

**SECTION V: 2006  
NIMS Compliance  
Guidance for Tribal  
Governments**

The contents of this guideline have not been changed from the original document, however, the guideline has been reformatted to meet Americans with Disabilities Act (ADA) 508 standards.

## Introduction

Tribal governments have specific requirements to meet the FY 2006 NIMS requirements for their sovereign nation. Each Tribal entity is encouraged to assemble an internal team to address the requirements as outlined in the following sections. Collectively, with Tribal governments located within the State boundary addressing these requirements, California will be in compliance with NIMS—while reinforcing SEMS consistency.

The FY 2006 State Agency, Local Government, and Tribal Government NIMS requirements matrices are located in the supporting materials section of this workbook – see the following:

Section VI. Supporting Materials section - *State Agency, Local Government, and Tribal Government NIMS Requirements and Implementation Activities.*

The comprehensive jurisdictional checklists of NIMS compliance activities are located in the supporting materials section of this workbook – see the following:

Section VI. Supporting Materials - Jurisdictional Checklists

## Tribal Nations Partnership

All Tribal governments within California's borders are viewed as critical partners in the pursuit of NIMS compliance as well as the ongoing refinement of overall emergency management techniques and coordination. With their status as independent Sovereign Nations, Tribal governments are not required to comply with the elements of SEMS but are highly encouraged to do so in order to enhance and strengthen statewide response systems. Significant work has already been accomplished by many Tribal Nations towards NIMS compliance, as well as the integration of SEMS principles--of which much of NIMS is derived. California is committed to this partnership in support of strong emergency collaboration and is engaged with the Tribes to accomplish this goal in many ways, including:

- Supporting a Specialist Committee dedicated to Tribal Nations emergency coordination;
- Offering representation on all Specialist Committees within the SEMS Maintenance System;
- Developing Technical Assistance Workshops specifically for Tribal Nations and;
- Creating a robust communications system through the Tribal Nations Specialist
- Committee that will promote information sharing among and between the Tribes and California's other governmental, private sector, and community-based organizations.

## General Requirements

### Introduction

The Tribal government FY 2006 NIMS requirements issued by DHS cover a wide range of activities from formal adoption of NIMS to interoperability issues. This part covers general FY 2006 requirements that Tribal government is required to accomplish.

### FY 2006 NIMS Requirements

- *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.*
- *Establish the community's NIMS baseline against the FY 2005 and FY 2006*

The FY 2006 State Agency, Local Government, and Tribal Government NIMS requirements matrices are located in the supporting materials section of this workbook – see the following:

Section VI. Supporting Materials section - *State Agency, Local Government, and Tribal Government NIMS Requirements and Implementation Activities.*

The comprehensive jurisdictional checklists of NIMS compliance activities are located in the supporting materials section of this workbook – see the following:

Section VI. Supporting Materials - Jurisdictional Checklists

# CHECKLIST

## GENERAL REQUIREMENTS

### TRIBAL GOVERNMENTS

*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.*

- Pass an ordinance or resolution that adopts NIMS. (The similarity between NIMS and SEMS is so great that it would be helpful and of benefit to the Tribal Governments to use and/or maintain SEMS).
- Develop outreach efforts to associations, utilities, NGOs and private sector incident management and response organizations to encourage them to adopt NIMS.

#### **Preparedness: Planning**

*Establish the community's NIMS baseline against the FY 2005 and FY*

*2006 implementation requirements.*

- Complete NIMCAST.
- Develop a plan to meet shortfalls identified in NIMCAST.

*Participate in and promote intrastate and interagency mutual aid agreements, to include agreements with the private sector and non-governmental organizations:*

- Pursue and/or complete agreements for assistance with private sector emergency response agencies.
- Pursue and/or complete agreements for assistance with non-governmental organizations for emergency support.
- Develop private sector vendor lists.

- Initiate discussions among tribal, local, and state governments relative to resource sharing and mutual aid concepts.

# Emergency Operations Plans

## Introduction

State, local, and tribal governments are required to revise and update plans and Standard Operating Procedures (SOPs) to coordinate all federal preparedness funding to implement the NIMS. To ensure the full integration of the NIMS with SEMS, the emergency management community must incorporate NIMS into their planning efforts, including Emergency Operations Plans.

