

III. Preparedness

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-A-2. A Unified Approach

NIMS: *Preparedness requires a unified approach. A major objective of preparedness efforts is to ensure mission integration and interoperability in response to emergent crises across functional and jurisdictional lines, as well as between public and private organizations. [III-A-2 (Page 33)]*

The jurisdiction uses a unified approach to preparedness, ensuring **mission integration and interoperability** across functional and jurisdictional lines, as well as between public and private organizations.

____ YES ____ NO

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B. Achieving Preparedness

NIMS: *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. [III-B (Page 34)]*

The jurisdiction has implemented the preparedness cycle **in advance of** _____ YES _____ NO
an incident and appropriately included the **private sector and**
nongovernmental organizations.

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B-1. Preparedness Organizations

NIMS: *Preparedness is the responsibility of individual jurisdictions; this responsibility includes coordinating various preparedness activities among all appropriate agencies within a jurisdiction, as well as across jurisdictions and with private organizations. **This coordination is affected by mechanisms that range from individuals to small committees to large standing organizations. These mechanisms are referred to in this document as "preparedness organizations," in that they serve as ongoing forums for coordinating preparedness activities in advance of an incident.** Preparedness organizations represent a wide variety of committees, planning groups, and other organizations that meet regularly and coordinate with one another to ensure an appropriate focus on planning, training, equipping, and other preparedness requirements within a jurisdiction and/or across jurisdictions. The needs of the jurisdictions involved will dictate how frequently such organizations must conduct their business, as well as how they are structured. **When preparedness activities routinely need to be accomplished across jurisdictions, preparedness organizations should be multijurisdictional.** Preparedness organization at all jurisdictional levels should establish and coordinate emergency plans and protocols including public communications and awareness; integrate and coordinate the activities of the jurisdictions and functions within their purview; establish the standards, guidelines, and protocols necessary to promote interoperability among member jurisdictions and agencies; adopt standards, guidelines, and protocols for providing resources to requesting organizations, including protocols for incident support organizations; set priorities for resources and other requirements; and ensure the establishment and maintenance of multiagency coordination mechanisms, including EOCs, mutual-aid agreements, incident information systems, nongovernmental organization and private-sector outreach, public awareness and information systems, and mechanisms to deal with information and operations security. [III-B-1 (Page 34)]*

The jurisdiction has defined and institutionalized one or more preparedness organizations responsible for the jurisdictional and interjurisdictional coordination of NIMS preparedness requirements.

_____YES _____NO

The jurisdiction's preparedness organization(s):

- have 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.**
- **meet regularly.**
- is/are **multijurisdictional** when regular cross-jurisdiction coordination is necessary.

The jurisdiction's preparedness organization(s) conduct the following preparedness activities:

- establish and coordinate **emergency plans and protocols**, including public communications and awareness.
- integrate and coordinate **activities of the jurisdictions and functions** within their purview.
- establish the **standards, guidelines, and protocols** necessary to promote interoperability among member jurisdictions and agencies.
- adopt **standards, guidelines, and protocols** for providing resources to requesting organizations, including protocols for incident support organizations.
- set priorities for **resources and other requirements.**

The jurisdiction's preparedness organization(s) have ensured the establishment and maintenance of the following multiagency coordination mechanisms:

- **Emergency Operations Centers (EOCs).**

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- **mutual-aid agreements.**
- **incident information systems.**
- **nongovernmental organization and private-sector outreach.**
- **public awareness and information systems.**
- **mechanisms to deal with information and operations security.**

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III-B-2. Preparedness Programs

NIMS: *Individual jurisdictions establish programs that address the requirements for each step of the preparedness cycle (planning, training, equipping, exercising, evaluating, and taking action to correct and mitigate). These programs should adopt relevant NIMS standards, guidelines, processes, and protocols. [III-B-2 (Page 35)]*

