SECTION VI: Supporting Materials

Introduction

The following materials have been included to assist you in your work this year for 2006 NIMS compliance for your jurisdiction, as well as set the stage for future important work that is anticipated for the future in California. These materials are considered supplementary—and cover the range of 'best practices', trends, case studies, and key tools that should help you this year and into the out-years.

Supporting documents in this section address the following areas:

1. *Introduction*
2. *State Agency NIMS Requirements and Implementation Activities*
3. *Local Government NIMS Requirements and Implementation Activities*
4. *Tribal Government NIMS Requirements and Implementation Activities*
5. *General Requirements*
6. *After Action/Corrective Action*
7. *Resource Management*
8. *Private Sector*
9. *Training Requirements*
10. *Interoperability*
11. *Public Information*
12. *Tribal Government*
13. *Hazard Mitigation*
14. *Recovery*
15. *Credentialing*
16. *Summary of NIMS Implementation*
17. *Jurisdictional Checklists*
18. *Acronyms*

Fiscal Year 2006 State, Local, and Tribal NIMS Requirements – Implementation Activities Matrix

The matrix on the following pages provides an all-inclusive listing of the Fiscal Year 2006 NIMS Requirements for State Agencies, Local Governments, and Tribal Governments.

Implementation Activities that relate to each NIMS requirements that have been, or are being carried out by the three governmental levels.

The matrix also includes a User Manual Reference column that relates to each NIMS requirement and directs the reader to the Section of the Workbook containing corresponding supporting information.

FY 2006 State Agency NIMS Requirement	Implementation Activities	User Manual Reference
	State Adoption and Infrastructure	
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. *Monitor formal adoption of NIMS by all tribal and local jurisdictions.*	OES has adopted NIMS officially through the Governor's Executive Order S-02-05. The OES website: www.oes.ca.gov, under the SEMS/NIMS button has provided a sample local government resolution to assist local and tribal governments meet this requirement. OES expanded the SEMS Maintenance System composition to include representatives from the private sector, NGOs, and volunteer organizations, who are actively participating in Specialist Committees to assist in full NIMS compliance. OES, through its Regions, oversees the implementation process by promoting, monitoring, and supporting NIMS compliance at the state, local, and tribal government levels through correspondence, completion of the NIMCAST, workshops, and coordination meetings.	• Sample Resolution: see page 85 in supporting materials section. • Governor's Executive Order S-02-05 for State Compliance.
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.	OES has utilized the SEMS Maintenance System to include representatives from federal, state, local, and tribal governments, as well as the private and volunteer sectors. Outreach and monitoring is supported by Emergency Management Performance Grant (EMPG) reports, Mutual Aid Regional Advisory Committee (MARAC) meeting reports, NIMCAST, correspondence, and direct support to the Operational Areas and tribal governments. This process is further supported by OES website updates and posting supporting materials. Materials developed by Specialist Committees also are designed to assist in meeting NIMS compliance requirements.	Section I: Preface, page 7
Designate a single point of contact within the state government to serve as the principle coordinator for NIMS implementation statewide.	OES is the designated state point of contact for NIMS implementation. The OES Preparedness and Training Branchs and Regions support the statewide process of NIMS implementation.	Section I: Preface, page 7

FY 2006 State Agency NIMS Requirement	Implementation Activities	User Manual Reference
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.	OES administers the Emergency Management Program Grants (EMPG) to local governments. Required reports associated with meeting NIMS requirements stated in the grant requirements address this requirement. OHS administers federal preparedness grants and their requirements address NIMS compliance. Their progress reports monitor NIMS compliance progress as well. The California Department of Health Services (CDHS), is an active member of California's SEMS Maintenance System and has representation on all five SEMS/NIMS integration specialist committees that have been convened to assure overall coordination of NIMS implementation. NIMS compliance is now a condition (prerequisite) for all recipients of federal Centers for Disease Control (CDC)/Health Resources & Services Administration (HRSA) bioterrorism cooperative agreement funds. CDHS reviews emergency plans and procedures developed by local health departments for compliance with NIMS. In addition, under the provisions of the CDC and HRSA Cooperative Agreements, Local entities conduct exercises, emphasizing the inclusion of scenarios to test response plans and ability to correctly utilize the Incident Command System within the SEMS/NIMS framework. These emergency preparedness and response efforts are intended to support compliance with the National Response Plan and NIMS.	Section I: Preface, page 7

FY 2006 State Agency NIMS Requirement	Implementation Activities	User Manual Reference
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.	OES and OHS are coordinating their efforts to develop a process for ensuring NIMS compliance to include in any audits.	Section II: 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.*	SEMS has been the standard for emergency response in California since its implementation in 1996. ICS, as identified in NIMS, is the field level of SEMS and includes Incident Action Planning and Communications Plans. ICS has been and continues to be used for all emergency responses and planned events on an ongoing basis. Expanding ICS to tribal governments, NGOs, volunteer, and private sector organizations is an ongoing process enhanced by the SEMS Private Sector and Volunteer, Voluntary and Service Sector Specialist Committee.	Section III: FY 2006 NIMS Compliance Guidance for State Agencies, page 16

FY 2006 State Agency NIMS Requirement	Implementation Activities	User Manual Reference
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.*	The SEMS structure that has been in place since 1996 incorporates the concepts of multi-agency coordination. This is exemplified in the structure identified in all SEMS materials and supported by regulations that require activation during disasters with lines of information and coordination established from the ICP through local government EOCs to Operational Area (county and jurisdictions within) to the OES Region and State EOC. The State EOC establishes coordination links to the federal level through FEMA Region IX. This is an established process for emergency response in California.	N/A See OES Website: www.oes.ca.gov - Under Laws and Regulations - Standardized Emergency Management System.
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.*	The SEMS Maintenance System has developed materials to support this linkage between ICPs and EOCs and the JIC, utilizing the JIS. Training is being developed and modified to address this structure. OES has had a history of close coordination between the State Operations Center (State EOC) and federal JICs that will be further enhanced through development of necessary procedures by the Public Information Specialist Committee and development and scheduling of training with the Governor's office and key state agencies.	Public Information, p. 48

FY 2006 State Agency NIMS Requirement	Implementation Activities	User Manual Reference
	Preparedness: Planning	
Establish the state's NIMS baseline against the FY 2005 and FY 2006 implementation requirements	The National Incident Management System (NIMS) Capability Assurance Support Tool (NIMCAST) has been adopted statewide as a baseline. Users include key state agencies with defined emergency management responsibilities, all California counties, UASI cities (including Fresno) and tribal governments. This will provide a statewide baseline that will identify areas of NIMS vulnerabilities that can be focused on with additional resources.	Section II: NIMS Compliance, pp. 12 and 14
Coordinate and leverage all federal preparedness funding to implement the NIMS.	OES in coordination with OHS will monitor and ensure federal preparedness funding supports the implementation of the NIMS.	Section II: NIMS Compliance, p. 12
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.	State agencies need to conduct a plan assessment to identify those plans, principles and policies that need to be updated and revised. This will form the basis for planning efforts undertaken by state agencies. Training, exercises, equipment, evaluation, and corrective actions related to this requirement will be addressed by the specific Specialist Committees (Training and Exercises, AAR/CA). Any equipment concerns are being addressed within the communication groups.	Section II: NIMS Compliance, 14
Promote intrastate and interagency mutual aid agreements, to include agreements with the private sector and non-governmental organizations.	The California Master Mutual Aid Agreement provides the basis for all mutual aid within the state. In addition to being a signatory to the Interstate Civil Defense and Disaster Company, California is a member of the Emergency Management Assistance Compact (EMAC) for mutual aid between states. The SEMS Private Sector, Volunteer, Voluntary and Service Sector Specialist Committee is addressing private sector and non-governmental organization mutual aid agreements. In addition, the State will pursue discussions on mutual aid with tribal governments through the Tribal Government Specialist Committee.	N/A See OES Website: www.oes.ca.gov - Under Laws and Regulations - Government Code.

FY 2006 State Agency NIMS Requirement	Implementation Activities	User Manual Reference
Preparedness: Training		
Leverage training facilities to coordinate and deliver NIMS training requirements in conformance with the NIMS National Standard Curriculum.	Existing training classes are being modified to conform to the NIMS National Standard Curriculum through the SEMS Training and Exercise Specialist Committee. These classes are being delivered through a variety of state agencies and their training facilities, including the California Specialized Training Institute, California Highway Patrol Academy, and the California Department of Forestry and Fire Protection Training Academy.	Section III: FY 2006 NIMS Compliance Guidance for State Agencies, Training and Exercises, p.42
Complete IS-700 NIMS: An Introduction.	This class has been incorporated into the existing SEMS curriculum by the SEMS Training and Exercise Specialist Committee.	Section III: FY 2006 NIMS Compliance Guidance for State Agencies, Training and Exercises, p.42, et. al.
Complete IS-800 NRP: An Introduction.	This class is being incorporated into existing SEMS curriculum by the SEMS Training and Exercise Specialist Committee.	Section III: FY 2006 NIMS Compliance Guidance for State Agencies, Training and Exercises, p.42, et. al.
Complete ICS 100 and ICS 200 Training.	The Training and Exercise Specialist Committee has developed a matrix that identifies training needs based on position and jurisdictional level to assist in meeting this requirement. The SEMS Training and Exercise Specialist Committee has developed coursework that incorporates this class with SEMS coursework. Fire Resources Organized for Potential Emergencies (FIRESCOPE), ICS, and the SEMS approved course of instruction field level course are equivalent to the NIMS ICS and therefore NIMS-compliant.	Section III: FY 2006 NIMS Compliance Guidance for State Agencies, Training and Exercises, p.42, et. al.
Preparedness: Exercises		
Incorporate NIMS/ICS into all state and regional training and exercises.	SEMS ICS is consistent with NIMS. SEMS has been used in state and regional training and exercises since its inception in 1996, and in some instances prior to 1996 due to regulations that required ICS for responding to some hazards.	Section III: FY 2006 NIMS Compliance Guidance for State Agencies, Training and Exercises, p.42, et. al.

FY 2006 State Agency NIMS Requirement	Implementation Activities	User Manual Reference
Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions.	Below are two examples of all-hazard exercise training programs based on NIMS: **California Specialized Training Institute (CSTI)** OES' CSTI serves as California's training and exercise liaison with the Federal Emergency Management Agency (FEMA). CSTI staffs the coordinating positions of the State Training Officer (STO) and the State Exercise Training Officer (ETO). OES has maintained an ongoing exercise strategy for over a decade that promotes the training and development of local exercise teams. Specifically, the ETO, using federal grant funds, oversees the delivery of the federally recognized Exercise Design Course to local jurisdictions. As part of this training, local jurisdictions conduct a functional exercise that typically causes the activation of their Emergency Operations Center and addresses scenarios, threats, planning and response issues identified as relevant by the local government participants. CSTI incorporates a variety of exercises into its nearly 200 courses offered annually. These exercises include Table Top Discussions, Functional, and Full Scale exercises as part of emergency management, terrorism, and WMD/hazardous materials training. **Homeland Security Exercise Evaluation Program (HSEEP)** The Office of Homeland Security, Homeland Security Exercise Evaluation Program conducts an annual statewide exercise based on NIMS that involves responders from multiple disciplines and multiple jurisdictions that addresses all hazards.	

FY 2006 State Agency NIMS Requirement	Implementation Activities	User Manual Reference
Resource Management		
Inventory state response assets to conform to homeland security resource typing standards.	The SEMS Resource Management Specialist Committee has developed California-specific guidance to assist in meeting this requirement.	
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.	Specific plans for receipt and distribution of resources as outlined in the NRP Catastrophic Incident Annex and Catastrophic Incident Supplement are yet to be developed. It should be noted that in California, logistics is a function under SEMS that addresses receipt and distribution of resources.	
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.	The Public Safety Radio Strategic Planning Committee (PSRSPC) and the California Statewide Interoperability Executive Committee (CalSIEC) are addressing the communications standards aspects of this requirement.	
Communication and Information Management		
Apply standardized and consistent terminology, including the establishment of plain English communications standards across public safety sector.	SEMS has recommended the use of plain English for multi-discipline and multi-agency responses. SEMS has adopted the standardized and consistent terminology of ICS, of which SEMS is derived.	

OES website:
http://www.oes.ca.gov

HSEEP website: http://www.hseep.dhs.gov

FEMA website(s):
http://www.fema.gov/emergency/nims/index.shtm
http://www.fema.gov/txt/nims/institutionalizing_ics.txt

FY 2006 Local Government NIMS Requirement	Implementation Activities	User Manual Reference
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, nongovernmental organizations (NGOs), and private sector incident management and response organizations.	A model resolution for local and tribal governments is available on the OES website: www.oes.ca.gov. It is also included in the Supporting Materials Section.	Sample Resolution: see page 85 in supporting materials section. Governor's Executive Order S-02-05 for State 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.	Completed. SEMS has been the standard for emergency response in California since its implementation in 1996. ICS, as identified in NIMS, is the field level of SEMS and includes Incident Action Planning and Communications Plans. ICS has been and continues to be used for all emergency responses and planned events on an ongoing basis. Expanding ICS to tribal governments, NGOs, volunteer, and private sector organizations is an ongoing process enhanced by the SEMS Private Sector and Volunteer, Voluntary and Service Sector Specialist Committee.	
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 (ICPs), local 911 Centers, local Emergency Operations Centers (EOCs), and state EOC.	Completed. The SEMS structure that has been in place since 1996 incorporates the concepts of multi-agency coordination. This is exemplified in the structure identified in all SEMS materials and supported by regulations that require activation during disasters with lines of information and coordination established from the ICP through local government EOCs to Operational Area (county and jurisdictions within) to the OES Region and State EOC. The State EOC establishes coordination links to the federal level through FEMA Region IX. This is an established process for emergency response in California.	

FY 2006 Local Government NIMS Requirement	Implementation Activities	User Manual Reference
Public Information System: Implement processes, procedures, and/or plans to communicate timely, accurate information to the public during and incident through a Joint Information System and Joint Information Center.	Guidance for this structure has been developed by the SEMS Public Information Specialist Committee.	
Preparedness: Planning		
Establish the community's NIMS baseline against the FY 2005 and FY 2006 implementation requirements	OES has designated NIMCAST as the statewide tool (an EMPG requirement for Operational Areas) for establishing this baseline. OAs receiving EMPG funds must use NIMCAST to establish their baseline. In addition, OES will use NIMCAST for the state baseline, which includes identified state agencies, counties, UASI cities (including Fresno), and tribal governments who wish to participate.	
Develop and implement a system to coordinate all federal preparedness funding to implement the NIMS across the community.	Local governments can use multi-agency/multi-disciplinary councils or committees to develop or implement this system.	
Revise and update plans and SOPs to incorporate NIMS components, principles and policies, to include planning, training, response, exercises, equipment, evaluation and corrective actions.	OES and SEMS Specialist Committees developed materials to assist in meeting this requirement.	

FY 2006 Local Government NIMS Requirement	Implementation Activities	User Manual Reference
Participate in and promote intrastate and interagency mutual aid agreements, to include agreements with the private sector and non-governmental organizations.	The SEMS Private, Non-Governmental and Service Sectors Specialist Committee, developed guidance to assist the inclusion of these groups in all phases of emergency management. In addition, the State will pursue discussions on mutual aid with tribal governments through the Tribal Government Specialist Committee. Tribal and local governments are encouraged to work together on this issue.	
Preparedness: Training		
Complete IS-700 NIMS: An Introduction.	The SEMS Training and Exercises Specialist Committee developed coursework that incorporates this class with SEMS coursework.	
Complete IS-800 NRP: An Introduction.	The SEMS Training and Exercises Specialist Committee developed coursework that incorporates this class with SEMS coursework.	
Complete ICS 100 and ICS 200 Training.	Fire Resources Organized for Potential Emergencies (FIRESCOPE), ICS, and the SEMS approved course of instruction field level course are equivalent to the NIMS ICS and therefore NIMS-compliant.	
Preparedness: Exercises		
Incorporate NIMS/ICS into all tribal, local and regional training and exercises.	SEMS ICS is consistent with NIMS. SEMS has been used in state and regional training and exercises since its inception in 1996, and in some instances prior to 1996 due to regulations that required ICS for responding to some hazards.	

FY 2006 Local Government NIMS Requirement	Implementation Activities	User Manual Reference
Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions.	Below are two examples of all-hazard exercise training programs based on NIMS: California Specialized Training Institute (CSTI) OES' CSTI serves as California's training and exercise liaison with the Federal Emergency Management Agency (FEMA). CSTI staffs the coordinating positions of the State Training Officer (STO) and the State Exercise Training Officer (ETO). OES has maintained an ongoing exercise strategy for over a decade that promotes the training and development of local exercise teams. Specifically, the ETO, using federal grant funds, oversees the delivery of the federally recognized Exercise Design Course to local jurisdictions. As part of this training, local jurisdictions conduct a functional exercise that typically causes the activation of their Emergency Operations Center and addresses scenarios, threats, planning and response issues identified as relevant by the local government participants. CSTI incorporates a variety of exercises into its nearly 200 courses offered annually. These exercises include Table Top Discussions, Functional, and Full Scale exercises as part of emergency management, terrorism, and WMD/hazardous materials training. Homeland Security Exercise Evaluation Program (HSEEP) The Office of Homeland Security, Homeland Security Exercise Evaluation Program conducts and annual exercise based on NIMS that involves responders from multiple disciplines and multiple jurisdictions that addresses all hazards.	
Incorporate corrective actions into preparedness and response plans and procedures.	The SEMS After Action/Corrective Action Specialist Committee developed guidance to assist local governments in meeting this requirement.	

FY 2006 Local Government NIMS Requirement	Implementation Activities	User Manual Reference
Resource Management		
Inventory community response assets to conform to homeland security resource typing standards.	The SEMS Resource Management Specialist Committee developed California-specific guidance to assist local governments in meeting this requirement.	
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.	The Public Safety Radio Strategic Planning Committee (PSRSPC) and the California Statewide Interoperability Executive Committee (CalSIEC) are addressing the communications standards aspects of this requirement. Local and tribal governments have seats on CalSIEC.	
Communication and Information Management		
Apply standardized and consistent terminology, including the establishment of plain English communications standards across public safety sector.	SEMS has recommended the use of plain English for multi-discipline and multi-agency responses. SEMS adopted the standardized and consistent terminology of ICS, of which SEMS is derived.	

OES website:
http://www.oes.ca.gov
http://www.fema.gov/txt/nims/institutionalizing_ics.txt
HSEEP website:
http://www.hseep.dhs.gov

FEMA website(s):
http://www.fema.gov/emergency/nims/index.shtm

FY 2006 Tribal Government NIMS Requirement	Implementation Activities	User Manual Reference
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, nongovernmental organizations (NGOs), and private sector incident management and response organizations.	A model resolution for local governments is available on the OES website: www.oes.ca.gov. It is also included in the Supporting Materials Section. This could be modified or used as a recommended best practice for Tribal Governments. A model that more accurately reflects tribal concerns may also be developed by the Tribal Government Specialist Committee. The FEMA website should be consulted for additional tribal government's information addressing resolutions, and training. (www.fema.gov/emergency/nims/index.shtm)	• Sample Resolution: see page 85 in supporting materials section. • Governor's Executive Order S-02-05 for State 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.*	Those tribes that have adopted SEMS meet this requirement. ICS, as identified in NIMS, is the field level of SEMS and includes Incident Action Planning and Communications Plans. Expanding ICS to tribal governments, NGOs, volunteer, and private sector organizations is an ongoing process enhanced by the SEMS Tribal Government Specialist Committee, and supported by the SEMS Private Sector and Volunteer, Voluntary and Service Sector Specialist Committee.	
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 (ICPs), local 911 Centers, local Emergency Operations Centers (EOCs) and state EOC.*	Completed for state and local governments, but not Tribal Nations. The SEMS structure that has been in place since 1996 incorporates the concepts of multi-agency coordination. This is exemplified in the structure identified in all SEMS materials and supported by regulations that require activation during disasters with lines of information and coordination established from the ICP through local government EOCs to Operational Area (county and jurisdictions within) to the OES Region and State EOC. The State EOC establishes coordination links to the federal level through FEMA Region IX. This is an established process for emergency response in California.	

FY 2006 Tribal Government NIMS Requirement	Implementation Activities	User Manual Reference
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.	Guidance for this structure has been developed by the SEMS Public Information Specialist Committee. Although this is oriented toward state and local governments, the concepts are basic and could be considered as a starting-off point for tribal nations.	
Preparedness: Planning		
Establish the community's NIMS baseline against the FY 2005 and FY 2006 implementation requirements	OES has designated NIMCAST as the statewide tool for establishing this baseline. OES will use NIMCAST for the state baseline, which includes identified state agencies, counties, UASI cities (including Fresno), and tribal governments who wish to participate.	
Develop and implement a system to coordinate all federal preparedness funding to implement the NIMS across the community.	Tribal governments can use multi-agency/multi-disciplinary councils or committees to develop or implement this system.	
Revise and update plans and SOPs to incorporate NIMS components, principles and policies, to include planning, training, response, exercises, equipment, evaluation and corrective actions.	OES and SEMS Specialist Committees developed materials to assist tribal governments in meeting this requirement. Tribal governments have also formed their own Specialist Committee to specifically address tribal efforts to meet this NIMS requirements.	
Participate in and promote intrastate and interagency mutual aid agreements, to include agreements with the private sector and non-governmental organizations.	The SEMS Private Sector, and Volunteer, Voluntary and Service Sector Specialist Committee, has developed guidance to assist the inclusion of these groups in all phases of emergency management. In addition, the State will pursue discussions on mutual aid with tribal governments through the Tribal Government Specialist Committee. Tribal and local governments are encouraged to work together on this issue.	

FY 2006 Tribal Government NIMS Requirement	Implementation Activities	User Manual Reference
Preparedness: Training		
Complete IS-700NIMS: An Introduction.	The SEMS Training and Exercise Specialist Committee developed coursework that incorporates this class with SEMS coursework.	
Complete IS-800 NRP: An Introduction.	The SEMS Training and Exercise Specialist Committee developed coursework that incorporates this class with SEMS coursework.	
Complete ICS 100 and ICS 200 Training.	Fire Resources Organized for Potential Emergencies (FIRESCOPE), ICS, and the SEMS approved course of instruction field level course are equivalent to the NIMS ICS and therefore NIMS-compliant. *Recommended courses include: EMI Tribal CoursesE580, E585, and E344.*	
Preparedness: Exercises		
Incorporate NIMS/ICS into all tribal, local and regional training and exercises.	SEMS ICS is consistent with NIMS. SEMS has been used in state and regional training and exercises since its inception in 1996, and in some instances prior to 1996 due to regulations that required ICS for responding to some hazards. Tribal nations that have adopted SEMS ICS, or FIRESCOPE ICS, from which SEMS was derived may have already met this requirements.	
Participate in an all-hazard exercise training program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions.	Participation in exercises with neighboring local governments, state and federal agencies will assist in meeting this requirement.	
Incorporate corrective actions into preparedness and response plans and procedures.	The SEMS After Action/Corrective Action Specialist Committee has developed guidance to assist state, local and tribal governments in meeting this requirement.	
Resource Management		
Inventory community response assets to conform to homeland security resource typing standards.	The SEMS Resource Management Specialist Committee has developed California-specific guidance to assist tribal governments in meeting this requirement.	

FY 2006 Tribal Government NIMS Requirement	Implementation Activities	User Manual Reference
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 plans.	The Public Safety Radio Strategic Planning Committee (PSRSPC) and the California Statewide Interoperability Executive Committee (CalSIEC) are addressing the communications standards aspects of this requirement. Local and tribal governments have seats on CalSIEC.	
Communication and Information Management		
Apply standardized and consistent terminology, including the establishment of plain English communications standards across public safety sector.	SEMS has recommended the use of plain English for multi-discipline and multi-agency responses. SEMS has adopted the standardized and consistent terminology of ICS, of which SEMS is derived. Tribal Nations that have adopted SEMS meet this requirement.	

OES website:
http://www.oes.ca.gov

HSEEP website:
http://www.hseep.dhs.gov

FEMA website(s):
http://www.fema.gov/emergency/nims/index.shtm
http://www.fema.gov/txt/nims/institutionalizing_ics.txt

Sample Resolution Form

The form on the following pages provides a sample resolution template that can be used to fulfill the federal requirement for an "executive order, proclamation, resolution, or legislation" showing NIMS adoption.

Sample Resolution

SAMPLE: This resolution can be used or modified, as necessary, to fulfill the federal requirement for an "executive order, proclamation, resolution, or legislation" indicating a government has adopted the National Incident Management System (NIMS).

(Name of Board or Council)

(Name **of government unit, e.g., City of ___, County of ___ , ___Tribe**)

Resolution #

WHEREAS, the President in Homeland Security Directive-5, directed the Secretary of the Department of Homeland Security to develop and administer a National Incident Management System, which would provide a consistent nationwide approach for federal, state, local, and tribal governments to work together more effectively and efficiently to prevent, prepare for, respond to, and recover from disasters, regardless of cause, size, or complexity; and

WHEREAS; California pioneered the development of standardized incident management systems to respond to a variety of catastrophic disasters, including fires, earthquakes, floods, and landslide; and

WHEREAS, in the early 1970s, the California fire service, in partnership with the federal government, developed the seminal emergency incident command system that has become the model for incident management nationwide; and

WHEREAS; in 1993, California was the first state to adopt a statewide Standardized Emergency Management System for use by every emergency response organization, and implemented a system to ensure the continual improvement of the Standardized Emergency Management System; and

WHEREAS, California emergency management professionals have contributed their expertise to the development of the new National Incident Management System; and

WHEREAS, it is essential for responding to disasters that federal, state, local, and tribal organizations utilize standardized terminology, standardized organizational structures, interoperable communications, consolidated action plans, unified command structures, uniform personnel qualification standards, uniform standards for planning, training, and exercising, comprehensive resource management, and designated incident facilities during emergencies or disasters; and

WHEREAS, the California Standardized Emergency Management System substantially meets the objectives of the National Incident Management System,

WHEREAS, the National Commission on Terrorist Attacks (9-11 Commission) recommended adoption of a standardized Incident Command System nationwide, and

WHEREAS, the Governor of the State of California has directed his Office of Emergency Services and Office of Homeland Security in cooperation with the Standardized Emergency Management System Advisory Board to develop a program to integrate the National Incident Management System, to the extent appropriate, into the state's emergency management system;

NOW, THEREFORE, BE IT RESOLVED that (Name of government unit, e.g., City of , County of , ___Tribe), will integrate the National Incident Management System, to the extent appropriate, into the emergency management system; and

BE IT FURTHER RESOLVED that the (Name of government unit, e.g., City of ___ , County of ___ , ___Tribe) utilizes the National Incident Management System which shall be consistent with the integration of the National Incident Management System and the Standardized Emergency Management System in California; and

BE IT FURTHER RESOLVED that a copy of this resolution is forwarded to the Governor's Office of Emergency Services.

APPROVED AND ADOPTED by the (Council or Board) **o**n ____ __, 2005.

