

# **FY 2007 NIMS COMPLIANCE METRICS GUIDE FOR STATES AND TERRITORIES**

**April 2007**



**FEMA**

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



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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 States and Territories* 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 STATES AND TERRITORIES

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## FY 2007 NIMS COMPLIANCE METRICS GUIDE FOR STATES AND TERRITORIES

### I. Purpose

The purpose of the *FY 2007 NIMS Compliance Metrics Guide for States and Territories* is to provide clear guidance and instruction to State and territorial 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.

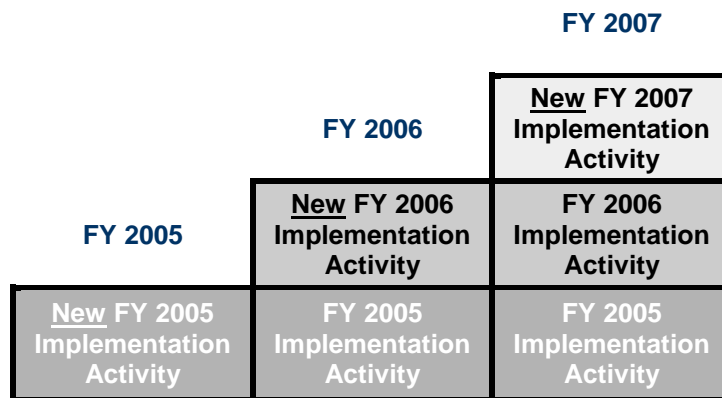
In FY's 2005-2006, States and territories self-certified NIMS compliance by signing and submitting the *NIMS Certification Form* to the NIMS Integration Center. Many States and territories documented their NIMS implementation using the NIMS Capability Assessment Support Tool (NIMCAST). States and territories certified performance and compliance on behalf of local jurisdictions. In FY07, 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	
<b>FY 2007</b>	<ol style="list-style-type: none"> <li>1. <b>Designate a single point of contact within each of the jurisdiction’s departments and agencies</b></li> <li>2. <b>Monitor and assess outreach and implementation of NIMS Requirements</b></li> <li>3. <b>Establish public information system to gather, verify, coordinate, and disseminate information during an incident</b></li> <li>4. <b>Complete training—ICS-300, ICS-400</b></li> <li>5. <b>Validate that inventory of response assets conforms to FEMA Resource Typing Standards</b></li> <li>6. <b>Utilize response asset inventory for Emergency Management Assistance Compact (EMAC) requests, exercises, and actual events</b></li> <li>7. <b>Develop systems and processes to ensure that incident managers at all levels share a common operating picture of an incident</b></li> </ol>
<b>FY 2006</b>	<ol style="list-style-type: none"> <li>8. <b>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</b></li> <li>9. <b>Monitor formal adoption of NIMS by all tribal and local jurisdictions</b></li> </ol>

**STATE AND TERRITORY NIMS IMPLEMENTATION ACTIVITIES**

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
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



**STATE AND TERRITORY NIMS IMPLEMENTATION ACTIVITIES**

- 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 used 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**

- |                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>FY 2007</b> | <ol style="list-style-type: none"> <li>1. Designate a single point of contact to serve as the principal coordinator for NIMS implementation</li> <li>2. Establish public information system to gather, verify, coordinate, and disseminate information during an incident</li> <li>3. Complete training—ICS-300, ICS-400</li> <li>4. Validate that inventory of response assets conforms to FEMA Resource Typing Standards</li> <li>5. Utilize response asset inventory for Emergency Management Assistance Compact (EMAC) requests, exercises, and actual events</li> <li>6. Develop systems and processes to ensure that incident managers at all levels share a common operating picture of an incident</li> </ol>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| <b>FY 2006</b> | <ol style="list-style-type: none"> <li>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</li> <li>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</li> <li>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</li> <li>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)</li> <li>11. Establish NIMS baseline against the FY 2005 and FY 2006 implementation requirements</li> <li>12. Develop and implement a system to coordinate and leverage all Federal preparedness funding to implement the NIMS</li> <li>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</li> <li>14. Participate in and promote intrastate and interagency mutual aid agreements, to include agreements with the private sector and non-governmental organizations</li> <li>15. Complete training—IS-700 <i>NIMS: An Introduction</i>, Complete IS-800 <i>NRP: An Introduction</i>; ICS-100 and ICS-200</li> <li>16. Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions</li> </ol> |

TRIBAL NATION AND LOCAL GOVERNMENT NIMS IMPLEMENTATION ACTIVITIES	
	<ul style="list-style-type: none"> <li>17. Incorporate corrective actions into preparedness and response plans and procedures</li> <li>18. Inventory response assets to conform to FEMA Resource Typing standards</li> <li>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</li> <li>20. Apply standardized and consistent terminology, including the establishment of plain language communications standards across public safety sector</li> </ul>
FY 2005	<ul style="list-style-type: none"> <li>21. Support the successful adoption and implementation of the NIMS</li> <li>22. Promote intrastate mutual aid agreements, to include agreements with private sector and non-governmental organizations</li> <li>23. Incorporate NIMS into Emergency Operations Plans (EOP)</li> </ul>

**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.

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 State has a department or agency, tribal nation or local jurisdiction that is unable to implement the required NIMS activities by the compliance deadline but has demonstrated in a Corrective Action Plan that the deficiency can be corrected within a reasonable time period not to exceed 120 days starting October 1, 2007.
- 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