State, local, and tribal governments should use the EOP checklist released by OES last year. This checklist is compatible with the two guidance documents released by DHS in January 2006 - "Local and Tribal NIMS Integration" and "State NIMS Integration."

## FY 2006 NIMS Requirements

*Revise and update plans and SOPs to incorporate NIMS components, principles and policies, to include planning, training, response, exercises, equipment, evaluation and corrective actions.*

## California Specific program guidance for Emergency Operations Plans

It should be noted that the glossary contained in this workbook guide contains terms that are different from terms defined by regulation in California. Since SEMS establishes specific requirements, including definitions, that are not necessarily compatible with some material presented in NIMS guidance, caution should be used when updating glossaries to ensure that there is no conflict with SEMS until any necessary changes in SEMS documents are made. State OES will be reviewing and revising the State Emergency Plan in the context of NIMS, the National Response Plan (NRP), and the National Preparedness Goal (NPG), and we will determine if any changes need to be made.

The California system of SEMS along with training, exercises, activations, and general practices (indicated by after action reports) demonstrates compliance with the intent of the items in the EOP checklist.

## References

Emergency Planning Guidance for Local Government, January 1999 (Available on OES website at

<http://www.oes.ca.gov/Operational/OESHome.nsf/Content/E539B39F0396DBFC88256C2A00628101?OpenDocument>)

State NIMS Integration: Integrating the National Incident Management System into State Emergency Operations Plans and Standard Operating Procedures, January 2006 (Available at <http://www.fema.gov/nims/>)

*State and Local Guide (SGL) 101: Guide for All-Hazard Emergency Operations Planning, September 1996 (Available at <http://www.fema.gov/rrr/gaheop.shtm>)*

For additional guidance, refer to the Section VI. Supporting Materials

- 1) *General Requirements Supporting Material*
  - a. *Sample Resolution*
  - b. *Checklist for a NIMS – Compliant EOP*

## After Action/Corrective Action

### Introduction

The SEMS Technical Group established the After Action/Corrective Action (AA/CA) SEMS Specialist Committee to address the NIMS requirements for After Action/Corrective Actions and plans within the framework of SEMS. Products developed by this committee will be for use by state, local, and available as a best practice for tribal governments in order to support and encourage efforts towards NIMS compliance.

### FY 2006 NIMS Requirements

Corrective actions are an integral part of the preparedness activities in NIMS, which require corrective actions. The requirements for FY 2006 are to:

- *Incorporate corrective actions into preparedness and response plans and procedures.*
- *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.*

### California-specific program guidance for After Action/Corrective Action

The California Emergency Services Act (ESA), section 8607 and the SEMS [section 8607.2 (4)(f)] regulations require After Action reporting from involved State and local agencies within 120 days after each declared disaster. Tribal governments are not required by law to comply with SEMS; Tribal governments may, if they choose, follow SEMS.

SEMS regulations require an After Action Report (AAR) for all declared emergencies. This requirement applies only to state agencies and local government agencies seeking reimbursement from the State for personnel-related response costs. The SEMS regulations do not specify corrective actions (CA), although the SEMS Guidelines do address “areas for improvement.” The SEMS statute and implementing regulations are

written broadly enough to encompass AARs and NIMS requirements for corrective actions without any additional regulatory changes. The SEMS Guidelines serve as the primary resource for after action reports and corrective actions to assist those organizations in carrying out the SEMS regulations.

For additional guidance, refer to the Section VI. Supporting Materials

- 1) After Action/Corrective Action Supporting Material
  - a. Revised SEMS Guidelines – After Action/Corrective Action
  - b. Key AA/CA Definitions
  - c. Sample Reporting Forms

The SEMS Guidelines will be revised to address After Action reporting for non-declared events, exercises, and training. The revisions will address the identification and tracking of corrective actions. The After Action Report format and template will be revised accordingly.

# CHECKLIST

## AFTER ACTION/CORRECTIVE ACTION

### TRIBAL GOVERNMENTS

This AA/CA Checklist, used for state and local government, may also be used by Tribal governments in addressing FY 2006 NIMS After Action/Corrective Action (AA/CA) compliance requirements. The following steps can be used to develop an AA/CA report 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 declared states of emergency, state agencies are required by SEMS to submit After Action Reports, which include areas for improvement, referred to as Corrective Actions in this document.

- Designate individual/team to initiate the entire AA/CA process for the event in accordance with ICS organizational structures, doctrine, and procedures.

