
Unit 3: NIMS Preparedness

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Objectives

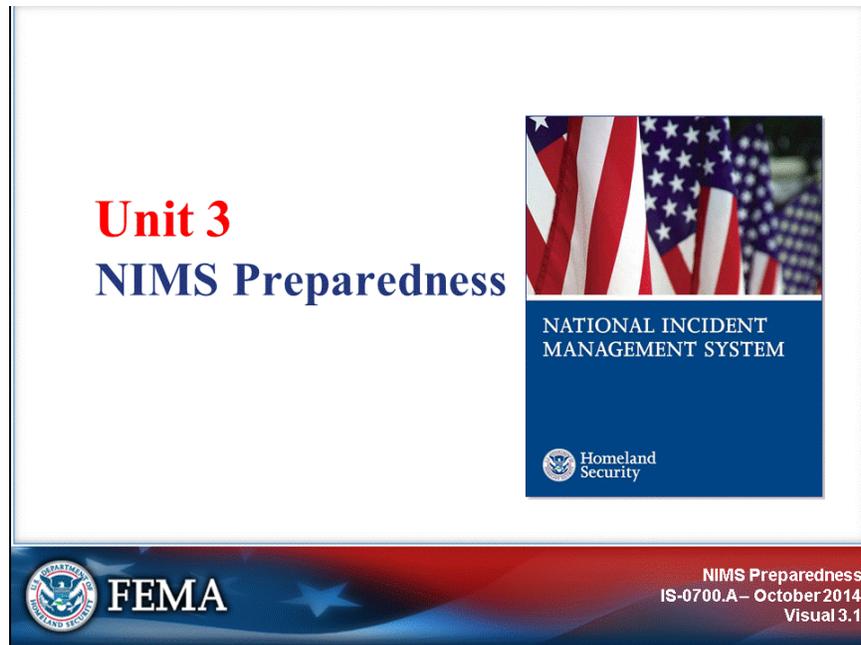
At the end of this unit, you should be able to:

- Describe the importance of preparedness.
 - Identify the NIMS mechanisms and tools used to help enhance preparedness.
-

Scope

- Unit Introduction and Objectives
- Introduction to NIMS Preparedness
 - Video: What is NIMS Preparedness?
 - NIMS and Other Preparedness Efforts
 - NIMS and the National Response Framework
 - Elected and Appointed Officials
 - Preparedness: Continuous Cycle
 - Preparedness: A Unified Approach
 - Levels of Capability
- Preparedness Mechanisms
 - Coordination of Preparedness Activities
 - NIMS Preparedness Efforts
 - Continuity Capability
 - Mutual Aid and Assistance Agreements
- Preparedness Tools
 - Procedural Documents
 - Protocols
 - Training
 - Exercises
 - Personnel Qualifications and Certification
 - Equipment Certification
 - Mitigation and Preparedness
- Knowledge Review and Summary
- Preparedness Self-Assessment

Your Notes:



Key Points

This lesson presents an overview of the NIMS Preparedness component.

Unit Objectives

- Describe the importance of preparedness.
- Identify the NIMS mechanisms and tools used to help enhance preparedness.

Unit List

- ✓ Overview
- ✓ Understanding NIMS
- Preparedness
 - Communications and Information Management
 - Resource Management
 - Command and Management
 - Additional Resources and Course Summary

See pages 9-22 of the NIMS document.