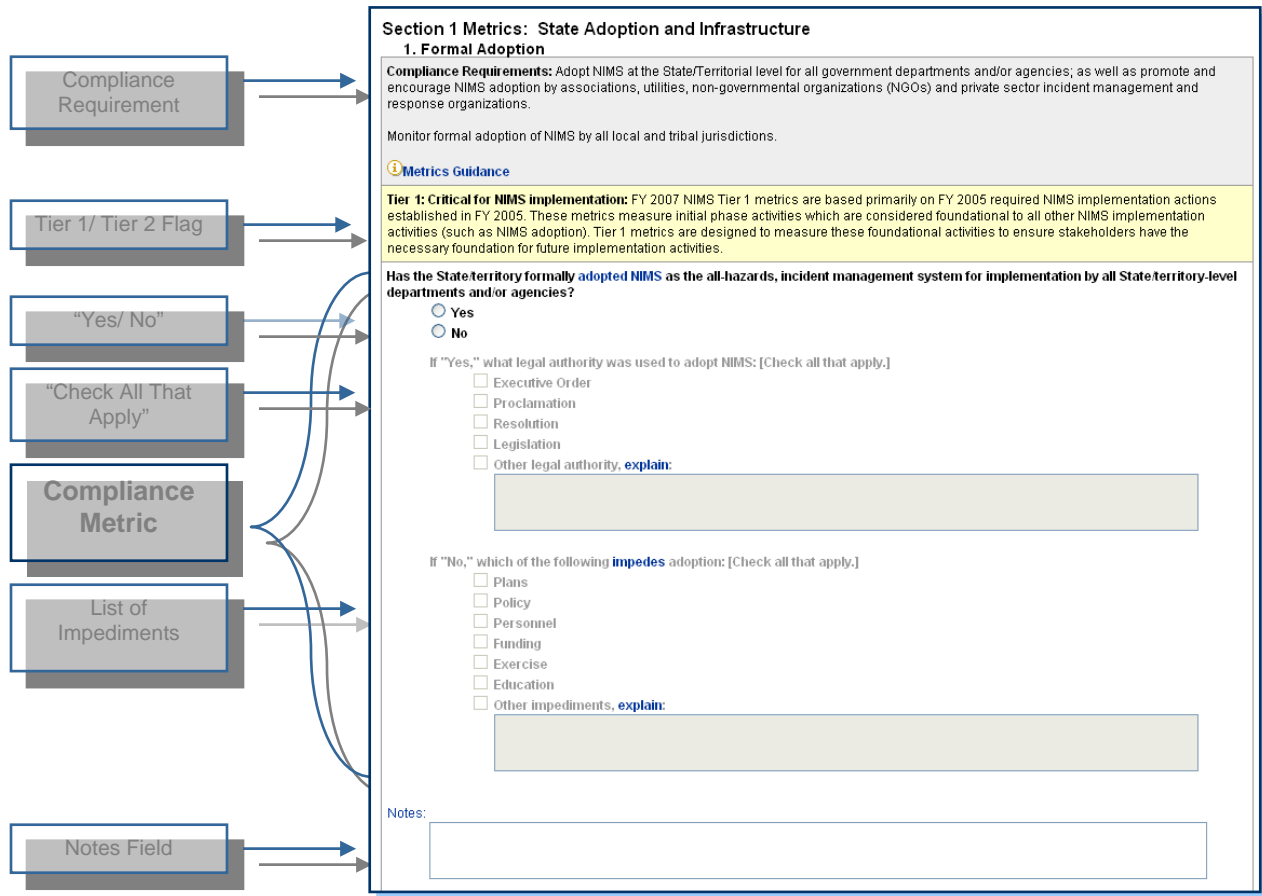
### Organization

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](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](mailto: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.



# NIMS COMPLIANCE METRICS INSTRUCTIONS

## Section 1: Adoption and Infrastructure

Section 1 addresses NIMS adoption, monitoring, communicating, and implementing NIMS across the State or jurisdiction. 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 2006 NIMS implementation requirements.

In Section 1, State/Territory NIMS Coordinators and Agency Representatives will be asked to respond to questions related to State adoption and infrastructure to support NIMS.

Section 1 required responses include:

- Formal Adoption
- Adoption Method
- Monitoring Tribal/Local Adoption
- Quantify Tribal/Local Adoption
- Establish Process to Communicate, Monitor and Implement NIMS
- State/Territory NIMS Coordinator
- Funding Linked to FY 2006 NIMS Implementation Requirements
- NIMS Compliance Review as a Part of Grant Related Audits
- Departments/Agencies NIMS Points of Contact

## 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 Stakeholder(s)

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### Supporting Guidance

- Select "Yes" if your State/Territory, or Agency/Department has taken steps toward the formal adoption of NIMS.
- Select "No" if your State/Territory, or Agency/Department has made no effort toward the adoption of 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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, Emergency Operations Plan (EOP)] 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 to include:

- **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.mwco.org/uploads/committee-documents/tVtYVik20051031174251.doc>)
- **Federal Standards:** Common rules, conditions, guidelines or characteristics, established by the Federal Government.
- **Funding:** Sources 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.mwco.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.mwco.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.mwco.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: State Adoption and Infrastructure**

**2. Adoption Method**

**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.

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	No methods used
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"/>
Critical Infrastructure	<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"/>
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"/>
Non-governmental organizations (NGOs)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
State/territorial departments and/or agencies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Describe efforts made 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:

Notes:

## 1.2 Adoption Method

### Intended Stakeholder

- State/Territory NIMS Coordinators

### 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](http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf).

#### *Critical infrastructure*

As defined in the National Response Plan (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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