For Department Operations Center (DOC) or Emergency Operations Center (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 or Department Operations Center
- 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.
- Identify all tribal organizations involved in the event, exercise or training.
- Establish a reporting system to collect after action and corrective action information from all tribal organizations involved in the event/exercise or training.
- Develop a timeline or work plan for completing the AA/CA Report.

- Establish 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 (AA/CA Report Survey or Briefing/Hot Wash Survey).
- Identify when and where AA/CA Hot Wash will occur and send out AA/CA Report survey form to those involved in the event.
- Conduct AA/CA Hot Wash involving all those activated or participating 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.
- Initiate development of the AA/CA Report using all the compiled information/data from the Hot Wash and the AA/CA Report surveys that were returned.
- Identify points of contact for each tribal organization that will receive the AA/CA Report.
- Establish suspense dates throughout the process for completing and forwarding AA/CA Reports to meet compliance deadlines.
- For declared states of emergency, tribal governments are invited to forward AA/CA report to the OES Region within 90 days of the close of the incident or event.
- OES Regions forward all AA/CA Reports to State OES HQ AA/CA point of contact.
- For all events, tribal governments are invited to forward the approved AA/CA report to the next higher SEMS organization level.
- Develop a mechanism or planning tool that can be used for tracking identified corrective actions or lessons learned.
- Identify a point of contact responsible for tracking the corrective action to completion.
- Track the identified corrective action status through its completion or implementation, and document the completion date.

- *After Action/Improvement Plan reporting for federally funded exercises:*
  - For federally funded exercises follow the applicable grant guidelines/conditions.

# Resource Management

## Introduction

An integral part of NIMS is the ability to rapidly provide mutual aid. Resource typing supports mutual aid through a common nationwide typing of key resources to ensure the same type of resource requested is provided. This nationwide typing effort was undertaken at the NIMS Integration Center (NIC) with participation of discipline-specific experts from all jurisdictional levels. The result is a listing of 120 resources by discipline accessible at the NIMS website ([www.fema.gov/emergency/nims/index.shtm](http://www.fema.gov/emergency/nims/index.shtm)) . This list will be expanded at the direction of the NIC on their schedule. Suggested additions can be provided to the NIC via the website listed above. The list and types by discipline includes:

- 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)

## FY 2006 NIMS Requirements

- *Inventory community response assets to conform to homeland security resource typing standards.*

## California - Specific Resource Management

As with any attempt toward national standardization, there will be regional differences, such as definitions or terms used to identify specific resources. To address these differences, as they apply to California, there is a glossary provided in the Supporting

Documents section of this document. The glossary cross-lists the 120 listed with the California definition first followed by the corresponding NIMS definition.

## Process

It is important to establish some assumptions prior to initiating the inventorying of resources by the 120 types. These may include:

- Some resources may be used by more than one of the disciplines that NIMS has listed. This may result in different terms for the same resource. There is no known remedy for this.
- Do not "read into" the material. Only identify those 120 typed resources that are in your inventories that meet the exact descriptions.
- Only identify those resources listed in the 120 that you have and maintain. The list is simply a list; it does not imply that you should or should not have the resource.
- There are some resources that reside only at the state level. Some disaster assistance resources teams such as Individual and Public Assistance are examples of resources that are state-only.
- If a resource exceeds the minimum capability described but does not meet the minimum capabilities of the next higher type, then the resource should count under the lower level type.
- The Emergency Manager, no matter how experienced, should not be the only person involved in the typing of inventory. They may be unaware of volunteer or private sector resources or resources shared among disciplines on a day-to-day basis.
- Take into account when identifying your resources that some may be counted more than once if they are shared resources among different jurisdictions or disciplines. Or they may consist of individuals that serve on more than one "team" such as a search and rescue team and a Specialized Weapons and

Tactics (SWAT) team. Double-counting may happen and there may be no way to avoid it.

- Available resources do not exclude those that may be used by more than one discipline or team. If mutual aid/state agency coordination is capable to assemble and deliver the resources for a strike team/task force, then that resource capability is to be counted.
- Resources that are not functional should not be counted.
- Resident Disaster Medical Assistance Team (DMAT) teams are not to be counted as state assets since they are only available for a federally declared disaster.
- In examining your inventories to determine whether you have any of the 120 types, include resources that exceed the minimum requirements described in NIMS.
- Some of the resources identified in the 120 types are federal resources, not found in state and local inventories.
- Private and volunteer resources should only be counted by those jurisdictions that have written agreements that list the jurisdiction having priority usage.

