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State and Local Public Safety Partners:

The purpose of Homeland Security Presidential Directive HSPD-5 was to enhance the ability of the United States to manage domestic incidents – regardless of cause, size or complexity – by establishing a single, comprehensive system that provides a consistent national approach for Federal, State and local governments to work effectively and efficiently together. This system, developed with input from a wide range of disciplines, levels of government and professional organizations is **The National Incident Management System (NIMS)**. HSPD-5 also dictated that Federal departments and agencies shall make adoption of the NIMS a requirement for the provision of Federal preparedness assistance funds.

Ohio’s local responders, communities, cities, counties, state agencies and associations have made great strides in NIMS implementation. As required, the state has self-certified to the U.S. Department of Homeland Security (DHS) the accomplishment of required NIMS objectives to the “good faith effort” standard for Federal Fiscal Years (FFY) 2005 and 2006. However, NIMS compliance is an ongoing effort as new personnel must be trained and plans revised to reflect lessons learned.

The attached guidance was prepared by the Ohio NIMS Senior Advisory Committee in order to provide context within Ohio for the FFY 2007 NIMS Compliance Requirements mandated by U.S. DHS. Although a majority of the requirements should be familiar, this year they have been separated into two categories, “tier 1” and “tier 2” specific areas of measure. Tier 1 specific areas of measure are those implementation components which must be complete by the close of this federal fiscal year, ending September 30, 2007. Tier 2 items are those requirement components which are ongoing and will form the basis of future tier 1 requirements (i.e. – FFY 2008 and beyond). This system of tiers should help NIMS stakeholders prioritize efforts in accomplishing implementation goals.

On behalf of the Ohio NIMS Senior Advisory Committee, I would like to thank everyone at the local and state level who has promoted, facilitated, and participated in NIMS compliance activities and to thank you in advance for your continued cooperation.

Sincerely,

Henry Guzmán, Director
Ohio Department of Public Safety

Mission Statement

“to save lives, reduce injuries and economic loss, to administer Ohio’s motor vehicle laws and to preserve the safety and well being of all citizens with the most cost-effective and service-oriented methods available.”



**OHIO DEPARTMENT
OF PUBLIC SAFETY**
EDUCATION • SERVICE • PROTECTION

State of Ohio NIMS

National Incident Management System

Implementation Guidance

**Federal Fiscal Year
2007**

May 2007

NIMS Implementation Guidance for Federal Fiscal Year 2007

Forward

The purpose of *Homeland Security Presidential Directive HSPD-5, Subject: Management of Domestic Incidents* is to enhance the ability of the United States to manage domestic incidents by establishing a single, comprehensive National Incident Management System (NIMS). NIMS provides a consistent national approach for Federal, State, and local governments to work effectively and efficiently together in response to incidents regardless of cause, size, or complexity.

The full integration of NIMS into all-hazards plans, policies, procedures, training and exercise will affect the State of Ohio's ability to successfully manage incidents and provide for the safety of Ohio's citizens. Future preparedness funding will require a demonstrated adoption and implementation of NIMS. Implementation of NIMS will require a coordinated effort across Federal, State, and local government. For full implementation, similar efforts will be necessary for non-governmental organizations (NGOs) and in the private sector.

Purpose

The intent of this document is to provide guidance to state and local governments, agencies and departments for NIMS adoption and compliance per Federal guidelines for Federal Fiscal Year 2007 (FFY 2007).

Background

The Ohio NIMS Implementation Senior Advisory Committee has developed a strategy to accomplish full implementation of NIMS throughout the State of Ohio. Full implementation will occur in a phased in approach. The Federal Fiscal Year (FFY) 2005 NIMS Implementation Guidance (see **References**, below) distributed in May 2005 by the NIMS Implementation Senior Advisory Committee outlined the following requirements to be addressed by September 30, 2005:

- IS-700 Introduction to NIMS training
- Formal adoption of NIMS
- Establishment of a NIMS baseline assessment (NIMSCAST)
- Strategy for NIMS Implementation, and
- Institutionalization of ICS

On November 8th, 2005 the Ohio NIMS Implementation Senior Advisory Committee reconvened to develop NIMS implementation guidance for Federal Fiscal Year (FFY) 2006 (See **References**, below). The following requirements were instituted for FFY 2006 by U.S. Department of Homeland Security's NIMS Integration Center (NIC):

- Formal adoption of NIMS by jurisdictions and encouragement of NGOs and private sector partners to do the same
- Establish a planning process including a strategy and timeline for NIMS implementation

- Designate a single point of contact for NIMS implementation (State only)
- Ensure federal preparedness funding is linked to satisfactory progress in meeting NIMS compliance requirements (State only)
- Include NIMS implementation requirements in all audits associated with federal preparedness funds (State only)
- Manage all incidents and preplanned events in accordance with ICS organizational structures, doctrine and procedures as defined by the NIMS
- Coordinate and support emergency incident and event management through multi-agency coordination systems
- Institutionalize, through the framework of ICS, the Public Information System, comprising of the Joint Information System and Joint Information Center
- Establish a NIMS baseline against FFY 2005 and FFY 2006 using the NIMSCAST permission-based online system
- Coordinate federal preparedness funding to implement NIMS
- Revise and update plans and SOPs to incorporate NIMS and NRP components, principles and policies
- Promote and participate in Intrastate and interagency mutual aid agreements, to include agreements with private sector and NGOs
- Leverage training facilitates to coordinate and deliver NIMS training requirements (State only)
- Complete IS-700, IS-100, IS-200, and IS-800 training
- Incorporate NIMS/ICS into all state and regional training and exercises (State only)
- Participate in an all-hazard exercise program based on NIMS that is multi-disciplinary and multi-jurisdictional
- Incorporate corrective actions into preparedness and response plans and procedures
- Inventory response assets to conform to homeland security resource typing standards
- Develop State plans for the receipt and distribution of resources as outlined in the National Response Plan Catastrophic Incident Annex and Catastrophic Incident Supplement (State only)
- Ensure that relevant national standards and guidance to achieve equipment, communication and data interoperability are incorporated into acquisition programs
- Apply standardized and consistent terminology, including the establishment of “plain English” communications standards across the public safety sector

In November 2006 the requirements for FFY 2007 were published by the NIC and posted to the NIC website (See **References**, below). In January 2007, the Ohio NIMS Implementation Senior Advisory Committee convened to discuss what issues in the federal guidance would involve further clarification. This document is the result of the committee’s work in seeking answers from the NIC as well as further Ohio-specific interpretation of requirements where appropriate.

Funding Impact

Requirements for FFY 2007 build upon those from FFY 2005 and 2006. In fact, there are only seven new requirements (six for local jurisdictions) and these are directly related to previous requirements.

In the spirit of a phased-in approach, the NIC has divided the FFY 2007 NIMS compliance requirements into **“Tier 1” and “Tier 2” specific areas of measure**. Jurisdictions/agencies/departments must be able to **respond in the affirmative to Tier 1 specific areas of measure by the end of this Federal Fiscal Year (September 30, 2007) to be eligible for federal preparedness funding**. None of the requirements that are new for FFY 2007 are Tier 1.

Questions

Any municipality, township or local entity is encouraged to first work with the local city or county emergency management agency regarding NIMS implementation issues. The State point of contact for questions regarding NIMS integration is the **NIMS Help Desk at (614) 889-7160**.

References

1. Homeland Security Presidential Directive HSPD-5, *Management of Domestic Incidents*.
2. NIMS Letter to the Governors from DHS Secretary Chertoff, October 2007.
3. Ohio Revised Code 5502.28(c).
4. State of Ohio NIMS Implementation Guidance, May 2005.
5. State of Ohio NIMS Implementation Guidance, January 2006.
6. Ohio Guidance available at: <http://www.ema.ohio.gov/nims.asp>
7. NIMS Integration Center website: <http://www.fema.gov/emergency/nims/index.shtm>

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SECTION 1

“Tier 1” Specific Areas of Measure

Because some requirements require several steps to achieve full compliance, the NIC has identified specific areas of measure within requirements that it deems critical for FFY 2007. Questions relating to these “Tier 1” specific areas of measure in the Metrics (see **Attachments A and B**) must be answered **in the affirmative by the end of FFY 2007 (September 30, 2007)** for FFY 2008 funding eligibility.

Information is presented within the following categories: NIMS Adoption and Infrastructure, Command and Management, Preparedness Planning, Preparedness Training, Preparedness Exercise, Resource Management, and Communication and Information Management. First the requirement is presented, then the related Specific Area(s) of Measure. For each Specific Area of Measure, a reference is given to the *FY07 NIMS Compliance Metrics* question(s) which relate to that area of measure.

1.0.0. NIMS ADOPTION AND INFRASTRUCTURE

1.1.0. STATE & LOCAL: Adopt 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.

1.1.1. Tier 1 Specific Areas of Measure:

- Formal NIMS adoption (e.g. - Executive Order, Proclamation, Resolution, Legislation or other legal authority). In Ohio, only jurisdictions with a population of 5,000 and above are required to have formally adopted NIMS, although all are encouraged to do so. Please note that the 5,000 population lower limit only applies to formal adoption of NIMS and formal reporting on implementation progress to state and federal agencies through NIMSCAST. **All other requirements apply, regardless of population.** See **Attachment E** for sample adoption language.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 1, question #1 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 1, question #1 (in **Attachment B** of this document).

- Promote and encourage NIMS adoption by stakeholders (associations, utilities, NGOs, an appropriate private sector partners) through meetings, conferences, working groups, mailings, websites, exercises, and other

means of outreach. See **Attachment F** for sample adoption language.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 1, question #2 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 1, question #2 (in **Attachment B** of this document).

1.2.0. STATE: Establish a planning process to ensure the communication and implementation of NIMS requirements across the state, including local governments. This process must provide a means for measuring progress and facilitate reporting.

1.2.1. Tier 1 Specific Area of Measure:

- Measurable processes are in place for communication, implementation and reporting of NIMS compliance requirements by state to state-level departments and/or agencies, and local stakeholders by all states.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 1, question #5 (in **Attachment A** of this document).

1.3.0. STATE: Designate a single point of contact within the state government to serve as principal coordinator for NIMS implementation statewide.

1.3.1. Tier 1 Specific Area of Measure:

- Single point of contact for overall NIMS implementation designated by all states.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 1, question #6 (in **Attachment A** of this document).

1.4.0. STATE: To the extent permissible by law, ensure that federal preparedness funding to state departments and/or agencies, as well as local jurisdictions, is linked to the satisfactory progress in meeting the requirements related to FY06 NIMS implementation requirements. See **Attachment K** for a list of some preparedness funding sources linked to NIMS compliance.

1.4.1. Tier 1 Specific Area of Measure:

- As appropriate, state verifies NIMS compliance as a condition for the distribution of DHS preparedness funding.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 1, question #7 (in **Attachment A** of this document).

1.5.0. STATE: To the extent permissible by state 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. See **Attachment K** for a list of some preparedness funding sources linked to NIMS compliance.

1.5.1. Tier 1 Specific Area of Measure:

- State audit agencies and review organizations evaluate NIMS implementation and compliance as part of grant-related audits for DHS funding.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 1, question #8 (in **Attachment A** of this document).

2.0.0. COMMAND AND MANAGEMENT

2.1.0. STATE & LOCAL: Manage all emergency incidents and preplanned (recurring/special) events in accordance with ICS organizational structures, doctrine, and procedures, as defined in NIMS. ICS implementation must include the consistent application of Incident Action Planning (IAP) and Common Communications Plans (CCP), as appropriate.

2.1.1. Tier 1 Specific Area of Measure:

- State and local responders utilize NIMS-prescribed ICS during all-hazards incident response.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 2, question #1 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 2, question #1 (in **Attachment B** of this document).

3.0.0. PREPAREDNESS PLANNING

3.1.0. STATE & LOCAL: Establish a NIMS baseline assessment against the FFY 2005 and FFY 2006 NIMS implementation requirements.

In Ohio, this baseline assessment is accomplished through the NIMSCAST online system. Select state agencies, counties, and local jurisdictions above 5,000 population are required to maintain and update responses in NIMSCAST. For the six major cities (Akron, Cincinnati, Cleveland, Columbus, Dayton, and Toledo) the disciplines of Fire, Law Enforcement, and Public Health are required to meet NIMSCAST requirements as separate accounts in addition to their cities as a whole. For a list of state agencies, jurisdictions and departments required to

participate in NIMSCAST, see **Attachments I** and **J**.

The NIMS Integration Center has updated NIMSCAST to include the *FY07 NIMS Compliance Metrics* included in **Attachments A** and **B** and often cited in this document. In addition to updating and maintaining the baseline assessment that agencies and jurisdictions have completed in the past, completion of the *FY07 NIMS Compliance Metrics* will be required.

The deadline for any updates to the NIMSCAST baseline (75 “yes/no” questions completed in FFY 2005 and 2006) AND completing the *FY07 NIMS Compliance Metrics* module within the new NIMSCAST system is August 31, 2007. Additional information on the use of the new NIMSCAST system will be provided in the form of an addendum to this guidance.

3.1.1. Tier 1 Specific Area of Measure:

- State and local jurisdictions have completed the NIMS baseline against the FY05 and FY06 implementation requirements.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 3, question #1 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 3, question #1 (in **Attachment B** of this document).

3.2.0. STATE & LOCAL: Coordinate and leverage all Federal preparedness funding to implement the NIMS. See **Attachment K** for a list of some preparedness funding sources linked to NIMS compliance.

3.2.1. Tier 1 Specific Area of Measure:

- DHS Federal preparedness funding is being coordinated towards state and/or local level preparedness and response activities.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 3, question #2 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 3, question #2 (in **Attachment B** of this document).

3.3.0. STATE & LOCAL: 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.

3.3.1. Tier 1 Specific Area of Measure:

- State and local jurisdiction plans, Standard Operating Guidelines (SOGs), and Standard Operation Procedures (SOPs) are consistent with NIMS and NRP. See **Attachments G** and **H** for additional guidance.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 3, questions #3 and #4 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 3, questions #3 and #4 (in **Attachment B** of this document).

3.4.0. STATE & LOCAL: Participate in and promote intrastate and interagency mutual aid agreements (to include agreements with private sector and non-governmental organizations).

3.4.1. Tier 1 Specific Area of Measure:

- Promote the use of interagency and intrastate mutual aid agreements within departments and/or agencies.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 3, question #6 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 3, question #6 (in **Attachment B** of this document).

4.0.0. PREPAREDNESS TRAINING

4.1.0. STATE: Leverage training facilities to coordinate and deliver NIMS training requirements in conformance with the NIMS National Standard Curriculum. See **Attachment D** for NIMS/ICS instructor qualification recommendations.

4.1.1. Tier 1 Specific Area of Measure:

- NIMS-related training conforms to the NIMS National Standard Curriculum.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 4, question #1 (in **Attachment A** of this document).

4.2.0. STATE & LOCAL: Completion of IS-700 NIMS: An Introduction, IS-800 NRP: An Introduction, ICS 100 and ICS 200. An overview of what audience must take what training is provided in **Attachment C**. See **Attachment D** for NIMS/ICS instructor qualification recommendations.

4.2.1. Tier 1 Specific Area of Measure:

- Completion of IS-700 by entry level first responders and disaster workers, first line supervisors, middle management, and command and general staff. Completion of IS-800 by emergency management personnel in middle management, command and general staff. Completion of ICS 100 by entry level first responders and disaster workers, first line supervisors, middle management, and command and general staff. Completion of ICS 200 by first line supervisors, middle management, and command and general staff.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 4, question #5 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 4, question #1 (in **Attachment B** of this document).

5.0.0. PREPAREDNESS EXERCISE

5.1.0. STATE & LOCAL: Incorporate NIMS/ICS into all state, regional, and local training and exercises.

5.1.1. Tier 1 Specific Area of Measure:

- State and local exercises incorporate NIMS

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 5, question #1 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 5, question #1 (in **Attachment B** of this document).

5.2.0. STATE & LOCAL: Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions.

NOTE: *Participation* in a multi-disciplinary, multi-jurisdictional, all-hazard exercise program based on NIMS will be defined as *being part of a planning program and a rotational schedule for such exercises*. It is not necessary to conduct an exercise before the end of FFY 2007 in order to meet this requirement.