## Section 1 Metrics: State Adoption and Infrastructure

### 3. Monitoring Tribal/Local 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.

To what extent does the State/territory monitor the formal adoption of NIMS of NIMS for Local Jurisdictions

- No effort has been made towards monitoring adoption of NIMS
- Developed procedures to monitor NIMS adoption, but local jurisdictions have NOT been monitored
- All local jurisdictions have been monitored for formal NIMS adoption, and periodic monitoring is ongoing

To what extent does the State/territory monitor the formal adoption of NIMS of NIMS for Tribal Jurisdictions

- Not Applicable
- No effort has been made towards monitoring adoption of NIMS
- Developed procedures to monitor NIMS adoption, but tribal jurisdictions have NOT been monitored
- All tribal jurisdictions have been monitored for formal NIMS adoption, and periodic monitoring is ongoing

Notes:

## 1.3 Monitoring Tribal/Local Adoption

### Intended Stakeholder

- State/ Territory NIMS Coordinators

### Supporting Guidance

- Select "Yes" if State/Territory, or Agency/Department has taken steps to monitor the formal adoption of NIMS.
- Select "No" if State/Territory, or Agency/Department has made no effort to monitor the formal adoption of 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](http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf).

### Local Jurisdictions

Local jurisdictions are defined as local units of government at either the municipal or county level.

### 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.

### Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

## Section 1 Metrics: State Adoption and Infrastructure

### 4. Quantify Tribal/Local 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.

In the table below, indicate the number of jurisdictions that have formally adopted NIMS:

	Jurisdictions that have adopted NIMS	Total number of jurisdictions
Local	<input type="text"/>	<input type="text"/>
Tribal	<input type="text"/>	<input type="text"/>

Which of the following impedes the adoption of NIMS for local jurisdictions: [Check all that apply.]

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

Which of the following impedes the adoption of NIMS for tribal jurisdictions: [Check all that apply.]

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

Notes:

## 1.4 Quantify Tribal/ Local Adoption

### Intended Stakeholder

- State/Territory NIMS Coordinators

### Supporting Guidance

- A jurisdiction may be politically or geographically defined to include tribal entity, city, county, parish etc.

### 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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.



**Section 1 Metrics: State Adoption and Infrastructure**  
**5. Establish Process to Communicate, Monitor and Implement NIMS**

**Compliance Requirements:** Establish a planning process to ensure the communication and implementation of NIMS requirements across the State/Territory, including local/tribal jurisdictions. This process must provide a means for measuring progress and facilitate reporting.

**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 developed a process to communicate, monitor, and implement NIMS requirements to the following: (Note: If tribal jurisdictions do not apply, indicate "N/A.")

	State/Territory	Local	Tribal
Communicate NIMS requirements	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A
Develop a NIMS implementation strategy (e.g. schedules, tables, etc.)	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A

Which of the following impedes establishing a process to communicate, monitor and implement NIMS requirements: [Check all that apply.]

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

Notes:

## 1.5 Establish Process to Communicate, Monitor and Implement NIMS

### Intended Stakeholder

- State/Territory NIMS Coordinators

### Supporting Guidance

- Select "Yes" if State/Territory has taken steps to communicate, monitor, and implement NIMS requirements to State/Territory Agencies, Tribal entities, and/or local jurisdictions.
- Select "No" if State/Territory, has not taken steps to communicate, monitor, and implement NIMS requirements to State/Territory Agencies, Tribal entities, and/or local jurisdictions.

### 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](http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf).

### Strategy

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

### Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

## Section 1 Metrics: State Adoption and Infrastructure

### 6. State/Territory NIMS Coordinator

**Compliance Requirements:** Designate a single point of contact within the State/Territorial government to serve as the principal coordinator for NIMS implementation statewide.

#### 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 designated a single point of contact within the State/territorial government with the authority to serve as the principal coordinator for overall statewide 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"/>  [mm/dd/yyyy]

If "No," when will the State/territory 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:**

Notes:

## 1.6 State/Territory NIMS Coordinator

### *Intended Stakeholder*

- State/Territory NIMS Coordinators

### *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](http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf).

### *Principal Coordinator*

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

### *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 and Health Resources and Services Administration preparedness funds.

*Notes Section*

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

**Section 1 Metrics: State Adoption and Infrastructure**  
**7. Funding Linked to FY06 NIMS Implementation Requirements**

**Compliance Requirements:** 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.

**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 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 agencies:	Yes	No, explain:
DHS Funding	<input type="radio"/>	<input type="radio"/>
Other Federal Preparedness Funding	<input type="radio"/>	<input type="radio"/>

Which of the following impedes monitoring compliance with FY06 NIMS implementation requirements for the State/Territory? [Check all that apply.]

No impediments exist

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, explain:
DHS Funding	<input type="radio"/>	<input type="radio"/>
Other Federal Preparedness Funding	<input type="radio"/>	<input type="radio"/>

Which of the following impedes monitoring compliance with FY06 NIMS implementation requirements for Local Jurisdictions? [Check all that apply.]

No impediments exist

Plans

Policy

Personnel

Funding

Training

Exercise

Education

Other impediments, explain:

**Tribal jurisdictions:**

	Yes	No, explain:	N/A
DHS Funding	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other Federal Preparedness Funding	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Which of the following impedes monitoring compliance with FY06 NIMS implementation requirements for Tribal Jurisdictions. [Check all that apply.]