The jurisdiction has established preparedness programs that specifically address the requirements for each of the following preparedness cycle steps: _____ YES _____ NO

- **planning.**
- **training.**
- **equipping.**
- **exercising.**
- **evaluating.**
- **corrective actions.**
- **mitigation actions.**

The jurisdiction's preparedness programs have adopted relevant NIMS **standards, guidelines, processes, and protocols.**

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III-B-2-a. Preparedness Planning

NIMS: Plans describe how personnel, equipment, and other governmental and nongovernmental resources will be used to support incident management requirements. Plans represent the operational core of preparedness and provide mechanisms for setting priorities, integrating multiple entities and functions, establishing collaborative relationships, and ensuring that communications and other systems effectively support the complete spectrum of incident management activities. The following are the principal types of plans: [III-B-2-a (Page 35)]

The jurisdiction's preparedness planning program has implemented and institutionalized plans that: _____YES _____NO

- describe how **governmental and nongovernmental resources** will be used to support incident management requirements.
- provide mechanisms for setting **priorities.**
- provide mechanisms for **integrating multiple entities and functions.**
- provide mechanisms for **establishing collaborative relationships.**
- provide mechanisms for ensuring that communications and other systems **effectively support the complete spectrum of incident management activities.**

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III-B-2-a-1. Emergency Operations Plan (EOP)

NIMS: *Each jurisdiction develops an EOP that defines the scope of preparedness and incident management activities necessary for that jurisdiction. The EOP should also describe organizational structures, roles and responsibilities, policies, and protocols for providing emergency support. The EOP facilitates response and short-term recovery activities (which set the stage for successful long-term recovery). It should drive decisions on long-term prevention and mitigation efforts or risk-based preparedness measures directed at specific hazards. An EOP should be flexible enough for use in all emergencies. A complete EOP should describe the purpose of the plan, situation and assumptions, concept of operations, organization and assignment of responsibilities, administration and logistics, plan development and maintenance, and authorities and references. It should also contain functional annexes, hazard-specific appendices, and a glossary. EOPs should pre-designate jurisdictional and/or functional area representatives to the IC or UC whenever possible to facilitate responsive and collaborative incident management. While the preparedness of the public is generally beyond the scope of the NIMS, EOPs should also include pre-incident and post-incident public awareness, education, and communications plans and protocols. [III-B-2-a-1 (Page 35)]*

The jurisdiction has implemented and institutionalized an Emergency Operations Plan (EOP) that:

_____YES _____NO

- 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 IC or UC whenever possible.
- includes pre-incident and post-incident **public awareness, education, and communications plans and protocols**.

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III-B-2-a-2. Procedures

NIMS: *Each organization covered by the EOP should develop procedures that translate the tasking to that organization into specific action-oriented checklists for use during incident management operations, including how the organization will accomplish its assigned tasks. Procedures are documented and implemented with checklists; resource listings; maps, charts, and other pertinent data; mechanisms for notifying staff; processes for obtaining and using equipment, supplies, and vehicles; methods of obtaining mutual aid; mechanisms for reporting information to organizational work centers and EOCs; and communications operating instructions, including connectivity with private-sector and nongovernmental organizations. The development of procedures is required in accordance with the law for certain risk-based, hazard-specific programs. There are four standard levels of procedural documents:*

- *Overview--a brief concept summary of an incident-related function, team, or capability.*
- *Standard Operating Procedure (SOP) or Operations Manual--a complete reference document that details the procedures for performing a single function or a number of interdependent functions.*
- *Field Operations Guide (FOG) or Handbook--a durable pocket or desk guide that contains essential information required to perform specific assignments or functions.*
- *Job Aid--a checklist or other aid that is useful in performing or training for a job.*

[III-B-2-a-2 (Page 36)]

Each organization with responsibilities under the EOP has developed procedures that are documented and implemented through: _____ YES _____ NO

- **checklists.**
- **resource listings.**
- **maps, charts, and other pertinent data.**
- mechanisms for **notifying staff.**
- processes for **obtaining and using equipment, supplies, and vehicles.**
- **methods of obtaining mutual aid.**
- mechanisms for **reporting information to organizational work centers and EOCs.**
- **communications operating instructions** (that include connectivity with private-sector and nongovernmental organizations).