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Key Points

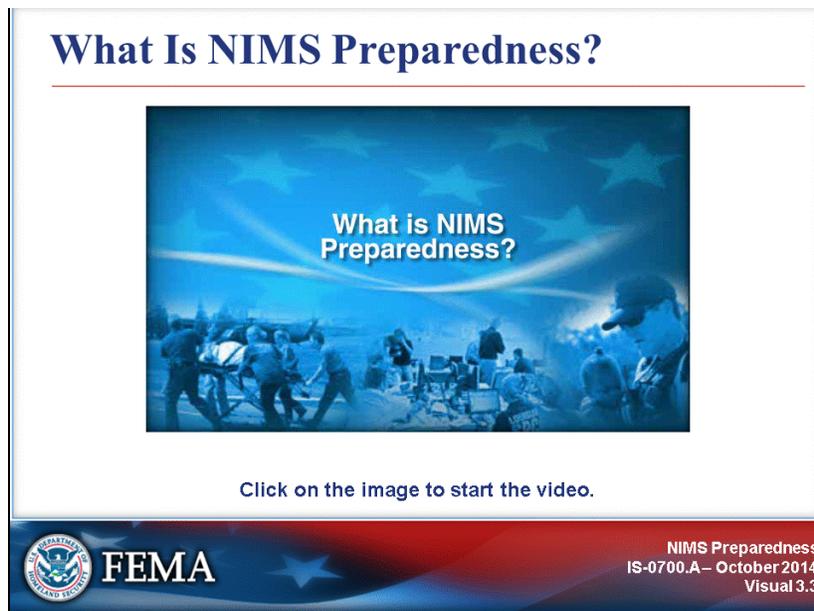
At the end of this lesson, you should be able to:

- Describe the importance of preparedness.
- Identify the NIMS mechanisms and tools used to help enhance preparedness.

This lesson summarizes the information presented in Component I: Preparedness, including:

- Concepts and Principles
- Achieving Preparedness

Refer to pages 9 through 22 of the NIMS document.



Key Points

This video provides an introduction to the NIMS Preparedness component.

Video Transcript: Given the threats we face, a lack of preparedness could have catastrophic consequences. Effective and coordinated emergency management and incident response require that we create a culture of preparedness.

National preparedness can only succeed through coordination at all levels of government and by forming strong partnerships with the private sector and nongovernmental organizations.

Preparation is a continuous cycle of planning, organizing, training, equipping, exercising, evaluating, and taking corrective action.

NIMS provides the mechanisms and tools to help enhance preparedness. Within NIMS, preparedness focuses on:

- Planning,
- Procedures and protocols,
- Training and exercises,
- Personnel qualification and certification, and
- Equipment certification.

The concepts and principles that form the basis for preparedness are the integration of the concepts and principles of all the components of NIMS.

This lesson introduces you to the NIMS Preparedness component.

NIMS and Other Preparedness Efforts



- **HSPD-7: Critical Infrastructure Identification, Prioritization, and Protection** established the U.S. policy for “enhancing protection of the Nation’s critical infrastructure and key resources.”



- **HSPD-8: National Preparedness** directed DHS to develop a common, unified approach to “strengthen the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters, and other emergencies.”



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Key Points

Homeland Security Presidential Directive 5 (HSPD-5) established a single, comprehensive approach to incident management. The following are key points about additional Homeland Security Presidential Directives linked to national preparedness:

- **HSPD-7: Critical Infrastructure Identification, Prioritization, and Protection** established the U.S. policy for “enhancing protection of the Nation’s critical infrastructure and key resources” and mandates a national plan to implement that policy in partnership with Federal departments and agencies; State, tribal, and local governments; nongovernmental organizations; and the private sector.
- **HSPD-8: National Preparedness** directed DHS to lead a national initiative to develop a National Preparedness System—a common, unified approach to “strengthen the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters, and other emergencies.”

NIMS and the National Response Framework

The National Response Framework (NRF):

- Is a guide to how the Nation conducts all-hazards response.
- Builds upon the NIMS coordinating structures to align key roles and responsibilities.
- Links all levels of government, nongovernmental organizations, and the private sector.



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Key Points

The National Response Framework (NRF):

- Is a guide to how the Nation conducts all-hazards response.
- Builds upon the NIMS coordinating structures to align key roles and responsibilities across the Nation, linking all levels of government, nongovernmental organizations, and the private sector.

A basic premise of both NIMS and the NRF is that incidents typically are managed at the local level first.

Following NIMS doctrine, the NRF is designed to ensure that local jurisdictions retain command, control, and authority over response activities for their jurisdictional areas.