No impediments exist

Plans

Policy

Personnel

Funding

Training

Exercise

Education

Other impediments, explain:

Notes:

## 1.7 Funding Linked to FY06 NIMS Implementation Requirements

### Intended Stakeholder

- State/Territory NIMS Coordinators

### Supporting Guidance

- The NIMCAST is the original 75-question assessment released in January 2005. NIMCAST is available [www.fema.gov/nimcast](http://www.fema.gov/nimcast).

### 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](http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf).

### DHS Funding

DHS Funding refers to G&T Federal Preparedness funding only.

### Other Preparedness Funding

Other Preparedness Funding includes all funding streams other than G&T that directly or indirectly support Homeland Security initiatives (i.e., Center for Disease Control and Health Resources and Services Administration preparedness funds). A full list is available at the NIMS Integration Center website ([www.fema.gov/emergency/nims](http://www.fema.gov/emergency/nims))

### Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

**Section 1 Metrics: State Adoption and Infrastructure**  
**8. NIMS Compliance Review as a Part of Grant Related Audits**

**Compliance Requirements:** 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.

**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 State/territory review State/territorial departments and/or agencies NIMS compliance as a part State/territorial audits of:

State/territorial departments and/or agencies:	Yes, explain:	No, explain:
DHS Funding	<input type="radio"/>	<input type="radio"/>
Other Federal Preparedness Funding	<input type="radio"/>	<input type="radio"/>

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

No impediments exist

Plans

Policy

Personnel

Funding

Training

Exercise

Education

Other impediments, explain:

Local jurisdictions:

Local jurisdictions:	Yes, explain:	No, explain:
DHS Funding	<input type="radio"/>	<input type="radio"/>
Other Federal Preparedness Funding	<input type="radio"/>	<input type="radio"/>

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

No impediments exist

Plans

Policy

Personnel

Funding

Training

Exercise

Education

Other impediments, explain:

Tribal jurisdictions:

Tribal jurisdictions:	Yes, explain:	No, explain:	N/A
DHS Funding	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other Federal Preparedness Funding	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

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

No impediments exist

Plans

Policy

Personnel

Funding

Training

Exercise

Education

Other impediments, explain:

Notes:

## 1.8 NIMS Compliance Review as a Part of Grant Related Audits

### Intended Stakeholder

- State/Territory NIMS Coordinators

### Supporting Guidance

- The NIMS Integration Center will not determine how States/Territories review NIMS compliance by their State/territorial departments and/or agencies or at the Tribal and local levels.
- States/territories must explain the method they chose to verify NIMS compliance as States have verified NIMS compliance through formal self-certification letters, via NIMCAST, or other independent technical assistance tools.

### 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](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., CDC and HRSA preparedness funds.

### Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

**Section 1 Metrics: State Adoption and Infrastructure**  
**9. Monitor and Assess Outreach and Implementation of NIMS**

**Compliance Requirements:** Monitor and assess outreach and implementation of NIMS requirements across the State/Territory, including local/tribal jurisdictions. (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 State/territory monitored and assessed outreach and implementation of NIMS requirements for the following:

	State/Territory	Local	Tribal
Conduct a baseline assessment for the implementation of NIMS requirements	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A
Develop a <b>strategy</b> for full <b>NIMS implementation</b> and monitoring	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A

If any "No," which of the following **impedes** monitoring and assessing outreach and implementation of NIMS requirements: [Check all that apply.]

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

Notes:

## 1.9 Monitor and Assess Outreach and Implementation of NIMS

### Intended Stakeholder

- State/Territory NIMS Coordinators

### Supporting Guidance

- Select "Yes" if State/Territory has taken steps to conduct a baseline assessment for the implementation of NIMS requirements to State/Territory Agencies, Tribal entities, and/or local jurisdictions. Baseline assessment may include submission of a self-certification form or use of NIMCAST or other independent technical assistance tool.
- Select "No" if State/Territory has not conducted a baseline assessment for the implementation of NIMS requirements to State/Territory Agencies, Tribal entities, and/or local jurisdictions.
- Select "Yes" if State/Territory has taken any steps to develop a strategy for NIMS Implementation and monitoring to State/Territory Agencies, tribal entities, and/or local jurisdictions.
- Select "No" if State/Territory has not developed a strategy for NIMS Implementation and monitoring to State/Territory Agencies, tribal entities, and/or local jurisdictions.

### 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](http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf).

### Strategy

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

*Notes Section*

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

**Section 1 Metrics: State Adoption and Infrastructure**  
**10. Departments/Agencies NIMS Coordinator**

**Compliance Requirements:** For departments and/or agencies identified within the State/Territorial NIMS implementation plan, designate a single point of contact to serve as 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 State/territory required departments and/or agencies identified within the State/territorial **NIMS implementation** plan to designate a single point of contact as **principal coordinator** for NIMS implementation?

Yes  
 No

If "Yes," indicate in the table below the number of principal coordinators for NIMS implementation:

Number of NIMS principal coordinators	Total number of departments and/or agencies
[ ]	[ ]

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:**

[ ]

**Notes:**

[ ]

## 1.10 Departments/Agencies Principle NIMS Coordinator

### *Intended Stakeholder*

- State/Territory NIMS Coordinators

### *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](http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf).

### *Principal Coordinator*

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

### *Notes Section*

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.



## **NIMS Compliance Metrics Instructions: State and Territory**

### **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, State/Territory NIMS Coordinators and Agency Representatives will be asked to respond to questions related to ICS, MACS, and PIS components of NIMS.