5.2.1. Tier 1 Specific Areas of Measure:

- Exercises evaluate NIMS implementation.
- Multiple disciplines and multiple jurisdictions participate in exercises.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 5, questions #2 to #4 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 5, question #2 to #4 (in **Attachment B** of this document).

5.3.0. STATE & LOCAL: Incorporate corrective actions into preparedness and response plans and procedures. See **Attachment L** for additional guidance.

5.3.1. Tier 1 Specific Area of Measure:

- Corrective actions have been incorporated into preparedness and response plans and procedures.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 5, questions #7 and #8 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 5, question #6 (in **Attachment B** of this document).

6.0.0. RESOURCE MANAGEMENT

6.1.0. STATE & LOCAL: Inventory response assets to conform to homeland security resource typing standards.

It is highly recommended that agencies and jurisdictions maintain inventories and resource lists of all resources commonly used in disasters as well as those routinely exchanged through mutual aid. Only resources that fall within the 120 Resource Types are required to be part of the response asset inventory, however. Ohio EMA offers access to an online Resource Database that County Emergency Management Agencies can use to inventory and type resources if they wish.

The Ohio Response System coordinates the planning of identified regional capabilities and provides guidance on the identification of resource types and their collection into State response plans. The Ohio Fire and Law Enforcement Response Plans are the mechanisms to maintain the inventory of resources statewide and an activation system for the mobilization of those resources.

6.1.1. Tier 1 Specific Area of Measure:

- State and local jurisdiction have inventoried their response resources.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 6, questions #1 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 6, question #1 (in **Attachment B** of this document).

6.2.0. STATE & LOCAL: To the extent permissible by law, ensure that relevant national standards and guidance to achieve equipment, communication and data interoperability are incorporated into state and/or local acquisition programs.

The NIMS Integration Center (NIC) is coordinating working groups to identify standards that directly affect NIMS implementation. The first two standards recently adopted are for Incident Command (NFPA 1561) and Disaster Management (NFPA 1600). Until a full range of standards have been formally adopted by the NIC, interoperability acquisitions should be coordinated with the State to maximize compatibility and ensure the effectiveness of mutual aid, information and resource sharing, etc.

6.2.1. Tier 1 Specific Area of Measure:

- State aligns acquisitions with state-wide interoperable standards for equipment, communications, and data; local jurisdiction aligns its acquisitions with state-level interoperable standards for equipment, communications, and data.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 6 question #5 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 6 question #4 (in **Attachment B** of this document).

7.0.0. COMMUNICATION AND INFORMATION MANAGEMENT

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

7.1.1. Tier 1 Specific Area of Measure:

- State implements standardized terminology and plain language for all multi-jurisdictional and/or multi-agency response activities.

NOTE: This is a FFY 2007 Tier 1 Specific Area of Measure for State only. It is a Tier 2 Specific Area of Measure for local jurisdictions (See **Section 2, Specific Area of Measure 7.2.1.**)

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 7 question #1 (in **Attachment A** of this document).

SECTION 2

“Tier 2” Specific Areas of Measure (Ongoing)

There are seven (7) new requirements in the FFY 2007 guidance provided by the NIMS Integration Center. Six (6) of the new requirements are applicable to local jurisdictions. **All of the new requirements are “Tier 2,” meaning that the specific areas of measure for these requirements are not considered critical for this federal fiscal year.** Metrics questions relating to new requirements do **not** have to be answered in the affirmative to secure eligibility for FFY 2008 federal preparedness funding. Most likely, all or some of the specific areas of measure for the new requirements will become “Tier 1” in the FFY 2008 NIMS compliance guidance.

Along with the new requirements, this section also presents “Tier 2” requirements that are ongoing from previous federal fiscal years. Due to the nature and scope of some of the NIMS compliance requirements, there are several requirements which will repeat each year. The only variable in these requirements will be the expectations as to the extent of implementation, meaning that *Tier 2 Specific Areas of Measure* this year will become *Tier 1* in following years and other Specific Areas of Measure may be added. Although the Specific Areas of Measure outlined in this section do not have to be fully accomplished in this Federal Fiscal Year, it is necessary to begin planning and establishing the mechanisms to ensure that they are fully accomplished next year and in the following years.

Information is presented within the following categories: NIMS Adoption and Infrastructure, Command and Management, Preparedness Planning, Preparedness Training, Preparedness Exercise, Resource Management, and Communication and Information Management. First the requirement is presented, then the related Specific Area(s) of Measure. For each Specific Area of Measure, a reference is given to the *FY07 NIMS Compliance Metrics* question(s) which relate to that area of measure.

1.0.0. NIMS ADOPTION AND INFRASTRUCTURE

NEW FOR FFY07 1.1.0. STATE: Monitor and assess outreach and implementation of NIMS requirements across the state, including local jurisdictions.

1.1.1. Tier 2 Specific Areas of Measure:

- State assesses outreach and implementation of NIMS compliance requirements.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 1, question #9 (in **Attachment A** of this document).

NEW FOR FFY07 1.2.0. STATE: For departments and/or agencies identified within the state NIMS implementation plan, designate a single point of contact to serve as principal coordinator for NIMS implementation.

1.2.1. Tier 2 Specific Areas of Measure:

- Single Point of Contact for NIMS implementation designated by each state department and/or agency identified in the state NIMS Implementation Plan. See **Attachment I** for a list of State Agencies required to designate a NIMS Point of Contact.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 1, question #10 (in **Attachment A** of this document).

NEW FOR FFY07 1.3.0. LOCAL: Designate a single point of contact within the local jurisdiction to serve as the principal coordinator for NIMS implementation.

1.3.1. Tier 2 Specific Areas of Measure:

- Single Point of Contact for overall NIMS implementation designated by local jurisdictions.

- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 1, question #3 (in **Attachment B** of this document).

1.4.0. STATE & LOCAL: Adopt 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.

1.4.1. Tier 2 Specific Area of Measure:

- State and local jurisdiction monitor formal adoption of NIMS

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 1, question #3 (in **Attachment A** of this document).
- Local reference: No Metrics question related to monitoring.

1.5.0. STATE: To the extent permissible by law, ensure that federal preparedness funding to state departments and/or agencies, as well as local jurisdictions, is linked to the satisfactory progress in meeting the requirements related to FY06 NIMS implementation requirements.

1.5.1. Tier 2 Specific Area of Measure:

- As appropriate, state verifies NIMS compliance as a condition for the distribution of other (non-DHS) Federal preparedness funding to local jurisdictions. See **Attachment K** for a list of some non-DHS preparedness funding sources linked to NIMS compliance.

▪ State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 1, question #7 (in **Attachment A** of this document).

1.6.0. STATE: To the extent permissible by state 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.

1.6.1. Tier 2 Specific Area of Measure:

- State audit agencies and review organizations evaluate NIMS implementation and compliance as part of grant-related audits for other (non-DHS) Federal preparedness funding. See **Attachment K** for a list of some non-DHS preparedness funding sources linked to NIMS compliance.

▪ State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 1, question #8 (in **Attachment A** of this document).

2.0.0. COMMAND AND MANAGEMENT

NEW FOR FFY07 2.1.0. STATE & LOCAL: Ensure that the Public Information System can gather, verify, coordinate, and disseminate information during an incident.

2.1.1. Tier 2 Specific Areas of Measure:

- Public Information System can gather, verify, coordinate, and disseminate information during an incident.
- Public Information System capability verified by exercises.

▪ State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 2, question #11 (in **Attachment A** of this document).
▪ Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 2, question #11 (in **Attachment B** of this document).

2.2.0. STATE & LOCAL: Manage all emergency incidents and preplanned (recurring/special) events in accordance with ICS organizational structures, doctrine, and procedures, as defined in NIMS. ICS implementation must include the consistent application of Incident Action Planning (IAP) and Common Communications Plans (CCP), as appropriate.

2.2.1. Tier 2 Specific Areas of Measure:

- State and local responders utilize NIMS-prescribed ICS during preplanned events.
- State and local jurisdictions consistently apply NIMS-prescribed ICS to Incident Action Planning.
- State and local jurisdictions consistently apply NIMS-prescribed ICS to Common Communications Plans.
- Utilization of ICS verified by exercises.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 2, questions #2 to #6 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 2, questions #2 to #6 (in **Attachment B** of this document).

2.3.0. STATE & LOCAL: Coordinate and support emergency incident and event management through the development and use of integrated multi-agency coordination systems (MACS), i.e. – develop and maintain connectivity capability between local Incident Command Posts (ICPs), local 911 Centers, local Emergency Operation Centers (EOCs), the state EOC and regional and federal EOCs and NRP organizational elements.

2.3.1. Tier 2 Specific Area of Measure:

- MACS utilized for preplanned (recurring/special) events, incident-specific hazards, no-notice events and/or specific events.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 2, questions #7 to #9 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 2, questions #7 to #9 (in **Attachment B** of this document).

2.4.0. STATE & LOCAL: Public Information System – (*Local requirement wording:*) Implement processes, procedures, and/or plans to communicate timely, accurate information to the public during an incident through a Joint Information System and Joint Information Center. (*State requirement wording:*) Institutionalize, within the framework of ICS, the Public Information System, comprising of the Joint Information System (JIS) and the Joint Information Center (JIC). The Public Information System will ensure an organized, integrated, and coordinated mechanism to perform critical emergency, 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 departments and agencies.

2.4.1. Tier 2 Specific Area of Measure:

- State Emergency Operations Plan (EOP) and local jurisdiction preparedness and emergency plans have provisions for utilizing a NIMS-prescribed Public Information System (PIS) including the establishment of the Joint Information System (JIS) and the Joint Information Center (JIC).

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 2, question #10 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 2, question #10 (in **Attachment B** of this document).

3.0.0. PREPAREDNESS PLANNING

3.1.0. STATE & LOCAL: Coordinate and leverage all Federal preparedness funding to implement the NIMS.

3.1.1. Tier 2 Specific Area of Measure:

- Other (non-DHS) Federal preparedness funding is being coordinated towards state and/or local level preparedness and response activities. See **Attachment K** for a list of some non-DHS preparedness funding sources linked to NIMS compliance.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 3, question #2 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 3, question #2 (in **Attachment B** of this document).

4.0.0. PREPAREDNESS TRAINING

NEW FOR FFY07 4.1.0. STATE & LOCAL: Complete ICS 300 and ICS 400 training. Refer to **Attachment C** for additional guidance on who should take these courses. See **Attachment D** for NIMS/ICS instructor qualification recommendations.

4.1.1. Tier 2 Specific Area of Measure:

- Completion of ICS 300 by middle management and command and general staff; and completion of ICS 400 by command and general staff.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 4, question #5 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 4, question #1 (in **Attachment B** of this document).

4.2.0. STATE: Leverage training facilities to coordinate and deliver NIMS training requirements in conformance with the NIMS National Standard Curriculum. See **Attachment D** for NIMS/ICS instructor qualification recommendations.

4.2.1. Tier 2 Specific Area of Measure:

- Training facilities are being utilized to provide NIMS training.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 4, question #2 (in **Attachment A** of this document).

5.0.0. PREPAREDNESS EXERCISE

5.1.0. STATE & LOCAL: Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions.

NOTE: *Participation* in a multi-disciplinary, multi-jurisdictional, all-hazard exercise program based on NIMS will be defined as *being part of a planning program and a rotational schedule for such exercises*. It is not necessary to conduct an exercise before the end of FFY 2007 in order to meet this requirement.

5.1.1. Tier 2 Specific Area of Measure:

- (*State Only*) State exercises evaluate the National Response Plan components.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 5, questions #5 and #6 (in **Attachment A** of this document).

6.0.0. RESOURCE MANAGEMENT

NEW FOR FFY07 6.1.0. STATE & LOCAL: Validate that the inventory of response assets conforms to homeland security resource typing standards. Local jurisdictions provide to the state as required.

6.1.1. Tier 2 Specific Area of Measure:

- State response asset inventory conforms to DHS resource typing standards as identified by the NIMS Integration Center (NIC). Local jurisdictions are coordinating with the state to validate the response asset inventory.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 6, questions #7 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 6, question #6 (in **Attachment B** of this document).

NEW FOR FFY07 6.2.0. STATE & LOCAL: Utilize the response asset inventory for Intra-State Mutual Aid requests, exercises, and actual events. State response asset inventory utilized for Inter-State Mutual Aid, such as Emergency Management Assistance Compact (EMAC) requests, exercises, and actual events.

6.2.1. Tier 2 Specific Area of Measure:

- State-wide and local jurisdiction response asset inventory utilized for: Mutual Aid, Exercises, Actual Events.

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 6, question #8 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 6, question #7 (in **Attachment B** of this document).

6.3.0. STATE & LOCAL: Inventory response assets to conform to homeland security resource typing standards.

6.3.1. Tier 2 Specific Area of Measure:

- State has developed a response asset inventory. Both state and local jurisdiction resource typing conforms to DHS standards as identified by the NIMS Integration Center (NIC).

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 6, questions #2 to #4 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 6, questions #2 and #3 (in **Attachment B** of this document).

7.0.0. COMMUNICATION AND INFORMATION MANAGEMENT

NEW FOR FFY07 7.1.0. STATE & LOCAL: Develop systems, tools and processes to present consistent and accurate information to incident managers at all levels (e.g. – common operating picture).

7.1.1. Tier 2 Specific Area of Measure:

- Common operating picture exists for all incident managers during actual events. A common operating picture allows incident managers at all levels to make effective, consistent, and timely decisions. Integrated systems for communication, information management, and intelligence and information sharing allow data to be continuously updated during an incident, providing a common framework that covers the incident's life cycle across jurisdictions and disciplines. A common operating picture helps ensure consistency at all levels of incident management across jurisdictions, as well as between various governmental jurisdictions and private-sector and nongovernmental entities that are engaged. Systems, tools, and/or processes may include written plans and/or functional tools (e.g. – tabletop exercises, software).

- State reference: *FY07 NIMS Compliance Metrics: State/Territory*, Section 7, question #1 (in **Attachment A** of this document).
- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 7, question #7 (in **Attachment B** of this document).

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

7.2.1. Tier 2 Specific Area of Measure:

- Local jurisdiction implements standardized terminology and plain language for all multi-jurisdictional and/or multi-agency response activities.

NOTE: This is a Tier 1 Specific Area of Measure for the State.

- Local reference: *FY07 NIMS Compliance Metrics: Tribal/Local*, Section 7, question #1 (in **Attachment B** of this document).

ATTACHMENT A – FY07 NIMS Compliance Metrics: State / Territory

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

Associations (e.g., professional organization or trade associations)

- 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**

Critical Infrastructure

- 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**

Utilities (e.g., transportation, electric, water)

- 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**

Private sector incident management and response organizations

- 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**

ATTACHMENT A – FY07 NIMS Compliance Metrics: State / Territory

Non-governmental organizations (NGOs)

- 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

State/territorial departments and/or agencies

- 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

Describe efforts made to promote and encourage NIMS adoption: [Narrative.]

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

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

ATTACHMENT A – FY07 NIMS Compliance Metrics: State / Territory

Develop a NIMS implementation strategy (e.g. schedules, tables, etc.)

- Yes
- No

Local

Communicate NIMS requirements

- Yes
- No

Develop a NIMS implementation strategy (e.g. schedules, tables, etc.)

- Yes
- No

Tribal

Communicate NIMS requirements

- Yes
- No
- N/A

Develop a NIMS implementation strategy (e.g. schedules, tables, etc.)

- Yes
- No
- N/A

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

ATTACHMENT A – FY07 NIMS Compliance Metrics: State / Territory

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

Compliance Requirement: Designate a single point of contact within the state/territorial government to serve as the principal coordinator for NIMS implementation statewide.

6. 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, Title, Email Address, Phone Number, and Mailing Address)

What was the date of appointment? _____

If “No,” when will the State/Territory designate a single point of contact for NIMS implementation?
_____ (Date)

Which of the following impedes designating a single point of contact for NIMS implementation: [Check all that apply.]

