

STATE AND TERRITORIAL COMPLIANCE ACTIVITIES: FEDERAL FISCAL YEAR 2006 (OCTOBER 1, 2005-SEPTEMBER 30, 2006)

In March 2004, the Secretary of Homeland Security, at the request of the President, released the National Incident Management System (NIMS). The NIMS is a comprehensive system that will improve response operations through the use of the Incident Command System (ICS) and other standard procedures and preparedness measures. It will also promote development of cross-jurisdictional, statewide and interstate regional mechanisms for coordinating incident management and obtaining assistance during large-scale or complex incidents.

The NIMS Integration Center (NIC) recognizes that the overwhelming majority of emergency incidents are handled on a daily basis by a single jurisdiction at the local level. However, it is critically important that all jurisdictions comply with the NIMS because the challenges we face as a nation are far greater than the capabilities of any one jurisdiction; they are not, however, greater than the sum of all of us working together through mutual support. Homeland Security Presidential Directive 5 (HSPD- 5), *Management of Domestic Incidents*, requires all federal departments and agencies to adopt and implement the NIMS, and requires states, territories, tribes and local governments to implement the NIMS to receive federal preparedness funding.

States¹ play an important role in ensuring the effective implementation of the NIMS. They must ensure that the systems and processes are in place to communicate the NIMS requirements to local² jurisdictions and support them in implementing the NIMS. The NIMS implementation requirements for local jurisdictions are available in a separate matrix to support this communication and coordination between the States and local jurisdictions. States must also implement specific NIMS implementation actions as outlined in this matrix.

States should encourage and support a regional approach to NIMS implementation among its jurisdictions. In some instances smaller communities may not have the resources to implement all elements of NIMS on their own. However, by working together with other localities in their regions, they will be able to pool their resources to implement NIMS.

When NIMS is fully implemented, states and local jurisdictions will be able to:

¹ As defined in the Homeland Security Act of 2002, the term "State" means any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States." 6 U.S.C. 101 (14)

² As defined in the Homeland Security Act of 2002, Section 2(10): the term "local government" means "(A) county, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of governments... 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; and a rural community, unincorporated town or village, or other public entity." 6 U.S.C. 101(10)

- Ensure common and proven incident management doctrine, practices and principles are used to plan for, protect against, respond to and recover from emergency incidents and preplanned events;
- Maintain a response operation capable of expanding to meet an escalating situation and the ability to integrate resources and equipment from intrastate and interstate mutual aid agreements, state-provided assistance and federal government response;
- Order and track response assets using common resource typing and definitions, and draw on mutual aid agreements for additional assistance;
- Establish staging and allocation plans for the re-distribution of equipment, supplies and aid coming into the area from other localities, states or the federal government through mutual aid agreements;
- Conduct situational assessments and establish the appropriate ICS organizational structure to effectively manage the incident; and
- Establish communication processes, procedures and protocols that will ensure effective interoperable communications among emergency responders, 9-1-1 centers and multi-agency coordination systems such as Emergency Operations Centers (EOC).

In federal Fiscal Year 2005, the Secretary of Homeland Security provided guidance to each state, outlining initial actions that should be taken to implement the NIMS. The letter to the nation's governors included a list of actions for States and territories to take towards NIMS compliance. A copy of this letter is posted on the NIMS webpage at: http://www.fema.gov/nims/nims_compliance.shtm. Minimum FY 2005 NIMS activities included:

- Incorporating NIMS into existing training programs and exercises;
- Ensuring that Federal preparedness funding (including DHS Homeland Security Grant Program, Urban Area Security Initiative (UASI) funds) support NIMS implementation at the state and local levels (in accordance with the eligibility and allowable uses of the grants);
- Incorporating NIMS into Emergency Operations Plans (EOP);
- Promotion of intrastate mutual aid agreements;
- Coordinating and providing technical assistance to local entities regarding NIMS; and
- Institutionalizing the use of the Incident Command System (ICS).

To receive FY 2006 preparedness grant funds from any federal department or agency, states will have to self-certify that they have met the minimum FY 2005 requirements. A self-certification letter will be provided to each state and territory. Additional information is also available on the NIMS Web page at: www.fema.gov/nims.

In federal Fiscal Year 2006, states, territories, tribes and local communities will be required to complete several activities to comply with the NIMS. The attached implementation matrix describes the actions that states must take by the end of federal FY 2006 (September 30, 2006) to be compliant with NIMS. These implementation requirements are in addition to the FY 2005 NIMS requirements as established in the Sept. 8, 2004, letter to the governors. A copy of that letter is available on the NIMS Web page at: www.fema.gov/nims.