Section 2 required responses include:

- Implementation of NIMS-Prescribed ICS for All-Hazards Incident Response
- Implementation of NIMS-Prescribed ICS for Preplanned (Recurring/Special) Events
- Consistent Application of Incident Action Planning
- Consistent Application of Common Communications Plans (CCPs)
- Incident Action Plans Concepts
- Communication Plan Components
- Encouraging Multi-Agency Coordination Systems
- Designation or Utilization of Multi-Agency Coordination Systems
- MACS Functions Coordinated by State/Territory
- PIS Included in EOP
- Types of Information that PIS Can Gather, Verify, Coordinate, and Disseminate

**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 State/territory 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:**

Notes:

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

### Intended Stakeholder

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### 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](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](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*

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 (Recurring/Special) Events*

A preplanned event is a non-emergency activity. ICS can be used as the management system for a events such as parades, concerts, or sporting events etc.. 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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] 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 State/territory 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

Exercise

Other impediments, explain:

Notes:

## 2.2 Implementation of NIMS-Prescribed ICS for Preplanned Events

### Intended Stakeholder

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### 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) for managing pre-planned events.
- Select "No" if State/Territory has 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 [http://www.fema.gov/pdf/emergency/nims/fy\\_2007\\_nims\\_impleme\\_fs\\_010307.pdf](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](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 (Recurring/Special) Events*

A preplanned event is a non-emergency activity. ICS can be used as the management system for a events such as parades, concerts, or sporting events etc.. 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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] 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**:

Notes:

## 2.3 Consistent Application of Incident Action Planning

### Intended Stakeholder

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### 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](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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] 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**:

Notes:

## 2.4 Consistent Application of Common Communications Plans

### *Intended Stakeholder*

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### *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](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](http://www.fema.gov/pdf/emergency/nims/nims_doc_full.pdf).

### *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*

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

**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 <b>plain language</b>	<input type="radio"/>	<input type="radio"/>

Notes:

## 2.5 Incident Action Plan Concepts

### *Intended Stakeholder*

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### *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](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](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 (Recurring/Special) 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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

**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"/>

Notes:

## 2.6 Communication Plan Components

### Intended Stakeholder

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### 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](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](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 (Recurring/Special) Events*

A preplanned event is a non-emergency activity. ICS can be used as the management system for a events such as parades, concerts, or sporting events etc.. 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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] 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), the State/Territorial EOC and regional/Federal EOCs and NRP organizational elements.

**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 State/territory provide to encourage the use of **(multi-agency coordination systems (MACS))**:

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

Notes:

## 2.7 Encouraging Multi-Agency Coordination Systems (MACS)

### Intended Stakeholder

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### 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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] 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), the State/Territorial EOC and regional/Federal EOCs and NRP organizational elements.

**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 State/territory designate or utilize **MACS** for:

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

Notes:

## 2.8 Designation or Utilization of Multi-Agency Coordination Systems

### Intended Stakeholder

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### 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](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)

### Preplanned (Recurring/Special) Events

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

#### *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/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, wildland and urban fires, floods, hazardous materials spills, nuclear accident, aircraft accident, earthquakes, hurricanes, tornadoes, public health and medical emergencies, etc.)

#### *Notes Section*

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

**Section 2 Metrics: Command and Management**  
**9. MACS Functions Coordinated by State/Territory**

**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), the State/Territorial EOC and regional/Federal EOCs and NRP organizational elements.

**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 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:

Notes:

## 2.9 MACS Functions Coordinated by State/Territory

### Intended Stakeholder

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### 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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] 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: Institutionalize, within the framework of ICS, the Public Information System, comprising of the Joint Information System (JIS) and a Joint Information Center (JIC). The Public Information System will ensure an organized, integrated, and coordinated mechanism to perform critical emergency information, crisis communications and public affairs functions which is timely, accurate, and consistent. This includes training for designated participants from the Governor's office and key State/Territory departments and agencies.

#### 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 State/territorial 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 State/territorial EOP: [Check all that apply]

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

Notes:

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

### Intended Stakeholder

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### 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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] 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 State/Territorial 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 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.

Notes:

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

### Intended Stakeholder

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### 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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

## **NIMS Compliance Metrics Instructions: State and Territory**

### **Section 3: 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 SOPs to incorporate NIMS, and the level to which intrastate and interagency mutual aid agreements are used.

In Section 3, State/Territory NIMS Coordinators and Agency Representatives will be asked to respond to questions related to preparedness planning and funding to support NIMS implementation.

Section 3 Required Responses include:

- NIMS Baseline Established
- Utilization of Federal Preparedness Funding to Improve NIMS Preparedness and Response Activities
- Quantify State/Territory Department/Agencies that have Incorporated NIMS with Emergency Management or Response Functions
- Extent of NIMS Concepts/Principles Incorporation
- Integration of Plans with Federal Response As Described in the NRP
- Promotion of Intrastrate and Interagency Mutual Aid Agreements
- Promotion of Mutual Aid Agreements with Private Sector and Non-Government Organizations (NGOs)
- Types of Mutual Aid Agreements Trained and/or Exercised

**Section 3 Metrics: Preparedness Planning**

**1. NIMS Baseline Established**

**Compliance Requirements:** Establish the State/Territory'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 a State/territory-level NIMS baseline been established 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:

Notes:

### 3.1 NIMS Baseline Established

#### Intended Stakeholder

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

#### Supporting Guidance

- State/Territory can select "Yes" if a baseline was determined using any means the State/Territory [Coordinator] deemed appropriate. 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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] 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:** Coordinate and leverage all Federal preparedness funding to implement the NIMS.