Procedures for **risk-based, hazard-specific** programs were developed in accordance with all applicable **legal requirements.**

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B-2-a-3. Preparedness Plans

NIMS: *Preparedness plans describe the process and schedule for identifying and meeting training needs (based on expectations the EOP has outlined); the process and schedule for developing, conducting, and evaluating exercises and correcting identified deficiencies; arrangements for procuring or obtaining required incident management resources through mutual-aid mechanisms; and plans for facilities and equipment that can withstand the effects of hazards that the jurisdiction is more likely to face. [III-B-2-a-3 (Page 36)]*

The jurisdiction has implemented and institutionalized preparedness plans that describe: _____YES _____NO

- the process and schedule for **identifying and meeting training needs.**
- the process and schedule for **developing, conducting, and evaluating exercises and correcting identified deficiencies.**
- arrangements for **procuring or obtaining required incident management resources** through mutual-aid mechanisms.
- plans for **facilities and equipment that can withstand the effects of hazards** that the jurisdiction is more likely to face.

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B-2-a-4. Corrective Action and Mitigation Plans

NIMS: *Corrective action plans are designed to implement procedures that are based on lessons learned from actual incidents or from training and exercises. Mitigation plans describe activities that can be taken prior to, during, or after an incident to reduce or eliminate risks to persons or property or to lessen the actual or potential effects or consequences of an incident. [III-B-2-a-4 (Page 37)]*

The jurisdiction has designed corrective action plans to implement procedures based on lessons learned from actual incidents or from training and exercises.

____ YES ____ NO

The jurisdiction has designed mitigation plans that describe activities that can be taken before, during, or after an incident to **reduce or eliminate risks to persons or property or to lessen the actual or potential effects or consequences of an incident.**

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B-2-a-5. Recovery Plans

NIMS: *Recovery plans describe actions beyond rapid damage assessment and those necessary to provide immediate life support for victims. Long-term recovery planning involves identifying strategic priorities for restoration, improvement, and growth.*
[III-B-2-a-5 (Page 37)]

The jurisdiction has engaged in long-term recovery planning to identify strategic priorities for restoration, improvement, and growth. YES NO

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B-2-b. Training and Exercises

NIMS: *Incident management organizations and personnel at all levels of government, and within the private-sector and nongovernmental organizations, must be appropriately trained to improve all-hazards incident management capability nationwide. Incident management organizations and personnel must also participate in realistic exercises--including multidisciplinary and multijurisdictional events and private-sector and nongovernmental organization interaction--to improve integration and interoperability. Training involving standard courses on incident command and management, incident management structure, operational coordination processes and systems--together with courses focused on discipline-specific and agency-specific subject-matter expertise--helps ensure that personnel at all jurisdictional levels and across disciplines can function effectively together during an incident. [III-B-2-b (Page 37)]*

The jurisdiction has implemented a training and exercise program that involves:

____ YES ____ NO

- incident management **organizations and personnel** participating in realistic exercises, including multidisciplinary and multijurisdictional events and private-sector and nongovernmental organization interaction.
- standard courses on **Incident Command and management and incident management structure.**
- standard courses on **operational coordination processes and systems.**
- courses focused on **discipline-specific** subject matter expertise.
- courses focused on **agency-specific** subject matter expertise.

