



FY 2008 (October 1, 2007—September 30, 2008) NIMS Compliance Objectives and Metrics for Local Governments

Introduction

Homeland Security Presidential Directive (HSPD)- 5 *Management of Domestic Incidents* called for the establishment of a single, comprehensive national incident management system. As a result, the U.S. Department of Homeland Security released the National Incident Management System (NIMS) in March 2004. NIMS provides a systematic, proactive approach guiding departments and agencies at all levels of government, the private sector, and nongovernmental organizations to work seamlessly to prepare for, prevent, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity, in order to reduce the loss of life, property, and harm to the environment. This consistency provides the foundation for implementation of the NIMS for all incidents, ranging from daily occurrences to incidents requiring a coordinated Federal response. The NIMS document, as revised in 2007, reflects contributions from stakeholders and lessons learned during recent incidents.

States and territories, Tribal Nations and local governments play an important role in ensuring effective NIMS implementation; not only must they implement NIMS within their jurisdictions, but also ensure that the systems and processes are in place to communicate and support NIMS compliance at all levels of government. In some instances, when Tribal Nations or local government may not have the resources to implement all NIMS elements on their own, States and territories should support their efforts by encouraging them to cooperate with other localities in their regions and pool their resources to implement NIMS.

The long-term goal of NIMS is to provide a consistent framework for all aspects of emergency management and incident response. This framework should be sustainable, flexible, and scalable to meet changing incident needs and allow for integration of other resources from various partners through mutual aid agreements and/or assistance agreements.

FYs 2005-2007 NIMS Compliance Objectives

On September 8, 2004, a letter to the Nation's Governors detailed the initial steps that States, territories, Tribal Nations and local governments needed to take to implement NIMS. The activities, now objectives, outlined in that letter provide the foundation for current NIMS compliance. Since that time, FEMA's Incident Management Systems Integration (IMSI) Division (formerly NIMS Integration Center) continues to expand on this foundation and add additional objectives—each developed to enhance the way incidents are managed at all levels of government.

Prior to Fiscal Year (FY) 2007, IMSI required jurisdictions to self-certify their NIMS compliance. Beginning in FY 2007, NIMS compliance was determined by State, territory, Tribal Nation and local government responses to performance-based "metrics". IMSI developed these compliance metrics from previously-required implementation objectives specified in the *FY 2006 NIMS Implementation Matrix for States and Territories* and the *FY 2006 NIMS Implementation Matrix for Tribal Governments and Local Jurisdictions*. Additionally, the NIMS Compliance Assistance Support Tool (NIMSCAST) has been expanded to incorporate these metrics as well as provide stakeholders with a way to collect and report data relating to NIMS implementation and compliance. IMSI will analyze this data to help shape the future of its NIMS compliance program.



NIMS Compliance in FY 2008 and beyond

As we move into FY 2008, State, territory, Tribal Nations, and local governments will address specific compliance objectives, which will outline necessary actions to be accomplished in FY 2008. As with FY 2007 implementation objectives, each objective will have corresponding compliance metrics that address expected achievements for FY 2008 and out years.

The FY 2008 NIMS compliance metrics will clearly outline year-end expectations, while out-year metrics will provide actions that can be implemented in FY 2008 or addressed in the future, as appropriate. The FY 2009 compliance objective and metrics will allow stakeholders to work within their current level of NIMS implementation and compliance and move ahead in implementation objectives.

In FY 2008, there are 27 NIMS compliance objectives. Twenty-four (24) of these objectives are pre-existing objectives with which local governments must continue to comply. Only one additional compliance objective under *Resource Management*, #23, is new to States and territories, Tribal Nations, and local governments in this fiscal year. One objective under *Preparedness: Training* was previously issued in FY 2007 and is a compliance objective requiring Tribal Nation compliance by the end of FY 2009. IMSI identifies an additional 11 FY 2009 objectives for which States and Territories, Tribal Nation, and Local government can plan. Projected FY 2009 compliance objectives include:

1. Complete *ICS-400 Advanced ICS* training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).
2. Complete Emergency Management Framework Course—Awareness Training (as identified in the *Five-Year NIMS Training Plan*, February 2008)
3. Include preparedness organizations and elected and appointed officials in the development of emergency operations plans (EOPs).
4. Plan for special needs populations in the development of EOPs (to include, but not limited to, individuals with limited English language proficiency; individuals with disabilities; children; the aged, etc.).
5. Include NGOs and the private sector in an all-hazards exercise program, when appropriate.
6. Promote the integration of Incident Command, Multiagency Coordination System, and Public Information into appropriate exercises and evaluate against associated target capabilities (refer to HSEEP Volume III and the Exercise Evaluation Guides).
7. Institute procedures and protocols for operational and information security during an incident/planned event.
8. Institute multidisciplinary and/or multi-jurisdictional procedures and protocols for standardization of data collection and analysis to utilize or share information during an incident/planned event.
9. Develop procedures and protocols for communications (to include voice, data, access to geospatial information, Internet/Web use, and data encryption), where applicable, to utilize or share information during an incident/planned event.
10. Institute policies, plans, procedures and protocols to prevent spontaneous deployment of resources/personnel and/or responding to a request that bypassed official resource coordination processes (i.e., resources requested through improper channels).
11. Institute mechanisms to deploy, track, recover, demobilize, and to provide reimbursement for resources utilized during response and recovery.
12. Utilize access control measures during an incident, as appropriate



Although released in FY 2008, local governments are not required to achieve these projected compliance objectives before the end of FY 2009. Additionally, the 12 FY 2009 NIMS Compliance Objectives may not represent the total number of objectives designed with which States and territories will have to comply in FY 2009.

Below is a breakdown of the FY 2008 NIMS compliance objectives described above. It illustrates the number of NIMS Compliance Objectives required of States and Territories, Tribal Nations, and Local Governments:

Objectives	States and Territories	Tribal Nations	Local Governments
Required in FY 2008	26	25	24
New and Required in FY 2008	1	1	1
Required (Projected) in FY 2009	12	12	12
Total	39	38	37

Beginning on pages 10-13, States and Territories can see the compliance objectives that have been issued for FYs 2005-2008 and their respective metrics. Full compliance metrics are available on pages 14-31.



**FY 2008 NIMS Compliance Objectives and Metrics
For Local Governments**

NIMS Compliance Objectives

The seven charts to follow (pages 4-7) breakdown the FY 2008 NIMS Compliance Objectives by NIMS component and demonstrate how they pertain to States and Territories, Tribal Nations, and local governments.

FY 2008 NIMS Compliance Objectives	State/ Territory	Tribal Nations	Local Govts.
Adoption			
1. Adopt NIMS for all 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.	✓	✓	✓
2. Establish and maintain a planning process to communicate, monitor and implement all NIMS requirements across the State/Territory/Tribal Nation (including Departments/Agencies), including local governments. This process must provide a means for measuring progress and facilitate reporting.	✓	✓	N/A
3. Designate and maintain a single point of contact within government to serve as principal coordinator for NIMS implementation jurisdiction-wide (to include a principal coordinator for NIMS implementation within each Department/Agency).	✓	✓	✓
4. Ensure that Federal Preparedness Awards [to include, but not limited to, DHS Homeland Security Grant Program and Urban Area Security Initiative Funds] to State/Territorial/Tribal/ local Departments/Agencies support all required NIMS Compliance Objectives.	✓	✓	✓
5. Audit agencies and review organizations should routinely include NIMS compliance requirements in all audits associated with Federal Preparedness Awards.	✓	✓	✓
6. Assist Tribal Nations with formal adoption and implementation of NIMS.	✓	N/A	N/A
Total Number of Adoption Objectives	6	5	4



FY 2008 NIMS Compliance Objectives	State/ Territory	Tribal Nation	Local Govts.
Preparedness: Planning			
7. Revise and update 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.	✓	✓	✓
8. Promote and/or develop intrastate and interagency mutual aid agreements and assistance agreements (to include agreements with the private sector and NGOs).	✓	✓	✓
Total Preparedness: Planning Objectives	2	2	2
Preparedness: Training			
9. Use existing resources such as programs, personnel and training facilities to coordinate and deliver NIMS training requirements.	✓	✓	✓
10. Complete <i>IS-700 NIMS: An Introduction</i> or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).	✓	✓	✓
11. Complete <i>IS-800 National Response Framework (NRF): An Introduction</i> or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).	✓	✓	✓
12. Complete <i>ICS-100 Introduction to ICS</i> training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).	✓	✓	✓
13. Complete <i>ICS-200 ICS for Single Resources and Initial Action Incidents</i> training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).	✓	✓	✓
14. Complete <i>ICS-300 Intermediate ICS</i> training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).	✓	✓	✓
Total Preparedness: Training Objectives	6	6	6
Preparedness: Exercise			
15. Incorporate NIMS concepts and principles into all appropriate State/Territorial training and exercises.	✓	✓	✓
16. 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. ¹	✓	✓	✓
17. Incorporate corrective actions into preparedness and response plans and procedures.	✓	✓	✓
Total Preparedness: Exercises Objectives	3	3	3