**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 utilized Federal preparedness funding to improve NIMS preparedness and response activities?**

Yes

No, explain:

Not Applicable

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

Exercise

Other impediments, **explain:**

Notes:

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

*Intended Stakeholder*

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

*Supporting Guidance*

- Select "Yes" if the State/Territory and/or State/Territory Agency/Department applied for and received Federal Preparedness Funding.
- Select "No" if the State/Territory and/or State/Territory Agency/Department applied for Federal Preparedness Funding, but did not receive award.
- Select "N/A" if the State/Territory and/or State/Territory Agency/Department 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](http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf).

*DHS Funding*

DHS Funding refers to 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., CDC and HRSA preparedness funds.

*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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

### Section 3 Metrics: Preparedness Planning

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

**Compliance Requirements:** 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.

##### 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 in the table below the number of State/territorial 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"/>

Notes:

## 3.3 Quantify State/Territory Department/Agencies that have incorporated NIMS with Emergency Management of Response Functions

### Intended Stakeholder

- State/Territory NIMS Coordinators

### Supporting Guidance

- Total Number of department and/or agencies should be specific to those State/territory executive-level departments/agencies with emergency response duties.

### 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](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](http://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 (AARs).

### 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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] 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 and National Response Plan (NRP) 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"/>

Notes:

### 3.4 Extent of NIMS Concepts/Principles Incorporation

#### Intended Stakeholder

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

#### 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](http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf).

#### Standard Operating Procedures (SOP)

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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

**Section 3 Metrics: Preparedness Planning**  
**5. Integration of Plans with Federal Response as Described in NRP**

**Compliance Requirements:** 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.

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

	Yes	No, explain:
State Emergency Operations Plan (EOP)	<input type="radio"/>	<input type="radio"/>
Other plans	<input type="radio"/>	<input type="radio"/>
Explain other plans:		

Notes:

### 3.5 Integration of Plans with Federal Response as Described in NRP

#### Intended Stakeholder

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

#### 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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] 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:** 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 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.]**

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

**Notes:**

### 3.6 Promotion of Intrastate and Interagency Mutual Aid Agreements

*Intended Stakeholder*

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

*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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] 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:** 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 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:

Notes:

### 3.7 Promotion of Mutual Aid Agreements with Private Sector and NGOs

#### Intended Stakeholder

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

#### 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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] 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:** 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 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"/>

Notes:

### 3.8 Types of Mutual Aid Agreements Trained and/or Exercised

*Intended Stakeholder*

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

*Supporting Guidance*

- State/Territory 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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.



## **NIMS Compliance Metrics Instructions: State and Territory**

### **Section 4: 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, State/Territory NIMS Coordinators and Agency Representatives will be asked to respond to questions related to the communication, delivery, and tracking of preparedness training.

Section 4 Required Responses include:

- Training Conformation to NIMS National Standard Curriculum
- Quantity of Facilities Used to Deliver NIMS Training
- Communicate, Coordinate, and Track NIMS Training
- Document Training Status of Personnel
- Quantify Trained Personnel

**Section 4 Metrics: Preparedness Training**

**1. Training conformation to NIMS National Standard Curriculum**

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

**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 State/territory NIMS-related training conform to the NIMS National Standard Curriculum?**

Yes  
 No

If "No," which of the following **impedes** NIMS-related training from conforming to the NIMS National Standard Curriculum: [Check all that apply.]

Plans  
 Policy  
 Training  
 Organization  
 Personnel  
 Funding  
 Other impediments, **explain:**

Notes:

## 4.1 Training Conformation with NIMS National Standard Curriculum

### Intended Stakeholder

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### Supporting Guidance

- "NIMS National Standard Curriculum" is referring to the "NIMS National Standard Curriculum Training Development Guidance" located on the Training component of the NIC website ([www.fema.gov/emergency/nims](http://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](http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf).

### 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. For additional information please refer to <http://www.fema.gov/pdf/emergency/nims/nsctd.pdf>

### Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

**Section 4 Metrics: Preparedness Training**  
**2. Quantity of Facilities Used to Deliver NIMS Training**

**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.

Indicate in the table below the type and number of facilities currently being utilized to deliver NIMS training.

	Number of Facilities Utilized	Total Number of Available Facilities
Community College	<input type="text"/>	<input type="text"/>
Fire/Rescue Training Facilities	<input type="text"/>	<input type="text"/>
Police Training Facilities	<input type="text"/>	<input type="text"/>
Other Training Facilities	<input type="text"/>	<input type="text"/>

Which of the following **impedes** utilizing facilities to deliver NIMS training: [Check all that apply.]

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

Notes:

## 4.2 Quantity of Facilities Used to Deliver NIMS Training

### Intended Stakeholder

- State/Territory NIMS Coordinators

### 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](http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf).

### Available Training Facilities

Locations readily and immediately available to be utilized for NIMS training.

### Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

**Section 4 Metrics: Preparedness Training**  
**3. Communicate, Coordinate and Track NIMS Training**

**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.

The State/territory has: [Check all that apply.]