Elected and Appointed Officials



NIMS helps elected and appointed officials:

- Ensure agency/jurisdiction policies for emergency management and incident response are clearly stated.
- Evaluate effectiveness and correct any deficiencies.
- Support a coordinated, multiagency approach.



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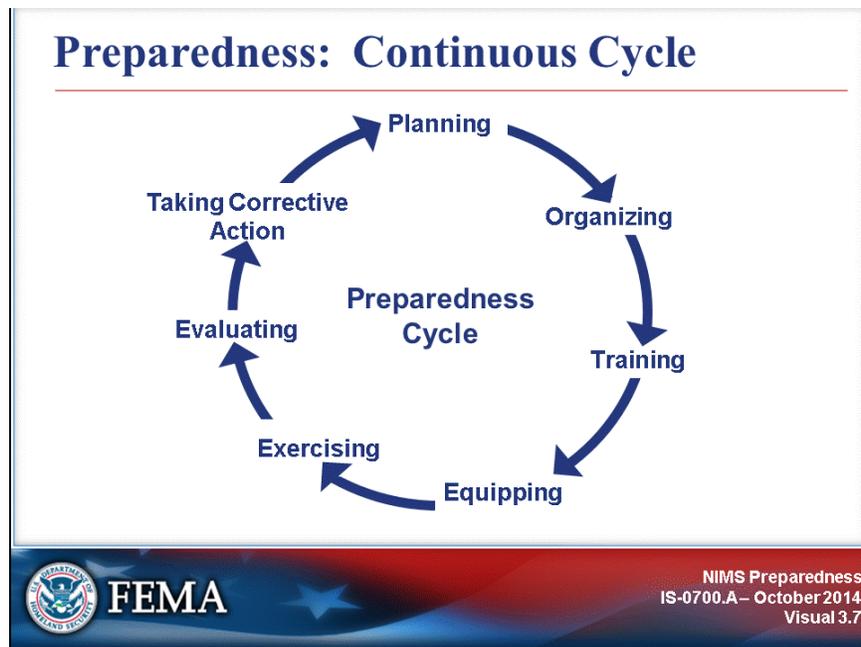
Key Points

To better serve their constituents, elected and appointed officials must understand and commit to NIMS.

NIMS provides elected and appointed officials with a framework to help:

- Ensure that agency/jurisdiction policies for emergency management and incident response are clearly stated.
- Evaluate effectiveness and correct any deficiencies.
- Support a coordinated, multiagency approach.

Although elected and appointed officials may not be at the scene of the incident, they should have the ability to communicate and support the on-scene command.

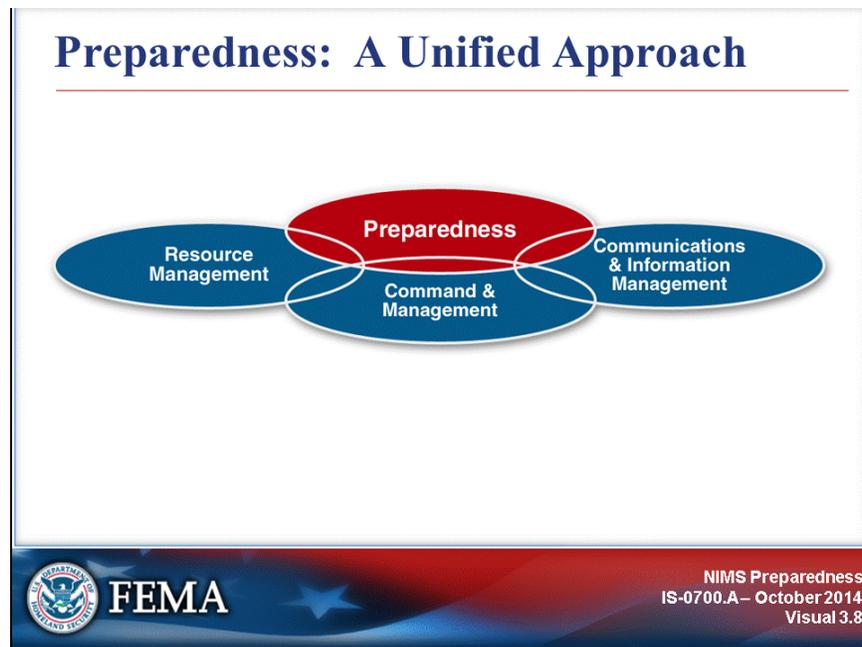


Key Points

Ongoing preparedness helps us to:

- Coordinate during times of crisis.
- Execute efficient and effective emergency management and incident response activities.

Preparedness is achieved and maintained through a continuous cycle of planning, organizing, training, equipping, exercising, evaluating, and taking corrective action.



Key Points

Preparedness requires a unified approach to emergency management and incident response activities. To achieve a unified approach, components of NIMS should be integrated within the emergency management and incident response structure.

Preparedness should be integrated into resource management, command and management, and communications and information management to form an effective system.

Levels of Capability

Inventorying and categorizing resources:

- Establishes and verifies the levels of capability needed.
- Identifies and verifies that resources possess the needed qualifications.



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Key Points

For NIMS to function effectively, jurisdictions and organizations should set expectations about the capabilities and resources that will be provided before, during, and after an incident.

Inventorying and categorizing of resources is a critical element of preparedness because it:

- Establishes and verifies the levels of capability needed based on risk and hazard assessments prior to an incident.
- Identifies and verifies that emergency response resources possess the needed qualifications during an incident.

Coordination of Preparedness Activities



Effective preparedness activities involve coordination among:

- Individuals
- Preparedness organizations
- Nongovernmental organizations (NGOs)
- The private sector



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Key Points

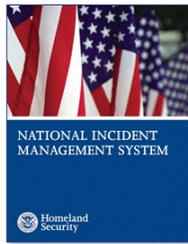
Preparedness activities should be coordinated among all appropriate agencies and organizations within the jurisdiction, as well as across jurisdictions. Preparedness activities may involve the following groups:

- **Individuals:** Individuals should participate in their community's outreach programs that promote and support individual and community preparedness (e.g., public education, training sessions, demonstrations). These programs should include preparedness of those with special needs.
- **Preparedness Organizations:** Preparedness organizations provide coordination for emergency management and incident response activities before an incident or scheduled event. These organizations range from groups of individuals to small committees to large standing organizations that represent a wide variety of committees, planning groups, and other organizations (e.g., Citizen Corps, Local Emergency Planning Committees, Critical Infrastructure Sector Coordinating Councils).
- **Nongovernmental Organizations:** Nongovernmental organizations (NGOs), such as community-based, faith-based, or national organizations (e.g., the Salvation Army, National Voluntary Organizations Active in Disaster, and the American Red Cross), play vital support roles in emergency management and incident response activities. Compliance with NIMS is not mandated for NGOs. However, adherence to NIMS can help these organizations integrate into a jurisdiction's preparedness efforts. To ensure integration, capable and interested NGOs should be included in ongoing preparedness efforts, especially in planning, training, and exercises.
- **Private Sector:** The private sector plays a vital support role in emergency management and incident response and should be incorporated into all aspects of NIMS. Utilities, industries, corporations, businesses, and professional and trade associations typically are involved in critical aspects of emergency management and incident response. These organizations should prepare for all-hazards incidents that may affect their ability to deliver goods and services. It is essential that private-sector organizations that are directly involved in

emergency management and incident response (e.g., hospitals, utilities, and critical infrastructure owners and operators) be included in a jurisdiction's preparedness efforts, as appropriate.

Governments at all levels should work with the private sector to establish a common set of expectations consistent with Federal, State, tribal, and local roles, responsibilities, and methods of operations. These expectations should be widely disseminated and the necessary training and practical exercises conducted so that they are thoroughly understood in advance of an actual incident.

