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**Ted Strickland, Governor**
**Cathy Collins-Taylor, Director**

1970 West Broad Street
P.O. Box 182081
Columbus, Ohio 43218-2081
(614) 466-2550
www.publicsafety.ohio.gov

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State and Local Public Safety Partners:

The National Incident Management System (NIMS) provides a consistent nationwide framework and approach to enable government at all levels (Federal, State, tribal, and local), the private sector, and nongovernmental organizations (NGOs) to work together to prepare for, prevent, respond to, recover from, and mitigate the effects of incidents regardless of the incident's cause, size, location, or complexity. Consistent application of NIMS lays the groundwork for efficient and effective responses, from a single agency response to a multiagency, multijurisdictional natural disaster or terrorism response. Entities that have integrated NIMS into their planning and incident management structure can arrive at an incident with little notice and still understand the procedures and protocols governing the response, as well as the expectations for equipment and personnel.

Ohio Revised Code 5502.28(c) adopts NIMS as the incident management framework for the State of Ohio and all its subdivisions. The full integration of NIMS into all-hazards plans, policies, procedures, training, exercise, and response will affect Ohio's ability to successfully manage incidents and provide for the safety of Ohio's citizens. In addition, jurisdictions and departments will maintain eligibility for a wide range of federal preparedness funding by keeping current with the NIMS implementation objectives for each federal fiscal year.

Implementation activities for Federal Fiscal Year 2010 remain unchanged from the previous year with the exception of one additional required NIMS training course for state and local Emergency Operations Center (EOC) personnel, **IS-701 NIMS Multiagency Coordination Systems (MACS)**. Three other independent-study courses have been included in the guidance as recommended for specific audiences. Additional details regarding the new courses and changes to the NIMSCAST reporting system are included in the attached Ohio NIMS Implementation Guidance for FFY 2010. NIMSCAST submissions for established accounts are due on or by August 31, 2010.

Through training, incorporating NIMS concepts into plans, updating and exercising procedures, standardizing terminology, establishing interoperable means for sharing information effectively, and other activities that reflect NIMS principles, public safety partners within the state and beyond its borders will be better prepared to achieve objectives together as a team. Thank you for your continued efforts in institutionalizing NIMS in Ohio.

Sincerely,

Cathy Collins-Taylor

Cathy Collins-Taylor, 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."*
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OHIO DEPARTMENT OF PUBLIC SAFETY
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# State of Ohio NIMS

National Incident Management System

# Implementation Guidance

**Federal Fiscal Year**

**2010**

**May 2010**

## NIMS Implementation Guidance for Federal Fiscal Year 2010

### 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). The 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.

Ohio Revised Code 5502.28(c) adopts NIMS as the incident management framework for the State of Ohio and all its subdivisions. The full integration of NIMS into all-hazards plans, policies, procedures, training and exercise will affect Ohio's ability to successfully manage incidents and provide for the safety of Ohio's citizens. Eligibility for federal preparedness funding requires adoption and implementation of NIMS. Implementation of NIMS will require a coordinated effort across Federal, State, and local government. For fully effective 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 the institutionalization of NIMS and compliance based on Federal guidelines.

### Background

The Ohio NIMS Implementation Senior Advisory Committee, made up of representatives from a variety of state agencies (ODH, OSHP, OEMS, OEMA, ONG, OHS, OSFM) and state-wide organizations (EMAO, OFCA, OACP, BSSA), has developed a strategy to accomplish full implementation and maintenance of NIMS throughout the State of Ohio. The Federal Fiscal Year (FFY) 2005 NIMS Implementation Guidance (see **References**, p. 4) distributed in May 2005 by the NIMS Implementation Senior Advisory Committee outlined requirements to be addressed by September 30, 2005. The five requirements emphasized adoption of NIMS concepts and principles and the 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**, p. 4). In total, there were twenty-one state requirements and 14 local requirements. Most of these were carried over in some form into FFY 2007 and FFY 2008 compliance objectives. The FFY 2006 guidance was issued in January 2006.

In January 2007, the Ohio NIMS Implementation Senior Advisory Committee convened to discuss what issues in the FFY 2007 guidance would involve further clarification. There were seven new requirements (six for local jurisdictions) each of which were directly related to previous requirements.

In the spirit of a phased-in approach, the NIMS Integration Center (NIC) divided the FFY 2007 NIMS compliance requirements into "Tier 1" and "Tier 2" specific areas of measure. Jurisdictions/agencies/departments were expected to be able to respond in the affirmative to Tier 1 specific areas of measure by the end of the Federal Fiscal Year (September 30, 2007) to be eligible for federal preparedness funding. The tiered concept was dropped for FFY 2008.

Requirements for FFY 2009 were exactly as stated in the FFY 2008 NIMS Implementation Guidance (See **References**, p. 4). FFY2009 was considered a "maintenance year" for NIMS implementation requirements and was used to continue ongoing activities as well as to address any shortfalls. Terminology referring to requirements was update. Requirements are now termed "objectives", while the specific expected outcomes for each objective are called "metrics."

For FFY 2010, one independent study course has been added as required for state and local EOC staff, and three independent study courses have been added as recommended NIMS training. As with other NIMS training, jurisdictions and agencies are expected to identify personnel for whom the training would be appropriate based on guidance in the Five-Year NIMS Training Plan (See **References**, p. 4). These new courses and the standing list of required courses are discussed in more detail in **Attachment A** of this document.

The new **required** course is:

1. ***IS-701: Multi-Agency Coordination Systems* training by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).**

The new recommended courses are:

1. *IS-702: NIMS Public Information Systems* training by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).
2. *IS-703: NIMS Resource Management* training by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).
3. *IS-704 NIMS Communications and Information Management* training by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).

## Reporting Compliance

The NIMS Compliance Assistance Support Tool, also known as **NIMSCAST**, is an online system provided by FEMA for the purpose of tracking responses to the metrics for each Federal Fiscal Year's NIMS objectives. In addition, the system has features to assist in developing and monitoring corrective action plans for those metrics a jurisdiction or department has not yet met.

**Reporting FFY 2010 compliance will again be done through the NIMSCAST online system by jurisdictions with established accounts. The NIMSCAST system has carried over FFY 2009 responses to the FFY 2010 NIMSCAST and four screens have been added for tracking the <u>one new required course, IS-701</u>, and three new recommended courses IS-702, IS-703, and IS-704. It is necessary to access the system to complete the newly added training items, to verify and/or update responses, and to submit using the *Submit for Rollup* feature. Corrective Action Plans (CAPs) for each account should be addressed as well. The FFY 2010 NIMSCAST Rollup is <u>due by August 31, 2010</u>**.

Every jurisdiction in Ohio over 5,000 population has already been provided an account in the NIMSCAST and permissions have been set up for a NIMSCAST administrator or multiple administrators for each account. In addition, the six major cities in Ohio have established subaccounts specifically for the disciplines of Law Enforcement, Fire, and Public Health. Select state agencies have also been assigned accounts.

The purpose of NIMSCAST is to report the progress of NIMS implementation by the jurisdiction (or agency in the case of state agencies). A jurisdiction should consider all applicable departments and disciplines (i.e. – having a role in emergency and/or disaster response and recovery) in answering the NIMS metrics questions. Commentary relating to specific metrics has been included in this guidance to assist local and state agency NIMSCAST administrators in answering the metrics questions accurately.

## Funding Implications

HSPD-5 requires that federal agencies tie federal preparedness funding eligibility directly to progress on NIMS implementation. Inability to demonstrate compliance with required NIMS implementation activities affects federal preparedness funding eligibility at all levels of government – state agency, county, local jurisdiction or department. Those receiving, or planning to receive, federal preparedness funding from any federal sources should examine the applicable grant guidance to determine eligibility requirements.

## 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** or e-mail at **rblaser@dps.state.oh.us**.

## References

1. Homeland Security Presidential Directive HSPD-5, *Management of Domestic Incidents.*

2. Ohio Revised Code 5502.28(c).

3. FFY 2005 State of Ohio NIMS Implementation Guidance, May 2005.*

4. FFY 2006 State of Ohio NIMS Implementation Guidance, January 2006.*

5. FFY 2007 State of Ohio NIMS Implementation Guidance, May 2007.*

6. FFY 2008 State of Ohio NIMS Implementation Guidance, May 2008.*

7. FFY 2009 State of Ohio NIMS Implementation Guidance, March 2009.*

* Ohio Guidance available at: **http://ema.ohio.gov/NimsGuidance.aspx**

8. FEMA, FY2008 NIMS Compliance Objectives and Metrics for Local Governments**

9. FEMA, FY2008 NIMS Compliance Objectives and Metrics for State Governments**

10. FEMA, FY2009 NIMS Implementation Letter and Chart**

11. FEMA, Five-Year NIMS Training Plan**

**Federal Guidance available at the National Integration Center website: **http://www.fema.gov/emergency/nims/index.shtm**

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# FFY 2010 NIMS Implementation Objectives for Local Governments

Most incidents are managed locally. The initial response to most domestic incidents is typically handled by local dispatch centers, emergency responders within a single jurisdiction, and direct supporters of emergency responders. Most responses need go no further. In other instances, incidents that begin with a single response discipline within a single jurisdiction may rapidly expand to multi-discipline, multi-jurisdictional incidents requiring significant additional resources and operational support. When a single incident covers a large geographical area, multiple local ICS organizations may be required. Effective cross-jurisdictional coordination using processes and systems described in the NIMS is absolutely critical in this instance.