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

ATTACHMENT A – FY07 NIMS Compliance Metrics: State / Territory

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

9. Has the State/Territory monitored and assessed outreach and implementation of NIMS requirements for the following:

State/Territory

Conduct a baseline assessment for the implementation of NIMS requirements

- Yes
- No
- N/A

Develop a strategy for full NIMS implementation and monitoring

- Yes
- No
- N/A

Local/Tribal

- Yes
- No
- N/A

Develop a strategy for full NIMS implementation and monitoring

- Yes
- No
- N/A

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

- Plans

ATTACHMENT A – FY07 NIMS Compliance Metrics: State / Territory

Training Curriculum

Yes

No

If “No,” explain: []

Exercises

Yes

No

If “No,” explain: []

8. Does the State/Territory designate or utilize MACS for:

Preplanned Events (Recurring/Special)

Yes

No

If “Yes,” explain how a MACS has been successfully utilized to manage preplanned events: []

Incident-specific Hazards

Yes

No

If “Yes,” explain how a MACS has been successfully utilized to manage incident-specific hazards: []

ATTACHMENT A – FY07 NIMS Compliance Metrics: State / Territory

NEW FOR FY07 Compliance Requirement: Ensure that the state/territorial Public Information System can gather, verify, coordinate, and disseminate information during an incident.

11. During incidents, can the PIS gather, verify, coordinate, and disseminate the following types of information: [Check all that apply.]

Critical Emergency Information

- Gather
- Verify
- Coordinate
- Disseminate

Crisis Communication

- Gather
- Verify
- Coordinate
- Disseminate

Public Affairs

- Gather
- Verify
- Coordinate
- Disseminate

Other types of information

- Gather
- Verify
- Coordinate
- Disseminate

ATTACHMENT A – FY07 NIMS Compliance Metrics: State / Territory

Compliance Requirement: 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.

3. 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:

Planning

-] Number of departments and/or agencies that have incorporated NIMS
-] Total number of departments and/or agencies

Training Programs

-] Number of departments and/or agencies that have incorporated NIMS
-] Total number of departments and/or agencies

Response Activities

-] Number of departments and/or agencies that have incorporated NIMS
-] Total number of departments and/or agencies

Exercise Program

-] Number of departments and/or agencies that have incorporated NIMS
-] Total number of departments and/or agencies

Equipment Acquisition

-] Number of departments and/or agencies that have incorporated NIMS
-] Total number of departments and/or agencies

ATTACHMENT A – FY07 NIMS Compliance Metrics: State / Territory

Evaluations

-] Number of departments and/or agencies that have incorporated NIMS
-] Total number of departments and/or agencies

Corrective Actions

-] Number of departments and/or agencies that have incorporated NIMS
 -] Total number of departments and/or agencies
-

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

Flexibility

-] Not Incorporated
-] Partially
-] Incorporated
-] Fully Incorporated

Scalability

-] Not Incorporated
-] Partially
-] Incorporated
-] Fully Incorporated

Standardization

-] Not Incorporated
-] Partially
-] Incorporated
-] Fully Incorporated

ATTACHMENT A – FY07 NIMS Compliance Metrics: State / Territory

Tribal jurisdictions

- Yes
- No
- Not applicable

Other emergency response organizations

- Yes
- No

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

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

5. In the following table, indicate the number of people trained in the following courses (out of the total number of people identified):

IS-700

- Entry-level first responders
- First line supervisors
- Emergency management and response personnel in middle management
- Emergency management and response personnel in command and general staff

IS-800

- Emergency management and response personnel in middle management
- Emergency management and response personnel in command and general staff

ATTACHMENT A – FY07 NIMS Compliance Metrics: State / Territory

ICS-100

- Entry-level first responders
- First line supervisors
- Emergency management and response personnel in middle management
- Emergency management and response personnel in command and general staff
- Personnel trained as trainers

ICS-200

- Entry-level first responders
- First line supervisors
- Emergency management and response personnel in middle management
- Emergency management and response personnel in command and general staff
- Personnel trained as trainers

ICS-300

- Emergency management and response personnel in middle management
- Emergency management and response personnel in command and general staff
- Personnel trained as trainers

ICS-400

- Emergency management and response personnel in middle management
- Emergency management and response personnel in command and general staff
- Personnel trained as trainers

ATTACHMENT A – FY07 NIMS Compliance Metrics: State / Territory

Personnel

Funding

Education

Training

Other impediments, explain: []

9. Does the State/Territory utilize improvement plans and after action reports to maintain a Corrective Action Program/Remedial Action Management Program (RAMP)?

Yes

No

If “No,” explain: []

ATTACHMENT A – FY07 NIMS Compliance Metrics: State / Territory

NEW FOR FY07 Compliance Requirement: Validate that the inventory of response assets conforms to homeland security resource typing standards.

7. 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:

Build or adopt a database to serve as a response asset inventory

- Yes
- No

Identify resources for a response asset inventory

- Yes
- No

Compile data and expand the response asset inventory

- Yes
- No

ATTACHMENT A – FY07 NIMS Compliance Metrics: State / Territory

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

8. Does the State/Territory utilize the response asset inventory for:

Mutual Aid

Yes

No

If “No,” explain: []

Exercises

Yes

No

If “No,” explain: []

Actual Events

Yes

No

If “No,” explain: []

Section 7 Metrics: Communication and Information Management

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

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

Plain Language

- Not Implemented
- Partially Implemented
- Fully Implemented

Standardized terminology in response operations

- Not Implemented
- Partially Implemented
- Fully Implemented

Standardized terminology in publications

- Not Implemented
- Partially Implemented
- Fully Implemented

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

- Plans
- Policy
- Personnel
- Equipment
- Training
- Exercise

ATTACHMENT B – FY07 NIMS Compliance Metrics: Tribal / Local

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

Associations (e.g., professional organization or trade associations)

- Meetings (e.g. committees, conferences, working groups, etc.)**
- Mailings (e.g. newsletters, letters, etc.)**
- Email or other electronic means (e.g., websites)**
- Exercises (e.g., drills, tabletop, full-scale)**
- Other methods used to promote and encourage the adoption of NIMS**
- Not applicable**

Critical Infrastructure

- Meetings (e.g. committees, conferences, working groups, etc.)**
- Mailings (e.g. newsletters, letters, etc.)**
- Email or other electronic means (e.g., websites)**
- Exercises (e.g., drills, tabletop, full-scale)**
- Other methods used to promote and encourage the adoption of NIMS**
- Not applicable**

Utilities (e.g., transportation, electric, water)

- Meetings (e.g. committees, conferences, working groups, etc.)**
- Mailings (e.g. newsletters, letters, etc.)**
- Email or other electronic means (e.g., websites)**
- Exercises (e.g., drills, tabletop, full-scale)**
- Other methods used to promote and encourage the adoption of NIMS**
- Not applicable**

ATTACHMENT B – FY07 NIMS Compliance Metrics: Tribal / Local

NEW FOR FY07 Compliance Requirement: Designate a single point of contact within the local/tribal jurisdiction to serve as the principal coordinator for NIMS implementation.

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

- Yes
- No

If "Yes," who has been designated? _____ (Name, Title, Email Address, Phone Number, and Mailing Address)

What was the date of appointment? _____

If "No," when will the local/tribal jurisdiction designate a single point of contact for NIMS implementation?
_____ (Date)

Which of the following impedes designating a single point of contact for NIMS implementation: [Check all that apply.]

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

ATTACHMENT B – FY07 NIMS Compliance Metrics: Tribal / Local

Training Curriculum

Yes

No

If "No," explain: []

Exercises

Yes

No

If "No," explain: []

8. Does the local/tribal jurisdiction designate or utilize a MACS for:

Preplanned Events (Recurring/Special)

Yes

No

If "Yes," explain how a MACS has been successfully utilized to manage preplanned events: []

Incident-specific Hazards

Yes

No

If "Yes," explain how a MACS has been successfully utilized to manage incident-specific hazards: []

ATTACHMENT B – FY07 NIMS Compliance Metrics: Tribal / Local

No-notice Events

- Yes
- No

If "Yes," explain how a MACS has been successfully utilized to manage no-notice events: [_____]

Specific Events

- Yes
- No

If "Yes," explain how a MACS has been successfully utilized to manage specific events: [_____]

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

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

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

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

ATTACHMENT B – FY07 NIMS Compliance Metrics: Tribal / Local

NEW FOR FY07 Compliance Requirement: Ensure that the Public Information System can gather, verify, coordinate, and disseminate information during an incident.

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

Critical Emergency Information

- Gather
- Verify
- Coordinate
- Disseminate

Crisis Communication

- Gather
- Verify
- Coordinate
- Disseminate

Public Affairs

- Gather
- Verify
- Coordinate
- Disseminate

Other types of information

- Gather
- Verify
- Coordinate
- Disseminate

ATTACHMENT B – FY07 NIMS Compliance Metrics: Tribal / Local

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

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

Planning

[] Number of departments and/or agencies that have incorporated NIMS
[] Total number of departments and/or agencies

Training Programs

[] Number of departments and/or agencies that have incorporated NIMS
[] Total number of departments and/or agencies

Response Activities

[] Number of departments and/or agencies that have incorporated NIMS
[] Total number of departments and/or agencies

Exercise Program

[] Number of departments and/or agencies that have incorporated NIMS
[] Total number of departments and/or agencies

Equipment Acquisition

[] Number of departments and/or agencies that have incorporated NIMS
[] Total number of departments and/or agencies

ATTACHMENT B – FY07 NIMS Compliance Metrics: Tribal / Local

Evaluations

-] Number of departments and/or agencies that have incorporated NIMS
-] Total number of departments and/or agencies

Corrective Actions

-] Number of departments and/or agencies that have incorporated NIMS
 -] Total number of departments and/or agencies
-

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

Flexibility

-] **Not Incorporated**
-] **Partially Incorporated**
-] **Fully Incorporated**

Scalability

-] **Not Incorporated**
-] **Partially Incorporated**
-] **Fully Incorporated**

Standardization

-] **Not Incorporated**
-] **Partially Incorporated**
-] **Fully Incorporated**

ATTACHMENT B – FY07 NIMS Compliance Metrics: Tribal / Local

8. Indicate the types of mutual aid agreements that the local/tribal jurisdiction has trained and/or exercised:

Training

- Interstate
- Intrastate
- Interagency

Exercises

- Interstate
 - Intrastate
 - Interagency
-

Section 4 Metrics: Preparedness Training

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

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

1. In the following table, indicate the number of people trained in the following courses (out of the total number of people identified) the following training:

IS-700

- Entry-level first responders
- First line supervisors
- Emergency management and response personnel in middle management
- Emergency management and response personnel in command and general staff

IS-800

- Emergency management and response personnel in middle management
- Emergency management and response personnel in command and general staff

ICS-100

- Entry-level first responders
- First line supervisors
- Emergency management and response personnel in middle management
- Emergency management and response personnel in command and general staff
- Personnel trained as trainers

ICS-200

- Entry-level first responders**
- First line supervisors**
- Emergency management and response personnel in middle management**
- Emergency management and response personnel in command and general staff**
- Personnel trained as trainers**

ICS-300

- Emergency management and response personnel in middle management
- Emergency management and response personnel in command and general staff
- Personnel trained as trainers

ICS-400

- Emergency management and response personnel in middle management
- Emergency management and response personnel in command and general staff
- Personnel trained as trainers

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

Local jurisdictions

- Yes
- No

Tribal jurisdictions

- Yes
- No

Not applicable

Other emergency response organizations

Yes

No

Section 5 Metrics: Preparedness Exercises

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

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

Local Level

Training

Exercises

Tribal Level

Training

Exercises

Sub-State Regional Level

Training

Exercises

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

ATTACHMENT B – FY07 NIMS Compliance Metrics: Tribal / Local

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.]

Multi-disciplinary

- Drills**
- Tabletop Exercises**
- Functional Exercises**
- Full-Scale Exercises**
- Other**

Multi-jurisdictional

- Drills**
- Tabletop Exercises**
- Functional Exercises**
- Full-Scale Exercises**
- Other**

Explain how these exercises evaluate the effectiveness of NIMS implementation during each exercise: []

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

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

Section 6 Metrics: Resource Management

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

1. Has the local/tribal jurisdiction inventoried its response resources?

Yes

No

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

Plans

Policy

Personnel

Equipment

Training

Funding

Education

Other impediments, explain: []

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

Yes

No

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

Plans

Policy

Personnel

Equipment

ATTACHMENT B – FY07 NIMS Compliance Metrics: Tribal / Local

NEW FOR FY07 Compliance Requirement: Validate that the inventory of response assets conforms to homeland security resource typing standards and provide to the state/territory as required.

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

- Yes
- No

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

- Yes
- No

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

Build or adopt a database to serve as a response asset inventory

- Yes
- No

Identify resources for a response asset inventory

- Yes
- No

Compile data and expand the response asset inventory

- Yes
 - No
-

ATTACHMENT B – FY07 NIMS Compliance Metrics: Tribal / Local

NEW FOR FY07 Compliance Requirement: Utilize the state/territory response asset inventory for Intra-State Mutual Aid requests, exercises, and actual events.

7. Does the local/tribal jurisdiction utilize a response asset inventory for:

Mutual Aid Requests

- Yes
- No

If "No," explain: []

Exercises

- Yes
- No

If "No," explain: []

Actual Events

- Yes
- No

If "No," explain: []

Section 7 Metrics: Communication and Information Management

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

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

Plain Language

- Not Implemented
- Partially Implemented
- Fully Implemented

Standardized terminology in response operations

- Not Implemented
- Partially Implemented
- Fully Implemented

Standardized terminology in publications

- Not Implemented
- Partially Implemented
- Fully Implemented

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

- Plans
- Policy
- Personnel
- Equipment

ATTACHMENT C – NIMS/ICS Training Requirements: Course Descriptions and Requirements Overview

COURSE DESCRIPTIONS

IS-700 NIMS: An Introduction

IS-700 explains the purpose, principles, key components and benefits of NIMS. The course also contains "Planning Activity" screens giving you an opportunity to complete some planning tasks during this course.

- Key concepts and principles underlying NIMS
- Benefits of using ICS as the national incident management model
- Appropriate to institute an Area Command
- Appropriate to institute a Multi-agency Coordination System
- Using a Joint Information System (JIS) for public information
- Ways in which NIMS affects preparedness
- How NIMS affects how resources are managed
- Advantages of common communication and information management systems
- How NIMS influences technology and technology systems
- The purpose of the NIMS Integration Center

IS-800 NRP: An Introduction

The National Response Plan , or NRP, specifies how the resources of the Federal Government will work in concert with State, local, and tribal governments and the private sector to respond to Incidents of National Significance. The NRP is predicated on the National Incident Management System, or NIMS. Together the NRP and the NIMS provide a nationwide template for working together to prevent or respond to threats and incidents regardless of cause, size, or complexity.

IS-800 introduces the concept of operations upon which the plan is built, roles and responsibilities of the key players, and the organizational structures used to manage these resources. The NRP provides a framework to ensure that we can all work together when our Nation is threatened.

IS-800 is designed to:

- Describe the purpose of the NRP
- Help locate information within the NRP
- Describe the roles and responsibilities of entities as specified in the NRP
- Identify the organizational structure used for NRP coordination
- Describe the field-level organizations and teams activated under the NRP
- Identify the incident management activities addressed by the NRP

IS-100 (ICS 100) Introduction to the Incident Command System (ICS)

IS-100 (ICS 100) is designed to give an introduction to the principles, common

terminology and position responsibilities when responding to an event using ICS.

The course specifically discusses major ICS functions and their primary responsibilities, ICS organizational units, span of control, major incident facilities and the function of each, what an Incident Action Plan is and how it is used, and the common responsibilities associated with incident assignments from the response perspective.

IS-200 (ICS 200) Basic ICS

IS-200 (ICS 200) has been developed to compliment the IS-100 (ICS 100) course.

IS-100 (ICS 100) is a pre-requisite to the IS-200 (ICS 200) course.