¹ Exercises should be as realistic as practicable, stress the system and be based on current risk assessments (credible threats, vulnerabilities, and consequences); capabilities associated with continuity of operations issues and special needs populations should be incorporated as objectives and evaluated in accordance with HSEEP.



**FY 2008 NIMS Compliance Objectives and Metrics
For Local Governments**

FY 2008 NIMS Compliance Objectives	State/ Territory	Tribal Nations	Local Govts.
Communications and Information Management			
18. Apply common and consistent terminology as used in NIMS, including the establishment of plain language (clear text) communications standards.	✓	✓	✓
19. Utilize systems, tools, and processes to present consistent and accurate information (e.g., common operating picture) during an incident/planned event.	✓	✓	✓
<i>Total Communications and Information Management Objectives</i>	2	2	2

FY 2008 NIMS Compliance Objectives	State/ Territory	Tribal Nation	Local Govts.
Resource Management			
20. Inventory response assets to conform to NIMS National Resource Typing Definitions, as defined by FEMA Incident Management Systems Division.	✓	✓	✓
21. Ensure that equipment, communications and data systems acquired through State/Territorial and local acquisition programs are interoperable.	✓	✓	✓
22. Utilize response asset inventory for intrastate and interstate mutual aid requests [such as Emergency Management Assistance Compact (EMAC)], training, exercises, and incidents/planned events.	✓	✓	✓
23. New FY 2008: 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.	✓	✓	✓
<i>Total Resource Management Objectives</i>	4	4	4
<i>Total New FY 2008 Resource Management Objectives</i>	1	1	1



FY 2008 NIMS Compliance Objectives		State/Territory	Tribal Nation	Local Govts.
Command and Management: Incident Command System				
24.	Manage all incidents/ planned events in accordance with ICS organizational structures, doctrine and procedures. ICS implementation must include the consistent application of Incident Action Planning (IAP), common communications plans, implementation of Area Command to oversee multiple incidents that are handled by separate ICS organizations or to oversee the management of a very large or evolving incident that has multiple incident management teams engaged, and implementation of unified command (UC) in multi-jurisdictional or multiagency incident management, as appropriate.	✓	✓	✓
<i>Total Command and Management: ICS Objectives</i>		4	4	4
Command and Management: Multi-Agency Coordination System				
25.	Coordinate and support emergency management and incident response Objectives through the development and use of integrated multi-agency coordination systems, i.e. - develop and maintain connectivity capability between local Incident Command Posts (ICP), local 911 Centers, local Emergency Operations Centers (EOCs), the State/Territorial EOC and Regional and/Federal EOCs and NRF organizational elements.	✓	✓	✓
<i>Total Command and Management: MACS Objectives</i>		1	1	1
Command and Management: Public Information				
26.	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.	✓	✓	✓
27.	Ensure that Public Information procedures and processes can gather, verify, coordinate, and disseminate information during an incident/planned event.	✓	✓	✓
<i>Total Command and Management: Public Information Objectives</i>		2	2	2



FY 2008 NIMS Compliance Objectives and Metrics
For Local Governments

FY 2009 Projected NIMS Compliance Objectives

The chart below outlines, by NIMS component, the 12 projected NIMS Compliance Objectives for FY 2009. These objectives do not represent the FY 2009 NIMS compliance program in its entirety.