AYES: _____

NAYES: _____

ABSENT: _____

_____
(Chairperson or Mayor)

ATTEST:

_____

Clerk/Secretary _____

Checklist for a NIMS – Compliant EOP

(Based on Template from NIMS Implementation Plan)

The checklist on the following page can be used to work through implementing NIMS requirements into jurisdictional plan elements, identifying adoption dates of the emergency operations plans, document section/page location, and checklist completion date.

Checklist for a NIMS – Compliant EOP

(Based on Template from NIMS Implementation Plan)

Plan Element	Checklist Complete	Adoption Date	EOP Page or Section	Comment
Defines the scope of preparedness and incident management activities necessary for the jurisdiction.				
Describes organizational structures, roles and responsibilities, policies, and protocols for providing emergency support.				
Facilitates response and short-term recovery activities.				
Is flexible enough to use in all emergencies.				
Describes the EOP purpose.				
Describes the EOP situation and assumptions.				
Describes the EOP concept of operations.				
Describes the EOP organization and assignment of responsibilities.				
Describes the administration and logistics of the EOP.				
Describes EOP development and maintenance.				
Describes the EOP authorities and references.				
Contains functional annexes.				
Contains hazard-specific appendices.				
Contains a glossary				
Pre-designates jurisdictional and/or functional area representatives to the Incident Commander (IC) or Unified Command (UC) whenever possible.				
Includes pre-incident and post-incident public awareness, education, and communications plans and protocols.				

Checklist for a NIMS-Compliant EOP from the Template for NIMS Implementation Plan

NOTE: This checklist was adapted from the National Incident Management System Implementation Plan Template that is based on the National Incident Management System Capability Assessment Support Tool (NIMCAST), which in turn is based on the U.S. Department of Homeland Security Document "National Incident Management System," March 1, 2004. The items listed are taken directly from the NIMCAST items listed as supporting assessment III-B-2-a-1 regarding EOP's.

The source document may be accessed through FEMA NIMS compliance website at: http://www.fema.gov/nims/nims_compliance

Revised SEMS Guidelines, Part III. Supporting Documents
After Action Reports (AARs) and Corrective Actions (CAs)

Contained in the After Action/Corrective Action Supporting Material are the following:

Revised Guidelines - The 2006 revision of the SEMS After Action Report (AAR) Guidelines reflects changes in the approach to AARs primarily as a result of the SEMS and National Incident Management System (NIMS) integration effort under the Governor's Office of Emergency Services. This guidance is intended to offer jurisdictions a broad road map to achieve NIMS compliance in the areas of AARs and CAs.

Key AA/CA Definitions - Definitions included within the AA/CA pages.

Draft – Sample AA/CA Report Template – a form template that can be used for after action and corrective action reporting for a declared or un-declared event, a training, and/or exercise.

For federally funded exercises, follow the applicable grant guidelines/conditions for after action reviews and improvement plans.

Revised SEMS Guidelines, Part III. Supporting Documents

After Action/Corrective Action

Introduction

This 2006 revision of the SEMS After Action Report (AAR) Guidelines reflects changes in the approach to AARs primarily as a result of the SEMS and National Incident Management System (NIMS) integration effort under the Governor's Office of Emergency Services. This guidance is intended to offer jurisdictions a broad road map to achieve NIMS compliance in the areas of AARs and CAs.

Legal Authorities

Local and State Agency requirement to transmit AAR to OES for declared events.

Section 2450 (a) of the SEMS Regulations states "Any city, city and county, or county declaring a local emergency for which the governor proclaims a state of emergency, and any state agency responding to that emergency shall complete and transmit an after action report to OES within ninety (90) days of the close of the incident period as specified in the California Code of Regulations, Title 19, §2900(j)."

Statewide AAR required of OES. The completion of an AAR is a part of the required SEMS reporting process. The Emergency Services Act (*Chapter 7 of Division 1 of Title 2of the Government Code*), Section 8607 (f) specifies that the Office of Emergency Services (OES) shall in cooperation with involved state and local agencies complete an AAR within 120 days after each declared disaster. It also states "This report shall review public safety response and disaster recovery activities and shall be made available to all interested public safety and emergency management organizations."

Tribal Governments

While tribal governments are not required by law to comply with SEMS, they are encouraged to submit AARs to State OES; this provides for the statewide AAR to reflect a comprehensive collective response of local, state, and Tribal governments. As such, tribal governments have been included in this guidance.

AAR Contents

Section 2450 (b) of the SEMS Regulations states, "The after action report shall, at a minimum, be a review of response actions taken, application of SEMS, suggested modifications to SEMS, necessary modifications to plans and procedures, identified training needs, and recovery activities to date."

AARs for non-declared disasters / AARs as tools

AARs are used to document an event and to identify "corrective actions" that need to be completed. Overall, the AA/CA process improves the quality of emergency management in California. AA/CA reports should be completed for both declared and non-declared

disasters, for training/ exercises, and pre-identified planned events consistent with NIMS requirements.

After Action/Improvement Plan reporting for federally-funded exercises, see following item:

For exercises conducted using federal funding, such as DHS Office of Domestic Preparedness, Grants and Training funding, complete an After Action Report and Improvement Plan within the grant required timeframe of the event, and post the report on the ODP Grants and Training secure portal, or attach the Word version of the After Action/Corrective Action Report to the portal.

AAR/CA Process

The complete AAR/CA process involves five (5) basic components:

1. Compile and sort all documentation from the response and recovery activities.
2. Analyze and triage emergency response and recovery activities data by SEMS functions.
3. Prepare and submit the AAR, including corrective actions. [In many cases, the AAR will have corrective actions. These may not be final corrective actions, and they may not be the ones that become action items in a corrective action plan.]
4. Identify corrective action planning activities necessary based on the AAR.
5. Implement and track to completion the identified CAs.

Function of AA/CA Reports

The SEMS required OES AAR is the only one mandated to be available to state and local agencies. Non-OES agencies have no mandated need to share their reports with any agency except State OES. It should be noted that state and local government agencies are required to comply with requests under the California Public Records Act.

OES' AA/CA reports are available to all interested public safety and emergency management organizations and serve the following important functions:

- Provide a source for documentation of response and recovery activities
- Identify problems and successes that occurred during emergency operations
- Analyze the effectiveness of components of the SEMS
- Describe and defines a plan of action for implementing improvements, including mitigation activities

Importance of Documentation

Documentation is critical for developing AARs and must be initiated early in the response phase of a declared or non-declared event, a training/exercise, or a pre-identified planned event. Documentation:

- Is essential to operational decision-making
- May have future legal ramifications
- May have implications for determining reimbursement eligibility
- Is essential for the continual improvement of the emergency management system.

Initiate documentation process

Assign Responsibility for AAR:

- Initiate early during response phase
    - Assign responsibility to Planning/Intelligence Function
    - Assign the responsibility for collecting and filing all documents and data pertaining to the event
    - Emphasizes the importance of documentation
    - Allows for early identification of possible system improvements and facilitates possible on-the-spot improvements
    - Allows data to be compiled before too much time has elapsed and participants have returned to their normal duties
    - Allows for establishing timelines and expedites the actual preparation of the AAR
- Designated person assigned should have background in
    - Planning function
    - Emergency management organizational functions
    - SEMS
    - NIMS
- Continuance of documentation following Field and EOC deactivations.
    - Follow-up AAR function may be assigned to the same person involved early in the event to provide continuity.

Sources of Documentation

Documentation sources include, but are not limited to:

- Planning function reports and forms
- Data from all functions of the emergency organization
- Action plans developed to support operational period activities
- Forms used in the SEMS field level Incident Command Systems
- Unit activity logs and journals
- Response Information Management System (RIMS) forms and locally developed forms/reports that support the RIMS forms
- Written messages
- Function and position checklists
- Public information and media reports
- FEMA-developed forms
- Other forms or documentation.

Supplemental Documentation

Documentation developed during emergency operations can be supplemented with the following:

- Exit interview or critique forms completed as personnel rotate out of a function.
- Critiques performed at various time frames during and after emergency operational activities. Critiques may be conducted informally or with more formal, structured workshops.
- Surveys distributed to individuals and organizations after the event which can be used either for direct input to the AAR or as a basis for workshop discussions.

- Research teams can gather information and write the applicable portions of the AAR.
- Other AARs prepared by participating agencies and organizations may be utilized as a data gathering tool.

Data Organization and Structuring

There are many approaches to structuring and organizing compiled data.
Some questions to consider before preparing the AAR include:

- What is the purpose of the critique or survey?
- Who is the survey's audience?
- Have all key "players", for example, all activated personnel, been included in the survey/workshop?
- Does the survey/workshop process permit identification of internal, agency-specific improvements and corrective actions to be taken?
- Does the survey/workshop process permit identification of needed external improvements?
- Do the needed improvements involve the SEMS levels?
- Are the identified issues or problems linked to the appropriate corrective actions?
- Are SEMS functions (planning/intelligence, logistics, etc.) being assessed?
- Are all phases of emergency management reflected in the data collection process, including response, recovery, mitigation, and preparedness?
- Does the critique/survey format coincide with the after action report format?
- Does the designated person understand the assignment and tasks?

AAR Preparation

An eight step process to prepare the AAR is recommended. (The attached SAMPLE AAR template can be used, or another format can be used as appropriate to the organization):

1) Compile and sort by SEMS functions the information from surveys, critiques, and after action workshops.
2) Review and analyze documentation based on SEMS functional areas.
3) Evaluate lessons learned, areas needing improvement, corrective action recommendations, and use this information to develop proposed CAs.
4) Prepare draft AA/CA Report and distribute to participating state, local and tribal jurisdictions and private and volunteer organizations for review and comments.
5) Incorporate reviewer's comments as appropriate to develop a final draft report.
6) Redistribute the final draft to all previously identified reviewers for official approval.
7) Review and incorporate final comments from reviewers.
8) Prepare final AA/CA Report, obtain appropriate executive management approval, and forward the report to all participating jurisdictions, private and volunteer organizations, OES Regions, and OES Headquarters. For all events, tribal governments are invited to forward the approved AA/CA report to the next higher SEMS organization level.

Identification of CA planning activities
Corrective Action planning activities describe the actions that must be completed to alleviate the issue or problem identified in the AAR. This will require a system or method of following through, or tracking, the identified corrective action to ensure its completion. Depending on the complexity and severity of the identified issue or problem in the AAR, CAs could be briefly described in a matrix or may require the development of an integrated plan of action. Regardless of the complexity, each CA should contain:

- Description of the system and method of tracking the CA, that is, spreadsheet, database, etc., that will be used to ensure implementation of the CA
- Brief description of the issue or problem, and the needed corrective action or activity
- Party or organization(s) responsible for completing the CA
- Expected end product
- Expected completion date
- Funding source and justification of the need for funding in order to carry out CAs.
- Identification of cross-jurisdictional or multi-agency working groups needed to implement the CAs, if appropriate.

Tracking and Implementing Corrective Actions
Implementation of CAs frequently requires a significant amount of time and commitment that could continue well into the Recovery stage. In some instances, the corrective action plans may require several years to fully implement. Responsible parties for each CA should track the corrective action activities to ensure the improvement or CA remedy has been completed.

All levels of SEMS are encouraged to formalize processes for follow-up on CAs as part of the SEMS/NIMS integration process.

For declared events:
Statewide AAR/CA
State OES will compile a consolidated statewide AAR for declared events in compliance with the SEMS statute and regulations. This consolidated AAR will also include proposed CAs, based upon input from the appropriate agencies and jurisdictions**.** This consolidated report is referred to as the AAR.

OES Coordination of Local, Tribal, and State Agency Input
To facilitate timely completion of the Statewide AAR and to provide assistance for state and local agencies with reporting requirements, OES, in accordance with its procedures, will do the following:

1. Notify the appropriate jurisdictions, agencies, and other interested parties of the Statewide AAR requirements and 90-day timeframe for submission of their AARs.

2. Establish a work group and work plan for developing the Statewide AAR.

3. Gather data for the Statewide AAR using a variety of methods, including, but not limited to workshops, hot-washes, interviews, and AARs from the appropriate agencies/departments, and jurisdictions.

4. Prepare a draft Statewide AAR that includes the proposed CAs and circulate it for review and comment among the appropriate interested parties. As part of this review process, state agencies and/or departments may be requested to obtain approval of their AAR input from their agency/department, or branch for their component of the consolidated Statewide AAR.

5. Prepare a final AAR using comments obtained during the review process. The final AAR will be distributed both electronically and in hardcopy format to the appropriate interested parties. CAs will be shared with the emergency management community and strategies will be developed for implementing the CAs. Strategy development or event specific CA plans will be a collaborative effort among the organizations involved in an event

For non-declared events:

Note: A similar process as that described in the previous section for declared events, may be followed for non-declared events, exercises/trainings, or pre-identified planned events, based upon OES' determination that an AAR process is appropriate and would benefit emergency management in California.

After Action/Improvement Plan reporting for federally funded exercises:

For federally funded exercises, follow the applicable grant guidelines/conditions.

Corrective Action Components

Plans for improving and/or correcting items identified in the AAR should address multiple areas. For each principal corrective action identified, include the following information:

- Issue Description (identified issue or problem)
- Description of corrective actions to be taken and/or recommendations
- Identify the SEMS level and function that connects with the CA
- Assignments – Identify agencies/departments/ jurisdictions/ positions that would be involved with correcting the issue or problem
- Associated costs and budget for carrying out corrective actions, if available
- Timetable for completion of the identified corrective actions, if known
- Follow-up responsibility (identify agencies/ jurisdictions/ positions that will be involved with following-up on or tracking the corrective action to completion, if known)
- Documentation to verify the corrective actions taken to completion

AA/CA in Recovery Phase

SEMS regulations call for identifying "Recovery activities to date." The Recovery activities listed in the AAR are the likely areas that will fall within the 120 day scope. The Joint Field Office (JFO) may develop a separate AAR to address Recovery activities.

It is the responsibility of the key stakeholders to develop the CA measures needed to remedy any problems identified in the JFO AAR.

Recovery Activities
The description of Recovery Activities should include the following information:

- General background and description of recovery activities performed by participating agencies
- Proclamation/Declaration process
- Joint Field Office (description of locations and services offered to public)
- Damage Assessment (description of assessed damages)
- Safety Assessment Program activities
- Public Assistance Programs (description of activities and services provided to government agencies that were adversely impacted by the disaster)
- Applicant Briefings
- Individual Assistance Program (description of services/programs offered to individuals adversely affected by the disaster)
- Activation of Assistance Centers (description of services offered to public)
- Hazard Mitigation Program (description of services offered)

Based on the number of agencies involved in the response, recovery, and mitigation activities, those activities identified by participating agencies may be displayed in the body of the report, or they may be displayed in an attachment that delineates the information by each participating agency.

Key AA/CA Definitions (see next page):

Key AA/CA Definitions

Key terms associated with the AA/CA reporting process are in the following table:

TERMS	DEFINITION
After Action Report (AAR)	In SEMS, a report required to be completed within 120 days after each declared disaster of public safety response and disaster recovery activities that results in a State of Emergency (ESA §8607 (1)). It documents an event, contains information regarding the event, and identifies areas needing improvement, or corrective actions (CA).
After Action Review / "Hot-wash"	A facilitated meeting with event participants designed to capture key aspects of an event, including "what went right" and "what needs improvement?"
Actions for improvement	Those actions that need to be carried out in order to remedy the identified problem areas. See "Corrective actions".
Corrective actions	Those actions taken to remedy issues or problems identified in the AAR as areas needing improvement.
Corrective Action Plan	Work plan or matrix that describes the corrective action to be taken, what agency is responsible for carrying out the CA, the expected outcome of the CA, and the expected timeframe for completion. The tracking mechanism utilized for CA implementation may also be described in the work plan or matrix.
Close of incident period	Determined by OES Director.
Disaster relief efforts	All emergency response and recovery efforts/activities
Pre-identified planned event	Anticipated and planned special events, such as a large community event that can be used as a training opportunity and/or exercise of emergency management disciplines.
Response	Pre-Impact: When emergency managers are able to recognize the approach of a potential disaster, actions are taken to save lives and protect property. Immediate Impact: The phase during which emphasis is placed on saving lives, controlling the situation, and minimizing the effects of the disaster. Sustained: Assistance provided to victims of the disaster and

	the efforts that are made to reduce secondary damage.
Recovery	Recovery activities are those necessary to restore services and systems to a state of normalcy. Recovery actions include damage assessment and those necessary to return health and safety systems (e.g., water) and services (e.g., acute health care) to minimum operating standards. Various recovery activities are likely to be long-term and may continue for many years. For purposes of this guidance, Recovery will be limited to those initial recovery activities such as preliminary damage assessments, Safety Assessment Program activities and initial cost recovery activities, including documentation collection and preliminary analysis. Recovery activities, for purposes of this guideline, will include activities associated with the development of the • Initial Damage Estimates, • Proclamation/Declaration procedure implementation, • Establishment of the Local Assistance Centers, • Applicant briefings, and the • Transition and initial set up of the Joint Field Office. Other recovery activities may be included depending on the type and severity of the disaster, as well as the number of Operational Areas involved. Recovery activities not covered by the Statewide AAR will be included in a Supplemental AAR that will be developed at the close of the Joint Field Office (JFO).
Mitigation	Pre-event planning and other actions which lessen the effects of potential disasters.
NIMS	National Incident Management System
SEMS	California's Standardized Emergency Management System (Govt. Code 8607, CA CCR, Title 19, 2400-2450)
SEMS/NIMS	Acronym depicting a process of integrating NIMS requirements into SEMS.

DRAFT - Sample AA/CA Report Template

The following pages contain a template that can be used as appropriate by local, state, or tribal governments.

Draft – Sample AA/CA Report Template – a form template that can be used for after action and corrective action reporting for a declared or un-declared event, a training, and/or exercise.

Note:
The draft AA/CA Report template that follows is currently under revision by the SEMS AA/CA Specialist Committee in an effort to incorporate required reporting fields for local government conducting federally funded exercises.

For federally funded exercises, follow the applicable grant guidelines/conditions for after action reviews and improvement plans.

Note:
This draft AA/CA Report template is currently under revision by the SEMS AA/CA Specialist Committee in an effort to incorporate required reporting fields for local government conducting federally funded exercises.

DRAFT - Sample AA/CA Report Template

for response to
(Fill in name of event)

(This AA/CA Report template can be used for a declared or un-declared event, a training, and/or exercise).

GENERAL INFORMATION

Name of Agency	**Text goes in text boxes below.**
Name of Agency	
Type of Agency* * City, County, Operational Area (OA), State agency (State), Federal agency (Fed), special district, Tribal Nation Government, UASI City, non-governmental or volunteer organization, other (Select one)	
OES Admin Region (Coastal, Inland, or Southern)	
Completed by:	
Position	
Phone number and email address	
Dates and Duration of event (When your agency began and ended response activities - using mm/dd/yyyy)	
Date report completed	
Type of event* *Table top, functional, full scale, actual event, pre-identified planned event,	

training, class room training (Select one and enter the name of exercise or event)	
Hazard or Exercise Scenario* *Avalanche, Civil Disorder, Dam Failure, Drought, Earthquake, Fire (structural), Fire (Woodland), Flood, Landslide, Mudslide, Terrorism, Tsunami, Winter Storm, Other	
EXERCISE or TRAINING OVERVIEW	
Mission Brief overview of the event, major strengths demonstrated during the exercise, areas that require improvement.	
Event Overview Describe the specific details of the exercise, how event or exercise was structured, how was event or exercise carried out.	
Hazard or Exercise Scenario* *Avalanche, Civil Disorder, Dam Failure, Drought, Earthquake, Fire (structural), Fire (Woodland), Flood, Landslide, Mudslide, Terrorism, Tsunami, Winter Storm, Other	
Total Participants	
Number of agencies involved	
Lead/Host Agency	

SEMS/NIMS FUNCTION EVALUATION

MANAGEMENT (Public information, Safety, Liaison, etc.)

	Satisfactory	Needs Improvement
Overall Assessment of Function (check one)		

If "needs improvement" please briefly describe improvements needed:	
Planning	
Training	
Personnel	
Equipment	
Facilities	

FIELD COMMAND (Use for assessment of field operations, if applicable)

Field Command Type (i.e. Fire, Law Enforcement, Shelter, etc.):

	Satisfactory	Needs Improvement
Overall Assessment of Function (check one)		

If "needs improvement" please briefly describe improvements needed:	
Planning	
Training	
Personnel	
Equipment	
Facilities	

OPERATIONS (Law enforcement, fire/rescue, medical/health, etc.)

	Satisfactory	Needs Improvement
Overall Assessment of Function (check one)		

If "needs improvement" please briefly describe improvements needed:	
Planning	
Training	
Personnel	

Equipment	
Facilities	

PLANNING/INTELLIGENCE (Situation analysis, documentation, GIS, etc.)

	Satisfactory	Needs Improvement
Overall Assessment of Function (check one)		

If "needs improvement" please briefly describe improvements needed:	
Planning	
Training	
Personnel	
Equipment	
Facilities	

LOGISTICS (Services, support, facilities, etc.)

	Satisfactory	Needs Improvement
Overall Assessment of Function (check one)		

If "needs improvement" please briefly describe improvements needed:	
Planning	
Training	
Personnel	
Equipment	
Facilities	

FINANCE/ADMINISTRATION (Purchasing, cost unit, etc.)

	Satisfactory	Needs Improvement
Overall Assessment of Function (check one)		

If "needs improvement" please briefly describe improvements needed:	
Planning	
Training	
Personnel	

Equipment	
Facilities	

AFTER ACTION REPORT QUESTIONNAIRE
(The responses to these questions can be used for additional SEMS/NIMS evaluation)

Response/Performance Assessment Questions	yes	no	Comments
1. Were procedures established and in place for responding to the disaster?			
2. Were procedures used to organize initial and ongoing response activities?			
3. Was the ICS used to manage field response?			
4. Was Unified Command considered or used?			
5. Was your EOC and/or DOC activated?			
6. Was the EOC and/or DOC organized according to SEMS?			
7. Were sub-functions in the EOC/DOC assigned around the five SEMS functions?			
8. Were response personnel in the EOC/DOC trained for their assigned position?			
9. Were action plans used in the EOC/DOC?			
10. Were action planning processes used at the field response level?			
11. Was there coordination with volunteer agencies such as the Red Cross?			
12. Was an Operational Area EOC activated?			
13. Was Mutual Aid requested?			
14. Was Mutual Aid received?			
15. Was Mutual Aid coordinated from the EOC/DOC?			
16. Was an inter-agency group established at the EOC/DOC level? Were they involved with the shift briefings?			
17. Were communications established and maintained between agencies?			
18. Was the public alert and warning conducted according to procedure?			
19. Was public safety and disaster information coordinated with the media through the JIC?			
20. Were risk and safety concern addressed?			
21. Did event use ESFs effectively and did ESF have clear understanding of local capability?			
22. Was communications inter-operability an issue?			

Additional Questions

20. What response actions were taken by your agency? Include such things as mutual aid, number of personnel, equipment and other resources. ***Note: Provide statistics on number of personnel and number/type of equipment used during this event. Describe response activities in some detail.***

_____
_____
_____
_____
_____

21. As you responded, was there any part of SEMS/NIMS that did not work for your agency? If so, how would (did) you change the system to meet your needs?

_____
_____
_____
_____

22. As a result of your response, did you identify changes needed in your plans or procedures? Please provide a brief explanation.

_____
_____
_____
_____

23. As a result of your response, please identify any specific areas needing training and guidance that are not covered in the current SEMS Approved Course of Instruction or SEMS Guidelines.

_____
_____
_____
_____

24. If applicable, what recovery activities have you conducted to date? Include such things as damage assessment surveys, hazard mitigation efforts, reconstruction activities, and claims filed.

_____
_____
_____
_____

NARRATIVE
Use this section for additional comments.

_____
_____
_____
_____
_____
_____
_____
_____

POTENTIAL CORRECTIVE ACTIONS
Identify issues, recommended solutions to those issues, and agencies that might be involved in implementing these recommendations. Address any problems noted in the SEMS/NIMS Function Evaluation. Also indicate whether issues are an internal agency specific or have broader implications for emergency management (Code I= Internal; R =Regional, for example, OES Mutual Aid Region, Administrative Regions, geographic regions, S=Statewide implications)

Code	Issues or Problem Statement	Recommended Solution	Agency(s)/Departments to be involved

OES (insert name of event) EMAC/SEMS After Action Survey

NOTE: Please complete the following section **ONLY** if you were involved with EMAC related activities.

Did you complete and submit the on-line EMAC After Action Survey form for *(Insert name of the disaster)*?

_____

Have you taken an EMAC training class in the last 24 months?

_____

Please indicate your work location(s) (State / County / City / Physical Address):

_____

_____

Please list the time frame from your dates of service (Example: 09/15/05 to 10/31/05):

_____

_____

Please indicate what discipline your deployment is considered (please specify):

_____

_____

Please describe your assignment(s):

_____

_____

_____

_____

Questions:
You may answer the following questions with a "yes" or "no" answer but if there were issues or problems, please identify them along with recommended solutions, and agencies that might be involved in implementing these recommendations.

	Questions	Issues or Problem Statement	Recommended Solution	Agency(s) / Departments to be involved
1	Were you familiar with EMAC processes and procedures prior to your deployment?			
2	Was this your first deployment **outside** of California?			
3	Where your travel arrangements made for you? If yes, by whom?			
4	Were you fully briefed on your assignment prior to deployment?			

	Questions	Issues or Problem Statement	Recommended Solution	Agency(s) / Departments to be involved
5	Were deployment conditions (living conditions and work environment) adequately described to you?			
6	Were mobilization instructions clear?			
7	Were you provided the necessary tools (pager, cell phone, computer, etc.) needed to complete your assignment?			
8	Were you briefed and given instructions upon arrival?			
9	Did you report regularly to a supervisor during deployment? If yes, how often?			
10	Were your mission assignment and tasks made clear?			
11	Was the chain of command clear?			
12	Did you encounter any barriers or obstacles while deployed? If yes, identify.			
13	Did you have communications while in the field?			
14	Were you adequately debriefed after completion of your assignment?			
15	Since your return home, have you identified or experienced any			

	Questions	Issues or Problem Statement	Recommended Solution	Agency(s) / Departments to be involved
	symptoms you feel might require "Critical Stress Management" (i.e., Debriefing)?			
16	Would you want to be deployed via EMAC in the future?			

Please identify any additional issues or problems below:

	Issues or Problem Statement	Recommended Solution	Agency(s) / Departments to be involved

Additional Questions

Identify the areas where EMAC needs improvement (check all that apply):

- ☐ Executing Deployment
- ☐ Command and Control
- ☐ Logistics
- ☐ Field Operations
- ☐ Mobilization and Demobilization

Comments:

_____
_____
_____
_____
_____
_____

Identify the areas where EMAC worked well:

_____
_____
_____
_____
_____

Identify which EMAC resource needs improvement (check all that apply):

- ☐ EMAC Education
- ☐ EMAC Training
- ☐ Electronic REQ-A forms
- ☐ Resource Typing
- ☐ Resource Descriptions
- ☐ Broadcast Notifications
- ☐ Website

Comments:

_____
_____
_____
_____
_____
_____

As a responder, was there any part of EMAC that did not work, or needs improvement? If so, what changes would you make to meet your needs?