Beginning in FY 2007, which starts on October 1, 2006, all federal preparedness funding will be conditioned upon full compliance with the NIMS. By completing the FY 2005 activities as well as the FY2006 activities outlined in this matrix, states and territories will have achieved what is considered to be full NIMS implementation by FY 2007.

Completion of the FY 2006 actions will result in a statewide infrastructure that will support NIMS implementation among all state and territorial agencies as well as at the tribal and local levels. The effective and consistent implementation of the NIMS in every state and territory will result in a strengthened national capability to prepare for, respond to and recover from any type of incident. The matrix identifies activities that are underway by the NIMS Integration Center to support the effective implementation of NIMS as well as activities that will be required for NIMS implementation in future years.

The matrix also provides information on where to find technical assistance resources to support these compliance actions. For example, the National Incident Management Capability Assessment Support Tool (NIMCAST) is a product designed to assist communities in determining their current NIMS compliance baseline. The NIMS is much more than just a list of required elements; it is a new approach to the way we prepare for and manage incidents, one that will lead to a more effective utilization of resources and enhanced prevention, preparedness and response capabilities. Moreover, full NIMS implementation is a dynamic and multi-year phase-in process with important linkages to the National Response Plan (NRP), Homeland Security Presidential Directive - 8 (i.e. the "National Preparedness Goal") and the National Infrastructure Protection Plan (NIPP). Future refinement to the NIMS will evolve as policy and technical issues are further developed and clarified at the national level. This may well result in additional requirements being issued by the NIC as to what will constitute continuous full NIMS compliance in FY2007 and beyond.

More information on NIMS and NIMS compliance, and answers to frequently asked questions are available on the NIMS Integration Center Web page (<http://www.fema.gov/nims>).

NIMS Implementation Matrix for States and Territories

FY 2006 Compliance Activities		
Required State/Territorial Action for FY 2006 Compliance	Guidance and Technical Assistance Resources	Future Activities
State Adoption and Infrastructure		
<p>Adopt NIMS at the state/ territorial level for all government departments and agencies; as well as promote and encourage NIMS adoption by associations, utilities, non-governmental organizations (NGOs) and private sector incident management and response organizations.</p> <p>Monitor formal adoption of NIMS by all tribal and local jurisdictions.</p>	<ul style="list-style-type: none"> • Adopt NIMS through executive order, proclamation, resolution or legislation as the state's official all-hazards, incident response system. • Develop a baseline assessment of NIMS requirements that your jurisdiction already meets and using that baseline, develop a strategy for full NIMS implementation and maintenance. • The NIMS Capability Assessment Support Tool (NIMCAST) is available at: www.fema.gov/nimcast/index.jsp • Sample templates for executives: www.fema.gov/nims/nims_toolsandtemplates.shtm 	<ul style="list-style-type: none"> • Amend or re-authorize, as necessary.
<p>Establish a planning process to ensure the communication and implementation of NIMS requirements across the state, including local governments and tribes. This process must provide a means for measuring progress and facilitate reporting.</p>	<ul style="list-style-type: none"> • FY 2006 NIMS Implementation Matrix for Local Jurisdictions 	
<p>Designate a single point of contact within the state government to serve as the principal coordinator for NIMS implementation statewide.</p>	<ul style="list-style-type: none"> • Consider establishing new or leverage existing cross-jurisdictional and cross-discipline advisory group to assist and ensure full implementation of NIMS. 	

FY 2006 Compliance Activities

Required State/Territorial Action for FY 2006 Compliance	Guidance and Technical Assistance Resources	Future Activities
<p>To the extent permissible by law, ensure that federal preparedness funding to state and territorial agencies and tribal and local jurisdictions is linked to the satisfactory progress in meeting the requirements related to FY06 NIMS implementation requirements.</p>	<ul style="list-style-type: none"> • The <i>National Incident Management System (NIMS)</i> March 2004, the NIMS implementation requirements, and Homeland Security Presidential Directive 5 are all available on the NIMS Web page at: www.fema.gov/nims • NIMS Capability Assessment Support Tool (NIMCAST): www.fema.gov/nimcast/index.jsp • 2005 Homeland Security Grant Program Guidance: http://www.ojp.usdoj.gov/odp/docs/fy05hsgp.pdf • National Preparedness Goal and National Preparedness Guidance: http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm 	
<p>To the extent permissible by state and territorial law and regulations, audit agencies and review organizations should routinely include NIMS implementation requirements in all audits associated with federal preparedness grant funds. This process will validate the self-certification process for NIMS compliance.</p>	<ul style="list-style-type: none"> • The <i>National Incident Management System (NIMS)</i> March 2004, the NIMS implementation requirements, and Homeland Security Presidential Directive 5 are all available on the NIMS Web page at: www.fema.gov/nims • NIMS Capability Assessment Support Tool (NIMCAST): www.fema.gov/nimcast/index.jsp • A list of the Federal preparedness grant programs that have been reported to the NIC are available on the NIMS Web page at: www.fema.gov/nims • 2005 Homeland Security Grant Program Guidance: http://www.ojp.usdoj.gov/odp/docs/fy05hsgp.pdf • National Preparedness Goal and National Preparedness Guidance: http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm 	

