



**PENNSYLVANIA EMERGENCY  
MANAGEMENT AGENCY**  
2605 Interstate Drive  
Harrisburg, Pennsylvania 17110-9364



**THE SPECIFIC ACTIONS TO COMPLETE BY SEPTEMBER 30, 2006 ARE:**

In order to receive FY 2006 preparedness funding, applicants will be required to certify as part of their FY 2006 grant applications that they have met the FY 2005 NIMS requirements. Additional information about NIMS compliance and resources for achieving compliance will be forthcoming from the NIC.

Hurricane Katrina was a stark reminder of how critical it is for our nation to approach incident management in a coordinated, consistent, and efficient manner. Full implementation of NIMS among all jurisdictions and all levels of government must be achieved as quickly as possible.

Homeland Security Presidential Directive 5 "*Management of Domestic Incidents*" requires that Federal preparedness assistance funding for state and local jurisdictions be dependent on NIMS compliance. This letter transmits two FY 2006 NIMS Implementation Matrices. The first matrix identifies the state level NIMS implementation requirements, while a separate matrix identifies the NIMS implementation requirements that must be taken at the local government levels.

Jurisdictions will be required to meet the FY 2006 NIMS implementation requirements as a condition of receiving federal preparedness funding assistance in FY 2007. However, it is important to recognize that NIMS implementation will not end in FY 2006; it is a dynamic system, and the doctrine as well as the implementation requirements will continue to evolve as our prevention, preparedness, response, and recovery capabilities improve and our homeland security landscape changes. Further, new personnel will continue to need NIMS training, and NIMS processes will still have to be exercised in future years.

Most important of the FY 2006 requirements, states must establish a planning process that incorporates the appropriate procedures to ensure the effective communication and implementation of NIMS requirements across the state, including local governments. This planning process must include a means for measuring progress and facilitate the reporting of NIMS implementation among its tribal and local jurisdictions.

State and local jurisdictions should consider and include appropriate organizations in their NIMS implementation efforts, including private sector emergency medical and hospital providers, transportation systems, utilities, and special facilities such as industrial plants, nuclear power plants, factories, military facilities, stadiums and arenas. Moreover, full NIMS implementation is a dynamic and multi-year phase-in process with important linkages to the National Response Plan (NRP), the 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.

State Certification is required to receive FY'07 preparedness funds. By August 1, 2006, all counties will need to sign a self-certification letter stating that all entities within their jurisdictions are compliant with FY'06 NIMS requirements.

<sup>1</sup> "Taken as a whole" recognizes that not every community or individual responder will have completed all of the requirements. The "taken as a whole" standard means that most have and that good faith efforts are underway to achieve full compliance.

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

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 state and local governments to implement the NIMS to receive federal preparedness funding.

States<sup>1</sup> 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 local<sup>2</sup> jurisdictions and support them in implementing the NIMS.

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.

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. We accomplished the self-certification letter for Pennsylvania on September 29, 2005.

In federal Fiscal Year 2006, state 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.

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

---

<sup>1</sup> 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)

<sup>2</sup> 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)

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.

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.

#### **STATE ADOPTION AND INFRASTRUCTURE:**

- Adopt NIMS at the state 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.
- Monitor formal adoption of NIMS by all tribal and local jurisdictions.
- Establish a planning process to ensure the communication and implementation of NIMS requirements across the state, including local governments. This process must provide a means for measuring progress and facilitate reporting.
- Designate a single point of contact within the state government to serve as the principal coordinator for NIMS implementation statewide.
- To the extent permissible by law, ensure that federal preparedness funding to state and local jurisdictions is linked to the satisfactory progress in meeting the requirements related to FY06 NIMS implementation requirements.
- To the extent permissible by state law and regulations, audit agencies and review organizations should routinely include NIMS implementation requirements in all audits associated with federal preparedness grant funds. This process will validate the self-certification process for NIMS compliance.

#### **COMMAND AND MANAGEMENT:**

- Incident Command System (ICS): Manage all emergency incidents and preplanned (recurring/special) events in accordance with ICS organizational structures, doctrine and procedures, as defined in NIMS. ICS implementation must include the consistent application of Incident Action Planning and Common Communications Plans.

- Multi-agency Coordination System: Coordinate and support emergency incident and event management through the development and use of integrated multi-agency coordination systems, i.e. - develop and maintain connectivity capability between local Incident Command Posts (ICP), local 911 Centers, local Emergency Operations Centers (EOCs), the state EOC and regional and/federal EOCs and /NRP organizational elements.
- Public Information System: Institutionalize, within the framework of ICS, the Public Information System, comprising of the Joint Information System (JIS) and a Joint Information Center (JIC). The Public Information System will ensure an organized, integrated, and coordinated mechanism to perform critical emergency information, crisis communications and public affairs functions which is timely, accurate, and consistent. This includes training for designate participants from the Governor's office and key state agencies

#### **PREPAREDNESS: PLANNING**

- Establish the state's NIMS baseline against the FY 2005 and FY 2006 implementation requirements
- Coordinate and leverage all federal preparedness funding to implement the NIMS.
- 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
- Promote intrastate and interagency mutual aid agreements, to include agreements with the private sector and non-governmental organizations.

#### **PREPAREDNESS: TRAINING:**

- Leverage training facilities to coordinate and deliver NIMS training requirements in conformance with the NIMS National Standard Curriculum.
- Complete IS-700 NIMS: An Introduction
- Complete IS-800 NRP: An Introduction
- Complete ICS 100 and ICS 200 Training

#### **PREPAREDNESS; EXERCISES:**

- Incorporate NIMS/ICS into all state and regional training and exercises.
- Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions.
- Incorporate corrective actions into preparedness and response plans and procedures.

