain any unchecked boxes: []				
Established a mechanism to receive and track NIMS training results from:	[]	[]	[]	[]
▪ Explain any unchecked boxes: []				
Established a mechanism to document status of NIMS trained personnel from:	[]	[]	[]	[]
▪ Explain any unchecked boxes: []				

4. Does the state/territory document training status of personnel from:

	Yes	No	Not applicable
State/territorial departments and/or agencies	[]	[]	
Local jurisdictions	[]	[]	
Tribal jurisdictions	[]	[]	[]
Other emergency response organizations	[]	[]	

Compliance Requirement: Complete IS-700 NIMS: An Introduction. Complete IS-800 NRP: An Introduction. Complete ICS 100 and ICS 200 Training.

NEW FOR FY07 Compliance Requirement: Complete ICS-300 and ICS-400 Training.

5. 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	Emergency management and response personnel in middle management	Emergency management and response personnel in command and general staff	Personnel trained as ICS trainers
IS-700	[]	[]	[]	[]	
IS-800			[]	[]	
ICS-100	[]	[]	[]	[]	[]
ICS-200	[]	[]	[]	[]	[]
ICS-300			[]	[]	[]
ICS-400			[]	[]	[]

- 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.]
 - Plans
 - Personnel
 - Funding
 - Education
 - Training
 - Other impediments, explain: []

3. Does the state/territory have an all-hazards exercise program?

- Yes
- No

- If “No,” which of the following impedes developing an all-hazards exercise program: [Check all that apply.]
 - Plans
 - Personnel
 - Funding
 - Education
 - Training
 - Other impediments, explain: []

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

	FEMA Region	Multi-State	Intrastate	Other	None
Multi-disciplinary	[]	[]	[]	[]	[]
Multi-jurisdictional	[]	[]	[]	[]	[]

- 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	[]	[]	[]	[]	[]
Multi-jurisdictional	[]	[]	[]	[]	[]

NEW FOR FY07 Compliance Requirement: Utilize the state/territory response asset inventory for Intra and Inter-State Mutual Aid (such as Emergency Management Assistance Compact (EMAC)) requests, exercises, and actual events.

8. Does the state/territory utilize the response asset inventory for:

	Yes	No
Mutual Aid	[]	[]
<ul style="list-style-type: none"> ▪ If "No," explain: [] 		
Exercises	[]	[]
<ul style="list-style-type: none"> ▪ If "No," explain: [] 		
Actual Events	[]	[]
<ul style="list-style-type: none"> ▪ If "No," explain: [] 		

Section 7 Metrics: Communication and Information Management

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

1. During a multi-jurisdictional and/or multi-agency event, to what extent does the state/territory implement the following communication standards:

	Not Implemented	Partially Implemented	Fully Implemented
Plain Language	[]	[]	[]
Standardized terminology in response operations	[]	[]	[]
Standardized terminology in publications	[]	[]	[]

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

- Plans
- Policy
- Personnel
- Equipment
- Training
- Exercise
- Funding
- Education
- Other impediments, explain: []

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

2. Which of the following has the state/territory 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"/>