Local participation in the implementation of the NIMS components is an essential step toward effective cooperation and communication between levels of government, as well as between various jurisdictions. **All jurisdictions and departments, regardless of size, are expected to recognize NIMS as the model for preparedness and incident management, and to participate in related planning, training, and exercises.** In Ohio, only jurisdictions with a population above 5,000 (according to the 2000 U.S. Census figures) are expected to both formally adopt NIMS through some form of official resolution and to report NIMS implementation progress through the NIMS Compliance Assistance Support Tool (NIMSCAST).

NIMSCAST accounts were set up in 2005 for the applicable jurisdictions and their designated NIMSCAST administrators were provided access to the system. In FFY 2005 and FFY 2006, accounts were populated with a NIMS Baseline – a starting point assessment of where the jurisdictions/departments were with respect to implementing NIMS concepts and principles. In FFY 2007, the system was modified to reflect the new approach of the National Integration Center, that of overarching requirements with multiple specific areas of measure. Each of these specific areas of measure – what came to be known as "metrics" – was represented with a question or prompt in the system. Some questions were "yes/no" while others required a significant amount of information (numbers trained within specific ICS roles, for instance). FFY 2008, 2009 and 2010 assessments continue this approach. One of the difficulties presented by the metrics questions has been the "one-size-fits-all" dilemma, meaning that a question will by its very nature have different levels of applicability to a small town versus a county, or a state agency versus a city department, etc. This guidance attempts to provide some assistance with determining the most appropriate approach to the questions, so that responses are more accurate and less confusion is generated by those questions that might not be applicable to a certain level of government.

**The NIMSCAST system has carried over FFY 2009 responses to the FFY 2010 NIMSCAST and four screens have been added for tracking the one new required course, IS-701, and three new recommended courses IS-702, IS-703, and IS-704. It is necessary to access the system to complete the newly added training items, to verify**

**and/or update responses, and to submit using the *Submit for Rollup* feature. Corrective Action Plans (CAPs) for each account should be addressed as well. The FFY 2010 NIMSCAST Rollup is <u>due by August 31, 2010</u>.**

Finally, it is expected that responses in NIMSCAST accounts are a reflection of all applicable departments within the jurisdiction. Any department with a role in disaster response is expected not only to participate in NIMS-related planning, training and exercise, but to contribute to the NIMSCAST responses for the jurisdiction.

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***Commentary on individual metrics, provided below, is distinguished from the implementation objectives and metrics questions themselves by bold, italicized font within a comment box.***

**NIMS ADOPTION**

**Implementation Objective 1:** Adopt NIMS by all local government departments/agencies; as well as promote and encourage NIMS adoption by associations, utilities, nongovernmental organizations (NGOs) and private sector emergency management and incident response organizations.

1.1 Has the local government formally adopted the National Incident Management System as its all-hazards incident management system?

***Jurisdictions over 5,000 population, per the 2000 U.S. Census data, were required to formally adopt NIMS. This list of jurisdictions is can be found in Attachment H. See "References" section in this document for versions of the guidance from previous federal fiscal years. Those jurisdictions that have formally adopted NIMS do not have to adopt again every year, unless the formal adoption expires. For sample adoption statements see Attachments C and D.***

What legal authority was used to formally adopt NIMS?

When was NIMS formally adopted?

1.2 Does the local adoption of NIMS expire (i.e. – does the resolution/proclamation stipulate an end date)?

If yes, is there is a process for renewing/maintaining the formal adoption of NIMS?

1.3 Does the local government promote NIMS adoption by associations, utilities, private sector, and nongovernmental organizations?

***The associations, private sector, and nongovernmental organizations referred to here are those with a potential response role in an emergency or disaster. Utilities often have crews dedicated to emergency repairs that often operate under the same incident management principles as the NIMS Incident Command System (ICS). The key here is the intentional involvement of all appropriate partners in planning, training and exercise. See Attachment D for sample NIMS adoption language for NGOs, associations, and private sector entities.***

**Implementation Objective 3:** Designate and maintain a single point of contact within government to serve as principle coordinator for NIMS implementation jurisdiction-wide (to include principal coordinator for NIMS implementation within each Department/Agency).

3.1 Has local government designated a single point of contact with the authority to serve as the principal coordinator for overall jurisdiction-wide NIMS implementation?

***This designation should be kept current. In some cases, the point of contact may be the NIMSCAST administrator.***

Identify the individual. (Include: Name, Title, Email Address, Phone Number, and Mailing Address)

When was the individual designated?

3.2 Have the appropriate local Departments/Agencies or those with emergency management and incident response responsibilities designated a single point of contact within each of the Departments/Agencies with the authority to serve as the principal coordinator for NIMS implementation?

***These points of contact may be the individuals who are providing information for the NIMSCAST to the jurisdiction's NIMS point of contact, or it could simply be the chief executive officer of those departments. In larger jurisdictions, it will obviously be more important to maintain a centralized list of these contacts, as they may become numerous.***

Total number of local Departments/Agencies in the jurisdiction?

***These are the departments/agencies with a potential role in disaster response – typically Fire/EMS, Police/Sheriff, Public Works, Public Health, etc.***

Total Number of local Departments/Agencies that have designated a single point of contact?

***The goal is to have the number of local departments/agencies that have designated a single point of contact equal the number of departments/agencies in the jurisdiction to which NIMS is applicable.***

**Implementation Objective 4:** Ensure that Federal Preparedness Awards [to include, but not limited to, DHS Homeland Security Grant Program and Urban Area Security Initiative Funds] to local governments, support all required NIMS compliance requirements.

4.1 Does the local government ensure that Federal Preparedness Awards [including DHS Homeland Security Grant Program and Urban Area Security Initiative (UASI) Funds] support NIMS compliance?

***This will not be applicable to all jurisdictions, since not all receive Federal Preparedness Funding. Where not applicable, please choose N/A. Jurisdictions with direct control of Federal Preparedness Funding, such as counties or UASI urban areas, should answer "yes" if any grant allocations support any aspect of NIMS implementation (interoperable communications or equipment, training, exercises that evaluate NIMS components, plan updates to include NIMS/NRF concepts or principles, etc.). See Attachment I for a partial list of federal preparedness funding.***

**Implementation Objective 5:** Routinely include NIMS compliance objectives in all audits, conducted by audit agencies and review organizations, associated with Federal Preparedness Awards.

5.1 Do local government audit agencies and review organizations include required NIMS compliance activities in all audits associated with Federal Preparedness Awards?

***This will not be applicable to all jurisdictions. It will only be applicable to those jurisdictions that subgrant Federal Preparedness Funds to other jurisdictions or organizations. In those cases, reviews of the subgrantee's grant status may include evidence of progress in implementation of NIMS. In many cases, audits of a strictly financial nature will not necessarily include reference to NIMS compliance objectives. If this is not applicable to the jurisdiction, select N/A. See Attachment I for a partial list of federal preparedness funding.***

## PREPAREDNESS: PLANNING

**Implementation Objective 7:** Revise and update local government emergency operations plans (EOPs), standard operating procedures (SOPs), and standard operating guidelines (SOGs) to incorporate NIMS and National Response Framework (NRF) components, principles and policies, to include planning, training, response, exercises, equipment, evaluation, and corrective actions.

7.1 Does the local government review and revise the plans and procedures (EOPs, SOPs, SOGs, etc.) to incorporate NIMS components, principles, and policies?

***While this will be most applicable to the urban area and county levels, the intent is to ensure that plans are aligned with (not contradictory to) the principles of NIMS and NRF. Most importantly, those jurisdictions and departments relied upon to fill support roles in the county's Emergency Operations Plan should have operational procedures that allow them to achieve objectives and that follow ICS principles and NIMS guidelines. See Attachments E and F for additional information relating to plans and procedures.***

7.2 Does the local government review and revise plans and procedures (EOPs, SOPs, SOGs) to incorporate NRF components, principles, and concepts? ***See above.***

**Implementation Objective 8:** Promote and/or develop intrastate and interagency mutual aid agreements and assistance agreements (to include agreements with the private sector and NGOs).

8.1 Does the local government promote and/or develop intrastate mutual aid agreements and assistance agreements throughout the jurisdiction?

***Participation in local, regional, and/or statewide mutual aid agreements (including the Ohio Fire and Law Enforcement Response Systems) would equate to a "yes" to this question.***

Do these include agreements with the private sector?

Do these include agreements with nongovernmental organizations (NGOs)?

8.2 Does the local government promote and/or develop interagency mutual aid agreements and assistance agreements throughout the jurisdiction?

***Participation in local mutual assistance agreements would constitute a "yes" to this question.***

Do these include agreements with the private sector?

Do these include agreements with NGOs?

## PREPAREDNESS: TRAINING

**Implementation Objective 9:** Use existing resources such as programs, personnel and training facilities to coordinate and deliver NIMS training.

9.1 Does the local government use available programs, personnel and facilities to deliver NIMS training?

***Only answer "no" to this question if the jurisdiction intentionally impedes use of programs, personnel and facilities to deliver training. Otherwise, answer "yes," even if local resources are not necessary to support the training. See Attachment B for Ohio's recommendations for NIMS/ICS instructor qualifications.***

**Implementation Objective 10:** Ensure that IS-700 NIMS: *An Introduction* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

10.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed IS-700? Provide a breakdown of the number trained in the appropriate categories (i.e. - entry level, first line supervisor, mid-level management, command and general staff).