## **Work Groups**

To facilitate the best assessment of inventorying the 120 types, a workgroup should complete the task. The work group should at least include representatives from the eight different "disciplines" represented in the initial NIMS 120 type groups. To round this out, the addition of volunteer, private sector, and non-governmental organizations (NGOs) could assist in a comprehensive assessment.

## **Resource Characteristics**

When determining if you have a team, take the following into consideration:

- Teams should be counted by the organization that "owns" or "controls" it. This would be the organization that dispatches the team.
- There are some teams that are ad hoc and assembled from a multitude of jurisdictions and disciplines. They should be counted only by the agency that dispatches to minimize double counting.
- Teams are composed of state, federal, local government assets.
- Private Sector teams can only be counted by the organization that controls them.
- Having the team is different from having the capability through mutual aid of acquiring a team.
- Written agreements between agencies may be used to create teams, but written agreements alone do not constitute a team.
- The ability to deploy resources does not constitute a team. A team must meet NIMS requirements.
- • State and/or federal control of the team does not constitute a local government team.

### **Resource Typing Comment Form**

The NIC has created a resource Typing Comment form that is available on their website. Use this form if your jurisdiction would like to suggest that the NIC add specific resources that are not currently included on the existing federal resource typing list. A copy of this form is located in the Resource Management Supporting Material Section on page 139 of this guidance. The NIC is expected to add more resource types to their existing list in the future. Your suggested additions will be taken into consideration as the resource typing list is expanded.

For additional guidance, refer to the Section VI. Supporting Materials

- 1) Resource Management Supporting Material
  - a. *Resource Typing Comments Form*
  - b. *Listing of the 120 Resources by Discipline*
  - c. *California/NIMS Cross-Reference Glossary of 120 Typed Resources*
  - d. *Resource Inventory Data Sheet*

## **CHECKLIST**

### **RESOURCE REQUIREMENTS**

#### **TRIBAL GOVERNMENTS**

This Checklist is designed as a guide for meeting the NIMS resource requirements.

Take the following steps:

- Assemble tribal leads, within your tribal government who have clearly defined emergency management responsibilities and list the 120 resources that are under your control and available within your tribal government.
- Tribal governments are invited to forward your completed inventories to the State OES.
- Maintain the completed inventories of resources identified on the NIMS listing

# Non-Governmental Organizations & Volunteer/Service Programs

## Introduction

For both to be fully effective, Non-Governmental organizations (NGOs) and volunteer/service programs (VSPs) must be integrated with government emergency management—during all emergency management phases and at all governmental levels. The human side of a disaster poses extraordinary challenges for emergency managers who face such issues as special needs populations, language and cultural diversity, coordination of volunteer resources, and management of unsolicited donations. When NGOs and VSPs are included in emergency management structures and processes, they can and will respond, bringing with them valuable information, resources, and expertise.

Treating NGOs and VSPs simply as resources undervalues what they bring to the response table. Many have the ability to take on specific roles that can be relied on—if appropriate training, resources and activation protocols are provided. In many cases, they have the ability to deliver a needed service to the community faster, better and more appropriately than government can. NGOs and VSPs should also be included in decision-making. Because of their unique perspective, they provide an important piece of the disaster puzzle. Whether the topic is mass care, public information, or evacuation, they have specific knowledge that will enhance the quality and appropriateness of decisions. Moreover, participation in joint decisions by NGOs will provide the latter with critical and timely information, enabling them to make better decisions about their own actions and deployment of resources.

## FY 2006 NIMS Requirements

There are two planning requirements that must be addressed in order to be eligible for federal grants or reimbursements before, during or after an emergency:

- *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 agencies.*

- *Participate in and promote intrastate and interagency mutual aid agreements, to include agreements with the private sector and non-governmental organizations.*

### **California Specific Guidance**

To develop a bi-directional process that includes the appropriate NIMS/SEMS protocols which ensure integration of personnel, resources and information from non-governmental organizations, and volunteer, voluntary and national service organizations into emergency management and ensures effective coordination before, during and after response to an event.