FY 2006 Compliance Activities		
Required State/Territorial Action for FY 2006 Compliance	Guidance and Technical Assistance Resources	Future Activities
Command and Management		
<p><u>Incident Command System (ICS):</u> Manage all emergency incidents and preplanned (recurring/special) events in accordance with ICS organizational structures, doctrine and procedures, as defined in NIMS. ICS implementation must include the consistent application of Incident Action Planning and Common Communications Plans.</p>	<ul style="list-style-type: none"> • Institutionalize ICS: Terms and definitions: www.fema.gov/txt/nims/institutionalizing_ics.txt • Incorporate concepts and principles of NIMS Chapter II, Command and Management including ICS characteristics such as common terminology, modular organization, management by objectives, incident action planning, manageable span of control, pre-designated incident facilities, comprehensive resource management, integrated communications, transfer of command, unity of command, unified command, personnel and resource accountability and information and intelligence management. 	<ul style="list-style-type: none"> • Continue to manage incidents and events using ICS.
<p><u>Multi-agency Coordination System:</u> Coordinate and support emergency incident and event management through the development and use of integrated multi-agency coordination systems, i.e. - develop and maintain connectivity capability between local Incident Command Posts (ICP), local 911 Centers, local Emergency Operations Centers (EOCs), the state EOC and regional and/federal EOCs and /NRP organizational elements.</p>	<ul style="list-style-type: none"> • NIMS Chapter II, Command and Management. 	<ul style="list-style-type: none"> • Revise and update processes and plans. • The Emergency Management Institute (EMI) is currently developing an independent study and classroom course on NIMS Multi-Agency Coordination Systems. Additional information will be posted on the NIMS Integration Center Web page when available. See http://www.fema.gov/nims. • The NIMS Integration Center will feature best practices on the NIMS Web page. See http://www.fema.gov/nims.

FY 2006 Compliance Activities

Required State/Territorial Action for FY 2006 Compliance	Guidance and Technical Assistance Resources	Future Activities
<p><u>Public Information System:</u></p> <p>Institutionalize, within the framework of ICS, the Public Information System, comprising of the Joint Information System (JIS) and a Joint Information Center (JIC). The Public Information System will ensure an organized, integrated, and coordinated mechanism to perform critical emergency information, crisis communications and public affairs functions which is timely, accurate, and consistent. This includes training for designate participants from the Governor's office and key state agencies</p>	<ul style="list-style-type: none"> • NIMS Chapter II, Command and Management. • Public Information Training (E388, Advanced Public Information Officers and G290, Basic Public Information Officers) 	<ul style="list-style-type: none"> • Revise and update processes and plans. • The Emergency Management Institute (EMI) is currently developing an independent study and classroom course on NIMS Public Information Systems. Additional information will be posted on the NIMS Integration Center Web page when available. See http://www.fema.gov/nims. • Information on who should complete these courses also will be posted on the NIMS Web page. • The NIMS Integration Center will feature best practices on the NIMS Web page. See http://www.fema.gov/nims.
Preparedness: Planning		
<p>Establish the state's NIMS baseline against the FY 2005 and FY 2006 implementation requirements</p>	<ul style="list-style-type: none"> • Assess which NIMS implementation requirements the state already meets. The NIMS Capability Assessment Support Tool (NIMCAST) is available to facilitate this: www.fema.gov/nimcast/index.jsp 	<ul style="list-style-type: none"> • Update state's Homeland Security strategy and any other state preparedness strategies and plans as appropriate and close capability gap.