***Refer to Attachment A in this guidance for a training requirements summary. Each department/agency is responsible for determining which individuals will potentially fill roles at various levels in the Incident Command System (ICS) or Multi-agency Coordination System (MACS) hierarchy.***

10.2 Does the local government document IS-700 training status of personnel?

***If training records are not centralized by the jurisdiction, each department/agency should maintain personnel training records and be prepared to provide aggregate numbers to the jurisdiction's NIMS point of contact and/or NIMSCAST administrator. The NIMSCAST administrator will need training numbers for all categories from each department/agency to complete the NIMSCAST.***

**Implementation Objective 11:** Ensure that IS-701 *NIMS Multiagency Coordination Systems* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

11.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed IS-701? Provide a breakdown of the number trained in the appropriate categories (i.e. - mid-level management, command and general staff).

***Refer to Attachment A in this guidance for a training requirements summary. Each department/agency is responsible for determining which individuals will potentially fill roles at various levels in the Incident Command System (ICS) or Multi-agency Coordination System (MACS) hierarchy.***

11.2 Does the local government document IS-701 training status of personnel?

***If training records are not centralized by the jurisdiction, each department/agency should maintain personnel training records and be prepared to provide aggregate numbers to the jurisdiction's NIMS point of contact and/or NIMSCAST administrator. The NIMSCAST administrator will need training numbers for all categories from each department/agency to complete the NIMSCAST.***

**Implementation Objective 12:** Ensure that IS-702 *NIMS Public Information* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

12.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed IS-702? Provide a breakdown of the number trained in the appropriate categories (i.e. - mid-level management, command and general staff).

***Refer to Attachment A in this guidance for a training requirements summary. Each department/agency is responsible for determining which individuals will potentially fill roles at various levels in the ICS/MACS hierarchy.***

12.2 Does the local government document IS-702 training status of personnel?

***If training records are not centralized by the jurisdiction, each department/agency should maintain personnel training records and be prepared to provide aggregate numbers to the jurisdiction's NIMS point of contact and/or NIMSCAST administrator. The NIMSCAST administrator will need***

***training numbers for all categories from each department/agency to complete the NIMSCAST.***

**Implementation Objective 13:** Ensure that IS-703 *NIMS Resource Management* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

13.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed IS-703? Provide a breakdown of the number trained in the appropriate categories (i.e. - mid-level management, command and general staff).

***Refer to Attachment A in this guidance for a training requirements summary. Each department/agency is responsible for determining which individuals will potentially fill roles at various levels in the ICS/MACS hierarchy.***

13.2 Does the local government document IS-703 training status of personnel?

***If training records are not centralized by the jurisdiction, each department/agency should maintain personnel training records and be prepared to provide aggregate numbers to the jurisdiction's NIMS point of contact and/or NIMSCAST administrator. The NIMSCAST administrator will need training numbers for all categories from each department/agency to complete the NIMSCAST.***

**Implementation Objective 14:** Ensure that IS-704 *NIMS Communication and Information Management* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

14.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed IS-704? Provide a breakdown of the number trained in the appropriate categories (i.e. - mid-level management, command and general staff).

***Refer to Attachment A in this guidance for a training requirements summary. Each department/agency is responsible for determining which individuals will potentially fill roles at various levels in the ICS/MACS hierarchy.***

14.2 Does the local government document IS-704 training status of personnel?

***If training records are not centralized by the jurisdiction, each department/agency should maintain personnel training records and be prepared to provide aggregate numbers to the jurisdiction's NIMS point of contact and/or NIMSCAST administrator. The NIMSCAST administrator will need training numbers for all categories from each department/agency to complete the NIMSCAST.***

**Implementation Objective 15:** Ensure that IS-800 *National Response Framework: an Introduction* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

15.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed IS-800? Provide a breakdown of the number trained in the appropriate categories (i.e. - mid-level management, command and general staff).

***Since IS-800 is an introduction to a federal planning document, when the planning document has been updated, the course has changed. Those who completed this course in the past do not have to repeat it. It is recommended that emergency management professionals and others with responsibilities linked to federal plans retake IS-800 to familiarize themselves with the new National Response Framework (NRF) and/or visit the NRF website. Refer to Attachment A in this guidance for a training requirements summary. Each department/agency is responsible for determining which individuals will potentially fill roles at various levels in the ICS/MACS hierarchy.***

15.2 Does the local government document IS-800 training status of personnel?

> ***If training records are not centralized by the jurisdiction, each department/agency should maintain personnel training records and be prepared to provide aggregate numbers to the jurisdiction's NIMS point of contact and/or NIMSCAST administrator. The NIMSCAST administrator will need training numbers for all categories from each department/agency to complete the NIMSCAST.***

**Implementation Objective 16:** Ensure that ICS-100: *Introduction to ICS* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

16.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed ICS-100? Provide a breakdown of the number trained in the appropriate categories (i.e. - entry level, first line supervisor, mid-level management, command and general staff).

> ***Refer to Attachment A in this guidance for a training requirements summary. Each department/agency is responsible for determining which individuals will potentially fill roles at various levels in the ICS/MACS hierarchy.***

16.2 Does the local government document ICS-100 training status of personnel?

> ***If training records are not centralized by the jurisdiction, each department/agency should maintain personnel training records and be prepared to provide aggregate numbers to the jurisdiction's NIMS point of contact and/or NIMSCAST administrator. The NIMSCAST administrator will need training numbers for all categories from each department/agency to complete the NIMSCAST.***

**Implementation Objective 17:** Ensure that ICS-200: *ICS for Single Resources and Initial Action Incidents* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

17.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed ICS-200? Provide a breakdown of the number trained in the appropriate categories (i.e. - first line supervisor, mid-level management, command and general staff).

> ***Note:*** ***Although the NIMSCAST will list all personnel categories under this course, only first-line supervisors, mid-level management, and command and general staff categories are required to complete this course. Refer to Attachment A in this guidance for a training requirements summary. Each department/agency is responsible for determining which individuals will potentially fill roles at various levels in the ICS/MACS hierarchy.***

17.2 Does the local government document ICS-200 training status of personnel?

> ***If training records are not centralized by the jurisdiction, each department/agency should maintain personnel training records and be prepared to provide aggregate numbers to the jurisdiction's NIMS point of contact and/or NIMSCAST administrator. The NIMSCAST administrator will need training numbers for all categories from each department/agency to complete the NIMSCAST.***

**Implementation Objective 18:** Ensure that ICS-300: *Intermediate ICS* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

18.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed ICS-300? Provide a breakdown of the number trained in the appropriate categories (i.e. - mid-level management, command and general staff).

***Refer to Attachment A in this guidance for a training requirements summary. Each department/agency is responsible for determining which individuals will potentially fill roles at various levels in the ICS/MACS hierarchy. If there is a class scheduled between the NIMSCAST reporting deadline and the end of the federal fiscal year, please note this in the NIMSCAST response and update the training numbers in NIMSCAST after the course is complete.***

18.2 Does the local government document ICS-300 training status of personnel?

***If training records are not centralized by the jurisdiction, each department/agency should maintain personnel training records and be prepared to provide aggregate numbers to the jurisdiction's NIMS point of contact and/or NIMSCAST administrator. The NIMSCAST administrator will need training numbers for all categories from each department/agency to complete the NIMSCAST.***

**Implementation Objective 19:** Ensure that ICS-400: *Advanced ICS* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

19.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed ICS-400? Provide a breakdown of the number trained in the appropriate categories (i.e. - command and general staff).

***Note:*** ***Although the NIMSCAST will list middle management positions under this course, only the command and general staff category is required to complete this course. Refer to Attachment A in this guidance for a training requirements summary. Each department/agency is responsible for determining which individuals will potentially fill roles at various levels in the ICS/MACS hierarchy.***

19.2 Does the local government document ICS-400 training status of personnel?

***If training records are not centralized by the jurisdiction, each department/agency should maintain personnel training records and be prepared to provide aggregate numbers to the jurisdiction's NIMS point of contact and/or NIMSCAST administrator. The NIMSCAST administrator will need training numbers for all categories from each department/agency to complete the NIMSCAST.***

## PREPAREDNESS: EXERCISES

**Implementation Objective 20:** Incorporate NIMS concepts and principles into all appropriate training and exercises.

20.1 Have the following NIMS concepts and principles been incorporated into all appropriate training?

***Unless you are designing your own training, all the NIMS concepts should be marked as incorporated. If you are designing your own training, you should incorporate any and all applicable concepts/principles.***

| | Incorporated | Not Incorporated |
|---|---|---|
| Flexibility | [ ] | [ ] |
| Scalability | [ ] | [ ] |
| Standardization | [ ] | [ ] |
| Interoperability & Compatibility | [ ] | [ ] |
| Resource Management | [ ] | [ ] |
| Incident Command | [ ] | [ ] |
| Multi-agency Coordination | [ ] | [ ] |
| Public Information | [ ] | [ ] |

20.2 Have the following NIMS concepts and principles been incorporated into all appropriate exercises?

***Exercises should be designed and conducted using HSEEP (Homeland Security Exercise Evaluation Program) guidance. If NIMS concepts and principles have been incorporated into planning and training, then this should be reflected and evaluated in the conduct of exercises.***

| | Incorporated | Not Incorporated |
|---|---|---|
| Flexibility | [ ] | [ ] |
| Scalability | [ ] | [ ] |
| Standardization | [ ] | [ ] |
| Interoperability & Compatibility | [ ] | [ ] |
| Resource Management | [ ] | [ ] |
| Incident Command | [ ] | [ ] |
| Multi-agency Coordination | [ ] | [ ] |
| Public Information | [ ] | [ ] |

**Implementation Objective 21:** Plan for and/or participate in an all-hazards exercise program [for example, HSEEP] that involves emergency management/response personnel from multiple disciplines and/or multiple jurisdictions.