_____
_____
_____
_____
_____
_____

Please provide any additional comments that should be considered in the After Action Review process (use attachments if necessary):

_____
_____
_____
_____
_____
_____
_____
_____

OES Only Form received on: _____ Form reviewed on _____

Resource Management Supporting Material

The following pages contain information pertaining to the Fiscal Year 2006 NIMS requirements regarding resource listing. There is a comment form, a listing, a cross-reference glossary, and a resource inventory data sheet as follows:

1. *Resource Typing Comments Form*
2. *Listing of the 120 Resources by Discipline*
3. *California/NIMS Cross-Reference Glossary of 120 Typed Resources*
4. *Resource Inventory Data Sheet*

Resource Management Supporting Material

What has been done?
One hundred-twenty resources were typed by working groups convened by the National Integration Center (NIC) consisting of subject matter experts and federal, state, and local responders who would be "using" the definitions to inventory their assets and to support mutual aid requests. The working groups consisted of

- Animal Protection (7 teams)
- Incident Management (22 types)
- Emergency Medical Services (6 types)
- Fire/Hazardous Materials (19 types)
- Health and Medical Resources (9 types)
- Law Enforcement (6 types)
- Public Works (34 types)
- Search and Rescue (17 types)

Although subject matter experts for these working groups have already been identified, the NIC welcomes participation into the stakeholder review group. Stakeholders receive updates on working groups' progress and are able to review draft documents under development. Potential stakeholders should contact the NIC at 202.646.3850 or by
e-mail at: nims-integration-center@dhs.gov.

Resource Typing Comments Form

CONTACT INFORMATION
Name: Agency/Department/Company:
Phone Number: Email Address:

RESOURCE: New Resource Modification to Existing Resource
(Please check one)

Resource Name: *Note: If this is a new resource, please enter an appropriate resource name*

CATEGORY: Transportation Health and Medical
(Please check one) Communications Search and Rescue
Public Works and Engineering Hazardous Materials and Response
Firefighting Food and Water
Information and Planning Energy
Law Enforcement and Security Public Information
Mass Care Animals and Agriculture issues
Resource Management Volunteers and Donations

KIND: Aircraft Personnel Other (please describe)
(Please check one) Team Supply
Equipment Vehicle

SUGGESTION(S)/COMMENT(S):

ADDITIONAL RECOMMENDED CONTACT PERSON(S) TO ADDRESS THIS ISSUE WITH:

Name: Title: Department/Agency/Company: Phone Number: Email Address: Experience:

PLEASE SUBMIT TO: NIMS-Integration-Center@dhs.gov

Listing of the 120 Resources by Discipline

120 Resource Types

Animal Protection (7 teams)

1. Large Animal Rescue Strike Team
2. Large Animal Sheltering Team
3. Large Animal Transport Team
4. Small Animal Rescue Strike Team
5. Small Animal Sheltering Team
6. Small Animal Transport Team
7. Incident Management Team Animal Protection

Incident Management Resources (22 types)

1. Airborne Communications Relay Team (Fixed-Wing)
2. Airborne Communications Relay Team (CAP)
3. Airborne Transport Team (Fixed-Wing)
4. Communications Support Team (CAP)
5. Critical Incident Stress Management Team
6. Donations Coordinator
7. Donations Management Personnel/Team
8. EOC Finance/Administration Section Chief/Coordinator
9. EOC Management Support Team
10. EOC Operations Section Chief
11. EOC Planning Section Chief
12. Evacuation Coordination Team
13. Evacuation Liaison Team (ELT)
14. Incident Management Team
15. Individual Assistance Disaster Assessment Team
16. Individual Assistance Disaster Assessment Team Leader
17. Mobile Communications Center (Also referred to as "Mobile EOC")
18. Mobile Feeding Kitchen (Mobile Field Kitchen)
19. Public Assistance Coordinator
20. Rapid Needs Assessment Team
21. Shelter Management Team
22. Volunteer Agency Liaison

Emergency Medical Services Resources (6 types)

1. Air Ambulance (Fixed-Wing)
2. Air Ambulance (Rotary-Wing)
3. Ambulances (Ground)
4. Ambulance Strike Team
5. Ambulance Task Force
6. Emergency Medical Task Force

Fire and Hazardous Materials Resources (19 types)

1. Area Command Team, Firefighting
2. Brush Patrol, Firefighting (Type VI Engine)
3. Crew Transport (Firefighting Crew)
4. Engine, Fire (Pumper)
5. Fire Boat
6. Fire Truck - Aerial (Ladder or Platform)
7. Foam Tender, Firefighting
8. Fuel Tender (Gasoline, Diesel, AvGas, aka Gas Tanker)
9. Hand Crew
10. HazMat Entry Team
11. Helicopters, Firefighting
12. Helitanker (firefighting helicopter)
13. Incident Management Team, Firefighting
14. Interagency Buying Team, Firefighting
15. Mobile Communications Unit (Law/Fire)
16. Portable Pump
17. Strike Team, Engine (Fire)
18. U.S. Coast Guard National Strike Force
19. Water Tender, Firefighting (Tanker)

Health and Medical Resources (9 Types)

1. Disaster Medical Assistance Team (DMAT) - Basic
2. Disaster Medical Assistance Team (DMAT) - Burn Specialty
3. Disaster Medical Assistance Team (DMAT) - Crush Injury Specialty
4. Disaster Medical Assistance Team (DMAT) - Mental Health Specialty
5. Disaster Medical Assistance Team (DMAT) - Pediatric Specialty
6. Disaster Mortuary Operational Response Team (DMORT)
7. International Medical Surgical Response Team (IMSuRT)
8. NDMS Management Support Team (MST)
9. Veterinary Medical Assistance Team (VMAT)

Law Enforcement and Security Resources (6 Types)

1. Bomb Squad/Explosives Team
2. Law Enforcement Aviation-Helicopters-Patrol &Surveillance
3. Law Enforcement Observation Aircraft (Fixed-Wing)
4. Mobile Field Force Law Enforcement (Crowd Control Teams)
5. Public Safety Dive Team
6. SWAT/Tactical Teams

Public Works Resources (34 types)

1. Air Conditioner/Heater
2. Air Curtain Burners (Fire Box-Above Ground, Refractory Walled)
3. Air Curtain Burners (Trench Burner, In-Ground)
4. All Terrain Cranes
5. Backhoe Loader

6. Chillers & Air Handlers (500 Ton to 50 Ton)
7. Concrete Cutter/Multi-Processor for Hydraulic Excavator
8. Crawler Cranes
9. Debris Management Monitoring Team
10. Debris Management Site Reduction Team
11. Debris Management Team
12. Disaster Assessment Team
13. Disaster Recovery Team
14. Dump Trailer (one type/example only)
15. Dump Truck-Off Road
16. Dump Truck-On Road
17. Electrical Power Restoration Team (Example)
18. Engineering Services
19. Flat Bed Trailer Truck (one-type/example only)
20. Generators
21. Hydraulic Excavator (Large Mass Excavation 13cy to 3cy buckets)
22. Hydraulic Excavator (Medium Excavation 4cy to 1.75 cy buckets)
23. Hydraulic Truck Cranes
24. Lattice Truck Cranes
25. Track Dozer
26. Tractor Trailer (Example Only)
27. Tub Grinder
28. Tug Boat
29. Water Purification Team (USACE Emergency Water Teams)
30. Water Truck (example only)
31. Wheel Dozer
32. Wheel Loaders (Large 41cy to 8cy)
33. Wheel Loaders (Medium 7 cy to 3cy)
34. Wheel Loaders (Small 7cy to 2 cy)

Search & Rescue (17 types)

1. Air Search Team (Fixed-Wing)
2. Airborne Reconnaissance (Fixed-Wing)
3. Canine Search and Rescue Team - Avalanche Snow Air Scent
4. Canine Search and Rescue Team - Disaster Response
5. Canine Search and Rescue Team - Land Cadaver Air Scent
6. Canine Search and Rescue Team - Water Air Scent
7. Canine Search and Rescue Team - Wilderness Air Scent
8. Canine Search and Rescue Team - Wilderness Tracking/Trailing
9. Cave Search and Rescue Team
10. Collapse Search and Rescue Team
11. Mine and Tunnel Search and Rescue Team
12. Mountain Search and Rescue Team
13. Radio Direction Finding Team
14. Swiftwater/Flood Search and Rescue Team
15. US&R Incident Support Team

16. US&R Task Forces
17. Wilderness Search and Rescue Team

Grand Total: 120 Resource Types

NOTE:
For the complete downloadable listing of DHS Typed Resources, which if fairly large with descriptions, go to the NIMS website:
http://www.fema.gov/emergency/nims/mutual_aid.shtm

California/NIMS Cross-Reference Glossary of 120 Typed Resources

Discipline	California Type	California Descriptor	NIMS Comparable (From 120 Types)	NIMS Type	NIMS Descriptor
Fire and Haz Mat	Not Typed	Not Typed	Area Command Team, Firefighting	I	Area Commander (ACDR)
Fire and Haz Mat	Not Typed	Not Typed	Area Command Team, Firefighting	I	Asst. Area Commander Planning (ACPC)
Fire and Haz Mat	Not Typed	Not Typed	Area Command Team, Firefighting	I	Asst. Area Commander Logistics (ACLC)
Fire and Haz Mat	Not Typed	Not Typed	Area Command Team, Firefighting	I	Area Commander Aviation Coordinator (ACAC)
Fire and Haz Mat	Fire Truck Company	Fire Truck - Aerial	Fire Truck Aerial	Fire Truck	Fire Truck - Aerial (Ladder or Platform)
Fire and Haz Mat	Hand Crew	III & IV not typed	Initial attack, fireline construction, firing to include burnout	III	Handcrew
Fire and Haz Mat	Hand Crew	III & IV not typed	Fireline construction, Fireline improvement, mop-up and rehab	IV	Handcrew
Fire and Haz Mat	HazMat Entry Team	NIC is displayed differently but almost identical		Type I,II and III	HazMat Response
Fire and Haz Mat	Not Typed	N/A	Interagency Buying Team		Interagency Buying Team

Resource Inventory Data Sheet

Jurisdictional Name - Operational Area

Discipline Category	Item (team, personnel, equipment)	Quantity	Type I	Type II	Type II	Type IV	Jurisdictionally Controlled (Y/N) (if not indicate other jurisdictions)	Shared? With what other jurisdictions	In California Glossary (Y/N)	Ownership? (Public, Private, Contract)	Date Entered	Comments

Private Sector Supporting Materials

This section contains an abundance of resource information and examples on how the private sector can be included into emergency management at all governmental levels.

The following information addresses:

1. *Volunteer Group and NGO*
2. *Volunteer/Service Programs*
3. *Networks of Voluntary Organizations and Vlunteer Programs*
4. *Interaction/Integration Listing of Topics and Issues for Local Government Placement of Voluntary Organizations and Volunteer Programs in the Emergency Response Organization*
5. *Strategies for Integration of NGOs and Volunteer/Service Programs (Chart)*
6. *Best Practices/Examples of NGO and VSP Integration with Government*
7. *NGO and VSP Trends and Issues*

State of California Models

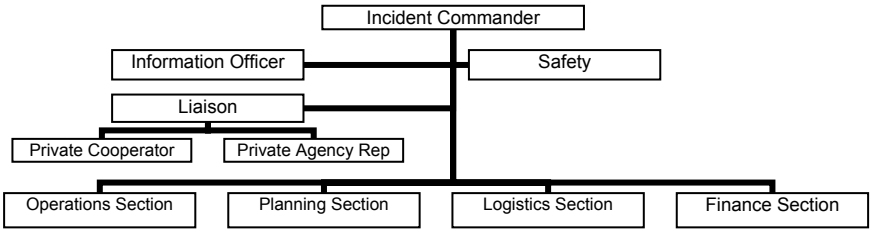
The following materials represent information available in existing resources within one State agency and one State Program.

California Department of Forestry

The Field Operations Guide for CDF describes the role of the Liaison Officer who operates in the Command Section. The following tasks are listed along with many others:

- Maintain a list of assisting and cooperating agencies.
- Keep agencies supporting the incident aware of incident status.
- Monitor incident operations to identify current or potential inter-organizational problems.
- Participate in planning meetings, providing current resource status, including limitations and capability of assisting agencies.

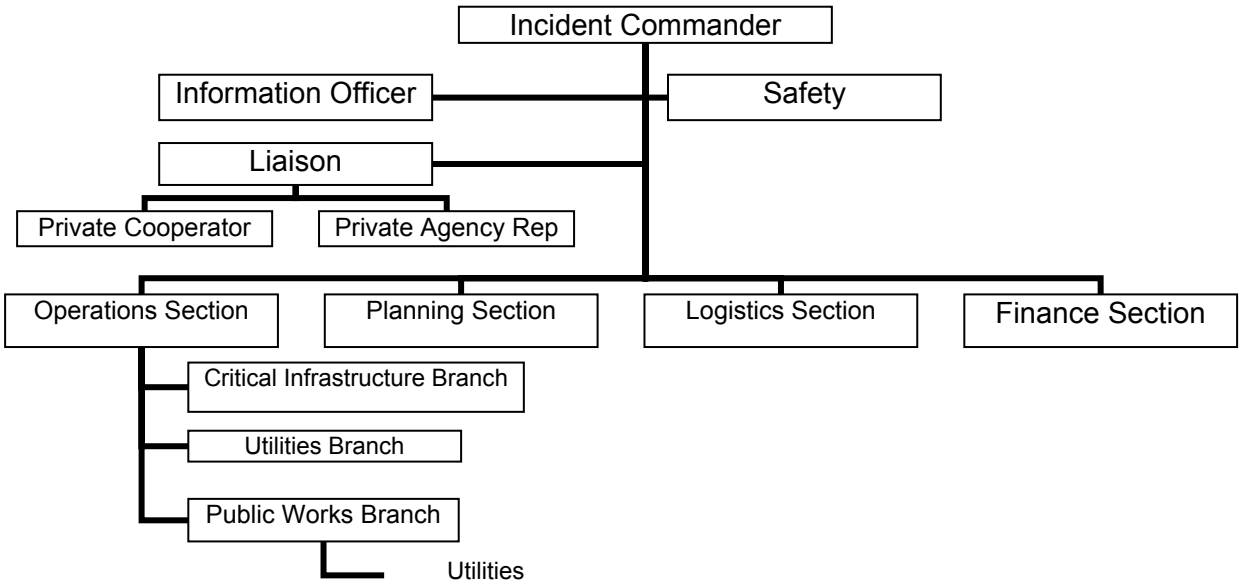
"Cooperators" are representatives of private organizations that can provide support to the activities of the commander and response organizations involved. This concept allows outside private resources an opportunity to participate in the decision making process at the scene. While the CDF FOG Manual this focuses on the activities at the field level, the same concept can be carried forward into the local, operational and regional levels.



Hurricane Katrina Lessons Learned

Based on preliminary lessons learned from Hurricane Katrina, the impacts on critical infrastructure identified the need to evaluate the potential for creating positions within the Operations Section that would allow the multi response groups to work closely with the critical infrastructure groups in providing input into and implementing an action plan. The following diagram demonstrates the various possible locations for a Critical Infrastructure

Branch or identification of a work group or task team within the Public Works Branch of the Operations Section. The result is a demonstration of how private resources can have multiple inputs into the Incident Command System. The concepts here can also be applied to the EOC level of response.



The White House Reports on Hurricane Katrina

The following is a direct excerpt relating to the inclusion of private sector planning in emergency management. The sources is the White House Report on Hurricane Katrina:

> "Hurricane Katrina had a significant impact on many sectors of the region's "critical infrastructure," especially the energy sector. The Hurricane temporarily caused the shutdown of most crude oil and natural gas production in the Gulf of Mexico as well as much of the refining capacity in Louisiana, Mississippi, and Alabama. "[M]ore than ten percent of the Nation's imported crude oil enters through the Louisiana Offshore Oil Port" adding to the impact on the energy sector. Additionally, eleven petroleum refineries, or one-sixth of the Nation's refining capacity, were shut down. Across the region more than 2.5 million customers suffered power outages across Louisiana, Mississippi, and Alabama.
>
> "While there were successes, the Federal government's ability to protect and restore the operation of priority national critical infrastructure was hindered by four interconnected problems. First, the NRP-guided response did not account for the need to coordinate critical infrastructure protection and restoration efforts across the Emergency Support Functions (ESFs). The NRP designates the protection and restoration of critical infrastructure as essential objectives of five ESFs: Transportation; Communications; Public Works and Engineering;

Agriculture; and Energy. Although these critical infrastructures are necessary to assist in all other response and restoration efforts, there are seventeen critical infrastructure and key resource sectors whose needs must be coordinated across virtually every ESF during response and recovery. Second, the Federal government did not adequately coordinate its actions with State and local protection and restoration efforts. In fact, the Federal government created confusion by responding to individualized requests in an inconsistent manner. Third, Federal, State, and local officials responded to Hurricane Katrina without a comprehensive understanding of the interdependencies of the critical infrastructure sectors in each geographic area and the potential national impact of their decisions. For example, an energy company arranged to have generators shipped to facilities where they were needed to restore the flow of oil to the entire mid-Atlantic United States. However, FEMA regional representatives diverted these generators to hospitals. While lifesaving efforts are always the first priority, there was no overall awareness of the competing important needs of the two requests. Fourth, the Federal government lacked the timely, accurate, and relevant ground-truth information necessary to evaluate which critical infrastructures were damaged, inoperative, or both. The FEMA teams that were deployed to assess damage to the regions did not focus on critical infrastructure and did not have the expertise necessary to evaluate protection and restoration needs.

"The Interim National Infrastructure Protection Plan (NIPP) provides strategic-level guidance for all Federal, State, and local entities to use in prioritizing infrastructure for protection. However, there is no supporting implementation plan to execute these actions during a natural disaster. Federal, State, and local officials need an implementation plan for critical infrastructure protection and restoration that can be shared across the Federal government, State and local governments, and with the private sector, to provide them with the necessary background to make informed preparedness decisions with limited resources."

General Lesson Learned

The Department of Homeland Security, working collaboratively with the private sector, should revise the National Response Plan and finalize the Interim National Infrastructure Protection Plan to be able to rapidly assess the impact of a disaster on critical infrastructure. We must use this knowledge to inform Federal response and prioritization decisions and to support infrastructure restoration in order to save lives and mitigate the impact of the disaster on the Nation.

Recommendation 100

DHS should condition State and local grants, under the Homeland Security Grant program, on incorporating NGOs and the private sector into their emergency planning, training, exercises, and disaster relief efforts. These revised plans should include the following:

1. Participation of NGOs, including small regional and local groups, in planning for disaster response and recovery efforts; and
2. Pre-determined roles and responsibilities for volunteer organizations, which identify their mission, capabilities, training, and certification.

An improved plan to incorporate and connect volunteers and private sector assets with emergency management officials would have enabled the better use of NGO contributions. Some states have improved how NGOs respond to incidents by creating a volunteer and social service infrastructure. In Florida and North Carolina, NGOs and emergency managers have formalized their relationships at the State and local level by including a volunteer coordinator in the State EOC. As a result, their State and local emergency managers better understand what non-governmental assistance is available before, during, and after a disaster.

Federal, State, and local officials should use the National Preparedness Goal's *Target Capabilities List: Volunteer Management and Donations* as the standard to improve capabilities. The next version of the Target Capabilities List should expand the explanation of the roles and responsibilities of volunteer organizations and include establishing their role in staffing State emergency operations centers.

Recommendation 101

DHS should improve access to, and awareness of, private sector and non-governmental resources available for use during emergency response operations. This process should include the following:

1. Pre-arranged and contingency contracting;
2. Provision of requirements estimates to NGOs and private sector organizations that are willing to provide resources during catastrophic events;
3. Consistent, accurate, and timely messaging of resource needs to NGOs;
4. Providing NGOs and private sector organizations with information on reimbursement and access to Federal aid;
5. Development of robust donations and volunteer management software system standards;
6. Completing the development of a credentialing system, already being created by FEMA's NIMS Integration Center, to allow authorized volunteers and workers restoring critical infrastructure access to relief sites; and

7. Identification of what Federal, State, or local support NGOs will need to sustain operations (sanitation, electricity, food, and water).

The Federal government cannot comprehensively plan and coordinate how NGOs and private sector entities will respond locally or regionally in a catastrophic disaster. ***State and local officials must take the lead in planning the best use of non-governmental resources at the local level***. All States should consider existing models to coordinate and integrate non-governmental resources in disaster planning and response, recognizing that business-government partnerships require a level of trust and agility most easily built at the regional level.

Recommendation 102

Legal and liability impediments to the use and coordination of non-governmental and private sector resources during a catastrophic event should be removed. Measures that should be implemented include:

1. DHS should lead an interagency effort to remove Federal legal and liability impediments to the use and coordination of non-governmental and private sector resources during a catastrophic event. Encourage the passage and enactment of S.1747, currently pending in the 109th Congress, a Bill to limit liability for volunteers and those providing goods and services for disaster relief.
2. Recommending uniform provisions for State law similar to the Non-Liability of Federal Government provision in the Stafford Act, to ease State and local government fear of legal liability;
3. Recommending uniform State "good Samaritan" laws to protect organizations donating goods and services from legal liability;
4. Revision of the two-year maximum service rule for national service programs, such as AmeriCorps, to allow experienced volunteers to continue serving after two years; and
5. Simplification and clarification of Federal auditing and oversight procedures during a disaster. We should allow trusted organizations (those with established Federal relationships) to respond quickly during a disaster and wait to review their activities post-disaster.

New Jersey TOPOFF Exercise

The following notes were drafted and presented at the private sector roundtable held by BENS (Business Executives for National Security) following the April 2005 TOPOFF exercise. The information is a summary. The full text can be found at www.llis.gov .

- Item 1:

An overriding consideration in bio-terror defense/prevention planning is accounting for the human factor. The effects of a delayed, stealthy attack can be immediately devastating and carry longer-term emotional, health and environmental implications. The computer model used for the New Jersey venue dramatically illustrated how a bio-terror or pandemic event will indiscriminately cut across all economic sectors regardless of the intended target.

While physical infrastructure is largely unaffected by a bio-terror strike, it is the people running the nation's facilities, plants and sites who suffer the blow head-on. Workers, particularly those with critical skills, represent a vital "sub-system" even where daily operations are automated.

- Item 2:
  If governmental response efforts are stretched or stressed, Private Sector assistance to the state will revolve around the following considerations:

  1. Who makes the call to State Office of Emergency Services?
  2. Who has the authority to approve resource requests from the state?
  3. What risks are involved?
  4. Who can best represent the interests of a diverse group like the Private Sector?

- Item 3:
  A key lesson gleaned from TOPOFF 3 was the ripple effect government decisions may have on Private Sector operations. Certain government decisions can carry severe economic consequences. If done in a vacuum, unilateral actions could adversely affect small and large business and potentially set into motion crippling economic dominos.

  For example, changes in threat levels may convey meanings and protective postures different from what government intended depending on the business sectors involved. Raising ones protective posture carries a price tag. Over time, heightened vigilance can prove very expensive. Whenever possible, overlaying cost models against possible courses of action can help identify risk factors. Another lesson learned dealt with protecting Private Sector information shared with the Department of Homeland Security (DHS).

- Item 4:
  The concept of a Private Sector Liaison Desk in the state EOC was wholeheartedly endorsed by the Roundtable. Participants saw great value in institutionalizing its operation. The activity allowed "one-stop shopping" with the attendant advantages of greater information exchanges and unified response. The Desk's staff quickly researched and answered an array of questions for those who E-mailed or called in. The Private Sector gained increased situational awareness through real-time, up-to-date notifications and bulletins. Information sharing is not a convenience; it is paramount for workplace protection.

- Item 5:
  American workers have now found themselves on the frontlines in the war against terrorism. During this struggle, mental health services will play prominently in enabling personnel to cope with stresses and threats before, during and after a catastrophic event. Public-Private partnership initiatives are underway to supplement employee assistance programs by leveraging state mental health resources. Despite the rigors of buttressing an organization against a breaking emergency, business must still keep an eye fixed on resuming normal/near-normal operations as soon as possible.

  Roundtable attendees viewed crisis management and emergency response programs as integral to business continuity planning (BCP). Included within BCP activities are information sharing, increased situational awareness, Points of Distribution, and joint planning with the Public Sector. Furthermore, the Community Emergency Response Team (CERT) construct is applicable to BCP. By sponsoring CERT programs, the Private Sector can better support internal business operations and assist neighboring communities. Private Sector bio-terror event planning is an on-going process and TOPOFF 3 has given everyone involved a roadmap for continuous improvement.

  The Roundtable concluded with feedback from the Federal Emergency Management Agency (FEMA). The representative who spoke believed Homeland Security had traveled quite a distance; but, there was still a long journey ahead. Following the World Trade Center tragedy, government did not fully appreciate the profit side of business. Government asked the Private Sector to step up and be good corporate citizens. Only now is government beginning to appreciate the precarious balance between corporate citizenship and profit making. Regrettably, the Private Sector did not receive just compensation commensurate with the resources they committed in the aftermath of the 9/11 attacks.

- Item 6:
  Experience teaches how Public Sector decisions can have serious repercussions for the Private Sector. Government cannot totally anticipate the potential fallout emanating from their actions. Currently, there is no system in place to equitably compensate hospitals and companies for resources expended during catastrophic emergencies like TOPOFF3. Yet together, each must find ways to communicate daily with the other to resolve problems rather than wait until a crisis erupts.

  The facilitator's closing remarks reiterated the guiding principles for making Public-Private partnerships more effective:

  (1) Information sharing must occur between government and business and among Private Sector entities themselves.
  (2) Develop formal protocols for sharing resources, e.g., resource networks
  (3) Identify and respect Private Sector thresholds

(4) Be aware of one another's constituencies
(5) Exercise and train together
(6) Reduce and eliminate organizational and cultural barriers

In the end the recommendations from TOPOFF 3 included:

- **Finding 1:** Employees and Families – Protection of employees and their families is the number one Private Sector priority**.**

  Recommendation: Recruit Private Sector companies and organizations to host and help administer Points of Distribution under the Strategic National Stockpile program. Identify essential employees and employee groups in advance for priority immunization or prophylaxis to (1) protect skilled workers and (2) ensure business continuity during and after a crisis.

- **Finding 2:** Decision Making – Involve the Private Sector in Public Sector decision-making processes during catastrophic events or incidents with critical impacts**.**

  Recommendation: When possible and practical, involve the Private Sector in state operational and/or emergency response planning and, during emergencies and disasters, closely monitor the impact of government actions on business and commerce.

- **Finding 3:** Information Sharing – The Private Sector needs timely, accurate and actionable information from credible sources.

  Recommendation: Appoint a joint Process Action Team to study information sharing between public and private entities and provide recommendations for improvement. Also, leverage existing technologies to deliver timely, actionable and secure information to companies, non-government organizations and state agencies before, during and after crises, disasters and emergencies. In addition, develop goals and objectives to assess the degree of information sharing between the Public and Private Sectors for future exercises.