FY 2006 Compliance Activities

Required State/Territorial Action for FY 2006 Compliance	Guidance and Technical Assistance Resources	Future Activities
Coordinate and leverage all federal preparedness funding to implement the NIMS.	<ul style="list-style-type: none"> • A list of the Federal preparedness grant programs that have been reported to the NIC are available on the NIMS Web page at: www.fema.gov/nims • 2005 Homeland Security Grant Program Guidance: http://www.ojp.usdoj.gov/odp/docs/fy05hsgp.pdf • National Preparedness Goal and National Preparedness Guidance: http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm • Catalog of Federal Domestic Preparedness Assistance (CFDA): http://www.cfda.gov 	
Revise and update plans and SOPs to incorporate NIMS and National Response Plan (NRP) components, principles and policies, to include planning, training, response, exercises, equipment, evaluation and corrective actions	<ul style="list-style-type: none"> • National Response Plan (NRP): http://www.dhs.gov/nationalresponseplan • 2005 Homeland Security Grant Program Guidance: http://www.ojp.usdoj.gov/odp/docs/fy05hsgp.pdf • National Preparedness Goal and National Preparedness Guidance: http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm 	<ul style="list-style-type: none"> • Update plans and SOPs, incorporating lessons learned and best practices from exercises and response operations. • Emergency Operations Plan (EOP) guidance is under development and will be posted on the NIMS Integration Center Web page at: www.fema.gov/nims.

FY 2006 Compliance Activities

Required State/Territorial Action for FY 2006 Compliance	Guidance and Technical Assistance Resources	Future Activities
<p>Promote intrastate and interagency mutual aid agreements, to include agreements with the private sector and non-governmental organizations.</p>	<ul style="list-style-type: none"> • EMAC model state-county mutual aid deployment contract: http://www.emacweb.org/?123 • EMAC model intrastate mutual aid legislation: http://www.emacweb.org/docs/NEMA%20Proposed%20Intrastate%20Model-Final.pdf 	<ul style="list-style-type: none"> • Expand mutual aid agreements beyond support services and equipment to include information sharing. • Support and adopt the ongoing efforts of the NIMS Integration Center (NIC) to develop a national credentialing system. • Credentialing guidance is under development by the NIMS Integration Center. Throughout the development process, drafts will be posted on the NIMS Web page for review and comment by interested stakeholders. • Credential first responders in conformance with national standards.
Preparedness: Training		
<p>Leverage training facilities to coordinate and deliver NIMS training requirements in conformance with the NIMS National Standard Curriculum.</p>	<ul style="list-style-type: none"> • NIMS National Standard Curriculum Training Development Guidance: http://www.fema.gov/pdf/nims/nims_training_development.pdf 	

FY 2006 Compliance Activities

Required State/Territorial Action for FY 2006 Compliance	Guidance and Technical Assistance Resources	Future Activities
Complete IS-700 NIMS: An Introduction	<ul style="list-style-type: none"> • On-line course: http://training.fema.gov/EMIWeb/IS/is700.asp • NIMS National Standard Curriculum Training Development Guidance: http://www.fema.gov/pdf/nims/nims_training_development.pdf • All personnel with a direct role in emergency preparedness, incident management or response must complete this training. 	<ul style="list-style-type: none"> • Ensure that NIMS is part of the program for all new employees, recruits and first responders. • The NIMS Integration Center is working to establish a mechanism that will allow states and local jurisdictions direct access to course completion data. Additional information will be posted on the NIMS Integration Center Web page when available. See http://www.fema.gov/nims.
Complete IS-800 NRP: An Introduction	<ul style="list-style-type: none"> • On-line course available at: http://www.training.fema.gov/emiweb/IS/is800.asp • NIMS National Standard Curriculum Training Development Guidance: http://www.fema.gov/pdf/nims/nims_training_development.pdf • The NIMS Web page provides guidance for who should complete this training. http://www.fema.gov/nims. 	<ul style="list-style-type: none"> • Ensure that NRP training is part of the program for all appropriate employees, recruits and first responders. • The NIMS Integration Center is working to establish a mechanism that will allow states and local jurisdictions direct access to course completion data. Additional information will be posted on the NIMS Integration Center Web page when available. See http://www.fema.gov/nims.