- NGO and volunteer and national service personnel are to be integrated in the emergency response program in all phases of emergency management: preparedness, mitigation, response, and recovery.
- NGO and volunteer and national service sector personnel and resources provide response capabilities, not just logistical support.
- NGO and volunteer and national service sector personnel are to be included in the decision making process at all levels of response, e.g., in the appropriate liaison, agency rep, multiagency and operations roles.

Even without specific requirements, the recommendation is to integrate NGOs and VSPs as aggressively as possible. Given the attention being paid to lessons learned from Hurricane Katrina, there is a strong likelihood that many of the following strategies will be required in the future:

- Planning for the coordination of volunteer resources with a Volunteer Center or other organization or agency;
- Planning for management of unsolicited donations with VOAD and faith-based organizations; and,
- Coordination with 2-1-1 or Information and Referral Provider for compiling and disseminating information about community resources.

For additional guidance, refer to the Section VI. Supporting Materials

- 1) *Non-Governmental Organizations, Volunteer/Service Programs and Private*

### **Sector Supporting Material**

- a) *Volunteer Group and NGO*
- b) *Volunteer/Service Programs*
- c) *Networks of Voluntary Organizations and Volunteer Programs*
- d) *Interaction/Integration Listing of Topics & Issues for Local Government*
- e) *Placement of Voluntary Organizations and Volunteer Programs in the Emergency Response Organization*
- f) *Strategies for Integration of NGOs and Volunteer/Service Programs (Chart)*
- g) *Best Practices/Examples of NGO and VSP Integration with Government NGO & VSP Trends and Issues*

# CHECKLIST

## NON-GOVERNMENTAL ORGANIZATIONS & VOLUNTEER/SERVICE PROGRAMS TRIBAL GOVERNMENT

This Checklist is designed as a guide for meeting the NIMS Non-Governmental organizations

(NGO) and Volunteer/Service Programs (VSP) requirements. Take the following steps:

- Consider:
  - Identifying NGO and VSP representatives as part of an emergency or disaster council or committees
  - Partnerships with NGOs and VSPs.
- Update organization charts for Tribal emergency or disaster council in formal documentation and inclusion in the Emergency Operations Plan (or equivalent notes
- In an updated Emergency Operations Plan identify how NGOs and VSPs are included in the NIMS response structure within Tribal government.
- Suggested action:
  - Show invitation to NGOs and VSPs to programs that promote education on NIMS;
  - Show letter or other documentation that supports willful communication with these organizations to become educated on NIMS; and,
  - Show letter or other documentation that informs these same organizations to reach out to the NIMS web site and take IS 700 and 800.
- Establish or update mutual aid and assistance agreements to reflect integration of NGO and VSP resources. Include notes on use of the NIMS protocols in response.
- Establish or update memoranda of understanding with NGO and VSP resources. Include notes on the use of the NIMS protocols in response.

# Private Sector

## Introduction

These materials were developed to help create a bi-directional process that includes the appropriate SEMS/NIMS protocols to ensure integration of personnel, resources, and information from private sector businesses and organizations into the public sector emergency management system and enhance effective coordination before, during, and after response to an event. This effort addresses an area that has received limited resources for inclusion in the existing SEMS. By involving the private sector in the development of these processes, full integration should be enhanced.

## FY 2006 NIMS Requirements

- *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.*
- *Participate in and promote intrastate and interagency mutual aid agreements, to include agreements with the private sector and non-governmental organizations.*

## California Specific Guidance

At the January 26, 2006, SEMS Advisory Board, the following general guidance for private sector was stated:

- Consider including private sector personnel in all phases of emergency management: preparedness, response, recovery and mitigation.
- Include private sector personnel and resources in response capabilities, not just logistical support, at all five SEMS levels.
- Include methods for the private sector to provide input in the decision-making process at all levels of response, e.g., in the appropriate liaison, agency representative, multi-agency and operations roles.

- Jurisdictions should evaluate the emergency service ordinance regarding inclusion of the private sector into the local disaster council, emergency management council, and planning arena.