IS-200 (ICS 200) is designed to identify ICS features and principles, describing in more detail elements such as:

- Establishment & Transfer of Command
- Management by Objectives
- Unified Command
- ICS Management Functions
- Organizational Flexibility
- Unity and Chain of Command
- Span of Control
- Incident Action Plans
- Resource Management
- Common Terminology and Clear Text
- Integrated Communications
- Personnel Accountability

ICS 300 Intermediate ICS

ICS 300 has been developed to compliment the IS-200 (ICS 200) course.

IS-200 (ICS 200) is a pre-requisite to the ICS 300 course.

ICS 300 demonstrates the relationship of ICS to the Command and Management component of NIMS, incident / event management process for expanding incidents according to ICS, implementation of the incident management process on a simulated Type 3 incident and the development of an Incident Action Plan for a simulated incident. ICS 300 builds the Incident Command Skills in:

- ICS Fundamental review
- Unified Command
- Resources Management
- Planning Process, incident assessment and establishing incident objectives
- Demobilization, Transfer of Command and Closeout

ICS 400 Advanced ICS

ICS 400 has been developed to compliment the ICS 300 course.

ICS 300 is a pre-requisite to the ICS 400 course.

ICS 400 continues to build advanced Incident Command Skills in:

- ICS Fundamental Review of Command and General Staff
- Major and/or Complex Incident / Event Management
- Area Command
- Multi-Agency Coordination

**NIMS/ICS TRAINING REQUIREMENTS OVERVIEW
FEDERAL FISCAL YEAR 2007**

Audience	Required Training
<p>Local government personnel to include:</p> <p><i>Elected and non-elected officials and administrators potentially involved in making decisions and assisting declarations, search warrants, laws or decisions that may affect public movement, finance & procurement, Incident Command, etc. More specifically, the following executives shall participate in NIMS training:</i></p> <ul style="list-style-type: none"> • County Commissioners/Administrators • Mayors • City Managers • City/Village Councils • Township Trustees and Administrators • Finance Directors and Appropriate Staff • Judges (who may act as described above) • Other personnel who may act as described above 	<p style="text-align: center;">IS-700</p> <p style="text-align: center;">(Recommended: IS-100)</p>
<p>Federal/State/Local/Private Sector and Non-governmental personnel to include:</p> <p><i>Entry level first responders & disaster workers</i></p> <ul style="list-style-type: none"> • Emergency Medical Service personnel • Firefighters • Hospital staff • Law Enforcement personnel • Public Health personnel • Public Works/Utility personnel • Skilled Support Personnel • Other emergency management response, support, volunteer personnel at all levels 	<p style="text-align: center;">IS-700 and IS-100*</p>
<p>Federal/State/Local/Tribal/Private Sector & Non-governmental personnel to include:</p> <p><i>First line supervisors, including: Single resource leaders, field supervisors and other emergency management/response personnel that require a higher level of ICS/NIMS Training.</i></p>	<p style="text-align: center;">IS-700, IS-100 and IS-200*</p>

Audience	Required Training
<p>Federal/State/Local/Tribal/Private Sector & Non-governmental personnel to include:</p> <p><i>Middle management</i>, including: Strike team leaders, task force leaders, unit leaders, division/group supervisors, branch directors and multi-agency coordination system/emergency operations center staff.</p>	<p>IS-700 and IS-800* IS-100 and IS-200* ICS 300**</p>
<p>Federal/State/Local/Tribal/Private Sector & Non-governmental personnel to include:</p> <p><i>Command and general staff</i>, including: Select department heads with multi-agency coordination system responsibilities, area commanders, emergency managers and multi-agency coordination system/emergency operations center managers.</p>	<p>IS-700 and IS-800* IS-100 and IS-200* ICS 300 and ICS 400**</p>

*** IS-100 & 200, and IS-700 & 800 are considered a “Tier 1” requirement** for this federal fiscal year. The expectation is that these courses have been completed by the appropriate personnel, and that policies and mechanisms are in place to ensure new or returning personnel will be required to complete this training.

**** Completion of ICS 300 & 400 is considered a “Tier 2” requirement for this federal fiscal year**, meaning that it is not expected that everyone who needs to complete these courses will be able to before September 30, 2007. It is expected that, at a minimum, jurisdictions/departments will identify personnel who should complete the training, build the capacity of the jurisdiction to provide the training, and participate in training being offered.

These recommendations, particularly with regard to local government personnel, are meant as guidance for local jurisdictions and are not prescriptive. Ultimately, the local jurisdiction must determine which positions have a potential role in incidents and who will be required to complete the training.

Note to incumbent personnel with ICS training:

IS-100 and IS-200 are the online equivalents of ICS 100 and ICS 200 based on the FEMA/EMI independent study course numbering system. ICS 300 and ICS 400 do not have online equivalents and must be completed in a classroom setting. NIMS recognizes the National Wildfire Coordinating Group (NWCG) ICS training as a model for course curricula and materials applicable to the NIMS:

- ICS 100/IS-100, Introduction to ICS
- ICS 200/IS-200, Basic ICS
- ICS 300, Intermediate ICS
- ICS 400, Advanced ICS

The Emergency Management Institute, the National Fire Academy (NFA), the National Wildfire Coordinating Group (NWCG), the U.S. Department of Agriculture, the U.S. Environmental Protection Agency and the U.S. Coast Guard all follow this model in their ICS training curricula. The Ohio Fire Academy uses both the NWCG and NFA curriculum and those that have completed Ohio Fire Academy ICS courses are not required to repeat the training.

ATTACHMENT D – NIMS/ICS Instructor Qualification Recommendations

State of Ohio

ICS Course Instructor Qualification Recommendations

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

Implementation of NIMS requires considerable training. Depending on role in preparedness and response, IS 700, IS 800, ICS 100, ICS 200, ICS 300, and ICS 400 may be required. Training requirements are outlined in the State of Ohio NIMS Implementation Guidance issued in February of 2006, a document currently being updated to include FY07 requirements. Much of the training to date has been conducted on-line. As we move toward presentation of ICS 300 and 400 level courses, however, training is shifting to direct delivery. The direct delivery of ICS courses has resulted in questions regarding instructor qualifications. The following guidance is provided to assist with identifying appropriate instructors for ICS courses. The guidance reflects Federal recommendations and identifies State of Ohio equivalents.

Recommended instructor qualifications are as follows:

IS-700 NIMS: An Introduction

- Instructor Qualifications
 - Instructor should have training and experience in conducting training for adults, preferably in emergency management disciplines; and
 - Instructor should have taken and passed the web-based version of the IS-700 course; and
 - Instructor should have ICS or EOC training and experience.

IS-800 NRP: An Introduction

- Instructor Qualifications
 - Instructor should have training and experience in conducting training for adults, preferably in emergency management disciplines; and
 - Instructor should have taken and passed the web-based version of the IS-800 course; and

- Instructor should have taken and passed IS-700; and
- Instructor should have experience interfacing with Federal, State, Local and Tribal levels of government.

Introduction to the Incident Command System (ICS-100)

- Number of Instructors
 - Two instructors recommended
- Instructor Qualifications
 - Lead and Unit Instructors should have successfully completed ICS-100, ICS-200, and IS-700; and
 - Lead Instructor should have training and experience in conducting training for adults, preferably in emergency management disciplines; and
 - Lead Instructor should have served as Incident Commander or in a command staff or general staff position.

ICS-200 COURSE

- Number of Instructors
 - Two instructors recommended
- Instructor Qualifications
 - Lead Instructor should have successfully completed ICS-100, ICS-200, IS-700, and ICS-300; and
 - Unit Instructors should have successfully completed ICS-100, ICS-200, and IS-700; and
 - Lead Instructor should have training and experience in conducting training for adults, preferably in emergency management disciplines; and
 - Lead Instructor should have served as Incident Commander or in a command staff or general staff position.

ICS-300 COURSE

- Number of Instructors
 - At least two instructors recommended
- Instructor Qualifications
 - Lead Instructor should have successfully completed ICS-100, ICS-200, ICS-300, ICS-400, and IS-700; and
 - Unit Instructors should have successfully completed ICS-100, ICS-200, ICS-300, and IS-700; and
 - Lead and Unit Instructors should have training and experience in conducting training for adults, preferably in emergency management disciplines; and

- Lead Instructor should have served as Incident Commander or in a command staff or general staff position in an incident or event that went beyond one operational period or required a written Incident Action Plan (IAP); and
- Unit Instructors should have served as Incident Commander or in a command staff position; or, have specialized knowledge and experience appropriate for the audience, such as public health or public works.

ICS-400 COURSE

- Number of instructors
 - At least two instructors recommended
- Instructor Qualifications
 - All instructors should have successfully completed ICS-100, ICS-200, ICS-300, ICS-400, IS-700, and IS-800; and
 - Lead and Unit Instructors should have training and experience in conducting training for adults, preferably in emergency management disciplines; and
 - Lead Instructor should have served as Incident Commander or in a command staff or general staff position in an incident or event that required multi-agency coordination and went beyond one operational period or required a written Incident Action Plan (IAP); and
 - Unit Instructors should have served as Incident Commander or in a command staff or general staff position in an incident or event that went beyond one operational period or required a written Incident Action Plan (IAP); or, have specialized knowledge and experience for the audience, such as public health or public works.

COURSE AVAILABILITY/COORDINATION

- IS-700, IS-800, ICS-100 and ICS-200 Courses are available on-line or via direct delivery. ICS-300 and ICS-400 courses are available only via direct delivery.
- IS 700 and IS 800 training should be coordinated with the local emergency manager.

ADULT EDUCATION RECOMMENDATIONS

Formal instructor training such as college courses, National Wildfire Coordinating Group Facilitative Instructor M-410 course, Emergency Management Institute Master Trainer Program, National Fire Academy Instructional Methodology class, DHS Office of Grants and Training's Instructor Training Certification Course, Ohio Emergency Management Agency Instructor Skills Course, Ohio Fire & EMS Instructor Trainer Course, Ohio Peace Officer Training Academy (OPOTA) Instructor Trainer Course, or equivalent.

NOTE: The formal instructor training recommendation does not require current certification, but recommends the instructor have, at some point in time, taken one of the above-mentioned courses.

TRAIN-THE-TRAINER REQUIREMENT

A train-the-trainer course, such as *Incident Command System (ICS) Curricula Train-the-Trainer* (L-449), is not required to conduct a direct delivery ICS course, whatever the level. However, some specific curricula under the auspices of a particular program may require such training. Instructors or course coordinators should consult the training authority with jurisdiction over the course to determine what requirements, above and beyond the aforementioned instructor qualifications, must be met.

NOTE: Ohio EMA cannot provide direct assistance to a course unless the instructors of that course have completed *Incident Command System (ICS) Curricula Train-the-Trainer* (L-449). Assistance can take the form of provision of course materials, course certificates, registration and evaluation forms, and entry of the course participants into the Ohio EMA Training database.

INSTRUCTOR QUALIFICATION VERIFICATION

- Instructor qualifications must be verified by the agency sponsoring the training.

ATTACHMENT E – Sample NIMS Adoption Order for Political Subdivisions

Local jurisdictions should develop a NIMS adoption resolution, order, or declaration in a manner and format that is locally appropriate. This was a FFY05 requirement and should be one of the first steps toward NIMS compliance in FFY07 if it has not already been accomplished.

RESOLUTION {or other appropriate document title} #

ADOPTION OF THE NATIONAL INCIDENT MANAGEMENT SYSTEM (NIMS)

WHEREAS, President Bush issued Homeland Security Presidential Directive (HSPD)-5, *Management of Domestic Incidents*, on February 28, 2003, directing the Secretary of Homeland Security to develop, submit for review to the Homeland Security Council, and administer a National Incident Management System (NIMS); and

WHEREAS, in accordance with division (C) of Section 5502.28 of the Ohio Revised Code the National Incident Management System (NIMS) is hereby adopted as the standard procedure for incident management in this state, and all departments, agencies, and political subdivisions within the state shall utilize the system for incident management; and

WHEREAS, NIMS will provide a consistent nationwide approach allowing federal, state, local and tribal governments to work effectively and efficiently to prevent, prepare for, respond to, and recover from domestic incidents; and

WHEREAS, the Department of Homeland Security has sought extensive input on NIMS from state, local, and tribal officials, the emergency response community, and the private sector and has incorporated the best practices currently in use by incident managers; and

WHEREAS, effective homeland security incident management involves new concepts, processes, and protocols that will require refinement over time. The collective input and guidance from all homeland security partners has been, and will continue to be, vital to the further development of an effective and comprehensive national incident management system; and

WHEREAS, NIMS was published by the Department of Homeland Security on March 1, 2004; and

WHEREAS, HSPD-5 and NIMS require all federal departments and agencies to

adopt NIMS and use it in domestic incident management and emergency prevention, preparedness, response, recovery, and mitigation programs and activities, as well as to assist state, local, or tribal entities; and

WHEREAS, HSPD-5 and NIMS require federal departments and agencies to make state, tribal and local organizations adopt NIMS as a condition for federal preparedness assistance beginning in federal fiscal year 2005; and

WHEREAS, short-term compliance will include adopting the basic tenets of the Incident Command System identified in the NIMS document. The Secretary of Homeland Security published standards, guidelines, and protocols for determining compliance in December 2004.

NOW, THEREFORE, I {we}, {insert name(s)}, {insert title(s) and name of jurisdiction}, pursuant to Ohio Revised Code 5502.28, do hereby order that:

1. All departments, offices, and agencies {other titles as needed} of the {insert jurisdiction} shall utilize the Incident Management System prescribed by the Department of Homeland Security, as implemented by the {insert name of implementing agency}.
2. The {title of the implementing agency director} shall determine the timetable and steps necessary for the expedient implementation of this Resolution {or other appropriate document title}.
3. The {title of the implementing agency name} will begin training on NIMS and revise the {insert the name of the jurisdiction} Emergency Operations Plan as soon as practicable.

{ APPROPRIATE SIGNATURE BLOCKS & APPROVALS }

ATTACHMENT F – Sample NIMS Adoption Language for Nongovernmental Organizations, Associations, or Private Sector Entities

RESOLUTION {or other appropriate document title} #

**ADOPTION OF THE NATIONAL INCIDENT
MANAGEMENT SYSTEM (NIMS) BY ASSOCIATIONS, ORGANIZATIONS,
NON-GOVERNMENTAL AND PRIVATE ENTITIES**

WHEREAS, President Bush issued Homeland Security Presidential Directive (HSPD)-5, *Management of Domestic Incidents*, on February 28, 2003, directing the Secretary of Homeland Security to develop, submit for review to the Homeland Security Council, and administer a National Incident Management System (NIMS); and

WHEREAS, in accordance with division (C) of Section 5502.28 of the Ohio Revised Code the National Incident Management System (NIMS) is hereby adopted as the standard procedure for incident management in this state, and all departments, agencies, and political subdivisions within the state shall utilize the system for incident management; and

WHEREAS, NIMS will provide a consistent nationwide approach allowing federal, state, local and tribal governments to work effectively and efficiently to prevent, prepare for, respond to, and recover from domestic incidents; and

WHEREAS, NIMS adoption is recommended for associations, utilities, and non-governmental organizations(NGOs), and private sector incident management and response organizations.

WHEREAS, effective homeland security incident management involves new concepts, processes, and protocols that will require refinement over time. The collective input and guidance from all homeland security partners has been, and will continue to be, vital to the further development of an effective and comprehensive national incident management system; and

WHEREAS, NIMS was published by the Department of Homeland Security on March 1, 2004; and

WHEREAS, HSPD-5 and NIMS is required for use in domestic incident management and emergency prevention, preparedness, response, recovery, and mitigation programs and activities, as well as to assist state, local, or tribal entities; and

WHEREAS, the State of Ohio has adopted guidelines for the implementation of the basic tenets of the NIMS document.

NOW, THEREFORE, the {insert name of association, organization or NGO}, do hereby order that:

1. All employees, members and officers {other titles as needed} of the {insert name of association organization, etc.} shall utilize the Incident Management System prescribed by the Department of Homeland Security, as implemented by the State of Ohio.
2. The {title of the implementing director, president or any other person(s) deemed appropriate } shall determine the timetable and steps necessary for the expedient implementation of this Resolution {or other appropriate document title}.
3. The {title of the implementing name} will support training on NIMS and utilize the use of NIMS in all appropriate documents.