FY 2006 Compliance Activities

Required State/Territorial Action for FY 2006 Compliance	Guidance and Technical Assistance Resources	Future Activities
Complete ICS 100 and ICS 200 Training	<ul style="list-style-type: none"> • ICS 100: http://www.training.fema.gov/emiweb/IS/is100.asp • ICS 100: http://www.usfa.fema.gov/training/nfa • ICS 200: http://www.training.fema.gov/emiweb/IS/is200.asp • ICS 200: http://www.usfa.fema.gov/training/nfa • NIMS National Standard Curriculum Training Development Guidance: http://www.fema.gov/pdf/nims/nims_training_development.pdf • The NIMS Web page provides guidance for who should complete this training. http://www.fema.gov/nims. 	<ul style="list-style-type: none"> • Complete ICS 300 and ICS 400. • Complete training that may be required to satisfy credentialing standards. • Ensure that ICS training is part of the program for all new employees, recruits and first responders.
Preparedness: Exercises		
Incorporate NIMS/ICS into all state and regional training and exercises.	<ul style="list-style-type: none"> • NIMS training information: www.fema.gov/nims/nims_training.shtm • NIMS National Standard Curriculum Training Development Guidance: http://www.fema.gov/pdf/nims/nims_training_development.pdf • DHS ODP Exercise Information: http://www.ojp.usdoj.gov/odp/exercises.htm 	<ul style="list-style-type: none"> • Continue to incorporate NIMS into all state training and exercises, to include drills, tabletop exercises, functional exercises and full-scale exercises.
Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions.	<ul style="list-style-type: none"> • 2005 Homeland Security Grant Program Guidance: http://www.ojp.usdoj.gov/odp/docs/fy05hsgp.pdf • National Preparedness Goal and National Preparedness Guidance: http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm • DHS ODP Exercise Information: http://www.ojp.usdoj.gov/odp/exercises.htm • NIMS National Standard Curriculum Training Development Guidance: http://www.fema.gov/pdf/nims/nims_training_development.pdf 	<ul style="list-style-type: none"> • Continue to participate in NIMS -oriented exercises, to include drills, tabletop exercises, functional exercises and full-scale exercises.
Incorporate corrective actions into preparedness and response plans and procedures.	<ul style="list-style-type: none"> • DHS ODP Exercise Information: http://www.ojp.usdoj.gov/odp/exercises.htm 	

FY 2006 Compliance Activities

Required State/Territorial Action for FY 2006 Compliance	Guidance and Technical Assistance Resources	Future Activities
Resource Management		
Inventory state response assets to conform to homeland security resource typing standards.	<ul style="list-style-type: none"> Resource typing definitions: http://www.fema.gov/nims/mutual_aid.shtm Propose modifications or new resource definitions to the NIMS Integration Center for inclusion in the resource typing effort. 	<ul style="list-style-type: none"> Develop and implement a resource inventory, ordering and tracking system. The Emergency Management Institute (EMI) is currently developing a course on NIMS Resource Management. Additional information will be posted on the NIMS Integration Center Web page at http://www.fema.gov/nims when the course is available.
Develop state plans for the receipt and distribution of resources as outlined in the National Response Plan (NRP) Catastrophic Incident Annex and Catastrophic Incident Supplement	<ul style="list-style-type: none"> http://www.dhs.gov/nationalresponseplan 	
To the extent permissible by state and local law, ensure that relevant national standards and guidance to achieve equipment, communication and data interoperability are incorporated into state and local acquisition programs.	<ul style="list-style-type: none"> ODP Equipment Program: http://www.ojp.usdoj.gov/odp/grants_goals.htm 2005 Homeland Security Grant Program Guidance: http://www.ojp.usdoj.gov/odp/docs/fy05hsgp.pdf National Preparedness Goal and National Preparedness Guidance: http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm DHS SAFECOM Program: http://www.safecomprogram.gov/SAFECOM 	

FY 2006 Compliance Activities

Required State/Territorial Action for FY 2006 Compliance	Guidance and Technical Assistance Resources	Future Activities
Communication & Information Management		
<p>Apply standardized and consistent terminology, including the establishment of plain English communications standards across public safety sector.</p>	<ul style="list-style-type: none"> • Incident response communications (during exercises and actual incidents) should feature plain English commands so they will be able to function in a multi-jurisdiction environment. Field manuals and training should be revised to reflect the plain English standard. • '10' codes may continue to be used during non-emergency, internal department communications. 	<ul style="list-style-type: none"> • Continue featuring common terminology and plain English commands for all response activities. • The Emergency Management Institute (EMI) is currently developing an independent study and classroom course on NIMS Communication and Information Management. Additional information will be posted on the NIMS Integration Center Web page when available. See http://www.fema.gov/nims. • Information on who should complete these courses also will be posted on the NIMS Web page.