- **Finding 4:** Essential Employees – Essential employee identification, access and movement during emergencies is critical to Private Sector response and recovery capabilities.

  Recommendation: Credentialing essential employees is generally tied to the larger challenges found in massive response and recovery operations. Do not let the urgency of this issue wane as TOPOFF 3 recedes from view. The Private Sector is aware of existing systems being employed elsewhere that comply with Federal requirements. Adopting a more flexible state

credentialing policy can permit a greater degree of controlled travel on state roads during declared emergencies.

- **Finding 5:** Resource Sharing – The Private Sector is part of the solution if catastrophic emergencies impact the state.

  Recommendation: Continue to implement and expand the Private Sector database of pro bono assets and resources voluntarily committed to the State of New Jersey for emergencies and disasters.

- **Finding 6:** Early Detection – The Private Sector has the ability and desire to become part of an early detection and warning system for syndromic events.

  Recommendation: Collaborate with Public Health on developing Private Sector reporting protocols for abnormal absenteeism and incorporate workplace statistics into the health surveillance system used to monitor biological agents and natural but deadly contagious pathogens.

- **Finding 7:** Counseling Services – The impact of a catastrophic event will result in a significant demand for immediate and long-term mental health intervention/services.

  Recommendations: Business and industry should partner with public agencies and non-government organizations for additional care counselors and mental health services following a catastrophic event especially when a weapon of mass destruction is used.

- **Finding 8:** Private Sector Annex – Delineate Private Sector roles and responsibilities during major events and incidents in a Private Sector Annex to State of New Jersey Emergency Operations Plan.

  Recommendation: Advocate and support the inclusion of a Private Sector Annex to the New Jersey Emergency Operations Plan modeled after the Private Sector Coordination Support Annex to the National Response Plan. Include within this Annex provisions for a Private Sector Liaison Desk in the New Jersey Emergency Operations Center.

- **Finding 9:** Private Sector Liaison Desk – Institutionalize the concept of a Private Sector Liaison Desk in New Jersey to create a touch point for business and industry during major disasters and incidents.

  Recommendation: Endorse the creation of a permanent Private Sector Liaison Desk within the state Emergency Operations Center. The Private Sector is best suited to provide the trained staff necessary to fulfill the functions of the Desk. Establishing a parallel but supporting Private Sector Resource/Information Fusion Center composed of Private Sector associations and organizations can amplify the effectiveness of a Private Sector Liaison

Desk. The ultimate goal is to deploy a more rapid Private Sector response when disaster strikes through enhanced coordination with government agencies and departments.

Orange County Private Sector Terrorism Response Group (PSTRG)

The PSTRG was formed in December 2001 to create a private sector partnership with the Terrorism Early Warning Group (TEWG) to effectively address private sector safety, incident management, employee education and public health consequences of potential attacks on the critical infrastructure within Orange County. The objectives of the PSTRG include physical resource sharing, information exchange, virtual reach-back capabilities, and subject/industry matter experts cross-utilization. The PSTRG is an instrument which allows the Orange County Sheriff's Department to maximize all resources and prepare community members for the potential of terrorism and recovery in its aftermath.

- Established by the Orange County Emergency Management Council as a sub-committee of the Orange County Sheriff's Terrorism Early Warning Group (TEWG).
- Partners key private sector personnel with public sector first responders in protecting critical infrastructure, high profile targets, and key County assets.
- Coordinates with private sector business and industry to implement interdiction policies, target hardening strategies and prepare to ensure a unified, consistent, and coordinated response to terrorism.
- Supports implementation of private sector Emergency Response Plans to mitigate the severity and degree of potential loss to the community, commerce, and industry.
- Provides networking forum, information sharing, training opportunities, and dissemination of Threat Advisories and Information Bulletins.
- Private sector participation provides the Sheriff's Department and Operational Area with virtual reach-back capability.

Sample Public and Private Mutual Aid and Assistance Agreement

This Model Agreement contains procedures and standards for a water and wastewater utility Mutual Aid and Assistance Program. The Model is based on existing water and wastewater utility Mutual Aid and Assistance agreements implemented in California, Florida, Texas, and Washington. While the Model

shares some similarities with each of the four agreements, it is a unique document in and of itself.

Creating an agreement for Mutual Aid and Assistance involves a number of policy decisions. The Model Agreement proposes specific approaches to Mutual Aid and Assistance Program issues; however, reasonable minds will differ as to whether the approaches presented in the model are the best. Accordingly, notes are included for each provision of the Model Agreement. These notes highlight significant issues that arise in the drafting of a mutual aid and assistance Program and how the Model Agreement approaches those issues. The notes also explain why certain provisions are included in the Model Agreement.

Representatives of the water and wastewater industry can use this Model Agreement as a tool to facilitate discussion on drafting an Intrastate Mutual Aid and Assistance agreement that best illustrates their needs. However, while each intrastate steering committee may revise portions of this Agreement, it is important to note that this Model Agreement allows for inclusion and eventual connection with a national interstate mutual aid and assistance agreement. Because mutual aid and assistance programs require standardized operational procedures, consistency between the intrastate agreements is critical. Thus, major modifications to this Agreement would preclude using it for connection with an interstate program for mutual aid and assistance program.

AGREEMENT

This Agreement is made and entered into by public and private Water and Wastewater Utilities that have, by executing this Agreement, manifested their intent to participate in an Intrastate Program for Mutual Aid and Assistance.

This Agreement is authorized under California Emergency Services Act and the California Disaster and Civil Defense Master Mutual Aid Agreement

Note

Water and wastewater utilities may need statutory authority to enter into agreements for Mutual Aid and Assistance. If there is no statutory authority, a legal question arises as to whether such authority is necessary for a water and wastewater Mutual Aid and Assistance agreement. Both the California and Washington Agreements reference statutory authority. The Florida and Texas Agreements do not.

ARTICLE I.
PURPOSE

Recognizing that emergencies may require assistance in the form of personnel, equipment, and supplies from outside the area of impact, the signatory utilities established an Intrastate Program for Mutual Aid and Assistance. Through the Mutual Aid and Assistance Program, Members coordinate response activities and

share resources during emergencies. This Agreement sets forth the procedures and standards for the administration of the Intrastate Mutual Aid and Assistance Program.

Note on Article I

Article I briefly describes why water and wastewater utilities established a Program for Mutual Aid and Assistance and the purpose of the Agreement. Inclusion of this Article recognizes the spirit and intent of the Mutual Aid and Assistance Program.

ARTICLE II.
DEFINITIONS

A. Emergency – A natural or manmade event that is, or is likely to be, beyond the control of the services, personnel, equipment, and facilities of a Mutual Aid and Assistance Program Member.

B. Member – Any public or private Water or Wastewater Utility that manifests intent to participate in the Mutual Aid and Assistance Program by executing this Agreement.

C. Authorized Official – An employee of a Member that is authorized by the Member's governing board or management to request assistance or offer assistance under this Agreement.

D. Requesting Member – A Member who requests assistance under the Mutual Aid and Assistance Program.

E. Responding Member – A Member that responds to a request for assistance under the Mutual Aid and Assistance Program.

F. Period of Assistance – A specified period of time when a Responding Member assists a Requesting Member. The period commences when personnel, equipment, or supplies depart from Responding Member's facility and ends when the resources return to their facility (portal to portal). All protections identified in the agreement apply during this period. The specified Period of Assistance may occur during response to or recovery from an emergency, as previously defined.

G. National Incident Management System (NIMS): A national, standardized approach to incident management and response that sets uniform processes and procedures for emergency response operations.

Note on Article II

These terms and corresponding definitions are drawn from the four existing water and wastewater agreements for Mutual Aid and Assistance. Only the definition for emergency is noteworthy. The Model Agreement specifies a definition of an

emergency that includes disasters that are "likely to be" beyond the control of the participating utility. As explained in the Note for Article V below, this permits a participating utility to request assistance prior to the onset of a disaster. The request for aid does NOT require a declaration of an emergency by the local or state agencies, and the aid may be provided during the emergency response or recovery phases. This approach is consistent with the California and Washington Agreements but differs from the Florida and Texas Agreements, which limit requests for Mutual Aid and Assistance to post-disaster periods.

ARTICLE III.
ADMINISTRATION

The Mutual Aid and Assistance Program shall be administered through Regional Committees, as needed, and a Statewide Committee. The purpose of a Regional Committee is to provide local coordination of the Mutual Aid and Assistance Program before, during, and after an emergency. The designated regions are consistent with the existing the emergency management regions of the state. Each Region Committee, under the leadership of an elected Chairperson, shall meet annually to address Mutual Aid and Assistance Program issues. Each Region Committee shall also meet annually to review emergency preparedness and response procedures. The Chairperson of each Regional Committee represents their Regional Committee's interests on the Statewide Committee. In addition to representing the interests of the Members, the Statewide Committee includes representatives from (Rural Water Association, American Water Works Association, Department of Health Services, Department of Water Resources, California Utilities Emergency Association, California Association of Sanitary Agencies, and California Sanitary Risk Management Association.). Under the leadership of the Chair, the Statewide Committee members shall plan and coordinate emergency planning and response activities for the Mutual Aid and Assistance Program.

Note on Article III

The Model Agreement conceptualizes a Mutual Aid and Assistance Program administered through regional committees and a statewide committee. Article III formalizes this approach. The concept is drawn from a provision in California' Agreement which establishes a committee system for program administration. The Model Agreement outlines administering the program through regional or "local" committees that could promote coordination and help resolve program issues. However, the sample agreement recognizes that a committee system for Program administration may be too elaborate for some states. There are other, less formal ways to ensure efficient operation of a Mutual Aid and Assistance Program. For example, the Mutual Aid and Assistance agreement could require participating utilities to develop operational and planning procedures. The main objective is to have a well-developed system for Mutual Aid and Assistance whether through establishment of a committee system or a less formal approach. The more organized the utilities are, the less apt emergency response agencies will step in.

ARTICLE IV.
PROCEDURES

In coordination with the Regional Committees and the Statewide Committee shall develop operational and planning procedures for the Mutual Aid and Assistance Program. These procedures shall be updated at least annually.

Note on Article IV

Article IV recognizes that an agreement by itself may be insufficient to cover the range of issues that arise in Mutual Aid and Assistance Programs. To have an efficient Program, participating utilities may need to supplement the Mutual Aid and Assistance agreement with a Program guidance document that includes detailed operational and planning procedures. This is the approached taken by the Washington Mutual Aid and Assistance Program. That Program has a Mutual Aid and Assistance agreement that sets forth general procedures and standards. To supplement the agreement, participating utilities developed a Mutual Aid and Assistance Program Manual and a Mutual Aid and Assistance Handbook.

ARTICLE V.
REQUESTS FOR ASSISTANCE

Member Responsibility: Members shall identify an Authorized Official and alternates; provide contact information including 24-hour access; and maintain resource information made available by the utility for mutual aid and assistance response.

In the event of an Emergency, a Member's Authorized Official may request mutual aid and assistance from a participating Member. Requests for assistance can be made orally or in writing. When made orally, the request for personnel, equipment, and supplies shall be prepared in writing as soon as practicable. Requests for assistance shall be directed to the Authorized Official of the participating Member. Specific protocols for requesting aid shall be provided in the required procedures (Article IV).

Response to a Request for Assistance – After a Member receives a request for assistance, the Authorized Official evaluates whether resources are available to respond to the request for assistance. Following the evaluation, the Authorized Representative shall inform, as soon as possible, the Requesting Member whether it has the resources to respond. If the Member is willing and able to provide assistance, the Member shall inform the Requesting Member about the type of available resources and the approximate arrival time of such assistance.

Discretion of Responding Member's Authorized Official – Execution of this Agreement does not create any duty to respond to a request for assistance. When a Member receives a request for assistance, the Authorized Official shall have absolute discretion as to the availability of resources. An Authorized Member's decisions on the availability of resources shall be final.

Note on Article V

1. The Model Agreement sets a low threshold for when Members can request mutual aid and assistance. Article V permits requests for mutual aid and assistance in the event of an "Emergency." An "Emergency" under Article II is defined as "an event that is, or is likely to be, beyond the control of the services, personnel, equipment, and facilities of a Mutual Aid and Assistance Program Member." This definition has two noteworthy characteristics. First, the use of the word "event", rather than "disaster", broadens the situations in which Members can request mutual aid and assistance. Second, an Emergency includes events that are "likely to be" beyond the control of the participating utility. By including the "is likely to be" language, participating utilities can request mutual aid and assistance before an event overwhelms their resources. This approach envisions situations where pre-event response would be necessary to protect human health and property. The Florida and Texas Agreements do not allow for pre-event assistance requests.

2. Article V permits oral and written requests for assistance; however, when made orally, the requesting member must put the request in writing as soon as practicable. This approach balances the need to make a quick and prompt request with the need for accuracy.

3. The Model Agreement does not provide specific details on the type of information that must be provided when a participating utility requests assistance. This can be provided in the protocols that support the agreement. This approach is in contrast to the Florida and Texas Agreements that do list the information that must be provided when a member makes a request for assistance. Those agreements also require a responding member to provide certain information to the requesting member. Again, the Model Agreement adopted a different approach. Article V only requires responding members to indicate what resources will be provided and when the resources will arrive at the requesting member's facility.

4. The Model Agreement provides participating utilities with absolute discretion when deciding whether to respond a request for assistance. This is consistent with all four existing water and wastewater Mutual Aid and Assistance agreements.

ARTICLE VI.
RESPONDING MEMBER PERSONNEL

National Incident Management System - When providing assistance under this Agreement, the Requesting Utility and Responding Utility shall be organized and shall function under the National Incident Management System.

Control - Responding Member personnel shall remain under the direction and control of the Responding Member. The Requesting Member's Authorized Official shall coordinate response activities with the designated supervisor(s) of the Responding Member(s). When ever practical, Responding Member personnel must be self sufficient for up to 72 hours.

Food and Shelter – The Requesting Member shall supply reasonable food and shelter for Responding Member personnel. If the Requesting Member fails to provide food and shelter for Responding personnel, the Responding Member's designated supervisor is authorized to secure the resources necessary to meet the needs of its personnel. The cost for such resources must not exceed the State per diem rates for that area. The Requesting Member remains responsible for reimbursing the Responding Member for all costs associated with providing food and shelter, if such resources are not provided.

Communication – The Requesting Member shall provide Responding Member personnel with radio equipment as available, or radio frequency information to program existing radio, in order to facilitate communications with local responders and utility personnel.

Status - Unless otherwise provided by law, the Responding Member's officers and employees retain the same privileges, immunities, rights, duties and benefits as provided in their respective jurisdictions.

Licenses and Permits – To the extent permitted by law, Responding Member personnel that hold licenses, certificates, or permits evidencing professional, mechanical, or other skills shall be allowed to carry out activities and tasks relevant and related to their respective credentials during the specified Period of Assistance.

Right to Withdraw - The Responding Member's Authorized Official retains the right to withdraw some or all of its resources at any time. Notice of intention to withdraw must be communicated to the Requesting Member's Authorized Official as soon as possible.

Note on Article VI

1. The National Incident Management System (NIMS) provides a consistent nationwide approach that allows federal, state, local and tribal governments as well as private sector and nongovernmental organizations to work together to manage incidents and disasters of all kinds. To be eligible federal emergency management assistance, water and wastewater mutual aid and assistance programs must meet NIMS standards for emergency preparedness and response.

2. The Model Agreement promotes "home" supervisory control over personnel. This approach recognizes that personnel will likely work better with their regular supervisors. To ensure an efficient response, Article VI requires responding

member supervisors to coordinate with the requesting member's authorized official.

3. Article VI requires the requesting member to supply food and shelter to responding member personnel. This may be too onerous given that the requesting member will be faced with an emergency when it makes a request for Mutual Aid and Assistance. Accordingly, Article VI permits the requesting member to reimburse the responding member for food and shelter costs rather than securing such provisions.

4. Article VI includes a provision that allows the responding member to withdraw some or all of its resources at anytime. This approach limits the commitment of the responding member. If a situation arose in the responding member's facility, resources could be withdrawn as appropriate. The Model Agreement promotes assistance because participating utilities would be less likely to withhold resources out of concern that they could not respond to needs at their own facilities.

5. Licensing and permitting authority will most likely not be an issue for intrastate mutual aid. However, this Agreement is drafted to permit assistance under the Interstate Emergency Management Assistance Compact and an Interstate Mutual Aid and Assistance Program for water and wastewater utilities, if such a program were established (see Article XIX). Because state issued licensing and permitting credentials vary, it is important to clarify what actions and tasks responding member personnel can take when participating in interstate mutual aid and assistance. The licensing and permitting provision allows the maximum utilization of the professional skills held by responding member personnel. However, it does provide responding member personnel with authority to conduct activities or tasks that may only be completed by those holding locally issued professional credentials.

ARTICLE VII.
COST-REIMBURSEMENT

Unless otherwise mutually agreed in whole or in part, the Requesting Member shall reimburse the Responding Member for each of the following categories of costs incurred while providing aid and assistance during the specified Period of Assistance.

Personnel – Responding Member personnel are to be paid for work completed during a specified Period of Assistance according to the terms provided in their employment contracts or other conditions of employment. The Responding Member designated supervisor(s) must keep accurate records of work performed by personnel during the specified Period of Assistance. Requesting Member reimbursement to the Responding Member must consider all personnel costs, including salaries or hourly wages, costs for fringe benefits, and indirect costs.

Equipment – The Requesting Member shall reimburse the Responding Member for the use of equipment during a specified Period of Assistance. As a minimum, rates for equipment use must be based on the Federal Emergency Management Agency's (FEMA) Schedule of Equipment Rates. If a Responding Member uses rates different from those in the FEMA Schedule of Equipment Rates, the Responding Member must provide such rates in writing to the Requesting Member prior to supplying resources. Mutual agreement on which rates are used must be reached in writing prior to dispatch of the equipment. Reimbursement for equipment not referenced on the FEMA Schedule of Equipment Rates must be developed based on actual recovery of costs.

Materials and Supplies – The Requesting Member must reimburse the Responding Member in kind or at actual replacement cost, plus handling charges, for use of expendable or non-returnable supplies. The Responding Member must not charge direct fees or rental charges to the Requesting Member for other supplies and reusable items that are returned to the Responding Member in a clean, damage-free condition. Reusable supplies that are returned to the Responding Member with damage must be treated as expendable supplies for purposes of cost reimbursement.

Payment Period – The Responding Member must provide an itemized bill to the Requesting Member for all expenses it incurred as a result of providing assistance under this Agreement. The Requesting Member must send the itemized bill not later than (90) ninety dates following the end of the Period of Assistance. The Requesting Member must pay the bill in full on or before the forty-fifth (45th) day following the billing date. Unpaid bills become delinquent upon the forty-sixth (46th) day following the billing date, and, once delinquent, the bill accrues interest at the rate of prime, as reported by the Wall Street Journal, plus two (2%) per annum.

Note on Article VII

1. Mutual Aid programs established in the 1950s did not have cost reimbursement procedures. Rather, program members would provide assistance at no charge, with the understanding that assistance would be provided to them when they were in need. For those utilities that wish to abide by that principle, the initial statement of Article VII allows the requesting and responding member to determine which resources could be exchanged without cost. Because public resources cannot normally be provided to private organizations, this process is appropriate only when the assistance is exchanged between private utilities.

2. For those utilities that seek reimbursement for services, Article VII reflects the cost reimbursement procedures set forth in the four existing water and wastewater agreements for Mutual Aid and Assistance. To qualify for FEMA cost-reimbursement, this Article must be included in a mutual aid agreement.

3. In general, private organizations cannot receive public funds. This rule prevents gifts of private funds to private organizations. However, public funds

can be used to reimburse private organizations for costs incurred as a result of providing assistance to a public entity as long as the costs are identified. Accordingly, Article VII requires an itemized bill for all expenses incurred during a Period of Assistance.

4. The Model Agreement suggests procedures include a penalty provision for unpaid bills. Providing a penalty provision will promote timely reimbursement to the requesting member.

ARTICLE VIII.
DISPUTES

Any controversy or claim arising out of, or relating to, this Agreement, including, but not limited to, alleged breach of the Agreement, shall be settled by arbitration in accordance with the Rules of the American Arbitration Association. Any court of competent jurisdiction may enter the judgment rendered by the arbitrators as final judgment that is binding on the parties.

Note on Article VIII

Article VIII sets forth a two-tired process for handling disputes. First, members must try negotiation. If unsuccessful, then the matter must be resolved through arbitration. Arbitration is much faster and less expensive than traditional civil litigation. The Rules of the American Arbitration Association are widely recognized and often cited in arbitration clauses. However, a dispute resolution provision could include specific procedures for arbitration rather than require use of procedures developed by the American Arbitration Association. The Florida and Texas Agreements take this approach.

ARTICLE IX.
REQUESTING MEMBER'S DUTY TO INDEMNIFY

The Requesting Member shall assume the defense of, fully indemnify and hold harmless, the Responding Member, its officers and employees, from all claims, loss, damage, injury and liability of every kind, nature and description, directly or indirectly arising from Responding Member's work during a specified Period of Assistance. The scope of the Requesting Member's duty to indemnify includes, but is not limited to, suits arising from, or related to, negligent or wrongful use of equipment or supplies on loan to the Requesting Member, or faulty workmanship or other negligent acts, errors or omissions by Requesting Member or the Responding Member personnel.

The Requesting Member's duty to indemnify is subject to, and shall be applied consistent with, the conditions set forth in Article X.

Note on Article IX

1. Article IX sets forth a comprehensive indemnity provision. The provision requires the requesting member to indemnify responding members, and their officers and, employees. This requirement protects responding members from the costs associated with civil suits that arise from, or a related to, providing Mutual Aid and Assistance. The Model Agreement allows an indemnity provision that would encourage participating utilities to provide assistance in the event of an emergency.

2. However, it is important to recognize that Article IX places an added burden on members that request assistance. The duty to indemnify, along with other requesting member obligations set forth in the Model Agreement, may deter participating utilities from utilizing the Mutual Aid and Assistance Program. An alternative approach is provided in the Florida and Texas Agreements. Those agreements require each member to bear the risks associated with participating in the Mutual Aid and Assistance Program. This includes the risk of facing civil liability that arises from, or is related to, providing Mutual Aid and Assistance. This approach reduces the burdens on members that request assistance under the Mutual Aid and Assistance Program.

ARTICLE X.
SIGNATORY INDEMNIFICATION

In the event of a liability, claim, demand, action, or proceeding of whatever kind or nature arising out of a specified Period of Assistance, the Members who receive and provide assistance shall indemnify and hold harmless those Members whose involvement in the transaction or occurrence that is the subject of such claim, action, demand or other proceeding is limited to execution of this Agreement.

Note on Article X

A lawsuit or similar action that arises from or is related to a Mutual Aid and Assistance response may name all participating utilities as defendants regardless of their involved in the transaction or occurrence that gave rise to the suit. Article X protects non-responding members from costs associated lawsuits or similar actions. This protection would encourage participation in the Mutual Aid and Assistance Program. Water and wastewater utilities would not incur additional liability by participating in the Mutual Aid and Assistance Program.

ARTICLE XI.
WORKER'S COMPENSATION CLAIMS

The Responding Member is responsible for providing worker's compensation benefits and administering worker's compensation. The Requesting Member shall reimburse Responding Member for all costs, benefits, and expenses

associated with worker's compensation and other claims that arise from or are related to providing assistance under this Agreement. Reimbursement shall be mode on a quarterly basis, or on other terms mutually agreed upon, by the Requesting Member and Responding Member.

Note on Article XI

Responding member personnel will effectively be working for the requesting member during a period of assistance. Accordingly, Article XI provides that the requesting member is responsible for worker's compensation claims filed by responding member personnel if such claims arise from or are related to providing assistance to the requesting member under the Mutual Aid and Assistance Program.

ARTICLE XII.
NOTICE

A Member who becomes aware of a claim or suit that in anyway, directly or indirectly, contingently or otherwise, affects or might affect other Members of this Agreement shall provide prompt and timely notice to the Members who may be affected by the suit or claim. Each Member reserves the right to participate in the defense of such claims or suits as necessary to protect its own interests.

Note on Article XII

Article XII recognizes that Members of the Agreement need to know about claims or suits that affect, or might affect, them. The Article also preserves the right of a Member to defend itself in any claim or suit that affects its interests.

ARTICLE XIII.
INSURANCE

Members of this Agreement shall maintain an insurance policy that covers activities that it may undertake by virtue of membership in the Mutual Aid and Assistance Program. The scope of the policy must include, at minimum, coverage for employee faulty workmanship and other negligent acts, errors or omissions, and coverage for meeting the indemnity conditions provided in Articles IX and X.

Note on Article XIII

1. Article XIII requires members to carry insurance to protect against risks associated with participation in the Mutual Aid and Assistance Program. This provision provides a secure means of covering risks associated with participation in the Mutual Aid and Assistance Program.

2. A requirement to carry insurance could be alternative to the indemnity provisions provided in Articles IX and X. That is, rather than place the burden on the requesting member to indemnify the responding member; the mutual aid and

assistance agreement could provide that all members bear the risks of their own actions. The Florida and Texas Agreements take this approach; however these agreements do not require participating utilities are not required to obtain insurance.

ARTICLE XIV.
EFFECTIVE DATE

This Agreement shall be effective after the Water and Wastewater Utility's authorized representative executes the Agreement and the applicable Regional Committee Chair receives the Agreement. The Regional Committee Chair shall maintain a list of all Members in the respective region. The Statewide Committee Chair shall maintain a master list of all members of the Mutual Aid and Assistance Program.

Note on Article XIV

Article XIV provides a standard approach on the process for participation in the Mutual Aid and Assistance Program. In contrast, the Washington Agreement requires a utility to adopt or authorize the program agreement by resolution. The utility must then execute the agreement and send it to the Washington Association of Sewer and Water Districts.

ARTICLE XV.
WITHDRAWAL

A Member may withdraw from this Agreement by providing written notice of its intent to withdraw to the applicable Regional Committee Chair and the Statewide Chair. Withdrawal takes effect 60 days after the appropriate officials receive notice.

Note on Article XV

Article XV recognizes that a Member may decide to withdraw from Mutual Aid and Assistance Program.

ARTICLE XVI.
MODIFICATION

No provision of this Agreement may be modified, altered or rescinded by individual parties to the Agreement. Modifications to this Agreement may be due to programmatic operational changes to support the agreement, legislative action, creation of an interstate aid and assistance agreement, or other developments. Modifications require a simple majority vote of Members within each region and a unanimous agreement between the regions. The Statewide Committee Chair must provide written notice to all Members of approved modifications to this Agreement. Approved modifications take effect 60 days after the date upon which notice is sent to the Members.

Note on Article XVI

Article XVI recognizes that members may want to modify the Program agreement. There may also be circumstances that require modification of the Program agreement. For example, creation of an interstate water and wastewater utility Mutual Aid and Assistance Program would like require agreement modifications.

ARTICLE XVII.
PRIOR AGREEMENTS

This Agreement supersedes all prior Agreements between Members to the extent that such prior Agreements are inconsistent with this Agreement.