{ APPROPRIATE SIGNATURE BLOCKS & APPROVALS }

NIMS Adoption Policy

The National Incident Management System (NIMS) was implemented with the signing of Homeland Security Presidential Directive-5 by President Bush on February 28, 2003. In accordance with division (C) of Section 5502.28 of the Ohio Revised Code the National Incident Management System (NIMS) is hereby adopted as the standard procedure for incident management in this state. All departments, agencies, and political subdivisions within the state shall utilize the system for incident management.

Therefore; it is the policy of the _____ that all members and employees will cooperate fully with NIMS and Incident Command System (ICS) doctrine and procedures that are compliant with law and agency procedures.

It is also the policy of the _____ that all members and employees will participate in the recommended ICS training programs developed and coordinated by the Federal Emergency Management Agency (FEMA).

It is further that the policy of the _____ that all members and employees will cooperate fully with designated public safety emergency responders in all strategic and tactical operations, including training.

This policy was unanimously adopted by the _____ of the _____ on _____, 200__.

Signed: _____

Witnessed: _____

ATTACHMENT G – NIMS Compliant EOP Checklist

The following EOP checklist was taken directly from *Local and Tribal NIMS Integration: Integrating the National Incident Management System into Local and Tribal Emergency Operations Plans and Standard Operating Procedures*, a DHS publication made available in November 2005. We are providing the checklist here as an overview, but highly recommend consulting the entire source, available at <http://www.ema.ohio.gov/NIMS.htm>. The checklist should be used to determine whether the jurisdiction/agency is in compliance with NIMS requirements by the end of FFY 2007.

The NIMS Integration Center has indicated that additional planning guidance will be made available within this calendar year.

EMERGENCY OPERATIONS PLAN CONTENTS

1. Does your EOP define the scope of preparedness and incident management activities necessary for your local or tribal jurisdiction?
2. Does your EOP describe organizational structures, roles and responsibilities, policies, and protocols for providing emergency support?
3. Does your EOP facilitate response and short-term recovery activities?
4. Is your EOP flexible enough to use in all emergencies?
5. Does your EOP have a description of its purpose?
6. Does your EOP describe the situation and assumptions?
7. Does your EOP describe the concept of operations?
8. Does your EOP describe the organization and assignment of responsibilities?
9. Does your EOP describe administration and logistics?
10. Does your EOP contain a section that covers the development and maintenance of your EOP?
11. Does your EOP contain authorities and references?
12. Does your EOP contain functional annexes?
13. Does your EOP contain hazard-specific Attachments?
14. Does your EOP contain a glossary?
15. Does your EOP pre-designate functional area representatives to the Emergency Operations Center/Multi-agency Coordination System?
16. Does your EOP include pre-incident and post-incident public awareness, education, and communications plans and protocols?

ATTACHMENT H – Standard Operating Procedures Guidance

This attachment contains three separate sections for reference related to SOPs:

1. Emergency Operations Procedures Checklist
 2. Emergency Operations Procedure Template
 3. Tips for Developing and Maintaining SOPs
-

1. Emergency Operations Procedures Checklist

The following SOP checklist was taken directly from *Local and Tribal NIMS Integration: Integrating the National Incident Management System into Local and Tribal Emergency Operations Plans and Standard Operating Procedures*, a DHS publication made available in November 2005. We are providing the checklist here as an overview, but highly recommend consulting the entire source, available at <http://www.ema.ohio.gov/NIMS.htm>. The checklist should be used to determine whether the jurisdiction/agency is in compliance with NIMS requirements by the end of FFY 2007.

EMERGENCY OPERATIONS PROCEDURES

The most important NIMS principle to remember when comparing local EOPs with local procedures are taken from Page 36 of the NIMS document:

“Each organization covered by the EOP should develop procedures that translate the tasking to that organization into specific action-oriented checklists for use during incident management operations, including how the organization will accomplish its assigned tasks. In other words, every process oriented task or responsibility described by the EOP should have a corresponding SOP.”

1. At a minimum, do you have procedures that address the specific tasks performed by the following functional areas: Direction and Control, Communications, Warning, Emergency Public Information, Evacuation, Mass Care, Health and Medical, and Resource Management?
2. Do you have EOC procedures that address the specific tasks associated with the following areas: Financial Management, Logistics Management, Volunteer and Donations Management, Private-Sector Coordination, Public Affairs, Worker Safety and Health, Science and Technology?
3. Has the local jurisdiction completed policies for requesting Federal assistance through the State?
4. Does the local jurisdiction have policies regarding assistance through mutual aid agreements that may exist?
5. Does the local jurisdiction have established orders of succession or a continuity of operations plan?
6. Does the local jurisdiction have established policies on when to activate their EOC, to include levels of activation based on the event in progress?
7. Does the local jurisdiction have policies for requesting resources from the State?
8. Do written policies comply with legal statutes for risk-based, hazard-specific programs that require them?

9. Are there policies regarding EOC access during emergencies and access to incident scenes?
10. Has the local jurisdiction established reporting mechanisms in coordination with State governmental officials and EOCs to communicate information regarding actual or potential Incidents of National Significance to the Homeland Security Operations Center (HSOC), as outlined on Page 47 of the NRP?
11. Does the local jurisdiction have policies in place for rapid needs assessment, and coordinating with the State and Federal damage assessment teams after an event?
12. Does the local jurisdiction have documented policies for requesting post disaster assistance from the Federal government including public assistance and individual assistance from FEMA?
13. Does the local jurisdiction have policies in place to handle mass care?
14. Does the local jurisdiction have policies to support evacuations or sheltering in place operations?
15. Does the local jurisdiction have policies for search and rescue operations?
16. Does the local jurisdiction have policies to handle casualties and mass fatalities?
17. Has the local jurisdiction completed policies for requesting Federal assistance through the State?

2. Emergency Operations Procedures Template

This template is not intended as a prescriptive example. It is provided as a potential starting point for locally developed documents.

EMERGENCY OPERATIONS CENTER PROCEDURES	
Title of Procedure	Number of Procedure _____
Effective Date _____	Approved by _____
Supersedes _____	_____

This is a guide for the format of an EOC procedure. A particular procedure may not require all of the following sections, or may require additional information. If that is the case, drop the section and renumber the procedure accordingly. Additional sections may be added as needed.

1.0 PURPOSE

Describe the situation in which this procedure will be used.

2.0 ORGANIZATIONAL UNITS AFFECTED

List the EOC Sections, Branches, Groups, Units, etc. that will be using this procedure.

3.0 PROCEDURES

Provide a written statement, description, or instruction for how the work is to be accomplished.

4.0 OPTIONS

Because of the fluid nature of disasters, options are designed to allow for expansion and reduction of units, personnel and responsibilities.

5.0 STAFFING GUIDELINES

Generally describe who usually performs this work.

6.0 DOCUMENTATION

Describe how actions taken under this procedure are documented and eventually archived.

7.0 RESPONSIBILITIES

If you are not sure of your duties or there is conflict as to who does what duties, insert the title of the position that will resolve the issue.

3. Tips for Developing and Maintaining SOPs

Why have SOPs?

- Standard operating procedures are required by NIMS
 - “Within NIMS, preparedness focuses on guidelines, protocols, and standards for planning, training, personnel qualification and certification, equipment certification, and publication management”
- Homeland Security Exercise and Evaluation Plan (HSEEP) requires the evaluation of procedures and operating guides
- Reduced work effort
- Improved work comparability
- Increased credibility and better legal defensibility

Effective SOPs

- Contain uniform, detailed work instructions
- Linked to training (design, development, assessment tools)
- Promote consistency, structure and control
- Meet regulatory requirements
- Available in the workplace

SOPs -Tips

- Contain standard terminology
 - Promotes consistency and understanding
 - Required by NIMS
- Limit the number of writers
 - Prevents the duplication of information
 - Standardizes the appearance and language
- Ensure SOP content is appropriate to the task
 - Create a new SOP for a different topic
 - View each SOP objectively for ease of use
 - Don't state work instructions in more than one SOP
- Use lots of white space
 - Easier to read
 - Easier to find specific content
- Track changes
 - Develop a process to gather information for the next SOP revision
- Emergency Revisions
 - Develop a process to implement urgent changes, e.g. - critical amendments or directives
- Overall SOP acceptance
 - Solicit feedback from management and users
- Needs assessment
 - What SOPs do we have?
 - Do current SOPs meet our needs?
 - What new SOPs would be useful?

SOP Preparation

- Use a simple form to record needed documents
- Designate subject matter experts to develop SOPs
- List minimum experience requirements for performing the task in the SOP
- Include all header information and references
- List task steps in order
 - Perform task while noting steps taken

SOP Review and Approval

- Walk through steps of draft SOPs
- Modify SOP as needed after field test
- Approval should follow final modifications
- Signature approval indicates final review is acceptable

Frequency of Revisions

- Ensure that SOPs remain current
 - Update SOPs when procedures change
 - Modify only pertinent section of SOP
 - Note change date and revision number on the SOP
 - Set up a consistent review schedule for all SOPs
- Schedule should reflect organization's needs and constraints

Checklists and Forms

- Checklists ensure that all steps are taken
- Checklists help document completed actions
- Checklists or forms can stand alone or be referenced in the SOP and attached

Document Control

- Develop a numbering system to identify and label SOPs
- Each page of SOP should have control document notation
 - Short title and ID number
 - Revision number, date, and number of pages
 - Insert on upper right corner of each page

Document Tracking and Archiving

- Maintain a master list of SOPs
- List date of the current version
- Useful during periodic reviews or audits
- Archive outdated versions

SOP Management

- There must be processes in place to ensure SOPs are:
 - Written, formatted, reviewed, approved
 - Version controlled, indexed
 - Managed, revised, used
 - Document controlled
 - Archived

- Anyone with a potential role in the SOP must:
 - Have access to it
 - Be trained on it
 - Have the opportunity to exercise it
 - Participate in after-action reviews and corrective action related to the SOP
- If you can't find it, it won't help you
 - Appoint a document control person
 - Have a master file
 - Document draft, controlled, and destroyed and archived copies (retrieval/archive process)

ATTACHMENT I – List of State Agencies Required to Update NIMS Compliance Assessments and Enter Answers to Metrics Questions (NIMSCAST)

The following agencies will be required to complete updates to their NIMSCAST baseline assessments and to complete the Metrics questions on the new version of NIMSCAST no later than August 31, 2007:

- Ohio Department of Rehabilitation and Corrections
- Ohio Department of Health
- Ohio Department of Agriculture
- Ohio Community Service Council
- Ohio Department of Administrative Services
- Ohio Environmental Protection Agency
- Ohio State Highway Patrol
- Ohio Attorney General/Bureau of Criminal Identification & Investigations
- Office of the State Fire Marshal
- Ohio Emergency Medical Services
- Ohio Emergency Management Agency
- Ohio Department of Natural Resources
- Public Utilities Commission of Ohio
- Ohio Adjutant General's Department
- Ohio Homeland Security Division
- Ohio Department of Mental Health
- Ohio Department of Transportation

Any other State Agency or statewide organization is welcome to voluntarily participate in NIMSCAST.

Any State Agency or organization (regardless of whether it participates in NIMSCAST) that provides representatives to the **State Emergency Operations Center** for coordination of disaster response is responsible for ensuring the appropriate level of NIMS/ICS training for those representatives (see **Attachment C** for training guidance).

ATTACHMENT J – List of Local Jurisdictions Required to Formally Adopt NIMS and to Update NIMS Compliance Assessments (NIMSCAST)

The Ohio NIMS Implementation Senior Advisory Committee originally set a 5,000 population lower limit for determining which jurisdictions would be required to formally adopt NIMS and to complete a NIMS baseline assessment (in the form of the NIMSCAST online assessment tool) for the FFY 2005 requirements. This lower limit is still in effect for FFY 2007. **Jurisdictions with a population lower than 5,000 will still be required to implement all applicable NIMS compliance requirements**, but will not be required to conduct formal adoption or assessment measures.

The following jurisdictions will be required to formally adopt NIMS (if they have not already done so), to update and maintain their NIMSCAST baseline assessments, and to complete the Metrics questions on the new version of NIMSCAST no later than **August 31, 2007**:

- All 88 Ohio Counties
- All Jurisdictions (Cities, Villages, Townships) with a population 5,000 or above
- The disciplines of Law Enforcement, Public Health, and Fire Service for the six major cities in Ohio (Cincinnati, Dayton, Toledo, Columbus, Akron, Cleveland).

Jurisdictions and departments that voluntarily participated in the FFY 2005 and FFY 2006 requirements have been included on the following list. They are marked with an asterisk (*) in the 'population' column and are welcome to again participate in the FFY 2007 NIMSCAST, as are any jurisdictions or departments not formally required to do so.

County	Jurisdiction	Population
Allen	American township	13,599
Allen	Bath township	9,819
Allen	Lima city	40,081
Allen	Shawnee township	8,356
Allen/Van Wert	Delphos city	6,944
Ashland	Ashland city	21,249
Ashtabula	Ashtabula city	20,962
Ashtabula	Ashtabula township	6,371
Ashtabula	Conneaut city	12,485
Ashtabula	Geneva city	6,595
Ashtabula	Saybrook township	5,957
Athens	Athens city	21,342
Athens	Athens township	6,680
Athens	Nelsonville city	5,230
Auglaize	St. Marys city	8,342
Auglaize	Wapakoneta city	9,474
Belmont	Cumberland Trail Fire Dept.	n/a
Belmont	Martins Ferry city	7,226

Belmont	Richland township	8,514
Belmont	St. Clairsville city	5,057
Butler	Fairfield city	42,097
Butler	Fairfield township	15,571
Butler	Hanover Township	7,623
Butler	Liberty township	22,005
Butler	Madison Township	8,611
Butler	Middletown city	51,605
Butler	Monroe city	7,133
Butler	Morgan Township	5,328
Butler	Oxford city	21,943
Butler	Ross Township	5,886
Butler	Trenton city	8,746
Butler	West Chester township	52,669
Butler	Hamilton city	60,690
Carroll	Brown township	5,184
Champaign	Urbana city	11,613
Clark	Bethel township	12,934
Clark	German township	7,012
Clark	Mad River township	9,190
Clark	Moorefield township	11,402
Clark	New Carlisle city	5,735
Clark	Springfield city	65,358
Clark	Springfield township	13,424
Clermont	Batavia township	15,039
Clermont	Goshen township	13,663
Clermont	Miami township	36,632
Clermont	Milford city	6,284
Clermont	Monroe township	8,236
Clermont	Ohio Township	*
Clermont	Pierce township	10,321
Clermont	Stonelick township	5,000
Clermont	Tate township	6,298
Clermont	Union township	42,332
Clermont	Williamsburg Township	*
Clermont/Hamilton	Loveland city	11,677
Clinton	Wilmington city	11,921
Columbiana	Columbiana village	5,635
Columbiana	East Liverpool city	13,089
Columbiana	East Palestine city	Over 5,000
Columbiana	Saint Clair	7,961
Columbiana	Salem city	12,197
Coshocton	Coshocton city	11,682
Crawford	Bucyrus city	13,224
Crawford	Crestline village	5,088
Crawford	Galion city	11,341
Cuyahoga	Bay Village city	16,087
Cuyahoga	Beachwood city	12,186