Projected FY 2009 NIMS Compliance Objectives	State/ Territory	Tribal Nation	Local Govts.
Preparedness: Training			
1. Complete <i>ICS-400 Advanced ICS</i> training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).	✓	✓	✓
2. Complete Emergency Management Framework Course—Awareness Training (as identified in the Five-Year NIMS Training Plan, February 2008)	✓	✓	✓
Preparedness: Planning			
3. Include preparedness organizations and elected and appointed officials in the development of emergency operations plans (EOPs).	✓	✓	✓
4. Plan for special needs populations in the development of EOPs (to include, but not limited to, individuals with limited English language proficiency; individuals with disabilities; children; the aged, etc.).	✓	✓	✓
Preparedness: Exercise			
5. Include NGOs and the private sector in an all-hazards exercise program, when appropriate.	✓	✓	✓
6. Promote the integration of Incident Command, Multiagency Coordination System, and Public Information into appropriate exercises and evaluate against associated target capabilities (refer to HSEEP Volume III and the Exercise Evaluation Guides).	✓	✓	✓
Communications & Information Management			
7. Institute procedures and protocols for operational and information security during an incident/planned event.	✓	✓	✓
8. Institute multidisciplinary and/or multi-jurisdictional procedures and protocols for standardization of data collection and analysis to utilize or share information during an incident/planned event.	✓	✓	✓
9. Develop procedures and protocols for communications (to include voice, data, access to geospatial information, Internet/Web use, and data encryption), where applicable, to utilize or share information during an incident/planned event.	✓	✓	✓
Resource Management			
10. Institute policies, plans, procedures and protocols to prevent spontaneous deployment of resources/personnel and/or responding to a request that bypassed official resource coordination processes (i.e., resources requested through improper channels).	✓	✓	✓
11. Institute mechanisms to deploy, track, recover, demobilize, and to provide reimbursement for resources utilized during response and recovery.	✓	✓	✓
Command and Management			
12. Utilize access control measures during an incident, as appropriate	✓	✓	✓



**FY 2008 NIMS Compliance Objectives and Metrics
For Local Governments**

FY 2010 Projected NIMS Compliance Objectives

The chart below outlines, by NIMS component, the 12 projected NIMS Compliance Objectives for FY 2010. These objectives do not represent the FY 2010 NIMS compliance program in its entirety

Projected FY 2010 NIMS Compliance Objectives	State/ Territory	Tribal Nation	Local Govts.
Preparedness: Training			
1. Complete <i>ICS-701: Multiagency Coordination Systems</i> training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).	✓	✓	✓
2. Complete <i>ICS-702: NIMS Public Information Systems</i> training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).	✓	✓	✓
3. Complete <i>ICS-703: NIMS Resource Management</i> training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).	✓	✓	✓
4. Complete <i>ICS-704 NIMS Communications and Information Management</i> training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).	✓	✓	✓



**FY 2008 NIMS Compliance Objectives and Metrics
For Local Governments**

NIMS Compliance Objectives and Metrics

In the five charts to follow (pages 10-13), jurisdictions can readily see the original fiscal year that FEMA IMSID published the 28 compliance objectives and their respective associated compliance metrics (listed on pages 14-31)

Fiscal Year	NIMS Compliance Objectives	Compliance Metric(s)
Adoption		
FY 2005	1. Adopt NIMS for all 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 1.2 1.3
FY 2007	2. Designate and maintain a single point of contact within government to serve as principal coordinator for NIMS implementation jurisdiction-wide (to include a principal coordinator for NIMS implementation within each Department/Agency).	2.1 2.2
FY 2008	3. 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 NIMS compliance objectives.	3.1
FY 2008	4. Audit agencies and review organizations should routinely include NIMS compliance requirements in all audits associated with Federal Preparedness Awards.	4.1



Fiscal Year	NIMS Compliance Objectives	Compliance Metric(s)
Preparedness: Planning		
2005	7. Revise and update 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.	5.1 5.2
2005	8. Promote and/or develop intrastate and interagency mutual aid agreements and assistance agreements (to include agreements with the private sector and NGOs).	6.1 6.2
Preparedness: Training		
2008	9. Use existing resources such as programs, personnel and training facilities to coordinate and deliver NIMS training requirements.	7.1
2006	10. Complete <i>IS-700 NIMS: An Introduction</i> or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, January 2008).	8.1 8.2
2006	11. Complete <i>IS-800 NRP: An Introduction</i> or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, January 2008).	9.1 9.2
2006	12. Complete <i>ICS-100 Introduction to ICS</i> training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, January 2008).	10.1 10.2
2006	13. Complete <i>ICS-200 ICS for Single Resources and Initial Action Incidents</i> training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, January 2008).	11.1 11.2
2007	14. Complete <i>ICS-300 Intermediate ICS</i> training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, January 2008).	12.1 12.2
Required in 2009	♦ Complete <i>ICS-400 Advanced ICS</i> training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, January 2008).	♦ ♦
Preparedness: Exercises		
2005	15. Incorporate NIMS concepts and principles into all appropriate State/Territorial training and exercises.	13.1 13.2
2006	16. 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.	14.1 14.3
2006	17. Incorporate corrective actions into preparedness and response plans and procedures.	15.1