Note on Article XVII

Members of the Mutual Aid and Assistance Program may already have assistance agreements in place with utilities. XVII ensures that existing assistance agreements do not interfere with the operation of the intrastate Mutual Aid and Assistance Program.

ARTICLE XVIII.
PROHIBITION ON THIRD PARTIES AND ASSIGNMENT OF RIGHTS/DUTIES

This Agreement is for the sole benefit of the Members and no person or entity must have any rights under this Agreement as a third party beneficiary. Assignments of benefits and delegations of duties created by this Agreement are prohibited and must be without effect.

Note on Article XVIII

Article XVII covers issues of contract law that may interfere with the operation of the Mutual Aid and Assistance Program. The prohibition on third-party beneficiaries limits all rights and benefits under the agreement to participating utilities. Thus, a local government could not assert rights under this agreement as a third-party beneficiary. Article XVII also prohibits the assignment of benefits created by the agreement to third parties. In other words, a participating utility could not assign its ability to request mutual aid and assistance to a non-participating utility. Prohibiting the delegation of duties ensures that only the participating utilities are involved in the Mutual Aid and Assistance Program.

ARTICLE XIX.
INTRASTATE AND INTERSTATE MUTUAL AID AND ASSISTANCE PROGRAMS

To the extent practicable, Members of this Agreement shall participate in Mutual Aid and Assistance activities conducted under the State of California Master Mutual Aid Agreement and the Interstate Emergency Management Assistance Compact (EMAC). Members may voluntarily agree to participate in an interstate Mutual Aid and Assistance Program for water and wastewater utilities through this Agreement if such a Program were established.

Note on Article

At least 13 states have an overarching statewide mutual aid program. Article XIX requires coordination with the statewide mutual aid program, if one exists. Additionally, Article XIX permits participation in an interstate water and wastewater mutual aid program if one were established.

Now, therefore, in consideration of the covenants and obligations set forth in this Agreement, the Water and Wastewater Utility listed here manifests its intent to be a Member of the Intrastate Mutual Aid and Assistance Program for Water and Wastewater Utilities by executing this Agreement on this _____ day of _____ 2006.

General trends and future issues

Given the attention being paid to lessons learned from Hurricane Katrina, there is a strong likelihood that many of the following checklist type items will be required in the future. While there is no set completion date for each of the following NIMCAST requirements the items below do relate to the two previously stated FFY 06 requirements. The section and page number references specify where to locate the specific requirement listed in the Preparedness Section of the NIMCAST document; (These requirements also address volunteer/NGOs – see new section.)

a. III-B; pg 53
    1. Individual Federal, State, local, and tribal jurisdictions are responsible for implementing the preparedness cycle in advance of an incident and appropriately including private sector and nongovernmental organizations in such implementation.

b. III-B-1; pg 54
    1. The local government's preparedness organization(s) implemented and institutionalized processes, systems, procedures, and/or plans that ensure preparedness activities are coordinated among all appropriate agencies within a jurisdiction, across jurisdictions, and with private organizations.
    2. The jurisdiction's preparedness organization(s) have ensured the establishment and maintenance of the following multi-agency coordination mechanisms:
        i. Emergency Operations Centers (EOCs).
        ii. Mutual-aid agreements.
        iii. Incident information systems.
        iv. Nongovernmental organization and private-sector outreach.
        v. Public awareness and information systems.
        vi. Mechanisms to deal with information and operations security**.**

A. III-B-2-a; pg 57
    1. The jurisdiction's preparedness planning program has implemented and institutionalized plans that:
        i. Describe how governmental and nongovernmental resources will be used to support incident management requirements.
        ii. Provide mechanisms for setting priorities.
        iii. Provide mechanisms for integrating multiple entities and functions.
        iv. Provide mechanisms for establishing collaborative relationships.
        v. Provide mechanisms for ensuring that communications and other systems effectively support the complete spectrum of incident management activities.

Volunteer Groups and Non-Governmental Organizations

NON-GOVERNMENTAL ORGANIZATIONS (NGOS)
This large catchall category includes all nonprofit organizations and some proprietary businesses. For the purpose of this guidance, corporations and most businesses are part of the Private Sector and excluded from the NGO category.

Voluntary Organizations. Also known as nonprofit organizations. Collectively, on a day to day basis, these organizations meet a variety of social needs in their respective communities. When a disaster strikes, many will respond.

Tribal Voluntary Organizations, Programs. Organizations/programs that exist within Sovereign Tribal Nations to serve the needs of the tribe.

American Red Cross: A national voluntary organization that provides relief to victims of disasters and helps people prevent, prepare for and respond to emergencies. Services include Disaster Welfare Inquiry, Family Assistance and Mass Care. Organized with both state and local chapters. See www.redcross.org

Community-Based Organizations: Nonprofit organizations that serve the community and are further characterized by their service to specific groups of people, e.g., people with disabilities. Typically will respond at the time of a disaster to meet the needs of their clients and often an expanded clientele.

Faith-Based Organizations: Predominantly national networks that provide assistance to disaster-affected communities, often sending teams from one part of the country to another. Most are affiliated with National VOAD (Voluntary Organizations Active in Disaster). See www.nvoad.org

Information and Referral Providers: Help people in need with information about community resources. They vary in size and hours of operation. Some specialize in a particular topic area, such as services for seniors. See www.cairs.org

2-1-1 Providers: General information and referral providers that operate 24/7 on a county-wide basis. Only one can be designated per county. Are required to provide services during a disaster and to coordinate with local emergency service providers. Not yet available in every county. See www.cairs.org

Residential Care Facilities. Board and care homes and other residential facilities for children, youth, seniors and people with disabilities. May be either proprietary or nonprofit.

Volunteer Centers: Year-round local clearinghouses for recruiting and referring volunteers to agencies and organizations that need help. Many are prepared to implement this function in a disaster and some are already integrated with local government. Not available in all counties. Served by a state association, California Association of Volunteer Centers. See www.volunteercentersca.org

Volunteer/Service Programs

Volunteer/service programs are of two general types: national and community service programs and state or local volunteer programs. Some are fully government-funded and government-run. Others are founded on partnerships between government agencies and non-governmental organizations.

National and Community Service Programs. Funded at the federal level and coordinated locally, these programs are designed to solve community problems and strengthen communities. Each sponsoring agency recruits service members who generally serve full-time for one year.

AmeriCorps* State and National: Makes grants to public and nonprofit organizations that sponsor service programs around the country. These groups recruit and train AmeriCorps members to meet critical community needs in education, public safety, health, and the environment. Over 60,000 members will serve in California this year. A few programs, such as Fresno Safe and Proud Neighborhoods and the AmeriCorps Local Readiness Teams Project focus on homeland security, disaster preparedness, and emergency management. See http://www.csc.ca.gov/programs/ac_directory.asp

AmeriCorps*VISTA (Volunteers in Service to America): Provides full-time members to nonprofit, faith-based and other community organizations, and public agencies to create and expand programs that bring low-income individuals and communities out of poverty. While emergency response is not the predominant focus of most programs, many VISTA members have helped in preparedness and response for local disasters. California has several hundred active VISTA members. See http://www.nationalservice.gov/about/contact/stateoffices.asp

AmeriCorps*National Civilian Community Corps (NCCC): A full-time, team-based, residential program for men and women ages 18–24 designed to strengthen communities and develop leaders. In partnership with nonprofit organizations, state and local agencies, and faith-based and other community groups, members complete service projects focused on homeland security, public safety, public health and disaster relief. NCCC teams have extensive experience in actual disasters. See http://www.americorps.gov/about/programs/nccc.asp

Senior Corps: Through grants and other resources—including the energy and efforts of citizens age 55 and over—Senior Corps helps local nonprofits, faith-based organizations and public agencies carry out their missions. Senior Corps funded programs are the following: Foster Grandparents connects volunteers age 60 and over with children and young people with exceptional needs. The Senior Companion Program brings together volunteers age 60 and over with adults in their community who have difficulty with the simple tasks of day-to-day living. The Retired and Senior Volunteers Program (RSVP) offers "one stop shopping" for all volunteers 55 and over who want to find challenging, rewarding, and significant service opportunities in their local communities. Some programs have assisted in disaster preparedness, relief and recovery. See http://www.seniorcorps.gov/about/programs/index.asp

Service-Learning Program: K-12 schools (http://www.cde.ca.gov/ci/cr/sl/index.asp), community colleges (http://www.foundationccc.org/FCCC/Americorps/americorps_home.html),

California state universities (http://www.calstate.edu/csl/), and University of California campuses offer students community service opportunities connected to their academic/vocational courses. Service-learning opportunities include emergency management, disaster preparedness and recovery, and public safety. Students provide 10-80 hours of service in a semester.

Citizen Corps State and Local Volunteer Programs: Citizen Corps is a national model for bringing together leaders from the relevant sectors of a given city or county to help make the community safer, stronger and better prepared. California has a state Citizen Corps Council and numerous local Citizen Corps Councils (www.csc.ca.gov). Citizen Corps also includes a number of programs, the following of which are relevant to this discussion:
Community Emergency Response Teams (CERT). Typically administered by local fire departments, CERT offers training to citizens on fire suppression, light search and rescue and other skills that help them be better prepared to help themselves, their families and their neighbors in emergencies.

Medical Reserve Corps: Local sponsors of Medical Reserve Corps teams train volunteers to assist the emergency medical response community during large-scale emergencies. Team members can also help meeting pressing public health needs throughout the year. Volunteers include currently practicing and retired healthcare professionals.

Volunteers in Police Service (VIPS): Administered by police departments. Provides training for volunteers so they can perform administrative and non-intervention policing activities, thus freeing up law enforcement professionals for frontline duty.

Other State and Local Volunteer Programs: Key volunteer programs of great value to government are RACES and other amateur radio operator groups that assist with emergency communications in most jurisdictions in California. There are myriad other types of volunteer programs, some independent (e.g., Marin County Bicycle Coalition), some affiliated with a voluntary organization (e.g., American Red Cross Disaster Action Teams), and some affiliated with other types of organizations (e.g., corporations). Any or all of these could be affiliated with local or state government for purposes of assisting at the time of a disaster. A number of cities and counties have in-house volunteer programs that recruit and place volunteers within the jurisdiction's departments and programs. Staff of these in-house programs are beginning to be tapped for integration with the jurisdiction's emergency management program, in particular for assistance with coordination of volunteer resources.

Networks of Voluntary Organizations and Volunteer Programs

A key shortcut to contacting many voluntary organizations and volunteer/service programs is through existing networks. A few types are listed below:

Individual Voluntary Organizations: The American Red Cross is based on a national network of state and local chapters. The user should contact the level that most closely matches the user's geographical area. Other types of organizations that are part of national networks are The Salvation Army; food banks (Second Harvest Food Banks), and humane societies (United States Humane Society). Information and referral services in California are linked by a state network (CAIRS) and a national network (AIRS). Volunteer Centers are linked through the CA Association of Volunteer Centers and nationally through the Points of Light Foundation.

Voluntary Organizations Active in Disaster (VOAD): National VOAD (NVOAD), a member organization of major voluntary disaster relief organizations in the United States, is designed to enhance communication and coordination. A key value of the VOAD model is that members of the disaster relief community meet and communicate before the next disaster strikes. While the American Red Cross is a strong and visible member of NVOAD, most members are faith-based and include The Salvation Army, Lutheran Disaster Services and Church World Service. FEMA is an associate member. See www.nvoad.org.

NVOAD has a network of state VOAD chapters that cover 56 states and US territories. California is unique in having two state-level VOADs—Southern CA VOAD and Northern CA VOAD. When a large-scale disaster occurs, the state VOAD serving the affected area convenes one or more resource coordination meetings of its members and other cooperating agencies. The state VOAD also assists with launching and managing long-term recovery committees in communities that need them. California has a number of local VOADs. Most are county-based.

Interagency Disaster Collaborative Groups: These county-based interagency networks, such as Collaborating Agencies Responding to Disasters (CARD), developed in the San Francisco Bay Area in response to the Loma Prieta Earthquake. They focus principally on preparedness for community-based organizations that serve vulnerable populations and on providing a bridge between these organizations and local government. Unlike most local VOADs, they have funding and paid staff. See www.preparenow.org.

Volunteer/Service Programs: Among the family of volunteer/service programs are numerous networks, of which the following are examples. AmeriCorps programs in California are linked through the California Service Corps (http://www.csc.ca.gov/index.asp). City and county government in-house volunteer programs have a national network—NAVPLG.org.

Interaction/Integration Listing of Topics & Issues for Local & Tribal Government

Community disaster preparedness training and awareness activities
Recovery
- Employment
- Short- and long-term housing
- Mental health

Coordination of Volunteer Resources
- Community volunteers
- Community groups and associations
- National service members
- Faith-based organizations
- Corporations and corporate volunteer groups

Information Management
- Information dissemination to special groups
- Translation into other languages
- Culturally appropriate messages

Care and Shelter
- Food
- Clothing
- Shelter
- Language Interpretation
- Family reunification

Health and Medical
- Medical
- Mental Health
- Hygiene
- First Aid
- Community hygiene

Safety
- Traffic control
- Security at facilities

Transportation
- Transportation away from impending disaster
- Transportation during recovery phase (doctor visits, etc.)
- Special transportation requirements for vulnerable populations

Special Needs
- Children—child care, activities, out-of-school learning, supplies (diapers, formula, etc.)
- Seniors
- People with disabilities
- Non-English speakers
- Other groups

Other Topics
- Damage assessment
- Clean-up or special projects
- Debris removal
- Blue tarps for roofs
- Animal care

Placement of Voluntary Organizations and Volunteer Programs in the Emergency Response Organization

The location of NGOs and VSPs in a jurisdiction's emergency response organization may vary, depending on whether the NGO or VSP in question has a pre-existing relationship with the government or represents a "new" resource, as follows:

- For new (in other words, spontaneous) volunteers and VSPs that do not have a pre-existing agreement or understanding with the jurisdiction, the appropriate portal is the Personnel/Volunteer Coordination branch in Logistics.

- NGOs that represent new resources and that do not have a pre-existing agreement or understanding with the jurisdiction should report to the jurisdiction's appropriate Liaison Officer in the Command section.

- There does not appear to be a standard location for NGOs and VSPs that do have a pre-existing agreement or understanding with the jurisdiction, or that are already integrated with the emergency management structure.

Strategies for Integration of NGOs and Volunteer/Service Programs (Chart)

The chart below lists a number of suggested strategies for user groups to implement NGO and Volunteer/Service Program (VSP) integration. They are grouped under the phases of emergency management. Strategies that appear pertinent to each type of user group are marked with an "x" in the appropriate column.

	LOCAL GOVERN-MENT	STATE AGENCY	TRIBAL ORGANIZ ATION
Preparedness			
NGOs/VSPs participate in planning and oversight groups, e.g., EMAs, Disaster Councils	X	X	X
NGOs/VSPs partner with government for coordination of volunteer resources	X	X	X
NGOs/VSPs partner with government to encourage/facilitate CBO preparedness	X	X	
Government requires community-based organization (CBO) grantees/contractees to be prepared	X	X	
Government provides training and other technical assistance to NGOs/VSPs	X	X	X
NGOs/VSPs and local government help plan and participate in each other's exercises; roles for VPs/VOs and government are written into each other's exercises	X	X	X
NGOs/VSPs written into government emergency operations plans	X	X	X
Government written into NGO/VSP plans	X	X	X
There are written agreements/MOUs/contracts between government and NGOs/VSPs	X	X	X
There is guidance for local government and tribal organizations on planning for vulnerable populations and working with the CBOs that serve them	X	X	X
Local government considers financial support for NGO/VSP activities in preparing for and/or responding to disaster incidents	X		
Government partners with NGOs/VSPs to collect and maintain records of locations of seniors and other vulnerable populations to facilitate future special responses to these people	X		X
NGOs/VSPs train local agencies, groups and individuals to purchase and maintain essential survival supplies for a minimum of 72 hours	X		

NGOs/VSPs recruit and train volunteers and affiliate them with disaster response agencies	X		
NGOs/VSPs train special populations and their caretakers to prepare themselves for independent survival for at least 72 hours	X		
Response			
Government partners with State VOAD and the American Red Cross to convene a post-disaster resource coordination meeting in the affected area	X	X	X
NGOs (e.g., American Red Cross, Volunteer Center, Information & Referral Provider) have seats in government EOCs	X	X	X
2-1-1 providers partner with government to provide information to the public about how and where to get assistance	X	X	X
Recovery			
Government partners with state and local VOADs to launch long-term recovery committees	X	X	X
Government partners with NGOs to provide short-term recovery housing	X	X	X
Mitigation			
Government VSP volunteers install smoke detectors in homes of elderly and disabled people	X		X
Government partners with NGOs/VSPs to create tool lending libraries for assisting CBO facility mitigation	X		X

Best Practices/Examples of NGO and VSP Integration with Government

PREPAREDNESS/PLANNING

- County of Los Angeles contracts with INFO LINE of Los Angeles to provide the public with information on how to prepare for disasters, as part of INFO LINE's 2-1-1 system.
- Volunteer Centers participate in Santa Clara County EMA, Marin County Disaster Council.
- Counties collaborate with Volunteer Centers in planning for coordination of volunteer resources in Sonoma, Marin, San Francisco, Contra Costa and Santa Clara counties.
- CARD (Alameda County) has contract with City of San Leandro to train city-funded CBOs; City requires city-funded CBOs to be prepared.
- Some counties invite NGOs to attend SEMS classes and other training (e.g., Marin) and involve NGOs in countywide exercises (e.g., Marin, Alameda).
- INFO LINE/2-1-1 San Diego has developed an emergency operations plan based on SEMS and is being integrated into the emergency planning and response process of San Diego County Operational Area.
- County Offices of Emergency Services are written into Marin, San Francisco, San Mateo and Contra Costa Volunteer Center response plans.
- Volunteer Centers are written into EOPs for Sonoma, Marin, San Mateo and Santa Clara counties.
- Hands on Sacramento is written into Sacramento Region Spontaneous Volunteer Management Plan.
- Volunteer Centers of Sonoma, San Francisco and Santa Clara have written agreements with their respective Office of Emergency Services.
- *Meeting the Needs of Vulnerable People in Times of Disaster: A Guide for Emergency Managers* (State OES publication) focuses on CBOs and how local government can partner with them.
- In many communities, NGOs train local populations to purchase and maintain essential supplies to be prepared for independent survival for at least 72 hours.
- Info Line, Sacramento's 2-1-1 provider, will recruit and train additional service attendants to be prepared to respond in periods of community emergency.
- The City of Selma (Fresno County) sponsors a VISTA project that assists five City departments, including Fire, to enhance home and school safety in low-income neighborhoods.
- Mendocino Emergency Services Authority (MESA) involved community members and first responders for neighborhood preparedness through NEST and CERT. A proposed VISTA project will recruit Spanish-speaking volunteers and partner with MESA to develop a community disaster response plan.
- Many RSVP volunteers in CA are trained as CERT volunteers and actively recruit volunteers for their local CERT.
- The AmeriCorps Local Emergency Readiness Teams program helps vulnerable populations and affiliated organizations prepare and plan for emergencies and disasters.
- Seniors and vulnerable populations are located and recorded for special needs in time of future disasters through the San Francisco Disaster Registry.

- CARD and other interagency disaster collaborative groups have established networks of NGOs to facilitate communication and coordination at time of disaster.
- CARD and other interagency disaster collaborative groups train NGOs so they in turn can help vulnerable populations and their caretakers to be prepared for independent survival for 72 hours

RESPONSE

- County of Los Angeles contracts with INFO LINE of Los Angeles to provide the public with information on the agencies to contact for assistance when a disaster occurs, as part of INFO LINE's 2-1-1 system.
- Five days after Hurricane Katrina, NorCal VOAD convened a resource coordination meeting with Red Cross, state government and other agencies and organizations.
- INFO LINE/2-1-1 San Diego has a seat in the San Diego County Operational Area's EOC.
- CARD has seat in Alameda County EOC.
- American Red Cross has seat in many county and some city EOCs.
- Hands on Sacramento will recruit and train affiliated volunteers from VIPS, RSVP and other programs to staff an Emergency Volunteer Center.
- InfoLine, Sacramento's 2-1-1 provider, will operate within the Emergency Volunteer Center.
- Kings/Tulare RSVP volunteers assist health care providers in this low-income rural area by taking support service roles so that hospital personnel can focus on essential medical services.
- AmeriCorps members, under the sponsorship of a NGO, are dispatched to disasters such as Hurricane Katrina.
- RSVP of South Bay supports an emergency communications network (CVAN) for frail elderly and disabled people, involving CERT, Neighborhood Watch and ham radio operators.

RECOVERY

- NorCal VOAD invited Alameda County government to participate in the long-term recovery committee launch for East Bay Katrina evacuees.
- San Francisco Mayor's Office for Housing and Office of Emergency Services serve on the West Bay Katrina evacuees' long-term recovery committee.
- Faith-based organizations, including Lutheran Disaster Services, participate on Katrina recovery committees and provide direct services to evacuees.
- Service-learning students from K-12 and Higher Education provide various recovery services to impacted populations.

MITIGATION

1. San Francisco CARD, the Volunteer Center of San Francisco and San Francisco OES collaborated to retrofit seniors' apartments in Chinatown.

2. City of Fremont's CERT volunteers will be installing smoke detectors (paid for by a grant) in the homes of elderly people, people with disabilities, and low-income families with children. A year later, they will replace the batteries.

NGO & VSP Trends and Issues

NGO AND VSP CAPACITY AND FUNDING

NGOs and VSPs do not have unlimited capacity. While many may embrace playing a disaster role in coordination with government, staff time and resources may be scant. Government needs to be aware of fund and time limitations and consider reimbursement of travel and maintenance expenses for their nonprofit partners. When tapping an NGO or VSP for a response role, government should consider either a contract or agreement through which cost recovery is possible.

NGO AND VSP ACTIVATION

In planning with partner NGOs for a response role, activation protocols and procedures must be clarified, especially if cost recovery is an issue. Related to this concern is having points of contact for each other. This requires exchanging contact lists for each organization and keeping them up to date.

DEVELOPING RELATIONSHIPS

Considering the quantity of needs and the number of NGOs and VSPs a jurisdiction may wish to involve, government will have to work strategically. Initial steps might include prioritizing planning issues; identifying NGO/VSP networks; and speaking with organizations with which the jurisdiction already has a relationship.

FUTURE PLANS OF SEMS SPECIALIST COMMITTEE FOR NGO AND VOLUNTEER/SERVICE PROGRAMS

This committee intends to continue after October 2006. Future plans include further development of guidance and tools beyond the ’06 requirements. Even if not ultimately required, the committee feels strongly that development of collaborations for coordination of volunteer resources; management of unsolicited donations; and coordination of information for survivors and vulnerable populations are critical to the success of California’s response to the next major disaster.

Training Requirements Supporting Material

The following section on Training Requirements has information on the following:

1. *Training that is required for various public employees, suggested training for Community Based Organizations (CBO), NGOs, private sector and volunteer organizations who may provide assistance during an emergency.*

2. *SEMS/NIMS Training Guidance Matrix – a colored, easy to follow chart that provides internet links to referenced training classes.*

3. *SEMS/NIMS Instructor Certification and Qualification Program Recommendations*

Training Requirements Supporting Material

A variety of materials are available including:

The SEMS Training & Exercise Specialist Committee is made up of emergency management experts representing local and state government as well as private sector and volunteer organizations. The Committee is continuously working to provide the resources necessary to meet the training requirements of the SEMS while ensuring compliance with the NIMS requirements.

The Committee has developed a matrix which integrates the NIMS training requirements into the SEMS Approved Course of Instruction (ACI). The matrix clearly depicts the required training courses based on an individual's functions and responsibilities during an emergency. The matrix can also be found on the OES website and each "X" on the matrix provides a linkage to the respective training materials and resources. Because of the limited timeframe available to provide the required training, the Committee has also included the FY'07 NIMS training requirements of IS 700 and IS 800.

The required training elements apply to all public employees who may be called upon for an emergency regardless of governmental level or the emergency management phase for which they are called to assist. The Committee strongly recommends, however, that these training requirements be utilized for CBOs, NGOs, private sector and volunteer organizations who may provide assistance during an emergency.

Pursuant to the SEMS regulations, most emergency response personnel should have completed the necessary SEMS courses, many of which will satisfy NIMS requirements. If a jurisdiction has developed its own SEMS course, the curriculum objectives must be compared with the NIMS National Standard Training Guidance to ensure ICS objectives have been integrated.

Training guidelines and materials on SEMS/NIMS requirements are available on the OES website free of charge.

- ICS courses are NIMS compliant as long as they meet the objectives of the Federal ICS courses or FIRESCOPE ICS. SEMS Field course modules are based on FIRESCOPE ICS and are deemed by the Federal Government to be NIMS compliant. See NIMS National Standard Curriculum Training Development Guidance, view it at http://www.oes.ca.gov/Operational/OESHome.nsf/PDF/SEMS-NIMS%20Training%20&%20Exercises/$file/TrainGuide.pdf

  The SEMS/NIMS/ICS, A Combined Course: This comprehensive course compares and contrasts SEMS, NIMS, and ICS. This combined course curriculum will meet the requirements of SEMS Introductory Course, ICS 100, and the NIMS Awareness course. Go to Combined Course Curriculum, at http://www.oes.ca.gov/Operational/OESHome.nsf/ALL/2694BCCF302EBC0B882571300076A116?OpenDocument

Additional Guidance under development, please periodically check the OES website at www.oes.ca.gov.

Standardized Emergency Management System National Incident Management System Training Guidance Matrix **Click on the "X's" to link to training materials or resources.**	**SEMS Introduction**	**SEMS EOC**	**SEMS Executive**	**ICS 100** *(IS 100)*	**ICS 200** *(IS 200)*	**ICS 402**	**NIMS (IS 700)**	**NRP (IS 800)**	**SEMS – ICS - NIMS The Combined Course** **Equivalent to taking SEMS, Intro.,, ICS 100 & IS 700*	**ICS 300***	**ICS 400***
Required: All public employees who may be tasked, directed or called upon for an emergency. At all levels of government and all phases of emergency management. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.	X			X			X		X		
Personnel who assist or support the incident organization but do not normally supervise others. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.	X			X	X		X		X		
Personnel who supervise a branch, division, group or unit in the field or Emergency Operations Center. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.	X	X		X	X		X	X	X	X	
Personnel in the Command/Management or General Staff at an Incident or Area Command or in a Emergency Operations Center. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.	X	X		X	X		X	X	X	X	X
Executives, administrators and policy makers within agencies that are required to support a SEMS emergency response or recovery organization. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.			X			X	X	X			

SEMS/NIMS Instructor Certification & Qualification Program Recommendations

Purpose:
This document was designed to give California's emergency management and first responder communities guidelines for choosing instructors for SEMS/NIMS courses. By ensuring instructors have a realistic mix of education, experience and technical expertise, the training provided will not only be of the highest quality, but will also meet Federal requirements. These are recommendations and it is incumbent upon each agency, department, or jurisdiction to decide on the instructor qualifications that will best meet their needs of their staff.