NIMS Preparedness Efforts



This section describes the following preparedness efforts:

- Planning
- Procedures and protocols
- Training and exercises
- Personnel qualifications and certification
- Equipment certification



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Key Points

Preparedness efforts should validate and maintain plans, policies, and procedures, describing how they will prioritize, coordinate, manage, and support information and resources. This section of the unit describes the following preparedness efforts:

- Planning
- Procedures and protocols
- Training and exercises
- Personnel qualifications and certification
- Equipment certification

Continuity Capability

Continuity planning should address:

- Essential functions.
- Orders of succession.
- Delegations of authority.
- Continuity facilities.
- Continuity communications.
- Vital records management.
- Human capital.



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Key Points

Recent natural and manmade disasters have demonstrated the need for building continuity capability as part of preparedness efforts.

Continuity planning should be instituted within all organizations (including all levels of government and the private sector) and address such things as:

- Essential functions.
- Orders of succession.
- Delegations of authority.
- Continuity facilities.
- Continuity communications.
- Vital records management.
- Human capital.

NSPD-51/HSPD-20 and Federal Continuity Directive 1, dated February 4, 2007, outline the continuity requirements for all Federal departments and agencies (with guidance for non-Federal organizations).

Mutual Aid and Assistance Agreements

Mutual aid and assistance agreements:

- Allow neighboring jurisdictions to support one another during an incident.
- Are formal documents that identify the resources that jurisdictions are willing to share during an incident.



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Key Points

Mutual aid agreements and assistance agreements provide a mechanism to quickly obtain emergency assistance in the form of personnel, equipment, materials, and other associated services. Explain that NIMS encourages:

- Jurisdictions to enter into mutual aid and assistance agreements with other jurisdictions and/or organizations from which they expect to receive, or to which they expect to provide, assistance.
- States to participate in interstate compacts and to consider establishing intrastate agreements that encompass all local jurisdictions.

Agreements among all parties providing or requesting resources help to enable effective and efficient resource management during incident operations. You might want to consider developing and maintaining standing agreements and contracts for services and supplies that may be needed during an incident.

There are several types of these kinds of agreements, including but not limited to the following:

- **Automatic Mutual Aid:** Agreements that permit the automatic dispatch and response of requested resources without incident-specific approvals. These agreements are usually basic contracts; some may be informal accords.
- **Local Mutual Aid:** Agreements between neighboring jurisdictions or organizations that involve a formal request for assistance and generally cover a larger geographic area than automatic mutual aid.
- **Regional Mutual Aid:** Substate regional mutual aid agreements between multiple jurisdictions that are often sponsored by a council of governments or a similar regional body.
- **Statewide/Intrastate Mutual Aid:** Agreements, often coordinated through the State, that incorporate both State and local governmental and nongovernmental assets in an attempt to increase preparedness statewide.

- **Interstate Agreements:** Out-of-State assistance through formal State-to-State agreements such as the Emergency Management Assistance Compact, or other formal State-to-State agreements that support the response effort.
- **International Agreements:** Agreements between the United States and other nations for the exchange of Federal assets in an emergency.
- **Other Agreements:** Any agreement, whether formal or informal, used to request or provide assistance and/or resources among jurisdictions at any level of government (including foreign), NGOs, or the private sector.

Procedural Documents

There are four standard levels of procedural documents:

- **Standard Operating Procedure or Operations Manual**
- **Field Operations Guide or Incident Management Handbook**
- **Mobilization Guide**
- **Job Aid**



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Key Points

Effective preparedness involves documenting specific procedures to follow before, during, and after an incident.

Procedural documents should detail the specific actions to implement a plan or system. There are four standard levels of procedural documents:

- **Standard Operating Procedure or Operations Manual:** Complete reference document that provides the purpose, authorities, duration, and details for the preferred method of performing a single function or a number of interrelated functions in a uniform manner.
- **Field Operations Guide or Incident Management Handbook:** Durable pocket or desk guide that contains essential information required to perform specific assignments or functions.
- **Mobilization Guide:** Reference document used by agencies/organizations outlining agreements, processes, and procedures used by all participating organizations for activating, assembling, and transporting resources.
- **Job Aid:** Checklist or other visual aid intended to ensure that specific steps for completing a task or assignment are accomplished. Job aids serve as training aids to teach individuals how to complete specific job tasks.