For additional guidance, refer to the Section VI. Supporting Materials

*1) Non-Governmental Organizations, Volunteer/Service Programs and Private Sector*

*Supporting Material*

- a) Volunteer Group and NGO*
- b) Volunteer/Service Programs*
- c) Networks of Voluntary Organizations and Volunteer Programs*
- d) Interaction/Integration Listing of Topics & Issues for Local Government*
- e) Placement of Voluntary Organizations and Volunteer Programs in the Emergency Response Organization*
- f) Strategies for Integration of NGOs and Volunteer/Service Programs (Chart)*
- g) Best Practices/Examples of NGO and VSP Integration with Government NGO & VSP Trends and Issues*

# CHECKLIST

## PRIVATE SECTOR TRIBAL GOVERNMENTS

- Consider:
  - Updating organization charts for an emergency or disaster council in formal documentation and inclusion in the Emergency Operations Plan (or equivalent notes).
  - Identifying private sector representatives as part of an emergency or disaster council.
  - Identifying partnerships with private sector groups.
- In an updated Emergency Operations Plan identify how the private sector is included in the NIMS response structure at the state level.
- Suggested action:
  - Show invitation to outside associations, utilities, NGO, and private sector groups to programs that promote education on the use of NIMS in this agency's emergency management program.
  - Show letter or other documentation that supports willful communication with these same groups to become educated on NIMS and the agency's plans to integrate private sector emergency response efforts with that of the agency's public sector response efforts.
  - Show letter or other documentation that encourages these same groups to reach out to the NIMS web site and take IS 700 and 800.
- Establish or update 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.

# Training and Exercises

## Introduction

To the maximum extent possible, federal agencies, states, territories, tribes and local entities are encouraged to achieve full NIMS implementation and institutionalization across the entire response spectrum. State agencies, tribal, and local governments play an important role in the implementation of the National Incident Management System (NIMS). To ensure the full integration of the NIMS with California's Standardized Emergency Management System (SEMS), the emergency management community must participate in a number of training activities. Those training activities are delineated by an individual's responsibility during an emergency event and are required in a phased approach. Training to be completed by the end of FFY 2006 are outlined below.

## FY 2006 NIMS Requirements

- *Leverage training facilities to coordinate and deliver NIMS training requirements in conformance with the NIMS National Standard Curriculum. (This training guidance is available from the OES website, at [www.oes.ca.gov](http://www.oes.ca.gov) then click on SEMS/NIMS).*
- *Institutionalize the use of the Incident Command System;*
- *Complete ICS 100 and ICS 200 training; go to [www.oes.ca.gov](http://www.oes.ca.gov); then click on training matrix for to determine who should take which courses by emergency responsibility.*
- *Complete IS 700 NIMS Awareness course and IS 800 National Response Plan course go to [www.oes.ca.gov](http://www.oes.ca.gov); then click on training matrix to determine who should take which courses by emergency responsibility.*
- *Incorporate NIMS/ICS into all exercises, to include drills, tabletops, functional and full-scale exercises.*

## California Specific Guidance

Under California Code of Regulations, Title 19, Section 2428, state and local government agencies must determine the level of SEMS instruction for their staff based upon the staff member's potential assignment during an emergency and must ensure their personnel can demonstrate and maintain minimum performance objectives contained in the SEMS Approved Course of Instruction (ACI). The SEMS Training and Exercise Specialist Committee is responsible for overseeing the development of curriculum focusing on integrating NIMS with SEMS.

For additional guidance, refer to the Section VI. Supporting Materials

- 1) *Training Requirements Supporting Material*
  - a. *Matrix*
  - b. *SEMS/NIMS Instructor Certification and Qualification Program Recommendations*

# CHECKLIST

## TRAINING AND EXERCISES REQUIREMENTS TRIBAL GOVERNMENT

This Checklist is designed as a guide for meeting the SEMS and NIMS training requirements. The Training Matrix within the Supporting Materials section specifies training by emergency responsibilities. Take the following steps:

- IS 700: Determine who in your organization should take IS 700 NIMS Awareness
- IS 800: Determine who in your organization should take IS 800 Introduction to the National Response Plan
- ICS 100: Determine who in your organization should take ICS 100
- ICS 200: Determine who in your organization should take ICS 200
- Incorporate NIMS/ICS into all State and regional training and exercises.
- Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions.
- Standardized Emergency Management System Approved Course of Instruction courses:
- Determine who in your organization should take which SEMS course(s).
  - Self-certification: Follow your agency's current procedures for documenting training and issuing certificates. It is recommended that a SEMS 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 training program, including copies of the training materials used, such as; instructor syllabus, lesson plans, participant manuals, exercises, and tests.