Scope:
The SEMS Training & Exercise Specialist Committee incorporated the instructor certification guidelines and recommendations from the following sources:

1. The Department of Homeland Security, Grants and Training Instructor Certification Program (December 2005) http://www.ojp.usdoj.gov/odp/training.htm
2. Training Guidelines, Incident Command System Instructors (January 2006) http://www.fema.gov/pdf/nims/ICSInstructorGdl0106.pdf
3. California's Peace Officer Standards and Training (POST) Instructor Certification requirements
4. State Fire Marshal (SFM) Instructor Certification requirements
5. Best practices from private industry for instructor qualifications

The SEMS Training and Exercise Specialist Committee includes representatives from a wide array of emergency management professionals, including POST, SFM, various state agencies, CA Police Chiefs, local government and private industry. The Committee has worked diligently to provide recommendations that delineate standards for instructors.

Conceptual Overview
The Instructor Certification Qualification Program consists of three phases:

1. **Selection**
2. **Certification**
3. **Sustainment**

Phase 1 – Selection

The Selection Phase is divided into two parts - *Application* and *Instructor Candidate Review/Assessment* to ensure that instructors are selected based on established criteria.

Phase 2 – Certification

The Certification Phase is intended to establish a process to ensure that individuals aspiring to becoming certified possess the skills necessary to deliver the quality of instruction desired. OES will designate a certificate to be issued by the state discipline specific instructor program, or the local governmental agency, to instructors meeting the minimum standards.

Phase 3 – Certification Sustainment

The Certification Sustainment Phase ensures that certified instructors continue to meet the minimum standards for certification. This phase involves two parts: Renewal of the certification based on annual assessments and Professional Development.

Instructors must be certified prior to their use as an instructor by the state discipline specific instructor program, or the local governmental agency.

Detailed Discussions of the Three Phases

Phase 1 – Selection

Application

Instructor certification begins with a most important phase: *Selection*. To meet the dynamic needs of the State, instructors must be identified. Instructors submit their resumes (or curriculum vitas) to the appropriate state discipline specific instructor program, or the local governmental agency. It is then evaluated by the state discipline specific instructor program, or the local governmental agency according to a combination of five criteria: education; experience; technical expertise; special qualifications; and, certifications/registrations/licenses as may be applicable. The state discipline specific instructor program or the local governmental agency then processes the resume according to the organization's instructor policies and practices. The state discipline specific instructor program, or the local governmental agency is to maintain a copy of the application, resume', and all supporting documentation, i.e. certifications in each instructor's respective file.

Candidate Review and Assessment

- *Education*

Each state discipline specific instructor program or the local governmental agency determines its minimum educational requirements based on the level and needs of the course, as well as other factors that may be applicable. In lieu of formal education, the training partner may substitute experience, occupation-related certificates, on-the-job training, and so on, according to its established policies and practices. This would include but not be limited to those instructors that have life time teaching credentials from the community college system and those that have been certified by the State teacher credentialing program thus allowing "historical recognition" of previously trained instructors.

- *Experience*

Instructors must have a minimum of **7** years experience, in a combination of the following fields:

- Meets the minimum FEMA Training Requirements established by NIMS, in the ICS Instructor Training Guidelines
- CBRNE, Mass Casualty Incidents (MCI), prevention and deterrence, anti-terrorism, and/or counter-terrorism, and related experience
- Response to incidents where ICS/UCS is established pursuant to SEMS Regulations (Actual Incidents and/or Drills and Exercises)
- Adult education and or training experience (three-year minimum) in the following fields:
- Law Enforcement
- Emergency Medical Service – EMT-1 Training Program
- POST Certified Instructor including but not limited to Academy Directors, coordinators and recruit training officers
- Emergency Management
- Fire Service
- Hazardous Materials
- Public Works
- Government Administration
- Public Safety Communications
- Health Care
- Public Health

In exceptional cases, specialized experience may be accepted to meet this minimum experience requirement. In these instances, the state discipline specific instructor program, or the local governmental agency will document the rationale for the exception in the instructor file.

- *Technical Expertise*

This experience is function-specific (i.e., task-oriented). It encompasses the unique and/or specific knowledge, skills, and abilities associated with a task as it relates to an instructional assignment. For example, "technical expertise" could include the experience of a firefighter who has been trained in hazardous materials procedures or a registered nurse who has been trained in emergency response procedures. The training partner will determine type of and level of expertise required based on the needs of the course.

- *Special Qualifications*

Instructors may have unique and/or special experience relevant to an instructional assignment. Such experiences may include, but are not limited to, unique event experience and/or national prominence in an applicable field such as experience as a responder at an actual emergency response incident where ICS/UCS pursuant to the SEMS regulation was implemented, this includes drills and exercises.

- *Certifications/Registrations/Licenses*

These certifications/registrations/licenses are occupation-specific. Therefore, they may be the minimum requirement for a specific instructional assignment. An example would be an Emergency Medical Technician certification for an individual seeking certification to teach an EMS related course. Each state discipline specific instructor program or the local governmental agency may set organizational requirements for licenses, certifications, and or registrations.

- *Instructor Candidate Review/Information Verifications*

Each state discipline specific instructor program or the local governmental agency will employ such processes as necessary to assist them in selecting qualified applicants for instructor certification. Although the processes to be employed are left to the discretion of the respective discipline, it is assumed that as a minimum, the application and resume of each applicant will be reviewed, all important applicant data verified, and each applicant will be interviewed (either in-person or by telephone). The background of each applicant must be checked (as a minimum, identification should be verified), as well as a background check in accordance with training partner hiring policies regarding background clearances. The state discipline specific instructor program, or the local governmental agency must document the processes used and should ensure that all candidates undergo the same selection procedures.

Phase 2 – Instruction Certification

The purpose of the second phase is to provide processes to ensure that the applicant can demonstrate satisfactory classroom delivery techniques, can elicit questions and guide classroom discussions, and otherwise meet the competencies deemed necessary for all certified instructors. The state discipline specific instructor program or the local governmental agency provides guidance to instructors with regards to expectations, administrative processes and procedures, and other such areas.

It is the responsibility of each state discipline specific instructor program, or the local governmental agency to ensure instructors representing their training facility comply with the Instructor Certification Program, by following equivalent processes or other nationally recognized standard.

- Programs meeting NFPA 1041-Standards for Fire Service Instructor Professional Qualifications, 2002 Edition, and Fire Instructor Level I or II including those accredited by IFSAC OR THE Pro Board;
- Specialized Training Certification Program or Academy Instructor Certification
- Program as offered by the Military, or a State's Commission on Peace Officer Training (POST)
- Standards and Training or Possess certification from an approved formal instructional training program (i.e. ASTD, CTTI, FLETC, College, Private industry); or have a valid teaching certificate.

If a course is transferred from one state discipline specific instructor program, or the local governmental agency to another, then the certifications of the instructors affiliated with the

transferring course may be provisionally transferred, in order to allow the course to continue. In such a case, the accepting agency must take action to certify the original instructors through its own administrative procedures. This allows the accepting agency the option to transfer the instructors' certification to their operations.

Phase 3 – Certification Sustainment

Annual Assessments

The Instructor Certification Program is intended to ensure that all instructors will continue to meet the minimum for instructor certification standards. Each state discipline specific instructor program or the local governmental agency will conduct formal as well as informal evaluations. These evaluations will be used by the instructors (as well as by the state discipline specific instructor program, or the local governmental agency) to assess performance as well as to identify areas requiring improvement and/or areas, which demonstrate excellence. (An example of an *informal evaluation* would occur when a representative from state discipline specific instructor program or the local governmental agency drops in unexpectedly on an instructor to offer additional guidance and performance feedback.)

On no less than an annual basis, the state discipline specific instructor program, or the local governmental agency will observe each certified instructor in the classroom or similar setting. This observation will result in a formal assessment of the instructor's instructional skills as they relate to the minimal competencies identified in Phase 2. The assessments will be documented on instruments designed or adopted by the state discipline specific instructor program, or the local governmental agency. The assessor will share the results of the assessment with the instructor. The original will be forwarded to the state discipline specific instructor program, or the local governmental agency for processing and filing. In addition to the instructional assessment described, the state discipline specific instructor program, or the local governmental agency will perform an administrative assessment for each certified instructor. This assessment may be documented on an instrument designated by the specific discipline with a copy of the assessment maintained in the instructor's files.

When deficiencies are identified, the instructor will be assisted and encouraged to remedy the problem whenever possible. In any case, the specific discipline has a responsibility to ensure that each instructor meets and sustains the competencies and that corrective actions are taken as necessary.

Renewal/Revocation

During the fourth quarter of each year of certification, the state discipline specific instructor program, or the local governmental agency will review the certified instructor's records and determine whether or not to renew the individual's certification for another term. Absent action to the contrary, renewal will occur without additional action being necessary.

A certified instructor that fails to teach or utilize his/her training skills within a 24 month period may be subject to recertification by state discipline specific instructor program, or the local governmental agency.

Professional Development

It is expected all instructors will seek opportunities to enhance, improve, and develop their teaching/training skills as well as their technical expertise. Each state discipline specific instructor program or the local governmental agency has a responsibility to provide appropriate professional development for its certified instructors. The manner in which this training is provided is at the discretion of the state discipline specific instructor program, or the local governmental agency but must be documented. Professional development opportunities can include attendance at conferences, workshops, or seminars; participation in a course-specific continuing education workshop; participation in an instructional skills workshop; self-paced training; designated professional development readings; as well as many other opportunities. In addition to those opportunities provided directly by the specific discipline, workshops, seminars, and other such events offered by others can be designated and approved by the state discipline specific instructor program, or the local governmental agency.

In addition to the opportunities described above, self-improvement programs designed to either remediate identified weaknesses or those designed to assist the instructor to achieve excellence are also considered as professional development.

Interoperability Supporting Material

The Interoperability Supporting Material provides the following:

1. *Listing of links that provide members of the public safety community and other constituents with information and resources to help them meet communications and interoperability needs.*

2. *Information regarding California's Public Safety Radio Strategic Planning Committee (PSRSPC).*

Interoperability Supporting Material

These links provide members of the public safety community and other constituents with information and resources to help them meet their communications and interoperability needs.

Data Interoperability Website

Response Information Management System (RIMS) - *http://www.oes.ca.gov/Operational/OESHome.nsf/9785961716919627882 56b350061870e/796532464bd18e7888256b3500619ac2?OpenDocument*

Emergency Alert and Warning Websites

Emergency Management Accreditation Program – http://www.emaponline.org

Emergency Digital Information System - http://www.edis.oes.ca.gov/

Emergency Alert System – http://eas.oes.ca.gov

Communications Websites

The resources available through these linked webpages contain comprehensive information on topics relevant to public safety communications and features best practices that have evolved from real-world situations.

SAFECOM Program

SAFECOM Program - http://www.safecomprogram.gov/SAFECOM/

SAFECOM Interoperability Planning Methodology - http://www.safecomprogram.gov/SAFECOM/library/interoperabilitycasestudies/1223_statewidecommunications.htm

SAFECOM Interoperability Continuum Overview - http://www.safecomprogram.gov/SAFECOM/tools/Continuum/continuum.htm

SAFECOM Interoperability Continuum Brochure View PDF - http://www.safecomprogram.gov/SAFECOM/library/interoperabilitybasics/1190_interoperabilitycontinuum.htm

SCIP Statewide Communications Planning Overview - http://www.safecomprogram.gov/SAFECOM/tools/scip.htm

SCIP Methodology (Virginia Planning Process) PDF - http://www.safecomprogram.gov/NR/rdonlyres/9628BE4B-E7A5-4F1B-9179-2CFCF2653CA9/0/SCIPMethodology.pdf

SAFECOM Statement of Requirements (SoR) for Public Safety Communications PDF (Version 1.0 April 2004) - http://www.safecomprogram.gov/NR/rdonlyres/A1118073-1B21-42DC-941F-C9DB26F4DBEF/0/PSCI_Statement_of_Requirements_v1_0.pdf

U. S. Department of Homeland Security

DHS Home - http://www.dhs.gov

DHS Structure and Organization - http://www.dhs.gov/dhspublic/theme_home1.jsp

DHS Information Bulletins - http://www.ojp.usdoj.gov/odp/docs/bulletins.htm

Federal Communications Commission

Public Safety Home - http://wireless.fcc.gov/publicsafety/

700 MHz Interoperability - http://wireless.fcc.gov/publicsafety/700MHz/interop.html

National Coordination Committee - http://wireless.fcc.gov/publicsafety/ncc

FCC Planning Regions in California

Region 5 (Southern California) (700 MHz information in the "Documents" section) - http://www.cpra.org/resourcecntr.htm

Region 6 (Northern California) - http://wireless.fcc.gov/publicsafety/700MHz/regions/region6.html

National Public Safety Telecommunications Council

NPSTC Home - http://www.npstc.org/

California Statewide Interoperability Executive Committee

California Statewide Interoperability Executive Committee (CALSIEC) - http://www.calsiec.org/

California's Public Safety Radio Strategic Planning Committee

California's Public Safety Radio Strategic Planning Committee (PSRSPC) - http://psrspc.ca.gov/

Today there are regions of significant interoperability constraints within California, as much remains to be done to address both systems modernization and interoperability.

1 Preliminary assessments indicate that the state's backbone systems, including towers, radios, and other communications equipment, need to be assessed and improved upon.

2. There is a need to begin immediate implementation of gateway systems. This will help create incident level communications networks across the state. This technology exists and is readily available.

3. The interoperability solution for the state must include partnerships with local government and federal agencies, and will coordinate its work efforts with the State's interoperability committees.

4. California is a patchwork of existing communication systems, many of which have been heavily invested in.

5. There is a need to follow established communications criteria, such as the SAFECOM's Statement of Requirements, to establish operating requirements for state and local agencies.

6. Access to federal spectrum would vastly improve the state's ability to allocate mutual aid radio channels for incidents, allowing more first responders to communicate with each other and providing wireless coverage where necessary.

7. The focus should not just be on interoperability, but ensuring that systems in the state are operable. Many aging systems in the state are in need of immediate upgrades to bring them up to current standards. Funding should be focused on operability as well as interoperability.

8. The Incident Command System (ICS) is the fundamental basis for successful interoperable communications. California is actually in a more favorable position than other states due to its institutionalization of the ICS, as well as California's Standardized Emergency Management System (SEMS) and Mutual Aid programs.

ICS should be exercised, trained upon, and fully integrated as part of California's comprehensive interoperability landscape.

Public Information Supporting Material

Information on the following pages gives a description of the Public Information Officer, the function of Public Information in an Emergency Operations Center, the responsibilities of the Information Officer in the activation, operational, and demobilization phases of emergency response.

Public Information Supporting Material

Information below is excerpted from the Standardized Emergency Management System Approved Course of Instruction – Emergency Operations Center Course G611 - *Local Government Management Section Function Specific Handbook - Public Information Officer* (Part III, Supporting Documentation, SEMS Guidelines 2001, Governor's Office of Emergency Services)

Function Description

The Public Information Officer serves as the primary point of contact between the EOC and the media and the public. The Public Information Officer will prepare information releases, brief media representatives, and provide for press conferences. Normally, the Public Information function will also oversee the Rumor Control activity.

Organizing the Information function in an EOC

The Information function within an EOC may have special organizational needs due to the possible size of the organization required to meet the agency or jurisdictional information needs.

Normally, the Information function is handled by the Information Officer who is a member of the Management Staff. Assistant Information Officers may be assigned as needed. The Assistants may represent other jurisdictional departments, agencies, other jurisdictions, and/or they may also be assigned to handle specific Information functions.

In some cases in larger jurisdictions or major agency EOCs, it may be desirable to extend the Information function organization to meet greater needs. When this happens, the Information function may be established in the Management Section as a Group or at the maximum a Branch under the management of the Information Officer. Individual Units could then be established for such sub-functions as:

- Information Gathering
- Media Center
- Rumor Control
- Joint Information Center (JIC)
- Print media dissemination
- Broadcast media dissemination

Responsibilities

1. Serve as the central coordination point for the agency or jurisdiction for all media releases.

2. Ensure that the public within the affected area receives complete, accurate, and consistent information about life safety procedures, public health advisories, relief and assistance programs and other vital information.

3. Coordinate media releases with Public Information Officers at incidents or representing other affected emergency response agencies as required.

4. Develop the format for press conferences, in conjunction with the EOC Director.

5. Maintaining a positive relationship with the media representatives.

6. Supervising the Public Information Branch.

Activation Phase

- ❒ Follow generic Activation Phase Checklists.

- ❒ Determine staffing requirements and make required personnel assignments for the Public Information function as necessary.

Operational Phase

- ❒ Obtain policy guidance from the EOC Director with regard to media releases.

- ❒ Keep the EOC Director advised of all unusual requests for information and of all major critical or unfavorable media comments. Recommend procedures or measures to improve media relations.

- ❒ Coordinate with the Situation Analysis Unit and identify the method for obtaining and verifying significant information as it is developed.

- ❒ Develop and publish a media-briefing schedule, to include location, format, and preparation and distribution of handout materials.

- ❒ Implement and maintain an overall information release program.

- ❒ Establish a Media Information Center, as required, providing necessary space, materials, telephones, and electrical power.

- ❒ Maintain up-to-date status boards and other references at the media information center. Provide adequate staff to answer questions from members of the media.

- ❒ Interact with other EOC PIOs and obtain information relative to public information operations.

- ❒ Develop content for state Emergency Alert System (EAS) releases if available. Monitor EAS releases as necessary.

- ❒ In coordination with other EOC sections and as approved by the EOC Director, issue timely and consistent advisories and instructions for life safety, health, and assistance for the public.

- ❒ At the request of the EOC Director, prepare media briefings for members of the agencies or jurisdiction policy groups and provide other assistance as necessary to facilitate their participation in media briefings and press conferences.

- ❒ Ensure that a rumor control function is established to correct false or erroneous information.

- ❒ Ensure that adequate staff is available at incident sites to coordinate and conduct tours of the affected areas.

- ❒ Provide appropriate staffing and telephones to efficiently handle incoming media and public calls.

- ❒ Prepare, update, and distribute to the public a Disaster Assistance Information Directory, which contains locations to obtain food, shelter, supplies, health services, etc.

- ❒ Ensure that announcements, emergency information and materials are translated and prepared for special populations (non-English speaking, hearing impaired etc.).

- ❒ Monitor broadcast media, using information to develop follow-up news releases and rumor control.

- ❒ Ensure that file copies are maintained of all information released.

- ❒ Provide copies of all media releases to the EOC Director.

- ❒ Conduct shift change briefings in detail, ensuring that in-progress activities are identified and follow-up requirements are known.

- ❒ Prepare final news releases and advise media representatives of points-of-contact for follow-up stories.

Demobilization Phase

- ❒ Follow generic Demobilization Phase Checklist.

Tribal Government Supporting Material

This committee was just convened and additional materials will follow in the future.

Hazard Mitigation & Supporting Material

NIMS Requirements

No federally required NIMS compliance items have been promulgated at this time.

Background

Mitigation is the implementation of activities or measures that will reduce or eliminate the effects of a hazard. Mitigation is one of the four elements in the cycle of disaster and is supported by grant funds from the federal government.

The federal Disaster Mitigation Act of 2000 requires communities to adopt a FEMA approved locally developed hazard mitigation plan as a prerequisite to receiving federal hazard mitigation grants. The act also requires the states adopt a state multi-hazard mitigation plan in order to obtain federal disaster recovery grants.

These planning processes improve the disclosure and integration of hazard and vulnerability information. These planning processes also require the formulation of mitigation strategies and include hazard maps and studies that may have additional regulatory implications. However, the mitigation plans may or may not be coordinated with local emergency plans.

California-Specific Issues to be Considered

The integration of Hazard Mitigation into the SEMS/NIMS format will be the Specialist Committee's goal. Issues currently identified include:

- The role of SEMS to support mitigation activities
  - How to address identified threats (e.g., Avian Flu Pandemic)
  - The relationship to After Action Reporting (AAR) and advance planning
- The procedural methodology to invoke mitigation within the SEMS/NIMS framework
  - ICS - bottom up (e.g., response to Southern California bark beetle)
  - Catastrophic event – top down (e.g., Levee emergency)
- The role of mitigation programs to support SEMS/NIMS
  - Hazard Mitigation Grant Program, Flood Mitigation Assistance, PDM Funding
  - State and local mitigation planning
  - Hazard Identification and Analysis
- Integration of mitigation into all areas of emergency response
  - Role of forums like Disaster Resistance California (DRC) conferences
- Avoiding new unfunded local mandate

Checklist

There are no NIMS requirements for FY 2006.

Next Steps and Reference Materials for Users

Form Hazard Mitigation Specialist Committee to address issues. Coordinate results with After Action Specialist Committee to assure mitigation is addressed as an element of that activity. Coordinate with other committees for inclusion of mitigation in SEMS functions.

NIMS Requirements for 2006
There are no specific Recovery Requirements for FY 2006.

Background
SEMS regulations define a structure for response operations; extension of this to all recovery operations has not been fully developed. NIMS clearly states that it is to be applied to all phases of emergency management, but specific guidance on how this would translate to Recovery phase operations is limited. The purpose of the Recovery Specialist Committee will be to apply SEMS principles and concepts to the Recovery phase and to assure these SEMS principles and concepts also incorporate principles and concepts of NIMS.

California-Specific Interpretations & Approach
In the event of a federally declared disaster, integration with federal partners, who will be operating under NIMS, is critical for successful recovery operations. Current State plans and procedures for Joint Field Office (JFO) and associated recovery operations (such as Local Assistance Centers [LACs]) incorporate SEMS functions. However, they must be evaluated for NIMS compliance, especially as they relate to integrating multiple levels of government.

Checklist for NIMS Compliance
There are no requirements for FY 2006

Resources and Reference Materials
The first task of the SEMS Recovery Specialist Committee, when fully operational, will be to develop guidance for state, local, and tribal agencies, private non-profit and community based organizations, and the private sector on applying SEMS in the Recovery phase.

Long-term, the Committee will assist in development of a Recovery Strategy, which can be incorporated in to the State Emergency Plan and can be integrated with evolving federal guidance on National Response Plan (NRP) Emergency Support Function (ESF) #14, Long Term Community Recovery and Mitigation.

Credentialing and Supporting Material

Supporting material for credentialing is provided as follows:

1. *NIMS Requirements for 2006*
2. *Background*
3. *California-Specific Interpretations and Approach*
4. *Summary of NIMS Implementation Schedule, Requirements, and Certification Process*

Emergency Management Credentialing

NIMS Requirements for 2006
Even though there are no specific requirements placed on state and local government, private, non-profits, and tribal at this time, the need to have well qualified personnel in key positions is essential.

Background
The State's public, tribal, private, and volunteer emergency responders have been serving their communities for as long as their respective organizations have existed. These same responders have also ably assisted neighboring communities whenever help was needed. Given today's challenges, however, the potential for communities to require help from emergency response organizations across the state has increased significantly. The need for emergency responders to deploy to incidents outside their own localities has placed additional demands on our emergency response communities. Mutual aid systems must be able to guarantee swift and successful support through the routine identification and dispatch of qualified emergency responders to any domestic incident—the resultant organization of resources must be seamless, safe, and effective. All of this must be accomplished with emergency resources from communities across the State that may have different training programs, certification and job experience requirements, and identification protocols.

The development of a statewide credentialing system can help to provide the Incident Command System (ICS) with the means to verify, quickly and accurately, the qualifications and identity of emergency responders who have been requested to augment public, tribal, private, and volunteer resources at an incident site. In addition, it can serve to document professional qualifications, certifications, training, and education requirements that define baseline criteria expected of emergency response professionals and volunteers who are called upon to assist other communities across the State.

While such a system is meant to verify the identity and qualifications of emergency responders, it does not provide automatic access to an incident site. In this way it can serve to prevent unauthorized (i.e., self-dispatched or unqualified personnel) access to an incident site. Additionally, a responder credentialed in a specific ICS position may still not be fully qualified to fill the position due to the type and extent of the incident.

It is the intent of the state's proposed credentialing system to fold into the larger effort of the National Emergency Responder Credentialing System. By following the framework of the draft proposed federal system, the state's system should facilitate a seamless transition into a national system.

The initial attempt of the state to develop and implement a credentialing system will help promote effective and efficient personnel resource management in time of need. The net effect of this system should be less loss of life, environment, and property during a disaster.

California-Specific Interpretations & Approach
HSPD-5, NIMS Integration Center (NIC) Initiatives:

- The establishment of common performance standards for responders
- The implementation of a national system for credentialing
- Personnel Qualification and Certification (NIMCAST III-B-2-c)

Checklist for NIMS Compliance

None identified for FY 2006.

If you are a State Agency, consider the following recommendation:

To follow good practices and anticipate future demands placed on state and local government, private, non-profits, and tribal governments, the acceptance and implementation of the State of California SEMS/NIMS credentialing system should be a goal. The implementation of this system will allow identified well qualified personnel to fill key ICS SEMS/NIMS positions in time of critical need.

Summary of NIMS Implementation Schedule, Requirements, and Certification Process

Fiscal Year	Implementation Requirements	Certification Process
FY 2005	States and territories must meet minimum FY 05 NIMS implementation requirements; Tribal and local governments encouraged to start implementing the NIMS	At the end of FY 2005, States and Territories submit a self-certification form attesting that the state, taken as a whole[4], has met the minimum FY 2005 requirements. State certification is required to receive FY 2006 preparedness funds.
FY 2006	States, territories, tribes and local governments must meet the FY 06 NIMS implementation requirements *Refer to the attached FY 2006 NIMS Implementation Matrices for State and Local Governments*	At the end of FY 2006, States and Territories submit a self-certification form attesting that the State (including its tribal and local jurisdictions) has met the minimum FY 2006 requirements. State certification is required to receive FY 2007 preparedness funds.
FY 2007 and out years	Full NIMS compliance is required for all federal preparedness funds. States, territories, tribes and local governments continue to implement the NIMS and meet any additional requirements as identified by the NIMS Integration Center to ensure the continued success of the NIMS.	State certification of ongoing NIMS compliance requirements. NIMS compliance continues to be required to receive federal preparedness funds.

6"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.

Jurisdictional Checklists

The following pages provide separate checklists for state agencies, local government, and tribal governments. The checklists for state, local, and tribal governments are contiguous with the far left column identifying whether the checklist page that one is looking at is for a state agency, a local government, or a tribal government.

The columns in the checklists depict the following:

1. *Required State, Local, or Tribal actions necessary for FY 2006 NIMS compliance.*
2. *Steps that can be taken for Community Adoption of NIMS at the local and tribal governmental level, Infrastructure Adoption at the state level, and the ICS functional levels.*
3. *Three columns providing for identifying if meeting the NIMS requirement has been started, is in progress, or has been completed.*

A SEMS/NIMS Training Guidance Matrix (in color) is also included at the end of each state agency or local government or tribal government checklist. The matrix provides for easy identification of what training classes should be taken by various public employees, private sector, or volunteer/service program personnel. The matrix contains links to the internet training classes depicted in the matrix.