Protocols



Protocols:

- Are sets of established guidelines for actions under various specified conditions.
- Permit the rapid execution of a task, a function, or a number of interrelated functions without having to seek permission.



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Key Points

Protocols are sets of established guidelines for actions (which may be designated by individuals, teams, functions, or capabilities) under various specified conditions.

Establishing protocols provides for the standing orders, authorizations, and delegations necessary to permit the rapid execution of a task, a function, or a number of interrelated functions without having to seek permission.

Protocols permit specific personnel—based on training and delegation of authority—to assess a situation, take immediate steps to intervene, and escalate their efforts to a specific level before further guidance or authorizations are required.

Training

Training should allow practitioners to:

- Use the concepts and principles of NIMS in exercises, planned events, and actual incidents.
- Become more comfortable using NIMS, including the Incident Command System.



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Key Points

Personnel with roles in emergency management and incident response should be appropriately trained to improve all-hazards capabilities nationwide. Training should allow practitioners to:

- Use the concepts and principles of NIMS in exercises, planned events, and actual incidents.
- Become more comfortable using NIMS, including the Incident Command System.

Training and exercises should be specifically tailored to the responsibilities of the personnel involved in incident management. The National Integration Center (NIC) has developed requirements and guidance for NIMS training materials.

Exercises

Exercises should:

- Include multidisciplinary, multijurisdictional incidents.
- Include participation of private-sector and nongovernmental organizations.
- Cover aspects of preparedness plans, particularly the processes and procedures for activating local, intrastate, or interstate mutual aid and assistance agreements.
- Contain a mechanism for incorporating corrective actions.



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Key Points

To improve NIMS performance, emergency management/response personnel need to participate in realistic exercises. Exercises should:

- Include multidisciplinary, multijurisdictional incidents.
- Require interactions with the private sector and nongovernmental organizations.
- Cover all aspects of preparedness plans, particularly the processes and procedures for activating local, intrastate, and/or interstate mutual aid agreements and assistance agreements.
- Contain a mechanism for incorporating corrective actions and lessons learned from incidents into the planning process.

Personnel Qualifications and Certification

Standards:

- Help ensure that personnel possess the minimum knowledge, skills, and experience necessary to execute response activities safely and effectively.
- Typically include training, experience, credentialing, validation, and physical and medical fitness.



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Key Points

A critical element of NIMS preparedness is the use of national standards that allow for common or compatible structures for the qualification, licensure, and certification of emergency management/response personnel. Standards:

- Help ensure that personnel possess the minimum knowledge, skills, and experience necessary to execute incident management and emergency response activities safely and effectively.
- Typically include training, experience, credentialing, validation, and physical and medical fitness.

The baseline criteria for voluntary credentialing will be established by the National Integration Center.

Equipment Certification

Equipment certification:

- Helps ensure that the equipment acquired will perform to certain standards.
- Supports planning and rapid fulfillment of needs based on a common understanding of the abilities of distinct types of equipment.



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Key Points

We all count on having the right tools to do the job. Being able to certify equipment is a critical component of preparedness. Equipment certification:

- Helps ensure that the equipment acquired will perform to certain standards (as designated by organizations such as the National Fire Protection Association or National Institute of Standards and Technology).
- Supports planning and rapid fulfillment of needs based on a common understanding of the abilities of distinct types of equipment.

Discussion Question

What's the difference
between training and
credentialing?



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Key Points

Answer the following discussion question:

- **What is the difference between training and credentialing?**

Mitigation and Preparedness

Mitigation:

- Reduces the loss of life and property.
- Minimizes damage to the environment from natural or manmade disasters.
- Helps avoid or lessen the impact of a disaster.
- Impedes the cycle of disaster damage, reconstruction, and repeated damage.