21.1 Does the local government plan for an all-hazards exercise program?

***If departments within the jurisdiction are part of the rotational schedule of city, county, or regional exercises – even if representatives have not participated in an exercise in the recent past – this should be marked "yes."***

Is the all-hazards exercise program multi-disciplinary?

Is the all-hazards exercise program multi-jurisdictional?

21.2 Does the local government participate in an all-hazards exercise program in FY 2008?

***Representatives from various departments may have been involved in city, county, or regional exercises of various types. This information should be provided to the jurisdiction's NIMS POC or NIMSCAST administrator to most accurately reflect the jurisdiction's involvement.***

Is the all-hazards exercise program multi-disciplinary?

Is the all-hazards exercise program multi-jurisdictional?

Which of the following NIMS components are evaluated through program exercises: (Check all that apply.)

[ ] Preparedness
[ ] Communication and Information Management
[ ] Resource Management
[ ] Command and Management
[ ] Mutual Aid and Assistance
[ ] Interoperability
[ ] Participation of NGOs and Private Sector

21.3 In FY 2008, will the local government participate in all-hazards:

| | | | |
|---|---|---|---|
| Drills | [ ] Yes | [ ] No | [ ] N/A |
| Table-top Exercises | [ ] Yes | [ ] No | [ ] N/A |
| Functional Exercises | [ ] Yes | [ ] No | [ ] N/A |
| Full-scale Exercises | [ ] Yes | [ ] No | [ ] N/A |

**Implementation Objective 22:** Incorporate corrective actions into preparedness and response plans and procedures.

22.1 After conducting and/or participating in an all-hazards exercise program, does the local government incorporate corrective actions into preparedness and response plans and procedures?

***The primary purpose of any exercise is to identify weaknesses and strengths in capabilities, plans, equipment and training. Any exercise program that does not incorporate corrective actions to improve these elements does not meet any standards. For more information on improving a jurisdictions after action review and corrective action procedures, see Attachment J of this guidance.***

## COMMUNICATIONS AND INFORMATION MANAGEMENT

**Implementation Objective 23:** Apply common and consistent terminology as used in NIMS, including the establishment of plain language (clear text) communications standards.

23.1 Does the local government apply the following communication standards:

| | Yes | No |
|---|---|---|
| Plain Language (Clear Text) | [ ] | [ ] |
| Common and Consistent Terminology | [ ] | [ ] |

***The purpose of this requirement is to ensure effective communication between disciplines and jurisdictions during an incident. During multi-disciplinary and/or multi-jurisdictional exercises and incidents, no discipline-specific jargon or codes should be used. Law enforcement 10-codes in routine daily use are allowable.***

**Implementation Requirement 24:** Utilize systems, tools, and processes to present consistent and accurate information (e.g., common operating picture) during an incident/planned event.

24.1 Does the local government utilize the following to present consistent and accurate information during an incident/planned event?

***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.***

***Incident communications will follow the standards called for under the ICS. The Incident Commander manages communications at an incident, using a common communications plan and an incident-based communications center established solely for use by the command, tactical, and support resources assigned to the incident. All entities involved in managing the incident will utilize common terminology, prescribed by the NIMS, for communications.***

***Given that clear definitions and standards for the "systems, tools and processes" referred to in the question are unavailable, jurisdictions should answer yes for all three if there are policies in place that ensure accurate and timely incident information is shared between incident commanders, multi-agency coordination centers (EOCs, dispatch, etc.) and state and federal partners, where appropriate.***

| | Yes | No |
|---|---|---|
| Systems | [ ] | [ ] |
| Tools | [ ] | [ ] |
| Processes | [ ] | [ ] |

## RESOURCE MANAGEMENT

**Implementation Objective 25:** Inventory response assets to conform to NIMS National Resource Typing Definitions, as defined by FEMA's Incident Management Systems Integration Division.

25.1 Has the local government inventoried its emergency management/incident response assets?
25.2 If yes, does the local government inventory conform to NIMS National Resource Typing Definitions?

***This is asking whether the jurisdiction has inventoried any response assets that match any equipment or teams in the National Resource Typing Definitions. If this is not applicable because the jurisdiction has no assets that match the definitions, answer "yes." Resource Typing definitions can be accessed at http://www.fema.gov/emergency/nims/ResourceMngmnt.shtm#item4.***

25.3 Has the local government typed its response assets to conform to NIMS National Resource Typing Definitions?

***If the jurisdiction has equipment or teams that match the National Resource Typing Definitions, the question is asking whether it has been "typed" based on its specifications and capabilities (for example; Type I, II, III, or IV). If this is not applicable because the jurisdiction has no assets that match the definitions, answer "yes." Resource Typing definitions can be accessed at http://www.fema.gov/emergency/nims/ResourceMngmnt.shtm#item4 .***

25.4 Does the local government have a process to determine availability of emergency management/incidents response assets in accordance with "Tier One" NIMS National Resource Typing Definitions?

***"Tier One" NIMS National Resource Typing Definitions criteria include tracking and determining availability for deployment nationally. If you have a process to determine availability status of response assets and if you have any response assets that fall under the existing National Resource Typing Definitions, you may answer "yes" here. If this question is not applicable, you may answer "yes" here. "Tier One" NIMS National Resource Typing Definitions criteria can be accessed at http://www.fema.gov/pdf/emergency/nims/ng_0001.pdf.***

**Implementation Objective 26:** Utilize local government response asset inventory for intrastate and interstate mutual aid requests [such as Emergency Management Assistance Compact (EMAC)], training, exercises, and incidents/planned events.

26.1 Does the local government use the response asset inventory for:

| | Yes | No |
|---|---|---|
| All-Hazards Exercise Program | [ ] | [ ] |
| Interstate Mutual Aid and Assistance | [ ] | [ ] |
| Training | [ ] | [ ] |
| Incidents/Planned Events | [ ] | [ ] |

***If the metrics under Compliance Objective 25 were not applicable to the jurisdiction, answer "yes" to all the categories under 26.1.***

**Implementation Objective 27:** Ensure that equipment, communications and data systems acquired through local acquisition programs are interoperable.

27.1 Local government acquisition programs require the following to be interoperable throughout the jurisdiction when purchased:

| | Yes | No |
|---|---|---|
| Equipment | [ ] | [ ] |
| Communications | [ ] | [ ] |
| Data Systems | [ ] | [ ] |

***This question applies to equipment, communications and data systems that would be utilized in response or to support response in an incident. Counties have Terrorism Advisory Teams (a.k.a. Terrorism Advisory Committees, Homeland Security Advisory Committees, etc.) that are tasked with allocation of federal preparedness funding to prioritized projects. This committee should also play a role in ensuring interoperability within and between jurisdictions. If this is not applicable, select "yes."***

27.2 If the local government is providing funds for equipment, communications and data systems does it ensure local acquisition programs require the following to be interoperable when purchased:

| | Yes | No |
|---|---|---|
| Equipment | [ ] | [ ] |
| Communications | [ ] | [ ] |
| Data Systems | [ ] | [ ] |

***This question relates to situations where one level of government provides funding to another entity for acquisitions of equipment, communications and data systems that would be utilized in response or to support response in an incident. Does the provider of the funding stipulate that the acquisition decisions be based on interoperability? If this is not applicable, select "yes."***

**Implementation Objective 28:** Initiate development of a jurisdiction-wide system to credential emergency management/response personnel to ensure proper authorization and access to an incident, including those involving mutual aid agreements and/or assistance agreements.

28.1 Has the local government initiated the development of a jurisdiction-wide system to credential emergency management/response personnel?

***Unless the jurisdiction desires to track the progress of local credentialing efforts through this metric, it should answer "yes" to all questions and check all disciplines. This metric was originally intended only to apply to the state, and the state has "initiated development of a state-wide system."***

If yes, is the credentialing system based upon an existing statewide system?

If yes, what disciplines does the credential system encompass?

| | |
|---|---|
| Animal Health/Rescue | [ ] |
| Emergency Management | [ ] |
| EMS | [ ] |
| Fire | [ ] |
| Hazardous Materials | [ ] |
| Incident Management | [ ] |
| Law Enforcement/ Public Safety | [ ] |
| Medical/Hospital | [ ] |
| Public Health | [ ] |
| Public Works | [ ] |
| Other | [ ] |

If yes, does the local government credentialing conform to current NIMS national credentialing criteria and guidance? [Note: Credentialing should include the means for validating the identity, qualification, and deployment authorization that allows for the granting of access to an incident, including preparedness-related exercises and training activities.]

***NIMS national credentialing guidance information can be accessed at http://www.fema.gov/pdf/emergency/nims/ng_0002.pdf.***

## COMMAND AND MANAGEMENT

**Implementation Objective 29:** Manage all incidents/ planned events in accordance with Incident Command System (ICS) organizational structures, doctrine and procedures. ICS implementation must include the consistent application of Incident Action Planning (IAP) and common communications plans, as appropriate.