State Agency
FY 2006 Compliance Activities
NIMS Implementation Checklist for State Agencies

Required State Agency Action FY 2006 Compliance	Infrastructure Adoption	Not Started	In Progress	Completed
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.	This checklist is designed as a guide for meeting the NIMS Private Sector, Volunteer/Service Programs (VSPs) & NGOs requirements. Take the following steps: ☐ Consider inclusion of: o Private sector, NGO and VSP representatives as part of the emergency or disaster council or committee and; o Identify partnerships with private sector, NGOs and VSPs ☐ Update organization charts for emergency or disaster council or committees in formal documentation and inclusion in the Emergency Operations Plan or equivalent documents. ☐ In an updated Emergency Operations Plan identify how the private sector, VSPs and NGOs are included in the NIMS response structure at the state level. Examples of how some jurisdictions are applying these concepts are presented in the Best Management Practice Section of this document. ☐ By action: o Show invitation to outside organizations, utilities, private sector groups, NGOs and VSPs to programs that promote education on NIMS, in emergency management programs. Show letter or other documentation that supports willful communication with these same groups to become educated on NIMS; and,			

Required State Agency Action FY 2006 Compliance	Command and Management	Not Started	In Progress	Completed
Incident Command System (ICS): Management all 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.	State agency adoption of SEMS constitutes adoption of ICS. (SEMS field level is ICS, what NIMS was modeled after.)			

Required State Agency Action FY 2006 Compliance	Command and Management	Not Started	In Progress	Completed
<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.	☐ EOC procedures and supporting documentation describes the processes appropriate to multi-agency coordination and response levels. ☐ EOC exercises are conducted to test procedures and train staff. ☐ The EOP describes coordination linkages between all response levels from field to federal response.			

Required State Agency Action FY 2006 Compliance	Command and Management	Not Started	In Progress	Completed
<u>Public Information System:</u> 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.	This checklist is designed as a guide for meeting the NIMS Public Information requirements. Take the following steps: ☐ Establish through procedures, standard operating procedures (SOPs), and executive direction, a Public Information position and respective duties for EOC activation. ☐ Ensure that Public Information follows SEMS procedures and protocols consistent with the jurisdiction. ☐ Public information duties that expand beyond a single individual may be accomplished through the use of assistants. Assistants could be established for such sub-functions as: ▪ Information Gathering ▪ Media Center ▪ Rumor Control ▪ Joint Information Center (JIC) ▪ Print Media Dissemination ☐ Ensure departments include in their plans, procedures, and field response guides, an Information Officer position and essential duties. ☐ Establish thresholds for activation of a JIC. ☐ Revise plans and procedures to ensure that a JIC representative is identified with defined scope of authority and procedures. ☐ Coordinate training to include Public Information training with federal agencies, other state agencies, OES headquarters, regions and operational areas. ☐ Ensure that the agency's Public Information Officer Position and JIC concept are included in exercises and training. ☐ Ensure Public Information Officer and staff receive training and refreshers appropriate to their position.			

Required State Agency Action FY 2006 Compliance	Preparedness: Planning	Not Started	In Progress	Completed
Establish the state's NIMS baseline against the FY 2005 and FY 2006 implementation requirements.	☐ Designate a single point of contact to complete and submit your NIMCAST. ☐ Obtain password from State OES. ☐ Complete your NIMCAST assessment using the online tool. ☐ Maintain a copy of your NIMCAST assessment.			
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 action.	☐ Develop a plan review team to assess and identify plans, procedures, SOPs that need to be updated and revised. ☐ Identify those components of the NRP that would require agency plan, procedure and SOP updates. Coordinate efforts with OES for consistency. ☐ Participate in the development of the State Emergency Plan that forms the basis of the Statewide emergency management system			
Promote intrastate and interagency mutual aid agreements, to include agreements with the private sector and non-governmental organizations.	☐ Complete agreements for mutual assistance with private sector emergency response agencies. ☐ Complete agreements for mutual assistance with non-governmental organizations for emergency support. ☐ Develop private sector vendor lists.			
	Preparedness: Training			
Leverage training facilities to coordinate and deliver NIMS training requirements in conformance with the NIMS National Standard Curriculum.	☐ Prioritize training funds and schedules to ensure that appropriate NIMS training is provided, appropriate to the position and responsibilities of staff. ☐ Coordinate with other agencies to ensure all NIMS requirements are incorporated into existing training curriculum.			

Required State Agency Action FY 2006 Compliance	Preparedness: Training	Not Started	In Progress	Completed
(Continued)	(Continued) Training activities are delineated by an individual's responsibility during and emergency event and are required in a phased approach. The training matrix (that follows these checklists) depicts who should take what training courses according to their role in an emergency situation. It includes both State (SEMS) and National (NIMS) training requirements and applies to all who may be tasked. ☐ Develop and implement a tracking mechanism for identifying the individuals required to take the NIMS training course. ☐ Self-certification: Follow your agency's current procedures for documenting training and issuing certificates. It is recommended that a SEMS/NIMS training record-keeping system include: ▪ An individual training record for each person, kept either in their personnel file or in a separate training record file. The name of the course, instructor, location, and date should be included in the training record. ▪ Maintenance of the individual training record for as long as the person is employed in a position that involves an emergency response role. Records of personnel involved in an actual emergency should be kept at least until any training compliance issues have been resolved. ▪ Documentation of the agency's SEMS/NIMS training program, including copies of the training materials used, such as; instructor syllabus, lesson plans, participant manuals, exercises and tests.			
Complete IS-700 NIMS: An Introduction	☐ Identify and document individuals who are required to complete IS 700 NIMS using the training matrix (at the end of this checklist).			
Complete IS-800 NRP: An Introduction	☐ Identify and document individuals that are required to take IS 800 NIMS training and have completed the training using the training matrix (at the end of this checklist).			

Required State Agency Action FY 2006 Compliance	Preparedness: Training	Not Started	In Progress	Completed
Complete ICS 100 and ICS 200 Training	Training activities are delineated by an individual's responsibility during and emergency event and are required in a phased approach. The training matrix (that follows these checklists) depicts who should take what training courses according to their role in an emergency situation. It includes both State (SEMS) and National (NIMS) training requirements and applies to all who may be tasked. ☐ Identify the individuals who are required to complete ICS 100 NIMS using the training matrix. ☐ Identify the individuals who are required to complete ICS 200 NIMS using the training matrix. ☐ Develop and implement a tracking mechanism for identifying the individuals required to take the NIMS training course. ☐ Document individuals that are required to take ICS 100 training and have completed the training. ☐ Document individuals that are required to take ICS 200 training and have completed the training.			
	Preparedness: Exercises			
Incorporate NIMS/ICS into all state and regional training and exercises.	☐ Ensure all training objectives address NIMS/ICS requirements. ☐ Ensure lesson plans clearly state NIMS/ICS requirements. ☐ Ensure all exercise plans include objectives that can measure NIMS/ICS requirements.			
Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions.	☐ Develop a state agency exercise program that involves multiple disciplines and jurisdictions.			

Required State Agency Action FY 2006 Compliance	Preparedness: Exercises	Not Started	In Progress	Completed
Incorporate corrective actions into preparedness and response plans and procedures.	This **Local Agency Checklist** may be a useful guide to assist in addressing FY 2006 NIMS After Action/Corrective Action (AA/CA) compliance requirements. The following steps can be used to develop an AA/CA reports for any declared state of emergency or non-declared event, training, exercise, or a pre-identified planned event. For purposes of this checklist, the term "event" will apply to any of these. For the purposes of homeland security-funded exercises, please note that Exercise After Action Reports (AAR) and Improvement Plans (IP) must be provided to the federal Department of Homeland Security's Grants and Training (G&T) within 60 days following the completion of each exercise. Delivery to G&T is accomplished by posting the AAR and IP in the appropriate portion of the G&T secure portal. For declared states of emergency, local government and state agencies are required by SEMS to submit After Action Reports, which include areas for improvement, referred to as Corrective Actions in this document, within 90 days of the close of the incident. ☐ Designate a person to initiate the entire AA/CA process for the event in accordance with ICS organizational structures, doctrine, and procedures. For DOC or EOC activations, the following references to the Documentation Unit apply. For all other events, a less formal structure may be appropriate to carry out the after action/corrective action process. ☐ Designate an Emergency Operations Center (EOC) or Department Operations Center (DOC) Documentation Unit. Documentation Unit works under, and reports to, the Planning Section Chief. (Follow SEMS/NIMS structure).			

Required State Agency Action FY 2006 Compliance	Preparedness: Exercises	Not Started	In Progress	Completed
(Continued)	(Continued) ☐ Documentation Unit Lead passes all event documentation to the AA/CA Point of Contact (POC), the staff responsible for the development of the AA/CA Report. The AA/CA POC continues the process as follows in this checklist. ☐ Identify all organizations and contact information for all involved in the event, exercise, or training. ☐ Establish a reporting system to collect after action and corrective action information from all organizations involved in the event/exercise or training. ☐ Develop a timeline or work plan for completing the AA/CA Report. ☐ Develop an AA/CA Report Team, as necessary, to assist in the AA/CA Report development process. ☐ Determine the AA/CA Reporting mechanism that will be used for developing the AA/CA Report (hot wash, survey). ☐ Identify when and where AA/CA Hot Wash sill occur and send out AA/CA Report survey form to those involved in the event. ☐ Conduct AA/CA Hot Wash involving all those activated in the event; document, collect all Hot Wash comments, and consolidate into one overall report. ☐ Send out AA/CA Report survey to those personnel who could not attend the AA/CA Hot Wash. ☐ Designate a Documentation Unit staff that is responsible for collecting all documentation from activated positions in the event. ☐ Decide the method to be used in the Documentation Unit for initiating, collecting, and compiling the documentation for the After Action Report. ☐ Identify the person who will be responsible as the lead for the development of the AA/CA report. This person will be the AA/CA POC.			

Required State Agency Action FY 2006 Compliance	Preparedness: Exercises	Not Started	In Progress	Completed
(continued)	*(continued)* ☐ Initiate development of the AA/CA Report using all the compiled information/data form the Hot Wash and the AA/CA Report surveys that were returned. ☐ Ensure that the after action/corrective action process includes the following: o Analyze the collected after action information - group by SEMS functions. o Identify and triage corrective actions needed. o Prioritize corrective actions by SEMS functions. o Identify and link the appropriate involved organizations with the specific corrective actions. o Identify the expected outcome and the anticipated completion date of each corrective action. o Identify the jurisdictional or organizational authority that must provide signature approval of the AA/CA Report before it is released from the organization and forwarded. o Identify the jurisdictional or organizational POC for monitoring corrective action tracking. ☐ Identify points of contact for each organization that will receive the jurisdiction's AA/CA Report (drafts for an y review comments and the final report). ☐ Establish suspense dates throughout the process for completing and forwarding After Action/Corrective Action Reprots to meet compliance deadlines. ☐ For declared states of emergency, local jurisdictions forward AA/CA Report to the OES Region within 90 days of the close of the incident or event to meet SEMS requirements. o OES Region forwards all AA/CA Reports to State OES HQ AA/CA POC.			

Required State Ageny Action FY 2006 Compliance	Preparedness: Exercises	Not Started	In Progress	Completed
(continued)	*(continued)* - For events other than states of emergency, local jurisdictions forward the approved AA/CA report to the next higher SEMS organization level. In addition, for purposes of homeland security-funded exercises, Exercise AAR and IPs must be provided to the federal Department of Homeland Security's G&T within 60 days following the completion of each exercise. Delivery to G&T is accomplished by posting the AAR and IP in the appropriate portion of the G&T secure portal. - Develop a mechanism or planning tool that can be used for tracking identified corrective actions or lessons learned. - Identify a POC responsible for tracking the corrective action to completion. - Track the identified corrective action status through its completion or implementation, and document the completion date.			
	Resource Management			
Inventory state response assets to conform to homeland security resource typing standards.	- Assemble department heads, private sector agencies, volunteer and non-governmental organizations within your jurisdiction who have clearly defined emergency management responsibilities and list the 120 resources that are under your control and available within your jurisdiction. - All jurisdictions should maintain the completed inventories of resources identified on the NIMS listing.			

Required State Agency Action FY 2006 Compliance	Resources Management	Not Started	In Progress	Completed
Develop state plans for the receipt and distribution of resources outlined in the National Response Plan (NRP) Catastrophic Incident Annex and Catastrophic Incident Supplement.	☐ Coordinate with OES to facilitate the receipt and distribution of resources outlined in the NRP, consistent with the State Emergency Plan and SEMS. ☐ Ensure that plans, procedures and SOPs incorporate processes for receipt of federal resources under the NRP.			
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 tribal and local acquisition programs.	☐ Ensure that standards being developed are consistent with Public Safety Radio Strategic Planning Committee (PSRSPC) and the California Statewide Interoperability Executive Committee (CALSIEC).			
	Communications and Information Management			
Apply standardized and consistent terminology, including the establishment of plain English communications standards across public safety sector.	☐ Ensure plans, procedures, and SOPs stress plain English in response and exercises involving multi-discipline activities.			

Standardized Emergency Management System
National Incident Management System
Training Guidance Matrix

Click on the "X's" to link to training materials or resources.

	SEMS Introduction	SEMS EOC	SEMS Executive	ICS 100 *(IS 100)*	ICS 200 *(IS 200)*	ICS 402	NIMS (IS 700)	NRP (IS 800)	SEMS – ICS - NIMS The Combined Course **Equivalent to taking SEMS, Intro.,, ICS 100 & IS 700*	ICS 300*	ICS 400*
Required: All public employees who may be tasked, directed or called upon for an emergency. At all levels of government and all phases of emergency management. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.	X			X			X		X		
Personnel who assist or support the incident organization but do not normally supervise others. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.	X			X	X		X		X		
Personnel who supervise a branch, division, group or unit in the field or Emergency Operations Center. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.	X	X		X	X		X	X	X	X	
Personnel in the Command/Management or General Staff at an Incident or Area Command or in a Emergency Operations Center. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.	X	X		X	X		X	X	X	X	X
Executives, administrators and policy makers within agencies that are required to support a SEMS emergency response or recovery organization. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.			X			X	X	X			

Local Government
FY 2006 Compliance Activities
NIMS Implementation Checklist for Local Jurisdictions

Required Local Government Action FY 2006 Compliance	Community Adoption	Not Started	In Progress	Completed
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 following checklist is designed to assist in integrating the private sector into local emergency management. ☐ Consider updating emergency services or management ordinance and policy: o To identify private sector representatives as part of the Emergency or Disaster Council. o Update organization charts for Emergency or Disaster Council or committees in formal documentation and inclusion in the Emergency Operations Plan or equivalent documents managing the operations of the Emergency or Disaster Council. ☐ In an updated Emergency Operations Plan identify how the private sector is included in the NIMS response structure at the field, city, county, and tribal level. Examples of how some jurisdictions are applying these concepts are presented in the Best Management Practice Section of this document. ☐ By action: o Show invitation to outside organizations, utilities, NGO and private sector groups to programs that promote education on NIMS. Show letter or other documentation that supports willful communication with these same groups to become educated on NIMS.			

Required Local Government Action FY 2006 Compliance	Community Adoption	Not Started	In Progress	Completed
	(continued) ☐ Establish or update mutual aid and assistance agreements to reflect integration of private sector resources. Include notes on use of the NIMS protocols in response. ☐ Establish or update memorandums or memos of understanding with local private resources. Include notes on the use of the NIMS protocols in response. ☐ Identify by diagrams or other Emergency Operations Plan materials how private sector responders are integrated in at the field, local, and operational area. ☐ Identify by diagrams or other Emergency Operations Plan materials how the jurisdiction's preparedness organization involves the private sector in creating and maintaining multi-agency coordination mechanisms that facilitate: o Emergency Operations Centers (EOCs) activities. o Mutual-aid agreements. o Incident information systems. o Security of information and operations. o Show letter or other documentation that supports willful communication with these same groups to become educated on NIMS. o Show letter or other documentation that encourages these same groups to reach out to the NIMS or State OES web site and take IS 700 and IS 800. ☐ Establish or update mutual aid and assistance agreements to reflect integration of private sector resources. Include notes on use of the NIMS protocols in response.			

Required Local Government Action FY 2006 Compliance	Community Adoption	Not Started	In Progress	Completed
	(continued) ☐ Establish or update memorandums or memos of understanding with local private resources. Include notes on the use of the NIMS protocols in response. ☐ Identify by diagrams or other Emergency Operations Plan materials how private sector responders are integrated in at the field, local, and operational area. ☐ Identify by diagrams or other Emergency Operations Plan materials how the jurisdiction's preparedness organization involves the private sector in creating and maintaining multi-agency coordination mechanisms that facilitate: o Emergency Operations Centers (EOCs) activities. o Mutual-aid agreements. o Incident information systems. o Security of information and operations. ☐ The jurisdiction's preparedness planning program and institutionalized plans describe how governmental and nongovernmental resources (private sector) will be integrated to support incident management requirements and: o Provide mechanisms for setting priorities ▪ Organization chart showing location for input ▪ Action plan documentation showing involvement of input o Provide mechanisms for integrating multiple entities and functions. ▪ Diagrams that identify how multiple groups may be included. o Provide mechanisms for ensuring that communications and other systems effectively support the complete spectrum of incident management activities.			

Required Local Government Action FY 2006 Compliance	Community Adoption	Not Started	In Progress	Completed
	(continued) The following checklist is designed to assist in integrating volunteer, voluntary and service organizations into the local emergency management process. ☐ Include non-governmental and service organizations in preparedness. ☐ Include non-governmental and services organizations in response. ☐ Designate and approve training to non-governmental and service organizations on EOC Branch or Unit functions. ☐ Include non-governmental and volunteer/service organizations in recovery. ☐ Designate and approve training to non-governmental and service organizations on Recovery functions. ☐ Include non-governmental and service organizations in mitigation.			
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.*	☐ Provide documentation of your adoption of SEMS (resolution, ordinance, executive order, MOU, etc.) *Note: SEMS Field Course is compatible with NIMS ICS.*			

Required Local Government Action FY 2006 Compliance	Command and Management	Not Started	In Progress	Completed
(continued) *ICS implementation must include a consistent application of Incident Action Planning and Common Communications Plans.*	*Note: NIMS is based on SEMS and Common Communications Plans and Incident Action Plans are an integral part of ICS and SEMS.*			
<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 (ICPs), local 911 Centers, local Emergency Operations Centers (EOCs) and state EOC.	☐ Develop EOC standard operating procedures and supporting documentation. ☐ Exercise and training should include testing connectivity from ICP to EOC. ☐ The connectivity between the ICP and EOC needs to be addressed in the EOP, plans and procedures.			

Required Local Government Action FY 2006 Compliance	Command and Management	Not Started	In Progress	Completed
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.*	☐ Designate a Public Information Officer. ☐ Develop a Public Information Officer structure that can rapidly respond to incidents and EOC activations. ☐ Provide PIO training, including support cadre for the Public Information Officer Assistants. ☐ Involve the PIO function in all exercises and ensure procedures and SOPs are developed to support this function. ☐ Train and exercise staff to represent your jurisdiction at Joint Information Centers. ☐ Establish thresholds for utilizing a Joint Information Center and ensure they are included in incident and EOC procedures and SOPs. ☐ If you are an Operational Area, establish procedures and protocols for establishing JICs at the Operational Area level.			
Preparedness: Planning				
Establish the community's NIMS baseline against the FY 2005 and FY 2006 implementation requirements.	☐ Complete NIMCAST using the online tool. ☐ Submit your completed NIMCAST questionnaire to your Regional OES Office.			
Develop and implement a system to coordinate all federal preparedness funding to implement the NIMS across the community.	☐ Designate a single office to coordinate federal preparedness funding and NIMS implementation.			

Required Local Government Action FY 2006 Compliance	Preparedness: Planning	Not Started	In Progress	Completed
Revise and update plans and SOPs to incorporate NIMS components, principles and policies, to include planning, training, response, exercises, equipment, evaluation, and corrective actions.	☐ Define the scope of preparedness and incident management activities necessary for the jurisdiction. ☐ Describe organizational structures, roles and responsibilities, policies, and protocols for providing emergency support. ☐ Facilitate response and short-term recovery activities. ☐ Ensure Emergency Operations Plan (EOP) and supporting documentation are flexible enough for all emergency scenarios. ☐ Describe the EOP purpose. ☐ Describe the EOP concept of operations. ☐ Describe the EOP organization and assignment of responsibilities. ☐ Describe the administration and logistics of the EOP. ☐ Describe EOP development and maintenance. ☐ Describe the EOP authorities and references. ☐ Include functional annexes. ☐ Include hazard-specific appendices. ☐ Include a glossary. ☐ Pre-designate jurisdictional and/or functional are representatives to the Incident Commander (IC) or Unified Command (UC) whenever possible. Include pre-incident and post-incident public awareness, education, and communications plans and protocols. *(Note: a SEMS modeled EOP would include the above items.)*			
Participate in and promote intrastate and interagency mutual aid agreements with the private sector and non-governmental organizations.	☐ Participate in or develop mutual aid agreements with private sector, non-governmental and service organizations on EOC Branch or Unit functions (i.e. Haz Mat, sheltering, etc.). ☐ Identify automatic aid agreements among disciplines (neighboring fire services, law enforcement agencies). ☐ Develop policies and procedures that encourage and promote the development of mutual aid agreements with public, private, and non-governmental organizations.			

Required Local Government Action FY 2006 Compliance	Preparedness: Training	Not Started	In Progress	Completed
Complete IS-700 NIMS: An Introduction	Training activities are delineated by an individual's responsibility during and emergency event and are required in a phased approach. The training matrix (that follows these checklists) depicts who should take what training courses according to their role in an emergency situation. It includes both State (SEMS) and National (NIMS) training requirements and applies to all who may be tasked. ☐ Identify the individuals who are required to complete IS 700 NIMS using the training matrix (at the end of this checklist). ☐ Develop and implement a tracking mechanism for identifying the individuals required to take the NIMS training course. ☐ Document that individuals required to take IS 700 NIMS training have completed the training.			
Complete IS-800 NRP: An Introduction	Training activities are delineated by an individual's responsibility during and emergency event and are required in a phased approach. The training matrix (that follows these checklists) depicts who should take what training courses according to their role in an emergency situation. It includes both State (SEMS) and National (NIMS) training requirements and applies to all who may be tasked. ☐ Identify the individuals who are required to complete IS 800 NIMS using the training matrix. ☐ Develop and implement a tracking mechanism for identifying the individuals required to take the NIMS training course. ☐ Document individuals that are required to take IS 800 NIMS training and have completed the training.			

Required Local Government Action FY 2006 Compliance	Preparedness: Training	Not Started	In Progress	Completed
Complete ICS 100 and ICS 200 Training	Training activities are delineated by an individual's responsibility during and emergency event and are required in a phased approach. The training matrix (that follows these checklists) depicts who should take what training courses according to their role in an emergency situation. It includes both State (SEMS) and National (NIMS) training requirements and applies to all who may be tasked. ☐ Identify the individuals who are required to complete ICS 100 NIMS using the training matrix. ☐ Identify the individuals who are required to complete ICS 200 NIMS using the training matrix. ☐ Develop and implement a tracking mechanism for identifying the individuals required to take the NIMS training course. ☐ Document individuals that are required to take ICS 100 training and have completed the training. ☐ Document individuals that are required to take ICS 200 training and have completed the training.			
	Preparedness: Exercises			
Incorporate NIMS/ICS into all tribal, local and regional training and exercises.	☐ Incorporate NIMS/ICS training into all exercise plans.			
Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions.	☐ Participate in and document an annual progressive all-hazards exercise plan. ☐ Participate in Hazardous Materials, Mass Casualty, Nuclear power plant, dam failure evacuation exercises or other exercises relevant to your jurisdiction.			

Required Local Government Action FY 2006 Compliance	Preparedness: Exercises	Not Started	In Progress	Completed
Incorporate corrective actions into preparedness and response plans and procedures.	This **Local Agency Checklist** may be a useful guide to assist in addressing FY 2006 NIMS After Action/Corrective Action (AA/CA) compliance requirements. The following steps can be used to develop an AA/CA reports for any declared state of emergency or non-declared event, training, exercise, or a pre-identified planned event. For purposes of this checklist, the term "event" will apply to any of these. For the purposes of homeland security-funded exercises, please note that Exercise After Action Reports (AAR) and Improvement Plans (IP) must be provided to the federal Department of Homeland Security's Grants and Training (G&T) within 60 days following the completion of each exercise. Delivery to G&T is accomplished by posting the AAR and IP in the appropriate portion of the G&T secure portal. For declared states of emergency, local government and state agencies are required by SEMS to submit After Action Reports, which include areas for improvement, referred to as Corrective Actions in this document, within 90 days of the close of the incident. ☐ Designate a person to initiate the entire AA/CA process for the event in accordance with ICS organizational structures, doctrine, and procedures. For DOC or EOC activations, the following references to the Documentation Unit apply. For all other events, a less formal structure may be appropriate to carry out the after action/corrective action process. ☐ Designate an Emergency Operations Center (EOC) or Department Operations Center (DOC) Documentation Unit. Documentation Unit works under, and reports to, the Planning Section Chief. (Follow SEMS/NIMS structure). ☐ Documentation Unit Lead passes all event documentation to the AA/CA Point of Contact (POC), the staff responsible for the development of the AA/CA Report. The AA/CA POC continues the process as follows in this checklist			

Required Local Government Action FY 2006 Compliance	Preparedness: Exercises	Not Started	In Progress	Completed
(continued)	*(continued)* ☐ Identify all organizations and contact information for all involved in the event, exercise, or training. ☐ Establish a reporting system to collect after action and corrective action information from all organizations involved in the event/exercise or training. ☐ Develop a timeline or work plan for completing the AA/CA Report. ☐ Develop an AA/CA Report Team, as necessary, to assist in the AA/CA Report development process. ☐ Determine the AA/CA Reporting mechanism that will be used for developing the AA/CA Report (hot wash, survey). ☐ Identify when and where AA/CA Hot Wash sill occur and send out AA/CA Report survey form to those involved in the event. ☐ Conduct AA/CA Hot Wash involving all those activated in the event; document, collect all Hot Wash comments, and consolidate into one overall report. ☐ Send out AA/CA Report survey to those personnel who could not attend the AA/CA Hot Wash. ☐ Designate a Documentation Unit staff that is responsible for collecting all documentation from activated positions in the event. ☐ Decide the method to be used in the Documentation Unit for initiating, collecting, and compiling the documentation for the After Action Report. ☐ Identify the person who will be responsible as the lead for the development of the AA/CA report. This person will be the AA/CA POC. ☐ Initiate development of the AA/CA Report using all the compiled information/data form the Hot Wash and the AA/CA Report surveys that were returned			

Required Local Government Action FY 2006 Compliance	Preparedness: Exercises	Not Started	In Progress	Completed

(continued)	*(continued)*
	- Ensure that the after action/corrective action process includes the following:
	  - Analyze the collected after action information - group by SEMS functions.
	  - Identify and triage corrective actions needed.
	  - Prioritize corrective actions by SEMS functions.
	  - Identify and link the appropriate involved organizations with the specific corrective actions.
	  - Identify the expected outcome and the anticipated completion date of each corrective action.
	  - Identify the jurisdictional or organizational authority that must provide signature approval of the AA/CA Report before it is released from the organization and forwarded.
	  - Identify the jurisdictional or organizational POC for monitoring corrective action tracking.
	- Identify points of contact for each organization that will receive the jurisdiction's AA/CA Report (drafts for an y review comments and the final report).
	- Establish suspense dates throughout the process for completing and forwarding After Action/Corrective Action Reprots to meet compliance deadlines.
	- For declared states of emergency, local jurisdictions forward AA/CA Report to the OES Region within 90 days of the close of the incident or event to meet SEMS requirements.
	  - OES Region forwards all AA/CA Reports to State OES HQ AA/CA POC.			