	State/territorial departments and/or agencies	Local jurisdictions	Tribal jurisdictions	Other emergency response organizations
Communicated NIMS training requirements to:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Explain any unchecked boxes:	<input type="text"/>			
Communicated NIMS training delivery mechanisms (online courses, classroom settings, etc.) to:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Explain any unchecked boxes:	<input type="text"/>			
Coordinated multiple NIMS training delivery mechanisms to:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Explain any unchecked boxes:	<input type="text"/>			
Established a mechanism to receive and track NIMS training results from:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Explain any unchecked boxes:	<input type="text"/>			
Established a mechanism to document status of NIMS trained personnel from:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Explain any unchecked boxes:	<input type="text"/>			

Notes:

### 4.3 Communicate, Coordinate and Track NIMS Training

*Intended Stakeholder*

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

*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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

**Section 4 Metrics: Preparedness Training**  
**4. 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 State/territory document training status of personnel from:

	Yes	No	Not Applicable
State/territorial departments and/or agencies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Local jurisdictions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Tribal jurisdictions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other emergency response organizations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Notes:

## 4.4 Document Training Status of Personnel

### Intended Stakeholder

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### 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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

**Section 4 Metrics: Preparedness Training**  
**5. 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"/>	<input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/>	<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"/>	<input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/>
ICS-200	<input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/>	<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"/>	<input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/>

Notes:

## 4.5 Quantify Trained Personnel

### Intended Stakeholder

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### Supporting Guidance

- Each State/Territory Agency must account for their own data collection.
- To ensure that there is not an inappropriate duplication of data, State/Territory NIMS Coordinators must coordinate data collection with appropriate personnel from State Agencies/Departments. (Within the NIMSCAST; however, State/Territory NIMS Coordinators must realize that this data collection *will automatically* pre-populate from the collection submitted by the State/Territory Agencies/Departments [as well as from tribal and local jurisdictions].

### 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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

## **NIMS Compliance Metrics Instructions: State and Territory**

### **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, State/Territory NIMS Coordinators and Agency Representatives will be asked to respond to questions related to the communication, delivery, and tracking of preparedness exercises.

Section 5 Required Responses include:

- NIMS/ICS Incorporated into Exercises
- Quantity of Exercises that Evaluate NIMS Implementation
- Existence of an All-Hazard Exercise Program
- Quantity of Exercises with Multi-Disciplinary and/or Multi-jurisdictional Component
- FY 2006 Exercises Requiring Activation of NRP
- FY 2007 Exercises Incorporating Activation of NRP
- AAR) and/or Lessons Learned
- Incorporation of Corrective Action Plans (CAPs), AARs and/or Lessons Learned
- Maintenance of Corrective Action Program



**Section 5 Metrics: Preparedness Exercises**  
**1. NIMS/ICS Incorporated into Exercises**

**Compliance Requirements:** Incorporate NIMS/ICS into all State/Territory 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
State/territory Level	<input type="checkbox"/>	<input type="checkbox"/>
Regional Level	<input type="checkbox"/>	<input type="checkbox"/>

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

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

Notes:

## 5.1 NIMS/ICS Incorporated into Exercises

### Intended Stakeholder

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### Supporting Guidance

- Not every State/Territory or State/Territory Agencies/Departments train and/or exercises at a 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](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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] 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

Notes:

## 5.2 Quantity of Exercises that Evaluate NIMS Implementation

### Intended Stakeholder

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### 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, State/Territory Departments/Agencies must account only for the exercises for which they were named the lead agency. State/Territory Departments/Agencies should consult State/Territory NIMS 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](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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] 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 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 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:**

Notes:

## 5.3 Existence of an All-Hazard Exercise Program

### *Intended Stakeholder*

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### *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](http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf).

### *Exercise 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](http://www.hseep.dhs.gov)

### *Notes Section*

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] 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:

	FEMA Region	Multi-State	Intrastate	Other
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	None
Multi-disciplinary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Multi-jurisdictional	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<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 State/territory 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:

Notes:

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

### Intended Stakeholder

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### 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](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](http://www.hseep.dhs.gov)

### Notes Section

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

**Section 5 Metrics: Preparedness Exercises**  
**5. Quantity of Exercises Requiring Activation of NRP in FY06**

**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.

During FY06, how many State/territorial exercise scenarios required the activation of the **(National Response Plan (NRP))**? (Out of a total number of exercise scenarios)  /

Notes:

## 5.5 Quantity of Exercises Requiring Activation of NRP in FY06

### *Intended Stakeholder*

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### *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](http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf).

### *State/Territorial Exercises*

State/Territorial Exercises refers to any exercises executed within the state during FY 2006.

### *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](http://www.hseep.dhs.gov)

### *Notes Section*

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

**Section 5 Metrics: Preparedness Exercises**  
**6. FY07 Exercises Incorporating Activation of NRP**

**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.

Are exercises being planned in FY07 that are expected to require the activation of the **National Response Plan**?

Yes  
 No

Notes:

## 5.6 FY07 Exercises Incorporating Activation of NRP

### *Intended Stakeholder*

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### *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](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](http://www.hseep.dhs.gov)

### *Notes Section*

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

**Section 5 Metrics: Preparedness Exercises**  
**7. 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.

**Do State/territorial 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:**

**Notes:**

## 5.7 After Action Reports and/or Lessons Learned

### *Intended Stakeholder*

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### *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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

**Section 5 Metrics: Preparedness Exercises**

**8. 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.

State/territorial departments and/or agencies 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:

\_\_\_\_\_

Notes:

\_\_\_\_\_

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

### Intended Stakeholder

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### Supporting Guidance

- State/Territory NIMS Coordinators and State/Territory Agencies/Departments should incorporate items identified in corrective actions, after action reports, and lessons learned into plans and procedures.

### 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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

**Section 5 Metrics: Preparedness Exercises**  
**9. 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 State/territory utilize **improvement plans** and **after action reports** to maintain a **Corrective Action Program**?

- Yes  
 No, explain:

Notes:

## 5.9 Maintenance of Corrective Action Program

### *Intended Stakeholder*

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### *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](http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf).