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Key Points

Mitigation is an important element of emergency management and incident response.

Mitigation:

- Provides a critical foundation in the effort to reduce the loss of life and property and to minimize damage to the environment from natural or manmade disasters by avoiding or lessening the impact of a disaster.
- Provides value to the public by creating safer communities and impeding the cycle of disaster damage, reconstruction, and repeated damage. These activities or actions, in most cases, will have a long-term sustained effect.

Preparedness planning and mitigation planning are complementary processes that should support one another. Examples of mitigation activities include the following:

- Ongoing public education and outreach activities designed to reduce loss of life and destruction of property.
- Complying with or exceeding floodplain management and land-use regulations.
- Enforcing stringent building codes, seismic design standards, and wind-bracing requirements for new construction, or repairing or retrofitting existing buildings.
- Supporting measures to ensure the protection and resilience of critical infrastructure and key resources designed to ensure business continuity and the economic stability of communities.
- Acquiring damaged homes or businesses in flood-prone areas, relocating the structures, and returning the property to open space, wetlands, or recreational uses.
- Identifying, utilizing, and refurbishing shelters and safe rooms to help protect people in their homes, public buildings, and schools in hurricane- and tornado-prone areas.

- Implementing a vital records program at all levels of government to prevent loss of crucial documents and records.
- Intelligence sharing and linkage leading to other law enforcement activities, such as infiltration of a terrorist cell to prevent an attack.
- Periodic remapping of hazard or potential hazard zones, using geospatial techniques.
- Management of data regarding historical incidents to support strategic planning and analysis.
- Development of hazard-specific evacuation routes.

Knowledge Review and Summary

Instructions:

- Answer the review questions on the next page in your Student Manual.
- Be prepared to share your answers with the class in 5 minutes.
- If you need clarification on any of the material presented in this unit, be sure to ask your instructors.



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Key Points

Instructions:

- Answer the review questions on the next page.
- Be prepared to share your answers with the class in 5 minutes.
- If you need clarification on any of the material presented in this unit, ask your instructors.

Unit 3: Knowledge Review

1. Match the document on the left by writing in the letter with the correct matching statement on the right.

Document Title	Description
_____ Homeland Security Presidential Directive 5 (HSPD-5)	A. Provides the structure and mechanisms to ensure effective Federal support of State, tribal, and local related activities.
_____ National Response Framework (NRF)	B. Requires all Federal departments and agencies to make adoption of NIMS by State, tribal, and local organizations a condition for Federal preparedness assistance (through grants, contracts, and other activities).
_____ National Incident Management System (NIMS)	C. Describes a set of principles that provides a systematic, proactive approach guiding government agencies at all levels, nongovernmental organizations, and the private sector to work seamlessly to prevent, protect against, respond to, recover from, and mitigate the effects of incidents.

2. What is a basic premise of the NIMS and the NRF?

3. What is one action that elected and appointed officials do to better serve their constituents?

4. Review the actions below. Indicate if the action is consistent with NIMS preparedness principles.

	Consistent with NIMS	Not Consistent With NIMS
A jurisdiction is inventorying and categorizing resources (e.g, personnel, equipment, supplies, and facilities) to establish and verify levels of capability prior to an incident.	<input type="checkbox"/>	<input type="checkbox"/>
To expedite NIMS compliance, a team has been tasked to complete a preparedness plan while other teams independently address the other NIMS components.	<input type="checkbox"/>	<input type="checkbox"/>
An agency has established a mechanism for incorporating corrective actions into the planning process following the evaluation of an exercise.	<input type="checkbox"/>	<input type="checkbox"/>
Elected officials are participating in a multijurisdictional exercise not on scene but rather in a unified policy role at a joint operations center.	<input type="checkbox"/>	<input type="checkbox"/>

5. What mechanism's primary objective is to facilitate rapid, short-term deployment of emergency support prior to, during, and/or after an incident?