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B-2-c. Personnel Qualification and Certification

NIMS: *Under the NIMS, preparedness is based on national standards for the qualification and certification of emergency response personnel. Standards will help ensure that participating agencies and organizations field personnel who possess the minimum knowledge, skills, and experience necessary to execute incident management and emergency response activities safely and effectively. Standards typically include training, experience, credentialing, currency, and physical and medical fitness. Personnel that are certified for employment in support of an incident that transcends interstate jurisdictions through the Emergency Management Assistance Compacts System will be required to meet national qualification and certification standards. Federal, State, local, and tribal certifying agencies; professional organizations; and private organizations should credential personnel for their respective jurisdictions.*
[III-B-2-c (Page 38)]

The jurisdiction has **credentialed its emergency response personnel** in _____YES _____NO
accordance with a standard measure of **qualification and certification**.

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B-2-d. Equipment Certification

NIMS: *Incident management and emergency responder organizations at all levels rely on various types of equipment to perform mission essential tasks. A critical component of operational preparedness is the acquisition of equipment that will perform to certain standards, including the capability to be interoperable with equipment used by other jurisdictions. To enable national-level equipment certification, the NIMS Integration Center, as defined in Chapter VII, in coordination with appropriate Federal agencies, standards-making, certifying, and accrediting organizations and with appropriate State, local, tribal, private-sector, and nongovernmental organizations, facilitate the development and/or publication of national standards, guidelines, and protocols for equipment certification. This effort includes the incorporation of standards and certification programs already in use by incident management and emergency response organizations nationwide. Review and approve (with the assistance of national professional organizations and with input from Federal, State, local, tribal, and private sector and nongovernmental entities) lists of emergency responder equipment that meet national certification requirements. [III-B-2-d (Page 39)]*

The jurisdiction has implemented an **equipment acquisition program** _____YES _____NO
that ensures the required equipment will comply with the relevant
performance and interoperability standards.

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Respond to each statement with a Yes or No. All statements must be answered. Notes are optional.

III-B-2-e. Mutual-Aid Agreements

NIMS: *Mutual-aid agreements are the means for one jurisdiction to provide resources, facilities, services, and other required support to another jurisdiction during an incident. Each jurisdiction should be party to a mutual-aid agreement (such as the Emergency Management Assistance Compact) with appropriate jurisdictions from which they expect to receive or to which they expect to provide assistance during an incident. This would normally include all neighboring or nearby jurisdictions, as well as relevant private-sector and nongovernmental organizations. States should participate in interstate compacts and look to establish intrastate agreements that encompass all local jurisdictions. Mutual-aid agreements are also needed with private organizations, such as the American Red Cross, to facilitate the timely delivery of private assistance at the appropriate jurisdictional level during incidents. At a minimum, mutual-aid agreements should include the following elements or provisions:*

- *definitions of key terms used in the agreement;*
- *roles and responsibilities of individual parties;*
- *procedures for requesting and providing assistance;*
- *procedures, authorities, and rules for payment, reimbursement, and allocation of costs;*
- *notification procedures;*
- *protocols for interoperable communications;*
- *relationships with other agreements among jurisdictions;*
- *workers compensation;*
- *treatment of liability and immunity;*
- *recognition of qualifications and certifications; and*
- *sharing agreements, as required.*

Authorized officials from each of the participating jurisdictions will collectively approve all mutual-aid agreements. [III-B-2-e (Page 39)]

The jurisdiction has implemented **mutual-aid agreements**, including interstate compacts and intrastate agreements where applicable, **with all jurisdictions and organizations** they expect to support or from which they expect support.

____ YES ____ NO

The jurisdiction has implemented and institutionalized mutual-aid agreements, each of which includes the following elements:

- **definitions of key terms** used in the agreement.
- **roles and responsibilities** of individual parties.
- procedures for **requesting and providing assistance**.
- procedures, authorities, and rules for **payment, reimbursement, and allocation of costs**.
- **notification** procedures.
- protocols for **interoperable communications**.
- **relationships with other interjurisdictional agreements**.
- **workers compensation**.
- treatment of **liability and immunity**.
- recognition of **qualifications and certifications**.
- **sharing agreements** (as required).