□ Exercise Guidance

- Continue to incorporate SEMS and NIMS into all training and exercises.
- Exercises should be all-hazard and include drills, tabletops, functional, and full scale.
- Exercise participants should be trained prior to participating in an exercise.
- All those who may be tasked during an emergency participate in at least one exercise per year. Real event participation would supersede the one exercise per year recommendation.
- Develop a long term exercise plan that includes all NIMS components.
- Include an after action/corrective action plan for each exercise.
- Submit scenarios (simulated or real events) to State OES to augment the cache of scenarios for future use.

# Interoperability

## Introduction

It has become increasingly clear to the public safety community that communications and interoperability cannot be solved by any one entity alone. The solution will require a partnership among public safety organizations at all levels and the communications industry in its various forms. The collaborative effort will be necessary to address, among other items:

- Legacy equipment issues
- Limited funding to replace outdated systems, and
- Inadequate radio spectrum (channels or frequencies)

Common communications and data standards and related testing and compliance mechanisms are fundamental to an effective NIMS. Standardized communications during an incident are essential and NIMS prescribes interoperable communications systems for both incident and information management. Emergency responders and managers across all agencies and jurisdictions must have a common operating picture for a more efficient and effective incident response. Effective communications outside the incident structure—among governments (at all levels), tribal governments and private entities—for resources and other support is enhanced by adherence to such standards. Although much progress has been made in these areas, much more work remains to be done. Additional progress toward systems interoperability and common communications and data standards will be accomplished over time through a sustained collaborative effort facilitated by the NIMS Integration Center.

## FY 2006 NIMS Requirements

- *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.*

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

## **California Specific Requirements**

The ability of California's public safety agencies to communicate with each other and share information electronically during emergencies is limited because of the different systems used by the various responding agencies. The resolution of these problems is generally described in the term interoperability.<sup>3</sup>

---

*3 Interoperability refers to the ability of public safety emergency responders to work seamlessly with other systems or products without any special effort. Interoperable communications specifically refers to the ability of public safety officials to share information on demand, in real time, when needed, and as authorized. There are several specific areas which will require ongoing attention to further develop and ensure interoperability for California's first responders.*

- *Voice communication systems – particularly public safety radio*
- *Wireless network systems*

The NIMS implementation throughout state, relative to interoperability, will occur through the California Statewide Interoperability Executive Committee (CALSIEC) and the Public Safety Radio Strategic Planning Committee (PSRSPC) Committees collaboration, community outreach and strategic planning reports.

## **Voice Communications**

In the area of voice communications, local and state agencies either have obsolete communication equipment or have invested in communication systems for local/regional use with little planning for statewide collaboration. This highly visible voice interoperability issue continues to be examined by the two key radio communication committees led by OES, the CALSIEC, representing various levels of government and tribal nations, and the Public Safety PSRSPC, made up of key state agencies.

## CALSIEC

The CALSIEC develops and maintains the agreements that define practices for the use of interoperability channels. It functions as part of the SEMS/NIMS. CALSIEC was established and operates under a Federal Communications Commission charter to the states to administer that portion of the 700 MHz band designated as interoperability spectrum. California already had an existing structure in OES to administer other existing state and federally designated interoperability spectrum within the context of the Master Mutual Aid system. Building on that structure, the Director of OES chartered CALSIEC in 2003 to combine existing efforts and to provide a single body to administer all interoperability spectrums in California.

CALSIEC's structure follows the model recommended by the FCC. The recommendations recognized California's then-existing methods of administering the state's mutual aid channels, such as the California Law Enforcement Mutual Aid Radio System (CLEMARS) Executive Committee as examples of successful collaborations of local, state, and federal agency representation.

## PSRSPC

The Public Safety Radio Strategic Planning Committee (PSRSPC) was established by the Public Safety Communications Act of 2002 (Government Code section 8592 et seq.). The PSRSPC was established as a state government committee to address the issue of state agency public safety communications system modernization, and to promote interoperability.

The following state agencies are members of the PSRSPC:

- The California Highway Patrol
- The Department of Corrections
- The Department of Fish and Game
- The Department of Forestry and Fire Protection
- The Department of General Services

- The Department of Justice
- 
- Systems to integrate data among agencies
  - Systems to disseminate emergency information to responders and the public
  - The Department of Parks and Recreation
  - The Department of Transportation
  - The Department of Water Resources
  - The Emergency Medical Services Authority
  - The Governor's Office of Emergency Services
  - The Governor's Office of Homeland Security

(Note: The list of agencies may change based on Legislative action.)