Cuyahoga	Bedford city	14,214
Cuyahoga	Bedford Heights city	11,375
Cuyahoga	Berea city	18,970
Cuyahoga	Brecksville city	13,382
Cuyahoga	Broadview Heights city	15,967
Cuyahoga	Brook Park city	21,218
Cuyahoga	Brooklyn city	11,586
Cuyahoga	Cleveland city	478,403
Cuyahoga	Cleveland Fire	n/a
Cuyahoga	Cleveland Heights city	49,958
Cuyahoga	Cleveland Law Enforcement	n/a
Cuyahoga	Cleveland Public Health	n/a
Cuyahoga	East Cleveland city	27,217
Cuyahoga	Euclid city	52,717
Cuyahoga	Fairview Park city	17,572
Cuyahoga	Garfield Heights city	30,734
Cuyahoga	Greater Cleveland RTA	n/a
Cuyahoga	Highland Heights city	8,082
Cuyahoga	Independence city	7,109
Cuyahoga	Lyndhurst city	15,279
Cuyahoga	Maple Heights city	26,156
Cuyahoga	Mayfield Heights city	19,386
Cuyahoga	Middleburg Heights city	15,542
Cuyahoga	North Olmsted city	34,113
Cuyahoga	North Royalton city	28,648
Cuyahoga	Olmsted Falls city	7,962
Cuyahoga	Olmsted township	10,575
Cuyahoga	Parma Heights city	21,659
Cuyahoga	Pepper Pike city	6,040
Cuyahoga	Richmond Heights city	10,944
Cuyahoga	Rocky River city	20,735
Cuyahoga	Seven Hills city	12,080
Cuyahoga	Shaker Heights city	29,405
Cuyahoga	Solon city	21,802
Cuyahoga	South Euclid city	23,537
Cuyahoga	Strongsville city	43,858
Cuyahoga	University Heights city	14,146
Cuyahoga	Warrensville Heights city	15,109
Cuyahoga	Westlake city	31,719
Cuyahoga	Lakewood city	56,646
Cuyahoga	Parma city	85,655
Darke	Greenville city	13,294
Defiance	Defiance city	16,465
Delaware	Delaware city	25,243
Delaware	Genoa township	11,293
Delaware	Liberty township	9,182
Delaware	Orange township	12,464
Delaware	Powell village	6,247

Erie	Huron city	7,958
Erie	Perkins township	12,587
Erie	Sandusky city	27,844
Fairfield	Bloom township	5,765
Fairfield	Lancaster city	35,335
Fairfield	Pleasant township	5,039
Fairfield	Violet township	16,893
Fairfield/Franklin	Pickerington city	9,792
Fayette	Washington city	13,524
Franklin	Bexley city	13,203
Franklin	Blendon township	7,905
Franklin	Columbus city	711,470
Franklin	Columbus Fire	n/a
Franklin	Columbus Public Health	n/a
Franklin	Columbus Law Enforcement	n/a
Franklin	Franklin township	11,197
Franklin	Gahanna city	32,636
Franklin	Grandview Heights city	6,695
Franklin	Grove City city	27,075
Franklin	Hilliard city	24,230
Franklin	Madison township	12,355
Franklin	Pleasant township	6,704
Franklin	Prairie township	17,058
Franklin	Upper Arlington city	33,686
Franklin	Whitehall city	19,201
Franklin	Worthington city	14,125
Franklin/Delaware	Dublin city	31,392
Franklin/Delaware	Westerville city	35,318
Franklin/Fairfield	Reynoldsburg city	32,069
Fulton	Swan Creek township	6,306
Fulton	Wauseon city	7,091
Gallia	Green township	5,514
Geauga	Auburn township	5,158
Geauga	Bainbridge township	10,916
Geauga	Chardon village	5,156
Geauga	Chester township	10,968
Geauga	Munson township	6,450
Geauga	Newbury township	5,805
Geauga	Russell township	5,529
Greene	Bath township	8,877
Greene	Beavercreek city	37,984
Greene	Bellbrook city	7,009
Greene	Fairborn city	32,052
Greene	Sugarcreek township	6,629
Greene	Xenia city	24,164
Greene	Xenia township	6,117
Guernsey	Cambridge city	11,520
Hamilton	Anderson township	43,857

Hamilton	Blue Ash city	12,513
Hamilton	Cheviot city	9,015
Hamilton	Colerain township	60,144
Hamilton	Deer Park city	5,982
Hamilton	Delhi township	30,104
Hamilton	Forest Park city	19,463
Hamilton	Green township	55,660
Hamilton	Harrison city	7,487
Hamilton	Indian Hill	5,907
Hamilton	Madeira city	8,923
Hamilton	Miami township	9,093
Hamilton	Montgomery city	10,163
Hamilton	Mount Healthy city	7,149
Hamilton	North College Hill city	10,082
Hamilton	Norwood city	21,675
Hamilton	Reading city	11,292
Hamilton	Sharonville city	13,804
Hamilton	Springdale city	10,563
Hamilton	Springfield township	37,587
Hamilton	Sycamore township	19,675
Hamilton	Symmes township	14,771
Hamilton	Whitewater township	5,564
Hamilton	Wyoming city	8,261
Hamilton	Cincinnati city	331,285
Hamilton	Cincinnati Fire	n/a
Hamilton	Cincinnati Law Enforcement	n/a
Hamilton	Cincinnati Public Health	n/a
Hamilton	Silverton city	5,178
Hancock	Findlay city	38,967
Hancock	Liberty Township	*
Hardin	Ada village	5,582
Hardin	Kenton city	8,336
Henry	Napoleon city	9,318
Highland	Hillsboro city	6,368
Hocking	Falls township	5,010
Hocking	Logan city	6,704
Huron	Norwalk city	16,238
Huron	Willard city	6,806
Huron/Sandusky	Bellevue city	8,193
Jackson	Jackson city	6,184
Jackson	Wellston city	6,078
Jefferson	Cross Creek township	5,643
Jefferson	Island Creek township	7,513
Jefferson	Steubenville city	19,015
Jefferson	Toronto city	5,676
Knox	Mount Vernon city	14,375
Lake	Concord township	15,282
Lake	Eastlake city	20,255

Lake	Fairport Harbor	*
Lake	Grand River	*
Lake	Kirtland city	6,670
Lake	Kirtland Hills	*
Lake	Leroy township	*
Lake	Madison township	15,494
Lake	Mentor city	50,278
Lake	Mentor-on-the-Lake city	8,127
Lake	Painesville city	17,503
Lake	Painesville township	15,037
Lake	Perry township	6,220
Lake	Waite Hill, Village of	*
Lake	Wickliffe city	13,484
Lake	Willoughby city	22,621
Lake	Willoughby Hills city	8,595
Lake	Willowick city	14,361
Lawrence	Fayette township	6,750
Lawrence	Ironton city	11,211
Lawrence	Perry township	5,476
Lawrence	Rome township	8,366
Lawrence	Union township	7,540
Licking	Etna township	5,410
Licking	Granville township	5,827
Licking	Harrison township	5,974
Licking	Heath city	8,527
Licking	Newark city	46,279
Licking	Pataskala city	10,249
Logan	Bellefontaine city	13,069
Lorain	Amherst city	11,797
Lorain	Amherst township	6,174
Lorain	Avon city	11,446
Lorain	Avon Lake city	18,145
Lorain	Carlisle township	7,339
Lorain	Columbia township	6,912
Lorain	Eaton township	9,675
Lorain	North Ridgeville city	22,338
Lorain	Oberlin city	8,195
Lorain	Sheffield Lake city	9,371
Lorain	Elyria city	55,953
Lorain	Lorain city	68,652
Lorain	Vermilion, City of	10,927
Lucas	Maumee city	15,237
Lucas	Monclova township	6,767
Lucas	Oregon city	19,355
Lucas	Springfield township	22,817
Lucas	Sylvania city	18,670
Lucas	Sylvania township	25,583
Lucas	Toledo Fire	n/a

Lucas	Toledo Law Enforcement	n/a
Lucas	Toledo/Lucas County Health Department	n/a
Lucas	Toledo city	313,619
Madison	London city	8,771
Mahoning	Austintown CDP	31,627
Mahoning	Beaver township	6,104
Mahoning	Boardman CDP	37,215
Mahoning	Campbell city	9,460
Mahoning	Canfield city	7,374
Mahoning	Canfield township	7,250
Mahoning	Poland township	11,845
Mahoning	Springfield township	6,054
Mahoning	Struthers city	11,756
Mahoning/Trumbull	Youngstown city	82,026
Marion	Marion city	35,318
Marion	Marion township	9,590
Medina	Brunswick city	34,788
Medina	Brunswick Hills township	5,761
Medina	Chatham township	2,513 *
Medina	Chippewa Lake, Village of	857 *
Medina	Gloria Glens, Village of	556 *
Medina	Granger township	4,314 *
Medina	Guilford township	5,896
Medina	Harrisville township	5,393
Medina	Hinckley township	7,283
Medina	Homer township	1,826 *
Medina	Lafayette township	5,904
Medina	Litchfield township	3,625 *
Medina	Liverpool township	4,751*
Medina	Lodi, Village of	3,239*
Medina	Medina city	26,487
Medina	Medina township	8,245
Medina	Montville township	5,825
Medina	Seville, Village of	2,259 *
Medina	Sharon township	4,659 *
Medina	Spencer township	2,799 *
Medina	Spencer, Village of	788 *
Medina	Wadsworth city	19,462
Medina	Wadsworth Township	4,288*
Medina	Westfield Center, Village of	1,113 *
Medina	Westfield township	4,586*
Medina	York township	3,236*
Mercer	Celina city	10,303
Miami	Concord township	5,336
Miami	Monroe township	6,118
Miami	Piqua city	20,738
Miami	Tipp City city	9,221
Miami	Troy city	21,999

Montgomery	Butler township	8,367
Montgomery	Centerville city	23,024
Montgomery	Clayton city	13,347
Montgomery	Englewood city	12,235
Montgomery	Harrison township	24,303
Montgomery	Huber Heights city	38,212
Montgomery	Jefferson township	6,787
Montgomery	Kettering city	57,502
Montgomery	Miami township	25,706
Montgomery	Miamisburg city	19,489
Montgomery	Moraine city	6,897
Montgomery	Oakwood city	9,215
Montgomery	Riverside city	23,545
Montgomery	Trotwood city	27,420
Montgomery	Union city	5,574
Montgomery	Vandalia city	14,603
Montgomery	Washingon township	29,967
Montgomery	West Carrollton City city	13,818
Montgomery	Brookville village	5,289
Montgomery	Dayton city	166,179
Montgomery	Dayton Fire	n/a
Montgomery	Dayton Law Enforcement	n/a
Montgomery	Dayton Public Health	n/a
Muskingum	Falls township	8,585
Muskingum	Newton township	5,186
Muskingum	Zanesville city	25,586
Ottawa	Port Clinton city	6,391
Perry	New Lexington	5,003
Pickaway	Circleville city	13,485
Pickaway	Scioto township	8,120
Portage	Aurora city	13,556
Portage	Brimfield township	7,963
Portage	Franklin township	5,276
Portage	Kent city	27,906
Portage	Randolph township	5,504
Portage	Ravenna city	11,771
Portage	Ravenna township	9,270
Portage	Rootstown township	7,212
Portage	Mantua-Shalersville township	5,976
Portage	Streetsboro city	12,311
Portage	Suffield township	6,383
Preble	Eaton city	8,133
Richland	Madison township	14,680
Richland	Mansfield city	49,346
Richland	Mifflin township	6,218
Richland	Shelby city	9,821
Richland	Washinton township	6,643
Richland	Ontario village	5,303

Richland	Richland County Sheriff's Department	n/a
Ross	Chillicothe city	21,796
Ross	Huntington township	6,018
Ross	Scioto township	5,940
Ross	Union township	11,750
Sandusky	Clyde city	6,064
Sandusky	Fremont city	17,375
Scioto	Porter township	9,892
Scioto	Portsmouth city	20,909
Scioto	Washington township	5,971
Seneca	Tiffin city	18,135
Seneca	Fostoria, City of	13,931
Shelby	Sidney city	20,211
Stark	Alliance city	23,253
Stark	Canton township	13,402
Stark	Jackson township	37,484
Stark	Lake township	23,718
Stark	Lawrence township	8,321
Stark	Lexington township	5,390
Stark	Louisville city	8,904
Stark	Massillon city	31,325
Stark	Nimishillen township	9,098
Stark	North Canton city	16,369
Stark	Perry township	29,167
Stark	Plain township	35,543
Stark	Tuscarawas township	6,093
Stark	Canal Fulton village	5,061
Stark	Canton city	80,806
Summit	Barberton city	27,899
Summit	Bath township	9,635
Summit	Copley township	13,641
Summit	Coventry township	10,900
Summit	Cuyahoga Falls city	49,374
Summit	Fairlawn city	7,307
Summit	New Franklin, Village of	12,339
Summit	Green city	22,817
Summit	Hudson city	22,439
Summit	Macedonia city	9,224
Summit	Munroe Falls city	5,314
Summit	Norton city	11,523
Summit	Sagamore Hills township	9,340
Summit	Stow city	32,139
Summit	Tallmadge city	16,390
Summit	Twinsburg city	17,006
Summit	Akron city	217,074
Summit	Akron Fire	n/a
Summit	Akron Law Enforcement	n/a
Summit	Akron Public Health	n/a

Trumbull	Bazetta township	6,306
Trumbull	Brookfield township	9,921
Trumbull	Champion township	9,762
Trumbull	Cortland city	6,830
Trumbull	Girard city	10,902
Trumbull	Howland township	17,546
Trumbull	Hubbard city	8,284
Trumbull	Hubbard township	6,020
Trumbull	Liberty township	12,661
Trumbull	Niles city	20,932
Trumbull	Warren city	46,832
Trumbull	Warren township	7,817
Trumbull	Weathersfield township	8,677
Trumbull	Newton Falls village	5,002
Tuscarawas	Dover city	12,210
Tuscarawas	New Philadelphia city	17,056
Tuscarawas	Uhrichsville city	5,662
Union	Marysville city	15,942
Van Wert	Van Wert city	10,690
Warren	Carlisle village	5,121
Warren	Clear Creek township	8,747
Warren	Deerfield township	25,515
Warren	Franklin city	11,396
Warren	Franklin township	9,947
Warren	Hamilton township	8,645
Warren	Lebanon city	16,962
Warren	Mason city	22,016
Warren	Springboro city	12,380
Warren	Turtle Creek township	12,114
Warren	Wayne Township	*
Washington	Belpre city	6,660
Washington	Marietta city	14,515
Wayne	Chippewa township	7,078
Wayne	East Union township	5,528
Wayne	Orrville city	8,551
Wayne	Wooster city	24,811
Wayne	Wooster township	5,250
Wayne	Rittman city	6,314
Williams	Bryan city	8,333
Wood	Bowling Green city	29,636
Wood	Lake township	6,643
Wood	Northwood city	5,471
Wood	Perrysburg city	16,945
Wood	Perrysburg township	13,613
Wood	Rossford city	6,406
Wyandot	Upper Sandusky city	6,533

ATTACHMENT K – List of Preparedness Funding linked to NIMS Compliance

This list was provided by federal departments and agencies regarding their preparedness funding programs with state and local entities, including cooperative agreements, memoranda of understanding, grants and contracts. We are making this preliminary list available to help state and local entities identify funding streams that may be affected in connection with NIMS implementation requirements. This should not be considered a definitive list of federal preparedness grants and agreements.