29.1 Does the local government implement ICS for all-hazards emergency management and incident response/planned events?

***The requirement to apply the Incident Command System during incident response has been one of the cornerstones of NIMS compliance since its introduction. Its application in "planned events," however, may cause some concern if misinterpreted. The intent of the addition of "planned events" is to make sure that for large public gatherings (parades, sports, etc.), the public safety forces on scene and/or on standby have pre-designated roles and a common plan in place in case an emergency situation develops.***

29.2 Does ICS implementation include the following concepts?

| | Yes | No |
|---|---|---|
| Common Terminology | [ ] | [ ] |
| Modular Organization | [ ] | [ ] |
| Management by Objectives | [ ] | [ ] |
| Incident Action Planning | [ ] | [ ] |
| Manageable Span of Control | [ ] | [ ] |
| Incident Facilities and Locations | [ ] | [ ] |
| Comprehensive Resource Management | [ ] | [ ] |
| Integrated Communications | [ ] | [ ] |
| Establishment and Transfer of Command | [ ] | [ ] |
| Chain of Command and Unity of Command | [ ] | [ ] |
| Unified Command | [ ] | [ ] |
| Accountability | [ ] | [ ] |
| Dispatch/Deployment | [ ] | [ ] |
| Information and Intelligence Management | [ ] | [ ] |

***The above list represents the component elements of ICS. If ICS has been institutionalized, trained and exercised, all these component concepts should be included in the jurisdiction's implementation of ICS.***

29.3 Does the local government implement Incident Action Plans (IAPs) during incidents/planned events, as appropriate?

29.4 Does the local government implement common communication plans during incidents/planned events, as appropriate?

**Implementation Activity 30:** Coordinate and support emergency management and incident response activities through the development and use of integrated Multi-agency Coordination System (MACS) [i.e., develop and maintain connectivity between local Incident Command Posts (ICP), local 911 Centers, local Emergency Operations Centers (EOCs), the State/Territorial EOC, and Regional and Federal EOCs and NRF organizational elements].

30.1 Does the local government use integrated MACS, where appropriate, during incidents/planned events?

***This question is applicable to jurisdictions of all sizes, however only the urban area or county level may have all the types of Multi-agency Coordination Systems (MACS) elements mentioned in the compliance activity description. Smaller jurisdictions that coordinate response through dispatch centers, which would then coordinate through a local EOC for larger scale incidents, should answer this question in the affirmative.***

Which of the following primary functions is coordinated by a local government MACS? [Check all that apply]

[ ] Situation assessment
[ ] Critical resource acquisition and allocation
[ ] Other State/Territory, Tribal Nation, Local, and Federal MACS
[ ] Coordination with elected and appointed officials
[ ] Coordination of summary information
[ ] Incident priority determination
[ ] Other functions

**Implementation Objective 31:** Institutionalize, within the framework of ICS, Public Information, [e.g., Joint Information System (JIS) and a Joint Information Center (JIC)] during an incident/planned event.

31.1 Do emergency plans, within the framework of ICS, include processes and procedures for Public Information during incidents/planned events as appropriate?

Can Public Information establish a JIS during incidents/planned events, as appropriate?

***The JIS is a system of plans, protocols and structures shared by all stakeholders that is used to provide organized, integrated and coordinated public information in a crisis. Smaller jurisdictions will most likely not be establishing a JIS, but participating in the JIS as appropriate.***

Can Public Information establish a JIC during incidents/planned events, as appropriate?

***The JIC is a location used to collocate and coordinate the public affairs functions of multiple disciplines, multiple jurisdictions, and potentially multiple levels of government. Smaller jurisdictions will most likely not be establishing a JIC, but providing trained public information representatives to participate as appropriate.***

Can Public Information identify individuals to serve as Public Information Officers (PIOs) during an incident/planned event, as appropriate?

**Implementation Objective 32:** Ensure that Public Information procedures and processes can gather, verify, coordinate, and disseminate information during an incident/planned event.

32.1 During an incident/planned event can the Public Information system do the following:

| | Yes | No |
|---|---|---|
| Gather information? | [ ] | [ ] |
| Verify information? | [ ] | [ ] |
| Coordinate information? | [ ] | [ ] |
| Disseminate information? | [ ] | [ ] |

# FFY 2010 NIMS Implementation Objectives for State Governments

NIMSCAST accounts were set up in 2005 for the applicable state agencies and their designated NIMSCAST administrators were provided access to the system. In FFY 2005 and FFY 2006, accounts were populated with a NIMS Baseline – a starting point assessment of where the jurisdictions/departments were with respect to implementing NIMS concepts and principles. In FFY 2007, the system was modified to reflect the new approach of the National Integration Center; that of overarching requirements with multiple specific areas of measure. Each of these specific areas of measure – what came to be known as "metrics" – was represented with a question or prompt in the system. Some questions were "yes/no" while others required a significant amount of information (numbers trained within specific ICS roles, for instance). FFY 2008, 2009, and 2010 assessments continue this approach.

One of the difficulties presented by the metrics questions has been the "one-size-fits-all" dilemma, meaning that a question will by its very nature have different levels of applicability depending on the nature of the agency's role, as well as whether the response is from the perspective of the "state as a whole," or just the specific agency. This guidance provides either a "state as a whole" answer, or some commentary that will be helpful in determining what information the agency's NIMSCAST administrator(s) will need to collect to complete the responses.

**The NIMSCAST system has carried over FFY 2009 responses to the FFY 2010 NIMSCAST and four screens have been added for tracking the <u>one new required course, IS-701</u>, and three new recommended courses IS-702, IS-703, and IS-704. It is necessary to access the system to complete the newly added training items, to verify and/or update responses, and to submit using the *Submit for Rollup* feature. Corrective Action Plans (CAPs) for each account should be addressed as well. The FFY 2010 NIMSCAST Rollup is <u>due by August 31, 2010</u>.**

Finally, it is expected that responses in NIMSCAST accounts are a reflection of all applicable departments/branches/field offices within the state agency. Any department with a role in disaster response is expected not only to participate in NIMS-related planning, training and exercise, but to contribute to the NIMSCAST responses for the agency.

***Commentary on individual metrics, provided below, is distinguished from the requirements and metrics questions themselves in italics and bold face font.***

## NIMS ADOPTION

**Implementation Objective 1:** Adopt NIMS by all State departments/agencies; as well as promote and encourage NIMS adoption by associations, utilities, nongovernmental organizations (NGOs) and private sector emergency management and incident response organizations.

1.1 Has the State formally adopted the National Incident Management System as its all-hazards incident management system? ***Yes.***

What legal authority was used to formally adopt NIMS? ***Legislation****.*

When was NIMS formally adopted? ***First in 2005 by Executive Order, then incorporated into the Ohio Revised Code in 2006.***

1.2 Does the formal adoption of NIMS expire? ***No.***

Is there is a process for renewing/maintaining the formal adoption of NIMS? ***No.***

1.3 Does the State promote NIMS adoption by associations, utilities, private sector, and nongovernmental organizations? ***Yes.***

**Implementation Objective 2:** Establish and maintain a planning process to communicate, monitor and implement all NIMS requirements across the State/Territory/ Tribal Nation (including within Departments/Agencies), including local governments. This process must provide a means for measuring progress and facilitate reporting.

2.1 Has the State/Territory developed a planning process to communicate, monitor, and implement all NIMS compliance objectives to:

State/Territorial Departments and Agencies? ***Yes*****.**

Does that planning process communicate, monitor, and implement required NIMS activities? ***Yes*****.**

Does the planning process also measure progress and facilitate reporting? ***Yes.***

Local governments? ***Yes*****.**

Does that planning process communicate, monitor, and implement required NIMS activities? ***Yes*****.**

Does the planning process also measure progress and facilitate reporting? ***Yes*****.**

Associations, utilities, private sector, and nongovernmental organizations? ***Yes*****.**

Does that planning process communicate, monitor, and implement required NIMS activities? ***No.***

Does the planning process also measure progress and facilitate reporting? ***No.***

**Implementation Objective 3:** Designate and maintain a single point of contact within government to serve as principle coordinator for NIMS implementation jurisdiction-wide (to include principal coordinator for NIMS implementation within each Department/Agency).

3.1 Has State designated a single point of contact with the authority to serve as the principal coordinator for overall statewide NIMS implementation? ***Answer "yes" if your agency has designated an agency-wide coordinator.***

Identify the individual. ***Provide the contact information for the individual and keep up-to-date.***

When was the individual designated? ***Provide the approximate date.***

3.2 Have the appropriate State Departments/Agencies or those with emergency management and incident response responsibilities designated a single point of contact within each of the Departments/Agencies with the authority to serve as the principal coordinator for NIMS implementation? ***Yes.***

Total number of State Departments/Agencies in the jurisdiction? ***17.***

Total Number of State Departments/Agencies that have designated a single point of contact? ***17.***

**Implementation Objective 4:** Ensure that Federal Preparedness Awards [to include, but not limited to, DHS Homeland Security Grant Program and Urban Area Security Initiative Funds] to States, support all required NIMS compliance requirements.

4.1 Does the State ensure that Federal Preparedness Awards [including DHS Homeland Security Grant Program and Urban Area Security Initiative (UASI) Funds] support NIMS compliance? ***Yes.***

**Implementation Objective 5:** Routinely include NIMS compliance objectives in all audits, conducted by audit agencies and review organizations, associated with Federal Preparedness Awards.