### *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.

### *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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

# NIMS Compliance Metrics Instructions: State and Territory

## Section 6: 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, State/Territory NIMS Coordinators and Agency Representatives will be asked to respond to questions related to resource management.

Section 6 Required Responses include:

- Inventory of Response Assets
- Response Asset Inventory Developed
- Resource Typing for Response Assets
- Number of Local/Tribal Jurisdictions that have Provided Inventory of Resources
- Acquisition Adoption of Interoperability Standards
- Incorporation of Standard Equipment List and Other Federal Standards Data
- State Validation of Inventory
- Utilization of Response Asset Inventory

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

**Compliance Requirements:** Inventory State/Territory 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 State/territory 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:**

Notes:

## 6.1 Inventory of Response Assets

### *Intended Stakeholder*

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### *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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

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

**Compliance Requirements:** Inventory State/Territory 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 State/territory 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**:

[Text input field for explaining other impediments]

Notes:

[Text input field for notes]

## 6.2 Response Asset Inventory Developed

### *Intended Stakeholder*

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### *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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

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

**Compliance Requirements:** Inventory State/Territory 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 State/territory use **resource typing** for response assets?

Yes  
 No

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

Yes  
 No, explain:

Notes:

## 6.3 Resource Typing for Response Assets

### *Intended Stakeholder*

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### *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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

## Section 6 Metrics: Resource Management

### 4. Number of Local/Tribal Jurisdictions that have Provided Inventory of Resources

**Compliance Requirements:** Inventory State/Territory 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.

Indicate in the table below the number of jurisdictions that have provided an inventory of resources to the State/territory:

	Number of jurisdictions that have provided an inventory of resources	Total number of jurisdictions
Local	<input type="text"/>	<input type="text"/>
Tribal	<input type="text"/>	<input type="text"/>

Are these **resources typed** in accordance with NIMS?

- Yes  
 No

Which of the following **impedes** the adoption of resource typing: [Check all that apply.]

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

If more than one impediment checked, identify the **greatest** impediment.

Notes:

## 6.4 Number of Local/Tribal Jurisdictions that have Provided Inventory of Resources

### *Intended Stakeholder*

- State/Territory NIMS Coordinators

### *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](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>

*Notes Section*

The Notes Section provides the opportunity to give additional information regarding NIMS implementation activities. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.



**Section 6 Metrics: Resource Management**  
**5. Acquisition Adoption of Interoperability Standards**

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

**Notes:**

## 6.5 Acquisition Adoption of Interoperability Standards

### Intended Stakeholder

- State/Territory NIMS Coordinators

### 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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

## Section 6 Metrics: Resource Management

### 6. Incorporation of Standard Equipment List and Other Federal Standards Data

**Compliance Requirements:** To the extent permissible by State/Territorial and local/tribal law, ensure that relevant national standards and guidance to achieve equipment, communication and data interoperability are incorporated into State/Territorial and local/tribal 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 State/territory'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

Notes:

## 6.6 Incorporation of Standard Equipment List and Other Federal Standards Data

### *Intended Stakeholder*

- State/Territory NIMS Coordinators

### *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](http://www.fema.gov/pdf/emergency/nims/fy_2007_nims_impleme_fs_010307.pdf).

### *Standardized Equipment List*

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 Standardized Equipment List (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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

**Section 6 Metrics: Resource Management**  
**7. State Validation of Inventory**

**Compliance Requirements:** Validate that the inventory of response assets conforms to homeland security resource typing standards. (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 State/territory 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 State/territory have plans to:

	Yes	No
Build or adopt a database to serve as a <b>response asset inventory</b>	<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"/>

Notes:

## 6.7 State Validation of Inventory

### Intended Stakeholder

- State NIMS Coordinator

### 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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

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

**Compliance Requirements:** 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. (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 State/territory utilize the **response asset inventory** for:

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

Notes:

## 6.8 Utilization of Response Asset Inventory

### Intended Stakeholder

- State NIMS Coordinator

### 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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

## **NIMS Compliance Metrics Instructions: State and Territory**

### **Section 7: 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, State/Territory NIMS Coordinators and Agency Representatives will be asked to respond to questions related to communication and information management.

Section 7 Required Responses include:

- Implementation of Communication Standards During Multi-Agency and/or Multi-Jurisdictional Events
- Methods to Ensure Consistent and Accurate Information During Incident
- Implementation examples
- Adopted jurisdiction-wide policy to use plain language during response operations

## 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 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.

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	<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:

Notes:

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

### *Intended Stakeholder*

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### *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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] 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 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"/>

Notes:

## 7.2 Methods to Ensure Consistent and Accurate Information During Incident

### Intended Stakeholder

- State/Territory NIMS Coordinators
- State/Territory Agencies/Departments

### Supporting Guidance

- As written in the NIMS, Common Operating picture is a broad view of the overall situation as reflected by situation reports, aerial photography, and other information or intelligence.

### 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](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. (i.e., which department or agency manages a particular task, where to find additional information [plans, EOP] or additional detail on the particular question or metric.

# Guide to Fiscal Year 2007 NIMS Compliance

## 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	Inter-Agency 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
NGO	Non-Government Organization
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



# Guide to Fiscal Year 2007 NIMS Compliance

## 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

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 Emergency Management Assistance Compact 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., CDC and HRSA 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](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 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 Multi-Agency Coordination System 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](http://www.dhs.gov/nrp)

### NIMS Compliance Assistance Tool

The NIMS Compliance Assistance Tool 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 Incident Command System (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, wildland 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](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 (SOP)

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.