**FY 2008 NIMS Compliance Objectives and Metrics
For Local Governments**

Fiscal Year	NIMS Compliance Objectives	Compliance Metric
Communications and Information Management		
2006	18. Apply common and consistent terminology as used in NIMS, including the establishment of plain language (clear text) communications standards.	16.1
2007	19. Utilize systems, tools, and processes to present consistent and accurate information (e.g., common operating picture) during an incident/planned event.	17.1

Fiscal Year	NIMS Compliance Objectives	Compliance Metric(s)
Resource Management		
2006	20. Inventory response assets to conform to NIMS National Resource Typing Definitions, as defined by FEMA Incident Management Systems Division.	18.1 18.2 18.3
2007	21. Utilize response asset inventory for intrastate and interstate mutual aid requests [such as Emergency Management Assistance Compact (EMAC)], training, exercises, and incidents/planned events. e.	19.1
2006	22. Ensure that equipment, communications and data systems acquired through a local acquisition programs are interoperable	20.1 20.2
New; Required In 2008	23. 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.	21.1



Fiscal Year	NIMS Compliance Objectives	Compliance Metric
Command and Management		
2006	24. Incident Command System (ICS): Manage all incidents/ planned events in accordance with ICS organizational structures, doctrine and procedures. ICS implementation must include the consistent application of Incident Action Planning (IAP), common communications plans, implementation of Area Command to oversee multiple incidents that are handled by separate ICS organizations or to oversee the management of a very large or evolving incident that has multiple incident management teams engaged, and implementation of unified command (UC) in multi-jurisdictional or multiagency incident management, as appropriate.	22.1 22.2 22.3 22.4
2006	25. Multi-agency Coordination System (MACS): Coordinate and support emergency management and incident response Objectives through the development and use of integrated multi-agency coordination systems, i.e. - develop and maintain connectivity capability between local Incident Command Posts (ICP), local 911 Centers, local Emergency Operations Centers (EOCs), the State/Territorial EOC and Regional and/Federal EOCs and NRF organizational elements.	23.1
2006	26. Public Information: 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.	24.1
2007	27. Ensure that Public Information procedures and processes can gather, verify, coordinate, and disseminate information during an incident/planned event.	25.1



NIMS COMPLIANCE METRICS

NIMS ADOPTION

Compliance 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, for Fiscal Year (FY) 2008, the National Incident Management System as its all-hazards incident management system?

Yes No

What legal authority was used to formally adopt NIMS: [Check all that apply.]

- Executive Order
- Proclamation
- Resolution
- Other legal authority

When was NIMS formally adopted? []

1.2 Does the formal adoption of NIMS expire?

Yes No

When? []

Is there is a process for renewing/maintaining the formal adoption of NIMS?

Yes No

If yes, how? []

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

Yes No



Compliance Objective 2: 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).

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

Yes

No

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

[]

Identify the date of designation:

[]

2.2 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?

Yes

No

Total number of local Departments/Agencies?

[]

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

[]



Compliance Objective 3: 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.

3.1 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?

Yes

No

N/A

Compliance Objective 4: Routinely include NIMS compliance objectives in all audits, conducted by audit agencies and review organizations, associated with Federal Preparedness Awards.

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

Yes

No

N/A



PREPAREDNESS: PLANNING

Compliance 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 following plans to incorporate NIMS components, principles, and policies?

Table with 3 columns: Plan Type, Yes, No. Rows: EOPs, SOPs, SOGs.

7.2 Does the local government review and revise the following plans to incorporate NRF components, principles, and concepts?

Table with 3 columns: Plan Type, Yes, No. Rows: EOPs, SOPs, SOGs.

Compliance 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?

[] Yes [] No

Do these include agreements with the private sector?

[] Yes [] No

Do these include agreements with NGOs?

[] Yes [] No

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

[] Yes [] No

Do these include agreements with the private sector?

[] Yes [] No

Do these include agreements with NGOs?