Organization	Grant Programs Identified
Environmental Protection Agency (EPA)	<ol style="list-style-type: none"> 1. Security Enhancement and Emergency Preparedness Planning at Water Utilities 2. EPA Grant and Contract vehicles to move funding from DHS to localities for the regular retrieval of Bio Watch sampling filters and delivery for analysis.
Nuclear Regulatory Commission (NRC)	NRC provides pharmaceutical intervention to states with populations within the 10-mile emergency planning zone of commercial nuclear power plants.
Department of Justice (DOJ)	<ol style="list-style-type: none"> 1. State Domestic Preparedness Equipment Support Program 2. Antiterrorism and Emergency Assistance Program 3. Domestic Antiterrorism Technology Development Program 4. COPS Interoperable Communications Technology Program
Department of Agriculture (USDA)	<ol style="list-style-type: none"> 1. State Fire Assistance 2. Volunteer Fire Assistance 3. First Responder Initiative
Department of Energy (DOE)	<ol style="list-style-type: none"> 1. Working Agreement: DOE, the Shoshone-Bannock Tribes and the Idaho National Engineering and Environmental Laboratory 2. Environmental Oversight and Monitoring Agreement: Office of Nuclear Energy and the State of Idaho 3. Agreement-in-Principle: Waste Isolation Pilot Plant (DOE), the Western Governors Association and the State of Idaho 4. Office of Civilian Radioactive Waste Management Training Program 5. Agreement-in-Principle with the State of Texas Energy Conservation Office 6. Agreement-in-Principle with six counties and the State of Nevada 7. S.C. Emergency Management Division Agreement-in-Principle Grants 8. S.C. Dept. of Health and Environmental Control Agreement-in-Principle Grants 9. Georgia Emergency Management Division Agreement-in-Principle Grants 10. Cooperative Agreement: Western Governors Association, Southern States Energy Board, Mid-West and North East Council of State Governors 11. Office of River Protection Grant 12. Memorandum of Understanding (MOU): DOE and City of Miamisburg 13. Ohio Field Office MOU with West Valley, N.Y., Volunteer Hose Company

Organization	Grant Programs Identified
Tennessee Valley Authority (TVA)	1. Supplemental Agreements: Tennessee Emergency Management Agency and Alabama Emergency Management Agency, for off-site support of nuclear power plant radiological emergency plans.
Department of Homeland Security (DHS)	<ol style="list-style-type: none"> 1. State Homeland Security Grant Program 2. Assistance to Firefighters Grant Program 3. Interoperable Communications Equipment Grant 4. SARA Title III Training Program 5. Urban Search and Rescue 6. State and Local Emergency Operation Centers 7. Community Emergency Response Teams 8. Emergency Management Performance Grants 9. Chemical Stockpile Emergency Preparedness Program 10. State and Local Emergency Operations Planning Grants 11. Citizen Corps 12. Metropolitan Medical Response System 13. National Fire Academy Training Grants 14. First Responder Grants
Department of Health and Human Services (HHS)	<ol style="list-style-type: none"> 1. Public Health and Social Services Emergency Fund 2. State Rural Hospital Flexibility Program 3. EMS for Children 4. Superfund Hazardous Substances Basic Research and Education 5. Metropolitan Medical Response System 6. Immunization Research, Demonstration, Public Information and Education 7. Surveillance of Hazardous Substance Emergency Events 8. Human Health Studies, Applied Research and Development 9. Immunization Grants 10. Bioterrorism Preparedness Programs
Department of Education	1. School Emergency Response and Crisis Management Plan Discretionary Grant Program
Department of the Interior (DOI)	<ol style="list-style-type: none"> 1. Rural Fire Assistance Program 2. Earthquake Hazards Reduction Program 3. Volcano Hazards Reduction Program
Department of Transportation (DOT)	<ol style="list-style-type: none"> 1. Hazardous Materials Emergency Preparedness Training and Planning Grants 2. Airport Improvement Program 3. Satellite-based Mobile Communications Tracking System for Hazardous Materials 4. Un-tethered Trailer Tracking and Security Project 5. Operation Respond 6. Port Security Grant Program 7. Maritime Transportation Security Act Training 8. Ready Reserve Force 9. Priority Use and Allocation of Shipping Service, Containers and Chassis; Port Facilities, Services for National Security and National Defense Related Operations

ATTACHMENT L – After Action and Corrective Action Guidance

After Action Reviews (AAR) and Corrective Action Plans (CAP) should be built into plans, policies and procedures related to training, exercise, and response to actual incidents as an institutionalized form of continuous improvement. Lessons learned from experience are invaluable to improving the capabilities of any public safety organization, but they must be captured through an established process for continual progress to be made.

Most established emergency operations plans and exercise programs already have detailed policies and procedures for AARs and CAPs and these should be followed closely. The basic overview provided here is meant to encourage those organizations without a formal review process to begin to formulate one, and additional research on the conduct of these programs is recommended.

What are after action reviews?

An after action review (AAR) is a discussion of a project or an activity that enables the individuals involved to learn for themselves what happened, why it happened, what went well, what needs improvement and what lessons can be learned from the experience. The spirit of an AAR is one of openness and **learning** - it is not about problem fixing or allocating blame. Lessons learned are not only tacitly shared on the spot by the individuals involved, but can be explicitly documented and shared with a wider audience.

What are the benefits?

What makes after action reviews so powerful is that they can be applied across a wide spectrum of activities, from two individuals conducting a five minute AAR at the end of a short training session to a day-long AAR facilitated by evaluators at the end of a full-scale exercise. Activities suitable for AARs simply need to have a beginning and an end, an identifiable purpose and some basis on which performance can be assessed. Other than that, there are few limits.

AARs are excellent for making tacit knowledge explicit during the life of a project or activity and thus allowing you to capture it. Learning can be captured before a team disbands, or before people forget what happened and move on to something else. Despite the name ('after action'), they do not have to be performed at the end of a project or activity. Rather, they can be performed after each identifiable portion of an event, thus becoming a live learning process in which lessons learned can be immediately applied. In fact this is where AARs can add the greatest value.

AARs provide insights into exactly what contributes to the strengths and weaknesses of operations during a real incident, including the performance of each individual involved, of the leadership, the team as a whole, and the various processes involved.

How do I go about it?

AARs can be grouped into two types: formal and informal. Although the fundamental approach involved in each is essentially the same, there is some variation in how they are conducted.

Formal AARs tend to be conducted at the end of a major event, exercise, or real incident (learning after doing). They require some preparation and planning, but are not difficult as they take the form of a simple meeting. This meeting may take place over a couple of hours or a couple of days, depending on the scale of the project. Steps and tips for successful formal AARs include:

1. Call the meeting as soon as possible and invite the right people

AARs should be conducted as soon as possible after the event. The reasons are simple - memories are fresh, participants are available and where appropriate, learning can be applied immediately. As well as leadership and the key members of your own organization, it may be useful to invite external participants and stakeholders. However, be aware that the presence of external people may inhibit some participants in your own organization. Sometimes it is reasonable to organize several meetings, beginning with internal staff and working outwards.

2. Create the right climate

The ideal climate for an AAR is one of trust, openness and commitment to learning. AARs are learning events, not critiques, and so should not be treated as performance evaluation. There are no hierarchies in AARs - everyone is regarded as an equal participant and lower ranking members of the team should feel free to comment on the actions of those in leadership roles. Make it clear that the purpose of the meeting is to help future events run more smoothly by identifying the learning points from this one.

3. Appoint a facilitator

Ideally an AAR should be facilitated. (Certainly a formal AAR should be facilitated but informal AARs and personal AARs need not be so). The main purposes of the facilitator are to help the team to learn by drawing out answers, insights and previously unspoken issues; to ensure that everyone has an opportunity to contribute; and to help create the right climate and ensure that blame is not brought in. The facilitator should be someone who was not closely involved in the project, so that they can remain objective.

4. Revisit the objectives and deliverables of the training/exercise/incident

Ask 'what were the objectives?' and 'what did we actually achieve?'. You might like to revisit the original plans at this stage. You might also decide to construct a flow chart of what happened, identifying tasks, deliverables and decision points. This can help you to see which parts of the operation were particularly effective or ineffective.

5. Ask ‘what went well?’. Find out why, and share learning advice for the future

It is always a good idea to start with the positive points. Here you are looking to build on best practice as well as learning from mistakes. For each point that is made about what went well, keep asking a ‘why?’ question. This will allow you to get to the root of the reason. Then press participants for specific, repeatable advice that others could apply in similar situations.

6. Ask ‘what could have gone better?’. Find out what the problems were, and share learning advice for the future

Notice that you are not simply asking ‘what went wrong?’ but rather ‘what could have gone better?’. This way you can learn not only from mistakes, but also from any aspects of the project that got in the way of delivering even more. Hence the focus is not on failure, but on improvement. Even if no mistakes are made as such there is almost always room for improvement. Again, for each point that is made, keep asking a ‘why?’ question to get to the root of the reason. Then again, press participants for specific, repeatable advice that others could apply in similar situations: what would we do differently next time?

7. Ensure that everyone feels fully heard before leaving the meeting

It is important that participants do not leave the meeting feeling that they have not been heard or that things have been left unsaid. A useful technique here is to ask them for a numerical rating of the project: ‘looking back, how satisfied are you with the outcome: marks out of ten?’. People who have said the operation was fine will often still score it an eight, which enables you to then ask ‘what would have made it a ten for you?’.

8. Recording the AAR

It is important to have a clear and accurate account of the AAR and its learning points, both as a reminder to those involved and in order to effectively share that learning with others. You should aim to include things like: lessons and guidelines for the future; some background information about the training/exercise/incident to help put these guidelines into a meaningful context; the names of the people involved for future reference; and any key documents such as plans or reports.

9. Sharing the learning

As well as distributing your account of the AAR to all the participants and stakeholders, you need to consider who else could benefit from it. For example, you may be aware of another team that is about to conduct a similar exercise. You also need to make your learning more widely available so that people working on similar projects in the future might also benefit; your document therefore needs to be stored somewhere it can be easily found and accessed by those it could help.

Informal AARs tend to be conducted after a much smaller event, or a following a specific event during a wider project or activity. They require much less preparation and planning and can often be done on the spur of the moment, as the format is simple and quick – a ‘pencil and paper’ or flipchart exercise. In an open and honest meeting, usually no longer than half an hour, each participant in the event answers four simple questions:

- What was supposed to happen?
- What actually happened?
- Why were there differences?
- What did we learn?

What are corrective action plans?

A corrective action plan (CAP) is the plan for addressing problems that become apparent through the after action review process. Once the team, department, or jurisdiction identifies and understands the shortcomings through the AAR, action should be taken to correct the situation. If training is required, the CAP would identify what applicable courses are being offered, when, and who should attend. If plans and procedures need updating, the CAP should indicate who will revise the documents and when a future exercise would test the updates. If equipment is required, the plan should identify what resources are needed and how they will be obtained and managed.

It should be understood that the CAP could represent short-term, mid-term, and long-term corrective action planning. Some fixes might be as simple as a phone call; others may involve projects over several years and significant investment of time and finances.

Some basic rules to help keep the CAP on target include:

- Capture the CAP on paper and/or in a computer file
- Make sure the person(s) with ultimate responsibility for carrying out and reporting on the corrective action(s) are identified
- Set deadlines and milestones
- Follow up communications to inform stakeholders on CAP progress

ATTACHMENT M – Glossary of Select Acronyms and Terms

AAR	After-Action Review (or Report)
BSSA	Buckeye State Sheriffs' Association
CAP	Corrective Action Plan
CFR	Code of Federal Regulations
DHS	U.S. Department of Homeland Security
EMAO	Emergency Management Association of Ohio
EMS	Emergency Medical Services
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
FEMA	Federal Emergency Management Agency
FFY	Federal Fiscal Year (October 1 – September 30)
HAZMAT	Hazardous Material
HSOC	Homeland Security Operations Center
HSPD-5	Homeland Security Presidential Directive-5
IAP	Incident Action Plan
IC	Incident Commander or Incident Command
ICP	Incident Command Post
ICS	Incident Command System
IS	Independent Study (Designation for FEMA online courses; example: <u>IS</u> -700)
IMT	Incident Management Team
JIS	Joint Information System
JIC	Joint Information Center
NFPA	National Fire Protection Association
NGO	Nongovernmental Organization
NIC	NIMS Integration Center
NIMCAST	National Incident Management System Capability Assessment Tool (old name used during FFY 2005 and FFY2006 for the 75 yes/no questions)
NIMSCAST	National Incident Management System Capability Assessment Tool (New version with Compliance Metrics. Preserves data entered from previous years.)
NIMS	National Incident Management System
NRP	National Response Plan
OACP	Ohio Association of Chiefs of Police
ONG	Ohio Adjutant General's Department
ODH	Ohio Department of Health
ODP	Office for Domestic Preparedness (a DHS Department)
OEMA	Ohio Emergency Management Agency
OEMS	Ohio Emergency Medical Services
OFCA	Ohio Fire Chiefs Association
OHS	Ohio Homeland Security Division
OPOTA	Ohio Peace Officer Training Academy
OSFM	Office of the State Fire Marshal
OSHA	Occupational Safety and Health Administration
OSHP	Ohio State Highway Patrol
OWMDA	Ohio Weapons of Mass Destruction Awareness Course
PIO	Public Information Officer
SOP	Standard Operating Procedure
UC	Unified Command

Agency: A division of government with a specific function offering a particular kind of assistance. In ICS, agencies are defined either as jurisdictional (having statutory responsibility for incident management) or as assisting or cooperating (providing resources or other assistance).

Agency Representative: A person assigned by a primary, assisting, or cooperating Federal, State, local, or tribal government agency or private entity that has been delegated authority to make decisions affecting that agency's or organization's participation in incident management activities following appropriate consultation with the leadership of that agency.

Area Command (Unified Area Command): An organization established (1) to oversee the management of multiple incidents that are each being handled by an ICS organization or (2) to oversee the management of large or multiple incidents to which several Incident Management Teams have been assigned. Area Command has the responsibility to set overall strategy and priorities, allocate critical resources according to priorities, ensure that incidents are properly managed, and ensure that objectives are met and strategies followed. Area Command becomes Unified Area Command when incidents are multijurisdictional. Area Command may be established at an emergency operations center facility or at some location other than an incident command post.

Assessment: The evaluation and interpretation of measurements and other information to provide a basis for decision-making.

Assignments: Tasks given to resources to perform within a given operational period that are based on operational objectives defined in the IAP.

Assisting Agency: An agency or organization providing personnel, services, or other resources to the agency with direct responsibility for incident management. See also Supporting Agency.

Branch: The organizational level having functional or geographical responsibility for major aspects of incident operations. A branch is organizationally situated between the section and the division or group in the Operations Section, and between the section and units in the Logistics Section. Branches are identified by the use of Roman numerals or by functional area.

Chain of Command: A series of command, control, executive, or management positions in hierarchical order of authority.

Chief: The ICS title for individuals responsible for management of functional sections: Operations, Planning, Logistics, Finance/Administration, and Intelligence (if established as a separate section).

Command: The act of directing, ordering, or controlling by virtue of explicit statutory, regulatory, or delegated authority.

Command Staff: In an incident management organization, the Command Staff consists of the Incident Commander and the special staff positions of Public Information Officer, Safety Officer, Liaison Officer, and other positions as required, who report directly to the Incident Commander. They may have an assistant or assistants, as needed.

Common Operating Picture: A broad view of the overall situation as reflected by situation reports, aerial photography, and other information or intelligence.

Communications Unit: An organizational unit in the Logistics Section responsible for providing communication services at an incident or an EOC. A Communications Unit may also be a facility (e.g., a trailer or mobile van) used to support an Incident Communications Center.

Cooperating Agency: An agency supplying assistance other than direct operational or support functions or resources to the incident management effort.

Coordinate: To advance systematically an analysis and exchange of information among principals who have or may have a need to know certain information to carry out specific incident management responsibilities.

Dispatch: The ordered movement of a resource or resources to an assigned operational mission or an administrative move from one location to another.

Division: The partition of an incident into geographical areas of operation. Divisions are established when the number of resources exceeds the manageable span of control of the Operations Chief. A division is located within the ICS organization between the branch and resources in the Operations Section.

Emergency: Absent a Presidentially declared emergency, any incident(s), human-caused or natural, that requires responsive action to protect life or property. Under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, an emergency means any occasion or instance for which, in the determination of the President, Federal assistance is needed to supplement State and local efforts and capabilities to save lives and to protect property and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States.

Emergency Operations Centers (EOCs): The physical location at which the coordination of information and resources to support domestic incident management activities normally takes place. An EOC may be a temporary facility or may be located in a more central or permanently established facility, perhaps at a higher level of organization within a jurisdiction. EOCs may be organized by major functional disciplines (e.g., fire, law enforcement, and medical services), by jurisdiction (e.g., Federal, State, regional, county, city, tribal), or some combination thereof.

Emergency Operations Plan: The “steady-state” plan maintained by various jurisdictional levels for responding to a wide variety of potential hazards.

Emergency Public Information: Information that is disseminated primarily in anticipation of an emergency or during an emergency. In addition to providing situational information to the public, it also frequently provides directive actions required to be taken by the general public.