#### **RESOURCE MANAGEMENT:**

- Inventory state response assets to conform to homeland security resource typing standards.
- Develop state plans for the receipt and distribution of resources as outlined in the National Response Plan (NRP) Catastrophic Incident Annex and Catastrophic Incident Supplement
- 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.

- Apply standardized and consistent terminology, including the establishment of plain English communications standards across public safety sector.
  - 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.

**Local Jurisdiction 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 improves local response operations through the use of the Incident Command System (ICS) and the application of standardized procedures and preparedness measures. It promotes development of cross-jurisdictional, statewide, and interstate regional mechanisms for coordinating response and obtaining assistance during a large-scale or complex incident.

Local authorities, not federal, have the primary responsibility for preventing, responding to, and recovering from emergencies and disasters. The overwhelming majority of emergency incidents are handled on a daily basis by a single jurisdiction at the local level. 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 state<sup>1</sup> and local<sup>2</sup> jurisdictions to implement the NIMS to receive federal preparedness funding.

NIMS compliance should be considered and undertaken as a community-wide effort. The benefit of NIMS is most evident at the local level, when a community as a whole prepares for and provides an integrated response to an incident. Incident response organizations (to include local public health, public works, emergency management, fire, emergency medical services, law enforcement, hazardous materials, private sector entities, non-governmental organizations, medical organizations, utilities, and others) must work together to comply with NIMS components, policies, and procedures. Implementation of the NIMS in every local jurisdiction establishes a baseline capability that once established nationwide, can be used as a foundation upon which more advanced homeland security capabilities can be built.

Small and/or rural jurisdictions will benefit from a regional approach. In many 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, these jurisdictions will be able to pool their resources to implement NIMS.

---

<sup>1</sup> 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)

<sup>2</sup> 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)

When NIMS is fully implemented, your local community or jurisdiction will be able to:

- 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 (Emergency Operations Centers).

The attached implementation matrix describes the actions that jurisdictions must take by September 30, 2006 to be compliant with NIMS.

Completion of these actions will position local communities to better manage prevention, response and recovery efforts. The matrix identifies activities that are underway by the NIMS Integration Center (NIC) 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 an example of 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), the 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, 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 Local Jurisdictions**

### **Community Adoption**

- Adopt NIMS at the community 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.
- The Governor signed a proclamation which states, “*NOW THEREFORE, Pursuant to the authority vested in me by the Constitution and provisions of the Emergency Management Services Code (35 Pa. C.S. Section 7101 et seq., as amended), I do hereby mandate the National Incident Management System be utilized for all incident management in the Commonwealth.*” This ending statement under Title 35 carries the weight of law and covers Pennsylvania ‘as a whole’ formally adopting the NIMS. According to the Federal Government, the counties and municipalities fall under the proclamation and they can use it in their NIMS implementation plan to comply with formally adopting the NIMS requirement. If they do not wish to use the Governor’s proclamation, they can write their own legislation, executive orders, resolutions or ordinances.

### **Command and Management**

- **Incident Command System (ICS)**: Manage all emergency incidents and preplanned (recurring/special) events in accordance with ICS organizational structures, doctrine, and procedures, as defined in NIMS. ICS implementation must include the consistent application of Incident Action Planning and Common Communications Plans. 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.
- **Multi-agency Coordination System**: Coordinate and support emergency incident and event management through the development and use of integrated multi-agency coordination systems, i.e. develop and maintain connectivity capability between local Incident Command Posts (ICP, local 911 Centers, local Emergency Operations Centers (EOCs) and state EOC.
- **Public Information System**: Implement processes, procedures, and/or plans to communicate timely, accurate information to the public during an incident through a Joint Information System and Joint Information Center.

### **Preparedness: Planning**

- Establish the community’s NIMS baseline against the FY 2005 and FY 2006 implementation requirements. Assess which NIMS implementation requirements your community already meets. The NIMS Capability Assessment Support Tool (NIMCAST) is available to facilitate this: [www.fema.gov/nimcast/index.jsp](http://www.fema.gov/nimcast/index.jsp)
- Develop and implement a system to coordinate all federal preparedness funding to implement the NIMS across the community.

- Revise and update plans and SOPs to incorporate NIMS components, principles and policies, to include planning, training, response, exercises, equipment, evaluation, and corrective actions
- Participate in and promote intrastate and interagency mutual aid agreements, to include agreements with the private sector and non-governmental organizations.

### **Preparedness: Training**

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

### **Preparedness: Exercises**

- Incorporate NIMS/ICS into all tribal, local and regional training and exercises.
- Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions.
- Incorporate corrective actions into preparedness and response plans and procedures.

### **Resource Management**

- Inventory community response assets to conform to homeland security resource typing standards. Propose modifications or new resource definitions to the NIMS Integration Center for inclusion in the resource typing effort. Resource typing definitions: [http://www.fema.gov/nims/mutual\\_aid.shtm](http://www.fema.gov/nims/mutual_aid.shtm)
- To the extent permissible by law, ensure that relevant national standards and guidance to achieve equipment, communication, and data interoperability are incorporated into tribal and local acquisition programs.

### **Communication & Information Management**

- Apply standardized and consistent terminology, including the establishment of plain English communications standards across public safety sector. 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.