[] Yes [] No



Compliance Objective 11: Ensure that IS-800a *National Response Framework: an Introduction* 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-800?

Yes No

Number of appropriate personnel who have completed IS-800:

[]

Number of appropriate personnel who are required to complete IS-800:

[]

The number of appropriate personnel who have completed IS-800 for the following categories:

	Entry-level first responders	First line supervisors	Emergency Management and response personnel in middle management	Emergency Management and response personnel in command and general staff
IS-800	[]	[]	[]	[]

11.2 Does the local government document IS-800 training status of personnel from:

	Yes	No	N/A
Local Governments	[]	[]	[]
Tribal Nations	[]	[]	[]
Other emergency response organizations	[]	[]	[]



Compliance Objective 12: Ensure that ICS-100: *Introduction to ICS* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).

Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed ICS-100?

Yes No

Number of appropriate personnel who are required to complete ICS-100:

[]

Number of appropriate personnel who have completed ICS-100:

[]

The number of appropriate personnel who have completed ICS-100 for the following categories:

	Entry-level first responders	First line supervisors	Emergency Management and response personnel in middle management	Emergency Management and response personnel in command and general staff	Personnel as ICS trainers
ICS-100	[]	[]	[]	[]	[]

Does the local government document ICS-100 training status of personnel from:

	Yes	No	N/A
Local Governments	[]	[]	
Tribal Nations	[]	[]	[]
Other emergency response organizations	[]	[]	[]



Compliance Objective 13: 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).

13.1 Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed ICS-200?

Yes No

Number of appropriate personnel who are required to complete ICS-200:

[]

Number of appropriate personnel who have completed ICS-200:

[]

The number of appropriate personnel who have completed ICS-200 for the following categories:

	Entry-level first responders	First line supervisors	Emergency Management and response personnel in middle management	Emergency Management and response personnel in command and general staff	Personnel as ICS trainers
IS-200	[]	[]	[]	[]	[]

13.2 Does the local government document ICS-200 training status of personnel from:

	Yes	No	N/A
Local Governments	[]	[]	[]
Tribal Nations	[]	[]	[]
Other emergency response organizations	[]	[]	[]



Compliance Objective 14: Ensure that ICS-300: Intermediate ICS 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 ICS-300?

[] Yes [] No

Number of appropriate personnel who are required to complete ICS-300:

[]

Number of appropriate personnel who have completed ICS-300:

[]

The number of appropriate personnel who have completed ICS-300 for the following categories:

	Entry-level first responders	First line supervisors	Emergency Management and response personnel in middle management	Emergency Management and response personnel in command and general staff	Personnel as ICS trainers
IS-300	[]	[]	[]	[]	[]

14.2 Does the local government document ICS-300 training status of personnel from:

	Yes	No	N/A
Local Governments	[]	[]	
Tribal Nations	[]	[]	[]
Other emergency response organizations	[]	[]	[]



♦ **FY 2009 Compliance Objective: Ensure that ICS-400: *Advanced ICS* training is completed by appropriate personnel (as identified in the *Five-Year NIMS Training Plan*, February 2008).**

- ♦ Have the appropriate personnel, as identified in the *Five-Year NIMS Training Plan*, February 2008, completed ICS-400?

[] Yes [] No

Number of appropriate personnel who are required to complete ICS-400:

[]

Number of appropriate personnel who have completed ICS-400:

[]

The number of appropriate personnel who have completed ICS-400 for the following categories:

	Entry-level first responders	First line supervisors	Emergency Management and response personnel in middle management	Emergency Management and response personnel in command and general staff	Personnel as ICS trainers
IS-400	[]	[]	[]	[]	[]

- ♦ Does the local government document ICS-400 training status of personnel from:

	Yes	No	N/A
Local Governments	[]	[]	[]
Tribal Nations	[]	[]	[]
Other emergency response organizations	[]	[]	[]



PREPAREDNESS: EXERCISES

Compliance Objective 15: Incorporate NIMS concepts and principles into all appropriate training and exercises.

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

Table with 3 columns: Concept, Incorporated, Not Incorporated. Rows include Flexibility, Scalability, Standardization, Interoperability & Compatibility, Resource Management, Incident Command, Multiagency Coordination, and Public Information.