5.1 Do State audit agencies and review organizations include required NIMS compliance activities in all audits associated with Federal Preparedness Awards? ***Yes. Ohio EMA as State Administering Agent (SAA) for Homeland Security Grant Funding regularly includes NIMS compliance activities in reviewing subgrantees. If your agency administers any type of Federal Preparedness Funding, it should ensure that there is a policy in place to monitor the NIMS compliance status of subgrantees.***

**Implementation Objective 6:** Assist Tribal Nations with formal adoption and implementation of NIMS.

6.1 Does the State/Territory assist Tribal Nation(s) with NIMS adoption? ***N/A.***

6.2 Does the State/Territory assist Tribal Nation(s) with NIMS implementation? ***N/A.***

## PREPAREDNESS: PLANNING

**Implementation Objective 7:** Revise and update State emergency operations plans (EOPs), standard operating procedures (SOPs), and standard operating guidelines (SOGs) to incorporate NIMS and National Response Framework (NRF) components, principles and policies, to include planning, training, response, exercises, equipment, evaluation, and corrective actions.

7.1 Does the State review and revise the plans and procedures (EOPs, SOPs, SOGs, etc.) to incorporate NIMS components, principles, and policies? ***Yes, as applicable to State EOP and EOC SOPs. Each agency will most likely have to answer for its own internal response/recovery plans and procedures, including any pertaining to support roles defined in the State EOP.***

7.2 Does the State review and revise plans and procedures (EOPs, SOPs, SOGs) to incorporate NRF components, principles, and concepts? ***Yes, as applicable to State EOP and EOC SOPs. Each agency will most likely have to answer for its own internal response/recovery plans and procedures, including any pertaining to support roles defined in the State EOP.***

**Implementation Objective 8:** Promote and/or develop intrastate and interagency mutual aid agreements and assistance agreements (to include agreements with the private sector and NGOs).

8.1 Does the State promote and/or develop intrastate mutual aid agreements and assistance agreements throughout the state? ***Yes.***

Do these include agreements with the private sector? ***Yes.***

Do these include agreements with NGOs? ***Yes.***

8.2 Does the State promote and/or develop interagency mutual aid agreements and assistance agreements throughout the state? ***Yes.***

Do these include agreements with the private sector? ***Yes.***

Do these include agreements with NGOs? ***Yes.***

## PREPAREDNESS: TRAINING

**Implementation Objective 9:** Use existing resources such as programs, personnel and training facilities to coordinate and deliver NIMS training.

9.1 Does the State use available programs, personnel and facilities to deliver NIMS training? ***Yes.***

**Implementation Objective 10:** Ensure that IS-700 NIMS: *An Introduction* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

10.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed IS-700? Provide a breakdown of the number trained in the appropriate categories (i.e. - entry level, first line supervisor, mid-level management, command and general staff). ***Each state agency should update its own training numbers.***

10.2 Does the State document IS-700 training status of personnel? *FEMA independent study course completions are recorded on FEMA transcript databases. The State does not maintain separate training records.* ***Agencies should maintain clear training policies and ensure those requiring a certain level of training are completing it within a reasonable timeframe. Each agency should determine the most effective way of tracking this information.***

**Implementation Objective 11:** Ensure that IS-701 *NIMS Multiagency Coordination Systems* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

11.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed IS-701? Provide a breakdown of the number trained in the appropriate categories (i.e. - entry level, first line supervisor, mid-level management, command and general staff). ***Each state agency should update its own training numbers.***

11.2 Does the State document IS-701 training status of personnel? *FEMA independent study course completions are recorded on FEMA transcript databases. The State does not maintain separate training records.* ***Agencies should maintain clear training policies and ensure those requiring a certain level of training are completing it within a reasonable timeframe. Each agency should determine the most effective way of tracking this information.***

**Implementation Objective 12:** Ensure that IS-702 *NIMS Public Information* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

12.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed IS-702? Provide a breakdown of the number trained in the appropriate categories (i.e. - entry level, first line supervisor, mid-level management, command and general staff). ***Each state agency should update its own training numbers.***

12.2 Does the State document IS-702 training status of personnel? *FEMA independent study course completions are recorded on FEMA transcript databases. The State does not maintain separate training records.* ***Agencies should maintain clear training policies and ensure those requiring a certain level***

***of training are completing it within a reasonable timeframe. Each agency should determine the most effective way of tracking this information.***

**Implementation Objective 13:** Ensure that IS-703 *NIMS Resource Management* is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

13.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed IS-703? Provide a breakdown of the number trained in the appropriate categories (i.e. - entry level, first line supervisor, mid-level management, command and general staff). ***Each state agency should update its own training numbers.***

13.2 Does the State document IS-703 training status of personnel? *FEMA independent study course completions are recorded on FEMA transcript databases. The State does not maintain separate training records.* ***Agencies should maintain clear training policies and ensure those requiring a certain level of training are completing it within a reasonable timeframe. Each agency should determine the most effective way of tracking this information.***

**Implementation Objective 14:** Ensure that IS-704 *NIMS Communication and Information Management* is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

14.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed IS-704? Provide a breakdown of the number trained in the appropriate categories (i.e. - entry level, first line supervisor, mid-level management, command and general staff). ***Each state agency should update its own training numbers.***

14.2 Does the State document IS-704 training status of personnel? *FEMA independent study course completions are recorded on FEMA transcript databases. The State does not maintain separate training records.* ***Agencies should maintain clear training policies and ensure those requiring a certain level of training are completing it within a reasonable timeframe. Each agency should determine the most effective way of tracking this information.***

**Implementation Objective 15:** Ensure that IS-800 *National Response Framework: an Introduction* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

15.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed IS-800? Provide a breakdown of the number trained in the appropriate categories (i.e. - mid-level management, command and general staff). ***Each state agency should update its own training numbers.***

15.2 Does the State document IS-800 training status of personnel? ***FEMA independent study course completions are recorded on FEMA transcript databases. The State does not maintain separate training records. Agencies should maintain clear training policies and ensure those requiring a certain level of training are completing it within a reasonable timeframe. Each agency should determine the most effective way of tracking this information.***

**Implementation Objective 16:** Ensure that ICS-100: *Introduction to ICS* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

16.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed ICS-100? Provide a breakdown of the number trained in the appropriate categories (i.e. - entry level, first line supervisor, mid-level management, command and general staff). ***Each state agency should update its own training numbers.***

16.2 Does the State document ICS-100 training status of personnel? ***FEMA independent study course completions are recorded on FEMA transcript databases. The State does not maintain separate training records. Agencies should maintain clear training policies and ensure those requiring a certain level of training are completing it within a reasonable timeframe. Each agency should determine the most effective way of tracking this information.***

**Implementation Objective 17:** Ensure that ICS-200: *ICS for Single Resources and Initial Action Incidents* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

17.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed ICS-200? Provide a breakdown of the number trained in the appropriate categories (i.e. - first line supervisor, mid-level management, command and general staff). ***Each state agency should update its own training numbers.***

17.2 Does the State document ICS-200 training status of personnel? ***FEMA independent study course completions are recorded on FEMA transcript databases. The State does not maintain separate training records. Agencies should maintain clear training policies and ensure those requiring a certain level of training are completing it within a reasonable timeframe. Each agency should determine the most effective way of tracking this information.***

**Implementation Objective 18:** Ensure that ICS-300: *Intermediate ICS* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

18.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed ICS-300? Provide a breakdown of the number trained in the appropriate categories (i.e. - mid-level management, command and general staff). ***Each state agency should update its own training numbers.***

18.2 Does the State document ICS-300 training status of personnel? ***Instructors that have completed an Ohio EMA-sponsored Train-the-Trainer who conduct courses are asked to submit rosters from those courses. Agencies should maintain clear training policies and ensure those requiring a certain level of training are completing it within a reasonable timeframe. Each agency should determine the most effective way of tracking this information. If there is a class scheduled between the NIMSCAST reporting deadline and the end of the federal fiscal year, please note this in the NIMSCAST response and update the training numbers in NIMSCAST after the course is complete.***

**Implementation Objective 19**: Ensure that ICS-400: *Advanced ICS* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

19.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed ICS-400? Provide a breakdown of the number trained in the appropriate categories (i.e. - command and general staff). ***Each state agency should update its own training numbers.***

19.2 Does the State document ICS-400 training status of personnel? ***Instructors that have completed an Ohio EMA-sponsored Train-the-Trainer who conduct courses are asked to submit rosters from those courses. Agencies should maintain clear training policies and ensure those requiring a certain level of training are completing it within a reasonable timeframe. Each agency should determine the most effective way of tracking this information.***

## PREPAREDNESS: EXERCISES

**Implementation Objective 20:** Incorporate NIMS concepts and principles into all appropriate training and exercises.

20.1 Have the following NIMS concepts and principles been incorporated into all appropriate training?

| | Incorporated | Not Incorporated |
|---|---|---|
| Flexibility | *[ x ]* | [ ] |
| Scalability | *[ x ]* | [ ] |
| Standardization | *[ x ]* | [ ] |
| Interoperability & Compatibility | *[ x ]* | [ ] |
| Resource Management | *[ x ]* | [ ] |
| Incident Command | *[ x ]* | [ ] |
| Multi-agency Coordination | *[ x ]* | [ ] |
| Public Information | *[ x ]* | [ ] |

20.2 Have the following NIMS concepts and principles been incorporated into all appropriate exercises?

| | Incorporated | Not Incorporated |
|---|---|---|
| Flexibility | *[ x ]* | [ ] |
| Scalability | *[ x ]* | [ ] |
| Standardization | *[ x ]* | [ ] |
| Interoperability & Compatibility | *[ x ]* | [ ] |
| Resource Management | *[ x ]* | [ ] |
| Incident Command | *[ x ]* | [ ] |
| Multi-agency Coordination | *[ x ]* | [ ] |
| Public Information | *[ x ]* | [ ] |

**Implementation Objective 21:** Plan for and/or participate in an all-hazards exercise program [for example, Homeland Security Exercise and Evaluation Program] that involves emergency management/response personnel from multiple disciplines and/or multiple jurisdictions.