6. Use the space below to make note of any questions you have about the material covered in this unit.

Preparedness Self-Assessment



Instructions:

- Turn to the self-assessments in your Student Manual.
- Take a few moments to complete the checklists about your organization's:
 - Coordination of preparedness activities
 - Preparedness plans
- Use this information later to help strengthen your organization's response capabilities.



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Key Points

Instructors:

- Turn to the self-assessments in your Student Manual.
- Take a few moments to complete the checklists about your organization's:
 - Coordination of preparedness activities
 - Preparedness plans
- Use this information later to help strengthen your organization's response capabilities.

Self-Assessment: Coordination of Preparedness Activities

Purpose: Preparedness activities should be coordinated among all appropriate agencies and organizations within the jurisdiction, as well as across jurisdictions.

Instructions: Complete the following self-assessment to assess your jurisdiction’s, agency’s, or organization’s coordination of preparedness activities. Use this information to ensure that your jurisdiction, agency, or organization is coordinating its preparedness efforts with all appropriate parties, including:

- Individuals
- Preparedness Organizations
- Nongovernmental Organizations
- Private Sector

Preparedness Activities	Yes	No	N/A
Appropriate outreach programs are used to promote and support individual and community preparedness (e.g., public education, training sessions, demonstrations), including preparedness of those with special needs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Preparedness organizations (e.g., Citizen Corps, Community Emergency Response Teams, Local Emergency Planning Committees, Critical Infrastructure Sector Coordinating Councils) are included in planning prior to an incident or planned event.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Interested and capable nongovernmental organizations, such as community-based, faith-based, or national voluntary organizations, are included in ongoing preparedness efforts, especially in planning, training, and exercises.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Partnerships are formed with the private sector (e.g., utilities, industries, corporations, businesses, and professional and trade associations) to prepare for all-hazards incidents that may affect their ability to deliver goods and services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Are there any additional groups that should be included in these preparation efforts? Use the space below to make note of action items for your jurisdiction, agency, or organization.

Self-Assessment: Preparedness Plans

Purpose: Effective and coordinated incident response requires that we embrace a preparedness ethic. The concepts and principles that form the basis for preparedness are the integration of the concepts and principles of all the components of NIMS.

Instructions: Complete the following self-assessment to assess your jurisdiction's, agency's, or organization's coordination of preparedness activities. Use this information to ensure that your jurisdiction, agency, or organization is coordinating its preparedness activities effectively.

Preparedness Plans	Yes	No
Are based on hazard identification and risk analysis.	<input type="checkbox"/>	<input type="checkbox"/>
Define organizational structures, roles and responsibilities, policies, and protocols for providing support.	<input type="checkbox"/>	<input type="checkbox"/>
Describe how personnel, equipment, and other governmental and nongovernmental resources will be used to support emergency management and incident response requirements.	<input type="checkbox"/>	<input type="checkbox"/>
Incorporate advance planning associated with responder protection, resource management, and communications and information management. Incorporate strategies for maintaining continuity of government and continuity of operations during and after incidents.	<input type="checkbox"/>	<input type="checkbox"/>
Provide mechanisms to ensure resiliency of critical infrastructure and economic stability of communities. Incorporate a clearly defined process for seeking and requesting assistance including procedures for activating mutual aid agreements and assistance agreements.	<input type="checkbox"/>	<input type="checkbox"/>
Are coordinated and complement one another (i.e., response, mitigation, and recovery plans). Form the basis of training and credentialing personnel.	<input type="checkbox"/>	<input type="checkbox"/>
Are exercised periodically to ensure that all individuals involved in response are able to execute their assigned tasks.	<input type="checkbox"/>	<input type="checkbox"/>
Include public awareness, education, and communications plans and protocols.	<input type="checkbox"/>	<input type="checkbox"/>
Are updated periodically to reflect changes in the emergency management and incident response environment, as well as any institutional or organizational changes.	<input type="checkbox"/>	<input type="checkbox"/>

Use the space below to make note of action items for your jurisdiction, agency, or organization.