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

Table with 3 columns: Concept, Incorporated, Not Incorporated. Rows include Flexibility, Scalability, Standardization, Interoperability & Compatibility, Resource Management, Incident Command, Multiagency Coordination, and Public Information.

Compliance Objective 16: 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.

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

[] Yes [] No

If yes, is the all-hazards exercise program multidisciplinary?

[] Yes [] No

If yes, is the all-hazards exercise program multi-jurisdictional?

[] Yes [] No



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

[] Yes [] No

Is the all-hazards exercise program multidisciplinary?

[] Yes [] No

Is the all-hazards exercise program multi-jurisdictional?

[] Yes [] No

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

16.3 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

Compliance Objective 17: Incorporate corrective actions into preparedness and response plans and procedures.

17.1 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?

[] Yes [] No



COMMUNICATIONS AND INFORMATION MANAGEMENT

Compliance Objective 18: Apply common and consistent terminology as used in NIMS, including the establishment of plain language (clear text) communications standards.

18.1 Does the local government apply the following communication standards:

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

Compliance Requirement 19: Utilize systems, tools, and processes to present consistent and accurate information (e.g., common operating picture) during an incident/planned event.

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

	Yes	No
Systems	[]	[]
Tools	[]	[]
Processes	[]	[]



RESOURCE MANAGEMENT

Compliance Objective 20: Inventory response assets to conform to NIMS National Resource Typing Definitions, as defined by FEMA’s Incident Management Systems Integration Division.

20.1 Has the local government inventoried its emergency management/incident response assets to conform to NIMS National Resource Typing Definitions?

[] Yes [] No

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

[] Yes [] No

20.3 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?

[] Yes [] No

Compliance Objective 21: 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.

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

Table with 3 columns: Item, Yes, No. Rows include All-Hazards Exercise Program, Interstate Mutual Aid and Assistance, Training, and Incidents/Planned Events.

Compliance Objective 22: Ensure that equipment, communications and data systems acquired through local acquisition programs are interoperable.

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

Table with 3 columns: Item, Yes, No. Rows include Equipment, Communications, and Data Systems.

22.2 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:

Table with 3 columns: Item, Yes, No. Rows include Equipment, Communications, and Data Systems.



New in FY 2008 Compliance Objective 23: 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.

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

[] Yes [] No

If yes, is the credentialing system based upon an existing State-wide system?

[] Yes [] No

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.]

Yes [] No []



COMMAND AND MANAGEMENT

Compliance Objective 24: 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.

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

[] Yes, for all incidents/planned events. [] No

24.2 Does ICS implementation include the following concepts?

Table with 3 columns: Concept, Yes, No. Rows include 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, and Information and Intelligence Management.

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

[] Yes [] No

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

[] Yes [] No



Compliance Activity 25: Coordinate and support emergency management and incident response activities through the development and use of integrated Multiagency 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].

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

Yes No

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

Compliance Objective 26: 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.

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

Yes No

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

Yes No

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

Yes No

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

Yes No



Compliance Objective 27: Ensure that Public Information procedures and processes can gather, verify, coordinate, and disseminate information during an incident/planned event.

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

	Yes	No
Gather information	[]	[]
Verify information	[]	[]
Coordinate information	[]	[]
Disseminate information	[]	[]

References

NIMS Compliance Objectives	References
Adoption	
Adopt NIMS for all 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.	<ul style="list-style-type: none"> * NIMS Document * NRF Document (27) * HSPD-5 (items 14, 15, 19) * Letter from Secretary Ridge to Governors (2005)
Designate and maintain a single point of contact within government to serve as principal coordinator for NIMS implementation jurisdiction-wide (to include a principal coordinator for NIMS implementation within each Department/Agency).	Best practices
Ensure that Federal Preparedness Awards [to include, but not limited to, DHS Homeland Security Grant Program and Urban Area Security Initiative Funds] to State/Territorial Departments/Agencies, as well as local governments, support all NIMS compliance objectives.	*Letter from Secretary Ridge to Governors (2005)
Audit agencies and review organizations should routinely include NIMS compliance requirements in all audits associated with Federal Preparedness Awards.	<ul style="list-style-type: none"> * NIMS Document * HSPD-5 (item 30) * HSPD-8 (item 11) * National Preparedness Guidelines (pp 27-28) * Letter from Secretary Ridge to Governors (2005)
Preparedness: Planning	
Revise and update 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.	<ul style="list-style-type: none"> * Letter from Secretary Ridge to Governors (2005) * State NIMS Integration, Version 1.0 (p6)
Promote and/or develop intrastate and interagency mutual aid agreements and assistance agreements (to include agreements with the private sector and NGOs).	* NIMS Document
Preparedness: Training	
Use existing resources such as programs, personnel and training facilities to coordinate and deliver NIMS training requirements.	* Five-Year NIMS Training Plan (informational)
Complete <i>IS-700 NIMS: An Introduction</i> or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).	* Five-Year NIMS Training Plan (informational)
Complete <i>IS-800 NRP: An Introduction</i> or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).	* Five-Year NIMS Training Plan (informational)
Complete <i>ICS-100 Introduction to ICS</i> training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).	* Five-Year NIMS Training Plan (informational)
Complete <i>ICS-200 ICS for Single Resources and Initial</i>	* Five-Year NIMS Training Plan (informational)