Emergency Response Provider: Includes Federal, State, local, and tribal emergency public safety, law enforcement, emergency response, emergency medical (including hospital emergency facilities), and related personnel, agencies, and authorities. See Section 2 (6), Homeland Security Act of 2002, Pub. L. 107-296, 116 Stat. 2135 (2002). Also known as Emergency Responder.

Evacuation: Organized, phased, and supervised withdrawal, dispersal, or removal of civilians from dangerous or potentially dangerous areas, and their reception and care in safe areas.

Event: A planned, non-emergency activity. ICS can be used as the management system for a wide range of events, e.g., parades, concerts, or sporting events.

Federal: Of or pertaining to the Federal Government of the United States of America.

Function: Function refers to the five major activities in ICS: Command, Operations, Planning, Logistics, and Finance/Administration. The term function is also used when describing the activity involved, e.g., the planning function. A sixth function, Intelligence, may be established, if required, to meet incident management needs.

General Staff: A group of incident management personnel organized according to function and reporting to the Incident Commander. The General Staff normally consists of the Operations Section Chief, Planning Section Chief, Logistics Section Chief, and Finance/Administration Section Chief.

Group: Established to divide the incident management structure into functional areas of operation. Groups are composed of resources assembled to perform a special function not necessarily within a single geographic division. Groups, when activated, are located between branches and resources in the Operations Section. (See Division.)

Hazard: Something that is potentially dangerous or harmful, often the root cause of an unwanted outcome.

Incident: An occurrence or event, natural or human-caused, that requires an emergency response to protect life or property. Incidents can, for example, include major disasters, emergencies, terrorist attacks, terrorist threats, wildland and urban fires, floods, hazardous materials spills, nuclear accidents, aircraft accidents, earthquakes, hurricanes, tornadoes, tropical storms, war-related disasters, public health and medical emergencies, and other occurrences requiring an emergency response.

Incident Action Plan: An oral or written plan containing general objectives reflecting the overall strategy for managing an incident. It may include the identification of operational resources and assignments. It may also include attachments that provide direction and important information for management of the incident during one or more operational periods.

Incident Command Post (ICP): The field location at which the primary tactical-level, on-scene incident command functions are performed. The ICP may be collocated with the incident base or other incident facilities and is normally identified by a green rotating or flashing light.

Incident Command System (ICS): A standardized on-scene emergency management construct specifically designed to provide for the adoption of an integrated organizational structure that reflects the complexity and demands of single or multiple incidents, without being hindered by jurisdictional boundaries. 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. ICS is used by various jurisdictions and functional agencies, both public and private, to organize field-level incident management operations.

Incident Commander (IC): The individual responsible for all incident activities, including the development of strategies and tactics and the ordering and the release of resources. The IC has overall authority and responsibility for conducting incident operations and is responsible for the management of all incident operations at the incident site.

Incident Management Team (IMT): The IC and appropriate Command and General Staff personnel assigned to an incident.

Incident Objectives: Statements of guidance and direction necessary for selecting appropriate strategy(s) and the tactical direction of resources. Incident objectives are based on realistic expectations of what can be accomplished have been effectively deployed. Incident objectives must be achievable and measurable, yet flexible enough to allow strategic and tactical alternatives.

Initial Action: The actions taken by those responders first to arrive at an incident site.

Initial Response: Resources initially committed to an incident.

Intelligence Officer: The intelligence officer is responsible for managing internal information, intelligence, and operational security requirements supporting incident management activities. These may include information security and operational security activities, as well as the complex task of ensuring that sensitive information of all types (e.g., classified information, law enforcement sensitive information, proprietary information, or export-controlled information) is handled in a way that not only safeguards the information, but also ensures that it gets to those who need access to it to perform their missions effectively and safely.

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.

Joint Information System (JIS): Integrates incident information and public affairs into a cohesive organization designed to provide consistent, coordinated, accurate, and timely information during crisis or incident operations. The mission of the JIS is to provide a structure and system for developing and delivering coordinated interagency messages; developing, recommending, and executing public information plans and strategies on behalf of the 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.

Jurisdiction: A range or sphere of authority. Public agencies have jurisdiction at an incident related to their legal responsibilities and authority. Jurisdictional authority at an incident can be political or geographical (e.g., city, county, tribal, State, or Federal boundary lines) or functional (e.g., law enforcement, public health).

Liaison Officer: A member of the Command Staff responsible for coordinating with representatives from cooperating and assisting agencies.

Local Government: A county, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of governments (regardless of whether the council of governments is incorporated as a nonprofit corporation under State law), regional or interstate government entity, or agency or instrumentality of a local government; an Indian tribe or authorized tribal organization, or in Alaska a Native village or Alaska Regional Native Corporation; a rural community, unincorporated town or village, or other public entity. See Section 2 (10), Homeland Security Act of 2002, Pub. L. 107-296, 116 Stat. 2135 (2002).

Logistics: Providing resources and other services to support incident management.

Logistics Section: The section responsible for providing facilities, services, and material support for the incident.

Major Disaster: As defined under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5122), a major disaster is any natural catastrophe (including any hurricane, tornado, storm, high water, wind-driven water, tidal wave, tsunami, earthquake, volcanic eruption, landslide, mudslide, snowstorm, or drought), or, regardless of cause, any fire, flood, or explosion, in any part of the United States, which in the determination of the President causes damage of sufficient severity and magnitude to warrant major disaster assistance under this Act to supplement the efforts and available resources of States, tribes, local governments, and disaster relief organizations in alleviating the damage, loss, hardship, or suffering caused thereby.

Management by Objective: A management approach that involves a four-step process for achieving the incident goal. The Management by Objectives approach includes the following:

establishing overarching objectives; developing and issuing assignments, plans, procedures, and protocols; establishing specific, measurable objectives for various incident management functional activities and directing efforts to fulfill them, in support of defined strategic objectives; and documenting results to measure performance and facilitate corrective action.

Mitigation: The activities designed to reduce or eliminate risks to persons or property or to lessen the actual or potential effects or consequences of an incident. Mitigation measures may be implemented prior to, during, or after an incident. Mitigation measures are often informed by lessons learned from prior incidents. Mitigation involves ongoing actions to reduce exposure to, probability of, or potential loss from hazards. Measures may include zoning and building codes, floodplain buyouts, and analysis of hazard-related data to determine where it is safe to build or locate temporary facilities. Mitigation can include efforts to educate governments, businesses, and the public on measures they can take to reduce loss and injury.

Mobilization: The process and procedures used by all organizations—Federal, State, local, and tribal—for activating, assembling, and transporting all resources that have been requested to respond to or support an incident.

Multiagency Coordination Entity: A multiagency coordination entity functions within a broader multiagency coordination system. It may establish the priorities among incidents and associated resource allocations, deconflict agency policies, and provide strategic guidance and direction to support incident management activities.

Multiagency Coordination Systems: Multiagency coordination systems provide the architecture to support coordination for incident prioritization, critical resource allocation, communications systems integration, and information coordination. The components of multiagency coordination systems include facilities, equipment, emergency operation centers (EOCs), specific multiagency coordination entities, personnel, procedures, and communications. These systems assist agencies and organizations to fully integrate the subsystems of the NIMS.

Multijurisdictional Incident: An incident requiring action from multiple agencies that each have jurisdiction to manage certain aspects of an incident. In ICS, these incidents will be managed under Unified Command.

Mutual-Aid Agreement: Written agreement between agencies and/or jurisdictions that they will assist one another on request, by furnishing personnel, equipment, and/or expertise in a specified manner.

National: Of a nationwide character, including the Federal, State, local, and tribal aspects of governance and polity.

National Incident Management System: A system mandated by HSPD-5 that provides a consistent nationwide approach for Federal, State, local, and tribal governments; the private-sector, and nongovernmental organizations to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity. To provide for interoperability and compatibility among Federal, State, local, and tribal capabilities, the NIMS includes a core set of concepts, principles, and terminology. HSPD-5 identifies these as the ICS; multiagency coordination systems; training; identification and management of resources (including systems for classifying types of resources); qualification and certification; and the collection, tracking, and reporting of incident information and incident resources.

National Response Plan: A plan mandated by HSPD-5 that integrates Federal domestic prevention, preparedness, response, and recovery plans into one all-discipline, all-hazards plan.

Nongovernmental Organization: An entity with an association that is based on interests of its members, individuals, or institutions and that is not created by a government, but may work cooperatively with government. Such organizations serve a public purpose, not a private benefit. Examples of NGOs include faith-based charity organizations and the American Red Cross.

Operational Period: The time scheduled for executing a given set of operation actions, as specified in the Incident Action Plan. Operational periods can be of various lengths, although usually not over 24 hours.

Operations Section: The section responsible for all tactical incident operations. In ICS, it normally includes subordinate branches, divisions, and/or groups.

Personnel Accountability: The ability to account for the location and welfare of incident personnel. It is accomplished when supervisors ensure that ICS principles and processes are functional and that personnel are working within established incident management guidelines.

Planning Meeting: A meeting held as needed prior to and throughout the duration of an incident to select specific strategies and tactics for incident control operations and for service and support planning. For larger incidents, the planning meeting is a major element in the development of the Incident Action Plan (IAP).

Planning Section: Responsible for the collection, evaluation, and dissemination of operational information related to the incident, and for the preparation and documentation of the IAP. This section also maintains information on the current and forecasted situation and on the status of resources assigned to the incident.

Preparedness: The range of deliberate, critical tasks and activities necessary to build, sustain, and improve the operational capability to prevent, protect against, respond to, and recover from domestic incidents. Preparedness is a continuous process. Preparedness involves efforts at all levels of government and between government and private-sector and nongovernmental organizations to identify threats, determine vulnerabilities, and identify required resources. Within the NIMS, preparedness is operationally focused on establishing guidelines, protocols, and standards for planning, training and exercises, personnel qualification and certification, equipment certification, and publication management.

Preparedness Organizations: The groups that provide interagency coordination for domestic incident management activities in a non-emergency context. Preparedness organizations can include all agencies with a role in incident management, for prevention, preparedness, response, or recovery activities. They represent a wide variety of committees, planning groups, and other organizations that meet and coordinate to ensure the proper level of planning, training, equipping, and other preparedness requirements within a jurisdiction or area.

Prevention: Actions to avoid an incident or to intervene to stop an incident from occurring. Prevention involves actions to protect lives and property. It involves applying intelligence and other information to a range of activities that may include such countermeasures as deterrence operations; heightened inspections; improved surveillance and security operations; investigations to determine the full nature and source of the threat; public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and, as appropriate, specific law enforcement operations aimed at deterring, preempting, interdicting, or disrupting illegal activity and apprehending potential perpetrators and bringing them to justice.

Private Sector: Organizations and entities that are not part of any governmental structure. It includes for-profit and not-for-profit organizations, formal and informal structures, commerce and industry, and private voluntary organizations (PVO).

Processes: Systems of operations that incorporate standardized procedures, methodologies, and functions necessary to provide resources effectively and efficiently. These include resource typing, resource ordering and tracking, and coordination.

Public Information Officer: A member of the Command Staff responsible for interfacing with the public and media or with other agencies with incident-related information requirements.

Publications Management: The publications management subsystem includes materials development, publication control, publication supply, and distribution. The development and distribution of NIMS materials is managed through this subsystem. Consistent documentation is critical to success, because it ensures that all responders are familiar with the documentation used in a particular incident regardless of the location or the responding agencies involved.

Qualification and Certification: This subsystem provides recommended qualification and certification standards for emergency responder and incident management personnel. It also allows the development of minimum standards for resources expected to have an interstate application. Standards typically include training, currency, experience, and physical and medical fitness.

Recovery: The development, coordination, and execution of service- and site-restoration plans; the reconstitution of government operations and services; individual, private- sector, nongovernmental, and public-assistance programs to provide housing and to promote restoration; long-term care and treatment of affected persons; additional measures for social, political, environmental, and economic restoration; evaluation of the incident to identify lessons learned; post-incident reporting; and development of initiatives to mitigate the effects of future incidents.

Resources: Personnel and major items of equipment, supplies, and facilities available or potentially available for assignment to incident operations and for which status is maintained. Resources are described by kind and type and may be used in operational support or supervisory capacities at an incident or at an EOC.

Resource Management: Efficient incident management requires a system for identifying available resources at all jurisdictional levels to enable timely and unimpeded access to resources needed to prepare for, respond to, or recover from an incident. Resource management under the NIMS includes mutual-aid agreements; the use of special Federal, State, local, and tribal teams; and resource mobilization protocols.

Resources Unit: Functional unit within the Planning Section responsible for recording the status of resources committed to the incident. This unit also evaluates resources currently committed to the incident, the effects additional responding resources will have on the incident, and anticipated resource needs.

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 of mitigation activities designed to limit the loss of life, personal injury, property damage, and other unfavorable outcomes. As indicated by the situation, response activities include applying intelligence and other information to lessen the effects or consequences of an incident; increased security operations; continuing investigations into nature and source of the threat; ongoing public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and specific law enforcement operations aimed at preempting, interdicting, or disrupting illegal activity, and apprehending actual perpetrators and bringing them to justice.

Safety Officer: A member of the Command Staff responsible for monitoring and assessing safety hazards or unsafe situations and for developing measures for ensuring personnel safety.

Section: The organizational level having responsibility for a major functional area of incident management, e.g., Operations, Planning, Logistics, Finance/Administration, and Intelligence (if established). The section is organizationally situated between the branch and the Incident Command.

Span of Control: The number of individuals a supervisor is responsible for, usually expressed as the ratio of supervisors to individuals. (Under the NIMS, an appropriate span of control is between 1:3 and 1:7.)

Standard Operation Procedure: Detailed, written instructions to achieve uniformity in the performance of a specific function.

Strategic: Strategic elements of incident management are characterized by continuous long-term, high-level planning by organizations headed by elected or other senior officials. These elements involve the adoption of long-range goals and objectives, the setting of priorities; the establishment of budgets and other fiscal decisions, policy development, and the application of measures of performance or effectiveness.

Strike Team: A set number of resources of the same kind and type that have an established minimum number of personnel.

Strategy: The general direction selected to accomplish incident objectives set by the IC.

Supporting Technologies: Any technology that may be used to support the NIMS is included in this subsystem. These technologies include orthophoto mapping, remote automatic weather stations, infrared technology, and communications, among various others.

Task Force: Any combination of resources assembled to support a specific mission or operational need. All resource elements within a Task Force must have common communications and a designated leader.

Technical Assistance: Support provided to State, local, and tribal jurisdictions when they have the resources but lack the complete knowledge and skills needed to perform a required activity (such as mobile-home park design and hazardous material assessments).

Terrorism: Under the Homeland Security Act of 2002, terrorism is defined as activity that involves an act dangerous to human life or potentially destructive of critical infrastructure or key resources and is a violation of the criminal laws of the United States or of any State or other subdivision of the United States in which it occurs and is intended to intimidate or coerce the civilian population or influence a government or affect the conduct of a government by mass destruction, assassination, or kidnapping. See Section 2 (15), Homeland Security Act of 2002, Pub. L. 107-296, 116 Stat. 2135 (2002).

Type: A classification of resources in the ICS that refers to capability. Type 1 is generally considered to be more capable than Types 2, 3, or 4, respectively, because of size; power; capacity; or, in the case of incident management teams, experience and qualifications.

Unified Area Command: A Unified Area Command is established when incidents under an Area Command are multijurisdictional. (See Area Command.)

Unified Command: An application of ICS used when there is more than one agency with incident jurisdiction or when incidents cross political jurisdictions. Agencies work together through the designated members of the UC, often the senior person from agencies and/or

disciplines participating in the UC, to establish a common set of objectives and strategies and a single IAP.

Unit: The organizational element having functional responsibility for a specific incident planning, logistics, or finance/administration activity.

Unity of Command: The concept by which each person within an organization reports to one and only one designated person. The purpose of unity of command is to ensure unity of effort under one responsible commander for every objective.

Volunteer: For purposes of the NIMS, a volunteer is any individual accepted to perform services by the lead agency, which has authority to accept volunteer services, when the individual performs services without promise, expectation, or receipt of compensation for services performed. See, e.g., 16 U.S.C. 742f(c) and 29 CFR 553.101.