Required Local Government Action FY 2006 Compliance	Preparedness: Exercises	Not Started	In Progress	Completed
(continued)	*(continued)* □ For events other than states of emergency, local jurisdictions forward the approved AA/CA report to the next higher SEMS organization level. In addition, for purposes of homeland security-funded exercises, Exercise AAR and IPs must be provided to the federal Department of Homeland Security's G&T within 60 days following the completion of each exercise. Delivery to G&T is accomplished by posting the AAR and IP in the appropriate portion of the G&T secure portal. □ Develop a mechanism or planning tool that can be used for tracking identified corrective actions or lessons learned. □ Identify a POC responsible for tracking the corrective action to completion. □ Track the identifies corrective action status through its completion or implementation, and document the completion date.			
Resource Management				
Inventory community response assets to conform to homeland security resource typing standards.	□ Assemble department heads, private sector agencies, volunteer and non-governmental organizations within your jurisdiction who have clearly defined emergency management responsibilities and list the 120 resources that are under your control and available within your jurisdiction. □ If you are a special district, forward your completed inventories to the city emergency management agency in which you are geographically located. □ If you are a special district that is located beyond a single city's geographical boundaries, forward your completed inventory to the Emergency Manager of the Operational Area in which you are located. □ If you are a city, forward your completed inventories to the Operational Area Emergency Manager. □ If you are an Operational Area, forward your completed			

	inventories to your OES Regional Manager.			
Required Local Government Action FY 2006 Compliance	**Resource Management**	**Not Started**	**In Progress**	**Completed**
(continued)	*(continued)* ☐ If you are an Operational Area, compile the lists developed by each of your jurisdictions and forward these completed lists to your OES Regional Manager. ☐ All jurisdictions should maintain the completed inventories of resources identified on the NIMS listing.			
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.	☐ Ensure that standards being developed are consistent with Public Safety Radio Strategic Planning Committee (PSRSPC) and the California Statewide Interoperability Executive Committee (CALSIEC).			
Communication & Information Management				
Apply standardized and consistent terminology, including the establishment of plain English communications standards across public safety sector.	☐ Ensure plans, procedures, and SOPs stress plain English in response and exercises involving multi-discipline activities.			

Standardized Emergency Management System National Incident Management System Training Guidance Matrix **Click on the "X's" to link to training materials or resources.**	**SEMS Introduction**	**SEMS EOC**	**SEMS Executive**	**ICS 100** *(IS 100)*	**ICS 200** *(IS 200)*	**ICS 402**	**NIMS (IS 700)**	**NRP (IS 800)**	**SEMS – ICS - NIMS The Combined Course** **Equivalent to taking SEMS, Intro.,, ICS 100 & IS 700*	**ICS 300***	**ICS 400***
Required: All public employees who may be tasked, directed or called upon for an emergency. At all levels of government and all phases of emergency management. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.	X			X			X		X		
Personnel who assist or support the incident organization but do not normally supervise others. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.	X			X	X		X		X		
Personnel who supervise a branch, division, group or unit in the field or Emergency Operations Center. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.	X	X		X	X		X	X	X	X	
Personnel in the Command/Management or General Staff at an Incident or Area Command or in a Emergency Operations Center. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.	X	X		X	X		X	X	X	X	X
Executives, administrators and policy makers within agencies that are required to support a SEMS emergency response or recovery organization. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.			X			X	X	X			

Tribal Government
FY 2006 Compliance Activities
NIMS Implementation Checklist for Tribal Governments

Required Tribal Government Action FY 2006 Compliance	Community Adoption	Not Started	In Progress	Completed
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 following checklist is designed to assist in integrating the private sector, non-governmental organizations (NGOs) and voluntary/service program (VSPs) into tribal emergency management. ☐ Update emergency services or management ordinance and policy: o Identify private sector, NGOs and VSPs representatives as part of the Emergency or Disaster Council. o Update organization charts for Emergency or Disaster Council or committees in formal documentation and inclusion in the Emergency Operations Plan or equivalent documents managing the operations of the Emergency or Disaster Council. ☐ In an updated Emergency Operations Plan identify how the private sector, NGOs and VSPs are included in the NIMS response structure at the tribal level. Examples of how some jurisdictions are applying these concepts are presented in the Best Management Practice Section of this document. ☐ By action: o Show invitation to outside organizations, utilities, NGO, VSP and private sector groups to programs that promote education on NIMS. o Show letter or other documentation that supports willful communication with these same groups to become educated on NIMS.			

Required Tribal Government Action FY 2006 Compliance	Community Adoption	Not Started	In Progress	Completed
(continued)	(continued) o Show letter or other documentation that encourages these same groups to reach our to the NIMS or State OES website and take IS 700 and IS 800. ☐ Establish or update mutual aid and assistance agreements to reflect integration of private sector resources. Include notes on use of the NIMS protocols in response. ☐ Establish or update memorandums or memos of understanding with local private resources, NGOs and VSPs. Include notes on the use of the NIMS protocols in response. ☐ Identify by diagrams or other Emergency Operations Plan materials how private sector responders are integrated in at the field, local, and operational area. ☐ Identify by diagrams or other Emergency Operations Plan materials how the tribal government's preparedness organization involves the private sector, NGOs and VSPs in creating and maintaining multi-agency coordination mechanisms that facilitate: o Emergency Operations Centers (EOCs) activities. o Mutual-aid agreements. o Incident information systems. o Security of information and operations. o The tribal government's preparedness planning program and institutionalized plans describe how governmental and nongovernmental resources (private sector), NGOs and VSPs will be integrated to support incident management requirements and: o Provide mechanisms for setting priorities ▪ Organization chart showing location for input ▪ Action plan documentation showing involvement of input.			

Required Tribal Government Action FY 2006 Compliance	Community Adoption	Not Started	In Progress	Completed
(continued)	(continued) o Provide mechanisms for integrating multiple entities and functions. ▪ Diagrams that identify how multiple groups may be included. o Provide mechanisms for ensuring that communications and other systems effectively support the complete spectrum of incident management activities. The following checklist is designed to assist in integrating volunteer, voluntary and service organizations into the local emergency management process. ☐ Include non-governmental and service organizations in preparedness. ☐ Include non-governmental and services organizations in response. ☐ Designate and approve training to non-governmental and service organizations on EOC Branch or Unit functions. ☐ Include non-governmental and volunteer/service organizations in recovery. ☐ Designate and approve training to non-governmental and service organizations on Recovery functions. ☐ Include non-governmental and service organizations in mitigation.			

Required Tribal Government Action FY 2006 Compliance	Community Adoption	Not Started	In Progress	Completed
<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 a consistent application of Incident Action Planning and Common Communications Plans*	☐ Provide documentation of your adoption of SEMS (resolution, ordinance, executive order, MOU, etc.) *Note: SEMS Field Course is compatible with NIMS ICS. Note: NIMS is based on SEMS and Common Communications Plans and Incident Action Plans are an integral part of ICS and SEMS.*			

Required Tribal Government Action FY 2006 Compliance	Command and Management	Not Started	In Progress	Completed
<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 (ICPs), local 911 Centers, local Emergency Operations Centers (EOCs) and state EOC.	☐ Develop EOC standard operating procedures and supporting documentation. ☐ Exercise and training should include testing connectivity from ICP to EOC. The connectivity between the ICP and EOC needs to be addressed in the EOP, plans and procedures.			
<u>Public Information System:</u> 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.	☐ Designate a Public Information Officer. ☐ Develop a Public Information Officer structure that can rapidly respond to incidents and EOC activations. ☐ Provide PIO training, including support cadre for the Public Information Officer Assistants. ☐ Involve the PIO function in all exercises and ensure procedures and SOPs are developed to support this function. ☐ Train and exercise staff to represent your jurisdiction at Joint Information Centers. ☐ Establish thresholds for utilizing a Joint Information Center and ensure they are included in incident and EOC procedures and SOPs. ☐ If you are an Operational Area, establish procedures and			

	protocols for establishing JICs at the Operational Area level.			
Required Tribal Government Action FY 2006 Compliance	**Preparedness: Planning**	**Not Started**	**In Progress**	**Completed**
Establish the community's NIMS baseline against the FY 2005 and FY 2006 implementation requirements	☐ Complete NIMCAST using the online tool. ☐ Submit your completed NIMCAST questionnaire to your Regional OES Office.			
Develop and implement a system to coordinate all federal preparedness funding to implement the NIMS across the community.	☐ Identify an individual or office to ensure all federal preparedness funds are tracked and support the implementation of NIMS.			
Revise and update plans and SOPs to incorporate NIMS components, principles and policies, to include planning, training, response, exercises, equipment, evaluation, and corrective actions.	☐ Define the scope of preparedness and incident management activities necessary for the tribe. ☐ Describe organizational structures, roles and responsibilities, policies, and protocols for providing emergency support. ☐ Facilitate response and short-term recovery activities. ☐ Ensure Emergency Operations Plan (EOP) and supporting documentation is flexible enough for all emergency scenarios. ☐ Describe the EOP purpose. ☐ Describe the EOP concept of operations. ☐ Describe the EOP organization and assignment of responsibilities. ☐ Describe the administration and logistics of the EOP. ☐ Describe EOP development and maintenance. ☐ Describe the EOP authorities and references. ☐ Include functional annexes ☐ Include hazard-specific appendices. ☐ Include a glossary.			

Required Tribal Government Action FY 2006 Compliance	Preparedness: Planning	Not Started	In Progress	Completed
(continued)	*(continued)* ☐ Pre-designate jurisdictional and/or functional are representatives to the Incident Commander (IC) or Unified Command (UC) whenever possible. ☐ Include pre-incident and post-incident public awareness, education, and communications plans and protocols.			
Participate in and promote intrastate and interagency mutual aid agreements to include agreements with the private sector and non-governmental organizations.	☐ Have mutual aid (assistance) agreements been developed with the Operational Area where your tribe is located, other nearby local jurisdictions, private sector, NGO and VSPs on Branch or Unit functions? (i.e., Haz Mat, sheltering, etc.)? ☐ Does automatic aid exist among disciplines (fire service, law enforcement)?			
	Preparedness: Training			
Complete IS-700 NIMS: An Introduction	Training activities are delineated by an individual's responsibility during and emergency event and are required in a phased approach. The training matrix (that follows these checklists) depicts who should take what training courses according to their role in an emergency situation. It includes both State (SEMS) and National (NIMS) training requirements and applies to all who may be tasked. ☐ Identify the individuals who are required to complete IS 700 NIMS using the training matrix (at the end of this checklist). ☐ Develop and implement a tracking mechanism for identifying the individuals required to take the NIMS training course. ☐ Document that individuals required to take IS 700 NIMS training have completed the training.			

Required Tribal Government Action FY 2006 Compliance	Preparedness: Training	Not Started	In Progress	Completed
Complete IS-800 NRP: An Introduction	Training activities are delineated by an individual's responsibility during and emergency event and are required in a phased approach. The training matrix (that follows these checklists) depicts who should take what training courses according to their role in an emergency situation. It includes both State (SEMS) and National (NIMS) training requirements and applies to all who may be tasked. Identify the individuals who are required to complete IS 800 NIMS using the training matrix. Develop and implement a tracking mechanism for identifying the individuals required to take the NIMS training course. Document individuals that are required to take IS 800 NIMS training and have completed the training.			
Complete ICS 100 and ICS 200 Training	Training activities are delineated by an individual's responsibility during and emergency event and are required in a phased approach. The training matrix (that follows these checklists) depicts who should take what training courses according to their role in an emergency situation. It includes both State (SEMS) and National (NIMS) training requirements and applies to all who may be tasked. Identify the individuals who are required to complete ICS 100 NIMS using the training matrix. Identify the individuals who are required to complete ICS 200 NIMS using the training matrix. Develop and implement a tracking mechanism for identifying the individuals required to take the NIMS training course. Document individuals that are required to take ICS 100 training and have completed the training. Document individuals that are required to take ICS 200 training and have completed the training.			

Required Tribal Government Action FY 2006 Compliance	Preparedness: Exercises	Not Started	In Progress	Completed
Incorporate NIMS/ICS into all tribal, local and regional training and exercises.	☐ Incorporate NIMS/ICS training into all exercise plans.			
Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions.	☐ Participate in and document an annual progressive all-hazards exercise plan. ☐ Participate in Hazardous Materials, Mass Casualty, Nuclear power plant, dam failure evacuation exercises or other exercises relevant to your jurisdiction.			
Incorporate corrective actions into preparedness and response plans and procedures.	The following checklist is an option for **Tribal Government** may be a useful guide to assist in addressing FY 2006 NIMS After Action/Corrective Action (AA/CA) compliance requirements. The following steps can be used to develop an AA/CA reports for any declared state of emergency or non-declared event, training, exercise, or a pre-identified planned event. For purposes of this checklist, the term "event" will apply to any of these. For the purposes of homeland security-funded exercises, please note that Exercise After Action Reports (AAR) and Improvement Plans (IP) must be provided to the federal Department of Homeland Security's Grants and Training (G&T) within 60 days following the completion of each exercise. Delivery to G&T is accomplished by posting the AAR and IP in the appropriate portion of the G&T secure portal. For declared states of emergency, local government and state agencies are required by SEMS to submit After Action Reports, which include areas for improvement, referred to as Corrective Actions in this document, within 90 days of the close of the incident.			

Required Tribal Government Action FY 2006 Compliance	Preparedness: Exercises	Not Started	In Progress	Completed
(continued)	*(continued)* ☐ Designate a person to initiate the entire AA/CA process for the event in accordance with ICS organizational structures, doctrine, and procedures. For DOC or EOC activations, the following references to the Documentation Unit apply. For all other events, a less formal structure may be appropriate to carry out the after action/corrective action process. ☐ Designate an Emergency Operations Center (EOC) or Department Operations Center (DOC) Documentation Unit. Documentation Unit works under, and reports to, the Planning Section Chief. (Follow SEMS/NIMS structure). ☐ Documentation Unit Lead passes all event documentation to the AA/CA Point of Contact (POC), the staff responsible for the development of the AA/CA Report. The AA/CA POC continues the process as follows in this checklist. ☐ Identify all organizations and contact information for all involved in the event, exercise, or training. ☐ Establish a reporting system to collect after action and corrective action information from all organizations involved in the event/exercise or training. ☐ Develop a timeline or work plan for completing the AA/CA Report. ☐ Develop an AA/CA Report Team, as necessary, to assist in the AA/CA Report development process. ☐ Determine the AA/CA Reporting mechanism that will be used for developing the AA/CA Report (hot wash, survey). ☐ Identify when and where AA/CA Hot Wash sill occur and send out AA/CA Report survey form to those involved in the event. ☐ Conduct AA/CA Hot Wash involving all those activated in the event; document, collect all Hot Wash comments, and consolidate into one overall report.			

	☐ Send out AA/CA Report survey to those personnel who could not attend the AA/CA Hot Wash.			
Required Tribal Government Action FY 2006 Compliance	**Preparedness: Exercises**	**Not Started**	**In Progress**	**Completed**
(continued)	*(continued)* ☐ Designate a Documentation Unit staff that is responsible for collecting all documentation from activated positions in the event. ☐ Decide the method to be used in the Documentation Unit for initiating, collecting, and compiling the documentation for the After Action Report. ☐ Identify the person who will be responsible as the lead for the development of the AA/CA report. This person will be the AA/CA POC. ☐ Initiate development of the AA/CA Report using all the compiled information/data form the Hot Wash and the AA/CA Report surveys that were returned. ☐ Ensure that the after action/corrective action process includes the following: o Analyze the collected after action information - group by SEMS functions. o Identify and triage corrective actions needed. o Prioritize corrective actions by SEMS functions. o Identify and link the appropriate involved organizations with the specific corrective actions. o Identify the expected outcome and the anticipated completion date of each corrective action. o Identify the jurisdictional or organizational authority that must provide signature approval of the AA/CA Report before it is released from the organization and forwarded. o Identify the jurisdictional or organizational POC for monitoring corrective action tracking. ☐ Identify points of contact for each organization that will receive the jurisdiction's AA/CA Report (drafts for any review comments and the final report).			

Required Tribal Government Action FY 2006 Compliance	Preparedness: Exercises	Not Started	In Progress	Completed
(continued)	*(continued)* - Establish suspense dates throughout the process for completing and forwarding After Action/Corrective Action Reports to meet compliance deadlines. - For declared states of emergency, local jurisdictions forward AA/CA Report to the OES Region within 90 days of the close of the incident or event to meet SEMS requirements. - OES Region forwards all AA/CA Reports to State OES HQ AA/CA POC. - For events other than states of emergency, local jurisdictions forward the approved AA/CA report to the next higher SEMS organization level. In addition, for purposes of homeland security-funded exercises, Exercise AAR and IPs must be provided to the federal Department of Homeland Security's G&T within 60 days following the completion of each exercise. Delivery to G&T is accomplished by posting the AAR and IP in the appropriate portion of the G&T secure portal. - Develop a mechanism or planning tool that can be used for tracking identified corrective actions or lessons learned. - Identify a POC responsible for tracking the corrective action to completion. - Track the identified corrective action status through its completion or implementation, and document the completion date. - Tracking of corrective actions should result in improved event responses, training, and exercises due to incorporation of lessons learned and reinforcing strengths.			

Required Tribal Government Action FY 2006 Compliance	Resource Management	Not Started	In Progress	Completed
Inventory community response assets to conform to homeland security resource typing standards.	☐ Assemble department heads, private sector agencies, volunteer and non-governmental organizations within your jurisdiction who have clearly defined emergency management responsibilities and list the 120 resources that are under your control and available within your jurisdiction. ☐ Exchange inventories with neighboring jurisdictions' emergency management agencies. ☐ All jurisdictions should maintain the completed inventories of resources identified on the NIMS listing.			
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.	☐ Ensure that standards being developed are consistent with Public Safety Radio Strategic Planning Committee (PSRSPC) and the California Statewide Interoperability Executive Committee (CALSIEC).			
Communication & Information Management				
Apply standardized and consistent terminology, including the establishment of plain English communications standards across public safety sector.	☐ Ensure plans, procedures, and SOPs stress plain English in response and exercises involving multi-discipline activities.			

Standardized Emergency Management System National Incident Management System Training Guidance Matrix **Click on the "X's" to link to training materials or resources.**	**SEMS Introduction**	**SEMS EOC**	**SEMS Executive**	**ICS 100** *(IS 100)*	**ICS 200** *(IS 200)*	**ICS 402**	**NIMS (IS 700)**	**NRP (IS 800)**	**SEMS – ICS - NIMS The Combined Course** **Equivalent to taking SEMS, Intro.,, ICS 100 & IS 700*	**ICS 300***	**ICS 400***
Required: All public employees who may be tasked, directed or called upon for an emergency. At all levels of government and all phases of emergency management. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.	X			X			X		X		
Personnel who assist or support the incident organization but do not normally supervise others. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.	X			X	X		X		X		
Personnel who supervise a branch, division, group or unit in the field or Emergency Operations Center. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.	X	X		X	X		X	X	X	X	
Personnel in the Command/Management or General Staff at an Incident or Area Command or in a Emergency Operations Center. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.	X	X		X	X		X	X	X	X	X
Executives, administrators and policy makers within agencies that are required to support a SEMS emergency response or recovery organization. Recommended: CBOs, NGOs, Private Sector, Volunteer Orgs., etc.			X			X	X	X			

ACRONYMS

AA	After Action
AAR	After Action Report
AA/CA	After Action/Corrective Action
ACI	Approved Course of Instruction
ARB	Air Resources Board
ARC	American Red Cross
BCP	Business Continuity Plan
BDO	Boards, Departments, and Offices
BENS	Business Executives for National Security
CA	Corrective Action
CALCORD	California On-Scene Emergency Coordination Radio Plan
CAL/EPA	California Environmental Protection Agency
CALTRANS	California Department of Transportation
CAP	Civil Air Patrol
CARES	California Animal Response Emergency Systems
CBO	Community-Based Organization
CCC	California Conservation Corps
CCR	California Code of Regulations
CDC	Center for Disease Control
CDE	California Department of Education
CDF	California Department of Forestry and Fire Protection
CDHS	California Department of Health Services
CDMG	California Division of Mines and Geology (see DOC/DMG)
CDSS	California Department of Social Services
CEC	California Energy Commission
CERT	Citizens Emergency Response Training
CESA	California Emergency Services Association
CESRS	California Emergency Services Radio System
CFAA	California Fire Assistances Agreement
CHP	California Highway Patrol
CICCS	California Incident Command Certification System
CIS	Critical Incident Stress
CIWMB	California Integrated Waste Management Board
CLERS	California Law Enforcement Radio System
CLETS	California Law Enforcement Teletype System
CNG	California National Guard
COG	Continuity of Government
CSGNET	California State Government Network
CSTI	California Specialized Training Institute
CUEA	California Utilities Emergency Association
CVMA	California Veterinary Medical Association
CWCG	California Wildfire Coordinating Group
CYA	California Youth Authority

DAD	Disaster Assistance Division
DCA	Department of Consumer Affairs
DFA	Department of Food and Agriculture
DFG	Department of Fish and Game
DGS	Department of General Services
DHCD	Department of Housing and Community Development
DHS	Department of Homeland Security (federal)Health Services
DI	Department of Insurance
DIR	Department of Industrial Relations
DMAT	Disaster Medical Assistance Team
DMORT	Disaster Mortuary Operational Response team
DMH	Department of Mental Health
DMU	Donations Management Unit
DMV	Department of Motor Vehicles
DOA	Department of Aging
DOC	Department of Corrections
DOC	Department Operations Center
DOC/DMG	Department of Conservation/Division of Mines and Geology
DOD	Department of Defense
DOE	Department of Energy
DOEd	Department of Education (federal)
DOF	Department of Finance
DOJ	Department of Justice (state)
DPA	Department of Personnel Administration
DPR	Department of Parks and Recreation
DPR	Department of Pesticide Regulation
DR	Department of Rehabilitation
DRC	Disaster Recovery Center
DRE	Department of Real Estate
DSCO	Deputy State Coordinating Officer
DSR	Damage Survey Report
DSS	Department of Social Services
DSW	Disaster Service Worker
DTSC	Department of Toxic Substances Control
DVA	Department of Veterans Affairs
DWR	Department of Water Resources
EAS	Emergency Alert System
EDD	Employment Development Department
EDIS	Emergency Digital Information System
EDO	Executive Duty Officer
EEO	Equal Employment Opportunity
EMAC	Emergency Management Assistance Compact
EMI	Emergency Management Institute
EMMA	Emergency Manager's Mutual Aid
EMSA	Emergency Medical Services Authority
EOC	Emergency Operations Centers

EOP	Emergency Operations Plan
ESA	Emergency Services Act
ESF	Emergency Support Function
ETO	Emergency Training Officer
FBI	Federal Bureau of Investigation
FCO	Federal Coordinating Officer
FEMA	Federal Emergency Management Agency
FHWA	Federal Highway Administration
FIRESCOPE	Fire Fighting Resources of Southern California Organized for Potential Emergencies
FMAG	Fire Management Assistance Grant
FOG	Field Officer Guide
FRP	Federal Response Plan
FTB	Franchise Tax Board
FY	Fiscal Year
GIS	Geographic Information System
G&T	Grants and Training
HMGP	Hazard Mitigation Grant Program
HSPD	Homeland Security Presidential Directive
HSEEP	Homeland Security Exercise Evaluation Program
IA	Individual Assistance
IC	Incident Command
ICP	Incident Command Post
ICS	Incident Command System
IP	Improvement Plan
IT	Information Technology
JFO	Joint Field Office
JIC	Joint Information Center
JIS	Joint Information System
LAC	Local Assistance Center
MA	Mutual Aid
MACS	Multi-Agency Coordination System
MARAC	Mutual Aid Regional Advisory Committee
MCI	Mass casualty Incident
MOU	Memorandum of Understanding
MMAA	Master Mutual Aid Agreement (also known as the California Civil Defense and Disaster Mutual Aid Agreement)
MST	Management Support Team
NCCC	National Civilian Community Corps
NFIP	National Flood Insurance Program
NGO	Non-Governmental Organization
NIMS	National Incident Management System
NIPP	National Infrastructure Protection Plan
NRCS	Natural Resource Conservation Service
NVOAD	National Voluntary Organization Active in Disasters
NWCG	National Wildfire Coordinating Group

OA	Operational Area
OASIS	Operational Area Satellite Information System
OCJP	Office of Criminal Justice Planning
ODP	Office of Domestic Preparedness
OEHHA	Office of Environmental Health Hazard Assessment
OES	Governor's Office of Emergency Services
OHS	Governor's Office of Homeland Security
OPR	Office of Planning and Research
OSHPD	Office of Statewide Health Planning and Development
OSPR	Office of Spill Prevention and Response (DFG)
PA	Public Assistance
PDA	Preliminary Damage Assessment
PIO	Public Information Officer
P&TD	Preparedness and Training Division
POST	Police Officers Standards Training
PUC	Public Utilities Commission
RACES	Radio Amateur Communication Emergency System
REOC	Regional Emergency Operations Center
RIMS	Response Information Management System
ROC	Federal Regional Operations Center
ROSS	Resource Ordering and Status System
RSVP	Retired and Senior Volunteers Program
SAM	State Administrative Manual
SAR	Search and Rescue
SAT	Staff Activation Team
SBA	US Small Business Administration
SCIF	State Compensation Insurance Fund
SCO	State Coordinating Officer
SEMS	Standardized Emergency Management System
SEMS/NIMS	An acronym depicting a process of integrating NIMS requirements into SEMS.
SMARS	Statewide Mutual Aid Radio System
SOC	State Operations Center
SOP	Standard Operating Procedures
SPB	State Personnel Board
SPC	Single Point of Contact
SSGP	State Supplemental Grant Program
STO	State Training Officer
SWP	State Water Project
TAG	The Adjutant General
TEWG	Terrorism Early warning Group
TICP	Tactical Interoperable Communication Plan
UC	Unified Command
USAR	Urban Search and Rescue
USACE	United States Army Corps of Engineers
USDA	United States Department of Agriculture
USGS	United States Geographical Society

VEST	Volunteer Emergency Services Team
VIPS	Volunteers in Police service
VISTA	Volunteer in Service to America
VMAT	Veterinary Medical Assistance Team
VOAD	Voluntary Organization Active in Disaster
WFSA	Wild land Fire Situation Analysis
WRCB	Water Resources Control Board