NIMS Compliance Objectives	References
Action Incidents training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).	
Complete ICS-300 Intermediate ICS training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).	* Five-Year NIMS Training Plan (informational)
Complete ICS-400 Advanced ICS training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).	* Five-Year NIMS Training Plan (informational)
Preparedness: Exercises	
Incorporate NIMS concepts and principles into all appropriate State/Territorial training and exercises.	* NIMS Document * NRF Document (p 47)
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.	* NIMS Document * NRF Document (pp 30, 47)
Incorporate corrective actions into preparedness and response plans and procedures.	* NIMS Document * NRF Draft Document (p 30) * HSPD-8 (item 19)
Communications & Information Management	
Apply common and consistent terminology as used in NIMS, including the establishment of plain language (clear text) communications standards.	*NIMS Document
Utilize systems, tools, and processes to present consistent and accurate information (e.g., common operating picture) during an incident/planned event.	*NIMS Document *NRF Document (p 31, 33, 47)
Resource Management	
Inventory response assets to conform to NIMS National Resource Typing Definitions, as defined by FEMA Incident Management Systems Division.	* NIMS Document * NRF Document (p 27)
Utilize response asset inventory for intrastate and interstate mutual aid requests [such as Emergency Management Assistance Compact (EMAC)], training, exercises, and incidents/planned events	Best Practices
Ensure that equipment, communications and data systems acquired through State/Territorial and local acquisition programs are interoperable	* NIMS Document * NRF Document (p 27) * National Preparedness Guidelines (pp 17-18)
Initiate development of a State/Territory-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.	* http://www.nimsonline.com/docs/credent_faq.pdf * Congressional mandate
Command and Management	
Incident Command System (ICS): Manage all incidents/planned events in accordance with ICS organizational structures, doctrine and procedures. ICS implementation must include the consistent application of Incident Action Planning (IAP), common communications plans, implementation of Area Command to oversee multiple	* NIMS Document



NIMS Compliance Objectives	References
incidents that are handled by separate ICS organizations or to oversee the management of a very large or evolving incident that has multiple incident management teams engaged, and implementation of unified command (UC) in multi-jurisdictional or multiagency incident management, as appropriate.	
Multi-agency Coordination System (MACS): Coordinate and support emergency management and incident response Objectives through the development and use of integrated multi-agency coordination systems, i.e. - develop and maintain connectivity capability between local Incident Command Posts (ICP), local 911 Centers, local Emergency Operations Centers (EOCs), the State/Territorial EOC and Regional and/Federal EOCs and NRF organizational elements.	<ul style="list-style-type: none"> * NIMS Document * NRF Document (p. 46) (informational)
Public Information: 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.	<ul style="list-style-type: none"> * NIMS Document * NRF Document (pp 35, 62) * NRF Annexes (pp PUB 1-PUB 16) (informational)
Ensure that Public Information procedures and processes can gather, verify, coordinate, and disseminate information during an incident/planned event.	<ul style="list-style-type: none"> * NIMS Document * NRF Annexes (pp PUB 1-PUB 16) (informational)

Best Practices:

In addition to the compliance requirements stemming from doctrines and guidance documents related to NIMS, there are several other recommended actions to assist stakeholders in effectively implementing NIMS. Using the outlined methodologies and actions is strongly suggested. These methodologies are based on the sharing of best practices and provide suggestions for ways in which stakeholders can carry out these critical aspects of implementation.