21.1 Does the State plan for an all-hazards exercise program? ***Yes.***

Is the all-hazards exercise program multi-disciplinary? ***Yes.***

Is the all-hazards exercise program multi-jurisdictional? ***Yes.***

21.2 Does the State participate in an all-hazards exercise program in FY 2008? ***Yes.***

Is the all-hazards exercise program multi-disciplinary? ***Yes.***

Is the all-hazards exercise program multi-jurisdictional? ***Yes.***

Which of the following NIMS components are evaluated through program exercises: (Check all that apply.)

*[ x ]* Preparedness
*[ x ]* Communication and Information Management
*[ x ]* Resource Management
*[ x ]* Command and Management

*[ x ]* Mutual Aid and Assistance
*[ x ]* Interoperability
*[ x ]* Participation of NGOs and Private Sector

21.3 In FY 2008, will the State participate in all-hazards:

| | | | |
|---|---|---|---|
| Drills | *[ x ] Yes* | [ ] No | [ ] N/A |
| Table-top Exercises | *[ x ] Yes* | [ ] No | [ ] N/A |
| Functional Exercises | *[ x ] Yes* | [ ] No | [ ] N/A |
| Full-scale Exercises | *[ x ] Yes* | [ ] No | [ ] N/A |

**Implementation Objective 22:** Incorporate corrective actions into preparedness and response plans and procedures.

22.1 After conducting and/or participating in an all-hazards exercise program, does the State incorporate corrective actions into preparedness and response plans and procedures? ***Yes.***

## COMMUNICATIONS AND INFORMATION MANAGEMENT

**Implementation Objective 23:** Apply common and consistent terminology as used in NIMS, including the establishment of plain language (clear text) communications standards.

23.1 Does the State apply the following communication standards:

| | *Yes* | No |
|---|---|---|
| Plain Language (Clear Text) | *[ x ]* | [ ] |
| Common and Consistent Terminology | *[ x ]* | [ ] |

**Implementation Requirement 24:** Utilize systems, tools, and processes to present consistent and accurate information (e.g., common operating picture) during an incident/planned event.

24.1 Does the State utilize the following to present consistent and accurate information during an incident/planned event?

| | *Yes* | No |
|---|---|---|
| Systems | *[ x ]* | [ ] |
| Tools | *[ x ]* | [ ] |
| Processes | *[ x ]* | [ ] |

## RESOURCE MANAGEMENT

**Implementation Objective 25:** Inventory response assets to conform to NIMS National Resource Typing Definitions, as defined by FEMA's Incident Management Systems Integration Division.

25.1 & 25.2 Has the State inventoried its emergency management/incident response assets to conform to NIMS National Resource Typing Definitions? ***Yes. Inventories exist and are maintained at the agency level.***

25.3 Has the State typed its response assets to conform to NIMS National Resource Typing Definitions? ***Yes. Inventories exist and are maintained at the agency level.***

25.4 Does the State have a process to determine availability of emergency management/incidents response assets in accordance with "Tier One" NIMS National Resource Typing Definitions? ***Yes.***

**Implementation Objective 26:** Utilize State response asset inventory for intrastate and interstate mutual aid requests [such as Emergency Management Assistance Compact (EMAC)], training, exercises, and incidents/planned events.

26.1 Does the State use the response asset inventory for:

| | *Yes* | No |
|---|---|---|
| All-Hazards Exercise Program | *[ **x** ]* | [ ] |
| Interstate Mutual Aid and Assistance | *[ **x** ]* | [ ] |
| Training | *[ **x** ]* | [ ] |
| Incidents/Planned Events | *[ **x** ]* | [ ] |

**Implementation Objective 27:** Ensure that equipment, communications and data systems acquired through local acquisition programs are interoperable.

27.1 State acquisition programs require the following to be interoperable throughout the jurisdiction when purchased:

| | *Yes* | No |
|---|---|---|
| Equipment | *[ **x** ]* | [ ] |
| Communications | *[ **x** ]* | [ ] |
| Data Systems | *[ **x** ]* | [ ] |

27.2 If the State is providing funds for equipment, communications and data systems does it ensure local acquisition programs require the following to be interoperable when purchased:

| | *Yes* | No |
|---|---|---|
| Equipment | *[ **x** ]* | [ ] |
| Communications | *[ **x** ]* | [ ] |
| Data Systems | *[ **x** ]* | [ ] |

**Implementation Objective 28:** Initiate development of a statewide system to credential emergency management/response personnel to ensure proper authorization and access to an incident, including those involving mutual aid agreements and/or assistance agreements.

28.1 Has the State initiated the development of a statewide system to credential emergency management/response personnel? ***Yes.***

If yes, what disciplines does the credential system encompass? ***The intent is that the resulting system will encompass all applicable response disciplines.***

| | |
|---|---|
| Animal Health/Rescue | *[ **x** ]* |
| Emergency Management | *[ **x** ]* |
| EMS | *[ **x** ]* |
| Fire | *[ **x** ]* |
| Hazardous Materials | *[ **x** ]* |
| Incident Management | *[ **x** ]* |
| Law Enforcement/ Public Safety | *[ **x** ]* |
| Medical/Hospital | *[ **x** ]* |
| Public Health | *[ **x** ]* |
| Public Works | *[ **x** ]* |
| Other | *[ **x** ]* |

If yes, does the State credentialing system conform to current NIMS national credentialing criteria and guidance? [Note: Credentialing should include the means for validating the identity, qualification, and deployment authorization that allows for the granting of access to an incident, including preparedness-related exercises and training activities.] ***Yes.***

## COMMAND AND MANAGEMENT

**Implementation Objective 29:** Manage all incidents/ planned events in accordance with Incident Command System (ICS) organizational structures, doctrine and procedures. ICS implementation must include the consistent application of Incident Action Planning (IAP) and common communications plans, as appropriate.

29.1 Does the State implement ICS for all-hazards emergency management and incident response/planned events? ***Yes.***

29.2 Does ICS implementation include the following concepts?

| | *Yes* | No |
|---|---|---|
| Common Terminology | *[ x ]* | [ ] |
| Modular Organization | *[ x ]* | [ ] |
| Management by Objectives | *[ x ]* | [ ] |
| Incident Action Planning | *[ x ]* | [ ] |
| Manageable Span of Control | *[ x ]* | [ ] |
| Incident Facilities and Locations | *[ x ]* | [ ] |
| Comprehensive Resource Management | *[ x ]* | [ ] |
| Integrated Communications | *[ x ]* | [ ] |
| Establishment and Transfer of Command | *[ x ]* | [ ] |
| Chain of Command and Unity of Command | *[ x ]* | [ ] |
| Unified Command | *[ x ]* | [ ] |
| Accountability | *[ x ]* | [ ] |
| Dispatch/Deployment | *[ x ]* | [ ] |
| Information and Intelligence Management | *[ x ]* | [ ] |

29.3 Does the State implement Incident Action Plans (IAPs) during incidents/planned events, as appropriate?
***Yes, the EOC establishes an IAP for overall State response. Each agency, however, is responsible for developing an IAP for its own response objectives applicable to the responders it manages.***

29.4 Does the State implement common communication plans during incidents/planned events, as appropriate? ***Yes, the EOC establishes a common communications plan for overall State response. Each agency, however, is responsible for developing communications plans for its own response objectives applicable to the responders it manages.***

**Implementation Activity 30:** Coordinate and support emergency management and incident response activities through the development and use of integrated Multi-agency Coordination System (MACS) [i.e., develop and maintain connectivity between local Incident Command Posts (ICP), local 911 Centers, local Emergency Operations Centers (EOCs), the State/Territorial EOC, and Regional and Federal EOCs and NRF organizational elements].

30.1 Does the State use integrated MACS, where appropriate, during incidents/planned events?

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

*[ **x** ]* Situation assessment
*[ **x** ]* Critical resource acquisition and allocation
*[ **x** ]* Other State/Territory, Tribal Nation, Local, and Federal MACS
*[ **x** ]* Coordination with elected and appointed officials
*[ **x** ]* Coordination of summary information
*[ **x** ]* Incident priority determination
*[ **x** ]* Other functions

**Implementation Objective 31:** Institutionalize, within the framework of ICS, Public Information, [e.g., Joint Information System (JIS) and a Joint Information Center (JIC)] during an incident/planned event.

31.1 Do State emergency plans, within the framework of ICS, include processes and procedures for Public Information during incidents/planned events as appropriate? ***Yes.***

Can Public Information establish a JIS during incidents/planned events, as appropriate? ***Yes.***

Can Public Information establish a JIC during incidents/planned events, as appropriate? ***Yes.***

Can Public Information identify individuals to serve as Public Information Officers (PIOs) during an incident/planned event, as appropriate? ***Yes.***

**Implementation Objective 32:** Ensure that Public Information procedures and processes can gather, verify, coordinate, and disseminate information during an incident/planned event.