In order to achieve the objectives of the Public Safety Communications Act of 2002, the Committee has gathered information on existing public safety communications and related collaborative efforts. PSRSPC has also heard from several local and regional programs and professional organizations representing public safety interests.

Both the CALSIEC and PSRSPC Committees will facilitate with the integration of NIMS requirements throughout state, while working towards improving California's interoperability capabilities. The committees will be reviewing and updating previous work efforts in this area, and will be developing a process for forward migration to meet the needs of California's public safety agencies.

### [Emergency Alert and Warning](#)

An acceptable communication alert and warning system requires the ability to communicate in a disaster and effectively warn the public. Communications interoperability and redundancy standards are critical to a system's success. An emergency alert and warning program requires emergency operations plans, standard operating procedures, checklists, and instructional guides, as they relate to various hazards in the identified jurisdiction. A training and exercise program for emergency management/response personnel and public officials is necessary in accordance with NIMS requirements. To successfully disseminate information to the public before, during

and after a disaster event, a crisis communication and information systems should follow the NIMS model, which includes system standards, operating plans and procedures, as well as training and exercise programs.

In California, Local Emergency Communications Committees and a Statewide Emergency Communications Committee help manage the relationships among government agencies and the electronic media to ensure prompt public alerts and warnings.

For additional guidance, refer to the Section VI. Supporting Materials

1) *Interoperability Supporting Material*

## CHECKLIST

### INTEROPERABILITY REQUIREMENTS TRIBAL GOVERNMENTS

The Checklist, designed as a guide for meeting the NIMS interoperability requirements for Tribal government, is under development.

#### Voice Communications

Much work has been done by SAFECOM, an established national program, and its federal partners in defining the requirements that public safety agencies should adopt. More specifically, the PSRSPC and CALSIEC endorse the “Statement of Requirements for Public Safety Wireless Communications and Interoperability” released by the Department of Homeland Security. It is the Committees’ recommendation that any public safety communications equipment purchased by agencies within the State follow the Statement of Requirements document released by SAFECOM.

In accordance with the Urban Area Security Initiative (UASI) guidance for funding, UASI cities were required to adopt a Tactical Interoperable Communication Plan. All ten identified California UASI cities are in the final stages of complying with this requirement. Over the next several years these plans will be developed for the balance of the state.

# Public Information

## Introduction

The SEMS provides for a structural method of sharing emergency or disaster related public information in a coordinated, accurate, and timely manner. This system of passing along coordinated public information through the Public Information Officer is an established part of California emergency management. The SEMS structure identifies the Information Officer/Public Information Officer as part of Command/Management at the Incident Command Post (ICP) or Emergency Operations Center (EOC) respectively. In the Incident Command System the Public Information Officer reports directly to the Incident Commander. The Public Information Officer serves as the primary point of contact between the EOC or the ICP 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 Officer function will also oversee the Rumor Control activity.

In emergencies and disasters involving multiple jurisdictions and federal responders, a Joint Information Center (JIC) may be established to coordinate information releases from a central point in close proximity to the incident.

## FY 2006 NIMS Requirements

- *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.*

## California Specific Guidance

Within SEMS the Information Officer is referred as the Public Information Officer at the EOC level. Consistent with SEMS, information flow and coordination follows from the field to the Department Operations Center (DOC) or local government EOC to the Operational Area (OA) EOC, to the OES Region to the State OES to FEMA (federal

level) and back down the same route. This ensures consistency and accuracy in information releases.

In Incidents of National Significance, specific hazard responses such as nuclear power plant emergencies, and large incidents involving multiple jurisdictions and federal responders, a Joint Information Center (JIC) may be established to coordinate information releases from a central point in close proximity to the incident. Under such circumstances jurisdictions will need representation at the JIC.

For further guidance, refer to the Section VI. Supporting Materials section

1) *Public Information Supporting Material*

# CHECKLIST

## PUBLIC INFORMATION REQUIREMENTS TRIBAL GOVERNMENTS

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 assistance. Assistants could be established for such sub-functions as:
  - Information Gathering
  - Media Center
  - Rumor Control
  - Joint Information Center (JIC)
  - Print media dissemination
  - Broadcast 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 are coordinated but not subsumed by an activated JIC.
- Ensure that the 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.