32.1 During an incident/planned event can the State's Public Information system:

| | *Yes* | No |
|---|---|---|
| Gather information | *[ **x** ]* | [ ] |
| Verify information | *[ **x** ]* | [ ] |
| Coordinate information | *[ **x** ]* | [ ] |
| Disseminate information | *[ **x** ]* | [ ] |

**ATTACHMENT A –**
**NIMS/ICS Training Overview**

**NEW NIMS TRAINING FOR FFY 2010**

| Audience | Required Training |
|---|---|
| **This course is designed for personnel with a direct role in MACS and complex incident management or response, including Federal, state, tribal, and local emergency management/response personnel — among them, EOC staff and agency representatives, incident commanders from all emergency management disciplines, private industry and non-governmental organization personnel responsible for coordination activities during a disaster.** | **IS-701 NIMS Multiagency Coordination Systems (MACS)** |

| Audience | Recommended Training |
|---|---|
| This course is designed for state and local PIOs.<br>The goal of this course is to facilitate NIMS compliance by providing the basic information and tools needed to apply the NIMS public information systems and protocols during incident management.<br><br>The classroom-based G290 Public Information Officer course offered by Ohio EMA covers this material and is recommended as a substitute for IS-702 for anyone regularly filling a PIO role. | IS-702 NIMS Public Information |
| All personnel with a significant resource management role in emergency management and incident response. | IS-703 NIMS Resource Management |
| Emergency management/response personnel; elected and appointed officials of State, tribal, and local governments | IS-704 NIMS Communication and Information Management |

**Both the new required course and new recommended courses have been added to NIMSCAST so that local jurisdictions and agencies can track this training.**

**Recommended audiences for these courses are meant as guidance for local jurisdictions/agencies and are not prescriptive. NIMS training requirements from previous years remain the same (see below).**

## ONGOING NIMS/ICS TRAINING REQUIREMENTS

| Audience | Required Training |
|---|---|
| **Local government personnel to include:**<br><br>*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:*<br><br>• County Commissioners/Administrators<br>• Mayors<br>• City Managers<br>• City/Village Councils<br>• Township Trustees and Administrators<br>• Finance Directors and Appropriate Staff<br>• Judges (who may act as described above)<br>• Other personnel who may act as described above | IS-700<br><br>(Recommended: IS-100) |
| **Federal/State/Local/Private Sector and Non-governmental personnel to include:**<br><br>*Entry level first responders & disaster workers*<br>• Emergency Medical Service personnel<br>• Firefighters<br>• Hospital staff<br>• Law Enforcement personnel<br>• Public Health personnel<br>• Public Works/Utility personnel<br>• Skilled Support Personnel<br>• Other emergency management response, support, volunteer personnel at all levels | IS-700 and IS-100 |
| **Federal/State/Local/Tribal/Private Sector & Non-governmental personnel to include:**<br><br>*First line supervisors*, including:<br>Single resource leaders, field supervisors and other emergency management/response personnel that require a higher level of ICS/NIMS Training. | IS-700, IS-100 and IS-200 |

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

**These recommendations, particularly with regard to local government personnel, are meant as guidance for local jurisdictions/agencies and are not prescriptive. Ultimately, the local jurisdiction/agency must determine which personnel have a potential role in incidents and who will be required to complete the specified level of 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. Those that have completed Ohio Fire Academy ICS courses are not required to repeat the training.

**Note:** The NFA course *R337 Command & General Staff Functions for Local IMTs (2007 or later)* meets the requirements of both ICS 300 and ICS 400.

# 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. 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 NRF: 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 C – 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 have been completed by the end of FFY07.

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**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 D – 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}

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# 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 E – 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://ema.ohio.gov/NIMsGuidance.aspx. The checklist should be used to determine whether the jurisdiction/agency is in compliance with NIMS requirements.

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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 F – 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

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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://ema.ohio.gov/NIMsGuidance.aspx. The checklist should be used to determine whether the jurisdiction/agency is in compliance with NIMS requirements for plans and procedures.

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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?

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**<br>**Number of Procedure_____** | |
| Effective Date _____<br>Supersedes _____ | Approved by<br>_____ |

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

The following agencies will be required to update their NIMSCAST Corrective Action Plans and make any applicable changes to responses by **August 31, 2010**:

- 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 A** for training guidance pertaining to Emergency Operations Center staff).

**ATTACHMENT H – 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 2010. **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 are required to formally adopt NIMS (if they have not already done so), to update their NIMSCAST Corrective Action Plans and make any applicable changes to responses by **August 31, 2010**:

- 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 previous NIMSCAST submissions 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 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 |

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|---|---|---|
| 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 |

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|---|---|---|
| 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 Enforcment | 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 I – List of Preparedness Funding linked to NIMS Compliance

HSPD-5 mandates that all federal preparedness funding be linked to progress implementing the National Incident Management System. 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 are reliant upon compliance with NIMS implementation requirements. This should not be considered an all-inclusive list of federal preparedness grants and agreements.

| Organization | Grant Programs Identified |
|---|---|
| Environmental Protection Agency (EPA) | 1. Security Enhancement and Emergency Preparedness Planning at Water Utilities<br>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) | 1. State Domestic Preparedness Equipment Support Program<br>2. Antiterrorism and Emergency Assistance Program<br>3. Domestic Antiterrorism Technology Development Program<br>4. COPS Interoperable Communications Technology Program |
| Department of Agriculture (USDA) | 1. State Fire Assistance<br>2. Volunteer Fire Assistance<br>3. First Responder Initiative |

| Organization | Grant Programs Identified |
|---|---|
| Department of Energy (DOE) | 1. Working Agreement: DOE, the Shoshone-Bannock Tribes and the Idaho National Engineering and Environmental Laboratory<br>2. Environmental Oversight and Monitoring Agreement: Office of Nuclear Energy and the State of Idaho<br>3. Agreement-in-Principle: Waste Isolation Pilot Plant (DOE), the Western Governors Association and the State of Idaho<br>4. Office of Civilian Radioactive Waste Management Training Program<br>5. Agreement-in-Principle with the State of Texas Energy Conservation Office<br>6. Agreement-in-Principle with six counties and the State of Nevada<br>7. S.C. Emergency Management Division Agreement-in-Principle Grants<br>8. S.C. Dept. of Health and Environmental Control Agreement-in-Principle Grants<br>9. Georgia Emergency Management Division Agreement-in-Principle Grants<br>10. Cooperative Agreement: Western Governors Association, Southern States Energy Board, Mid-West and North East Council of State Governors<br>11. Office of River Protection Grant<br>12. Memorandum of Understanding (MOU): DOE and City of Miamisburg<br>13. Ohio Field Office MOU with West Valley, N.Y., Volunteer Hose Company |
| 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) | 1. State Homeland Security Grant Program<br>2. Assistance to Firefighters Grant Program<br>3. Interoperable Communications Equipment Grant<br>4. SARA Title III Training Program<br>5. Urban Search and Rescue<br>6. State and Local Emergency Operation Centers<br>7. Community Emergency Response Teams<br>8. Emergency Management Performance Grants<br>9. Chemical Stockpile Emergency Preparedness Program<br>10. State and Local Emergency Operations Planning Grants<br>11. Citizen Corps<br>12. Metropolitan Medical Response System<br>13. National Fire Academy Training Grants<br>14. First Responder Grants |
| Department of Health and Human Services (HHS) | 1. Public Health and Social Services Emergency Fund<br>2. State Rural Hospital Flexibility Program<br>3. EMS for Children<br>4. Superfund Hazardous Substances Basic Research and Education<br>5. Metropolitan Medical Response System<br>6. Immunization Research, Demonstration, Public Information and Education<br>7. Surveillance of Hazardous Substance Emergency Events<br>8. Human Health Studies, Applied Research and Development<br>9. Immunization Grants<br>10. Bioterrorism Preparedness Programs |

| Organization | Grant Programs Identified |
|---|---|
| Department of Education | 1. School Emergency Response and Crisis Management Plan Discretionary Grant Program |
| Department of the Interior (DOI) | 1. Rural Fire Assistance Program<br>2. Earthquake Hazards Reduction Program<br>3. Volcano Hazards Reduction Program |
| Department of Transportation (DOT) | 1. Hazardous Materials Emergency Preparedness Training and Planning Grants<br>2. Airport Improvement Program<br>3. Satellite-based Mobile Communications Tracking System for Hazardous Materials<br>4. Un-tethered Trailer Tracking and Security Project<br>5. Operation Respond<br>6. Port Security Grant Program<br>7. Maritime Transportation Security Act Training<br>8. Ready Reserve Force<br>9. Priority Use and Allocation of Shipping Service, Containers and Chassis; Port Facilities, Services for National Security and National Defense Related Operations |

## ATTACHMENT J – 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 (e.g. – Homeland Security Exercise Evaluation Program [HSEEP]). 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 K – 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 |
| 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: IS-700) |
| IMT | Incident Management Team |
| JIS | Joint Information System |
| JIC | Joint Information Center |
| MACS | Multi-Agency Coordination System |
| 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 |
| NOC | National Operations Center |
| NRF | National Response Framework |
| OACP | Ohio Association of Chiefs of Police |
| ONG | Ohio Adjutant General's Department |
| ODH | Ohio Department of Health |
| 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 Command 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.

**Multi-agency Coordination Entity**: A multi-agency coordination entity functions within a broader multi-agency 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.

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

**Multi-jurisdictional 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; multi-agency 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.