
Unit 3: NIMS Preparedness

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Objectives

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

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

Methodology

The instructors will begin by presenting the unit objectives and showing a video that introduces the NIMS Preparedness component. They will then explain the relationship between NIMS and other preparedness efforts, such as the National Response Framework (NRF).

The instructors will explain the role of elected and appointed officials with regard to preparedness. They will explain how preparedness is a continuous cycle and part of a unified approach with the other components of NIMS.

Next, the instructors will explain the importance of inventorying and categorizing resources. They will then describe how preparedness activities are coordinated and what constitutes preparedness efforts. After explaining the concept of continuity capability, they will facilitate a class discussion about capability building.

The instructors will present some of the mechanisms of preparedness, including mutual aid and assistance agreements, protocols, and procedures.

They will then explain the importance of training and exercising in order to be prepared. The participants will engage in a discussion about how their agencies/jurisdictions/organizations ensure that response partners are effectively prepared.

The instructors will then present information on personnel qualifications and certification and equipment certification. The class will discuss the difference between training and credentialing.

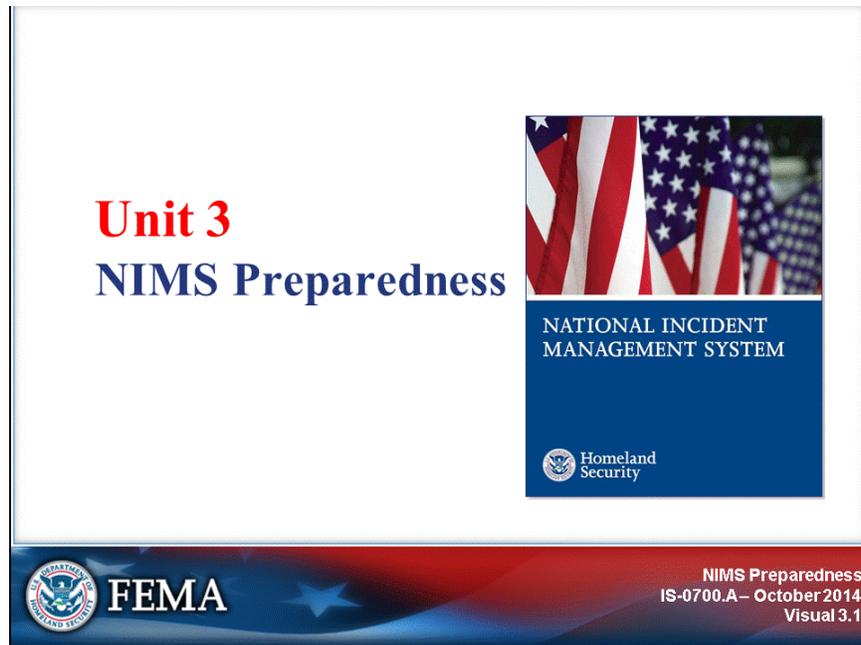
Finally, the instructors will explain the relationship between mitigation and preparedness, and present some examples of mitigation activities.

The participants will then take a brief Knowledge Review and complete two preparedness self-assessments before the instructors move on to the next unit.

Time Plan

A suggested time plan for this unit is shown below. More or less time may be required, based on the experience level of the group.

Topic	Time
Unit Introduction and Objectives	5 minutes
Introduction to NIMS Preparedness	18 minutes
Preparedness Mechanisms	18 minutes
Preparedness Tools	19 minutes
Knowledge Review and Summary	10 minutes
Preparedness Self-Assessment	5 minutes
Total Time	1 hour 15 minutes



Instructor Notes

Begin by explaining that 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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Visual 3.2

Instructor Notes

Tell the participants that at the end of this lesson, they should be able to:

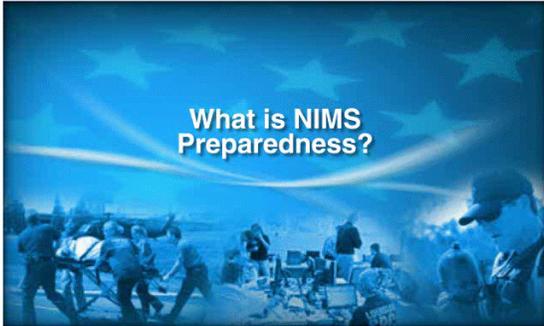
- Describe the importance of preparedness.
- Identify the NIMS mechanisms and tools used to help enhance preparedness.

Tell the participants that this lesson summarizes the information presented in Component I: Preparedness, including:

- Concepts and Principles
- Achieving Preparedness

Refer the participants to pages 9 through 22 of the NIMS document.

What Is NIMS Preparedness?



Click on the image to start the video.

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Instructor Notes

Tell the participants that this video provides an introduction to the NIMS Preparedness component.

Instructions for playing the video: The videos are activated by a single click on the image in Slide Show mode. If you click a second time on the video, it will stop. The videos will not work unless you are in Slide Show mode.

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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Instructor Notes

Remind the participants that Homeland Security Presidential Directive 5 (HSPD-5) established a single, comprehensive approach to incident management. Present the following 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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Visual 3.5

Instructor Notes

Explain that 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.

Point out that 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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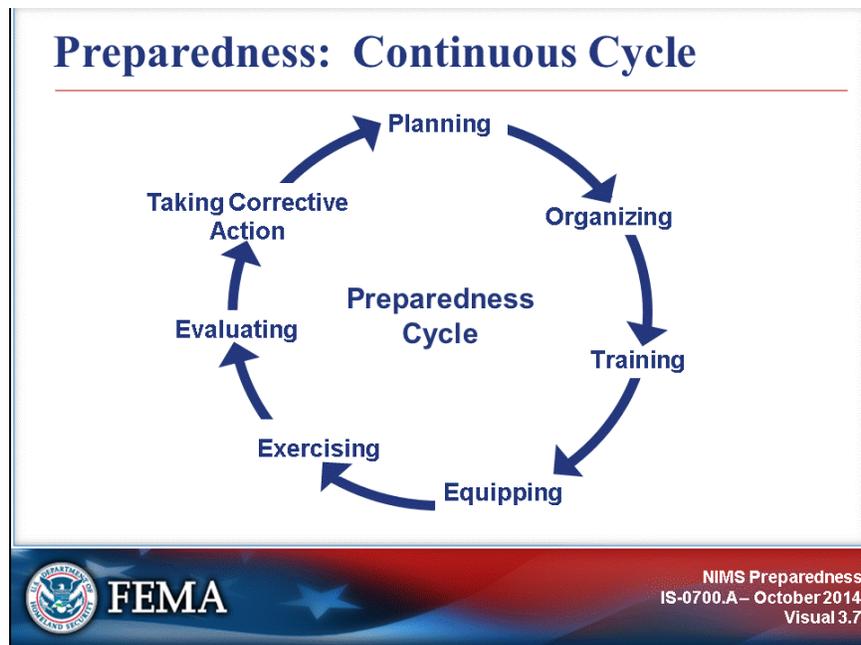
Instructor Notes

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

Explain to the participants that 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.

Note that 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.

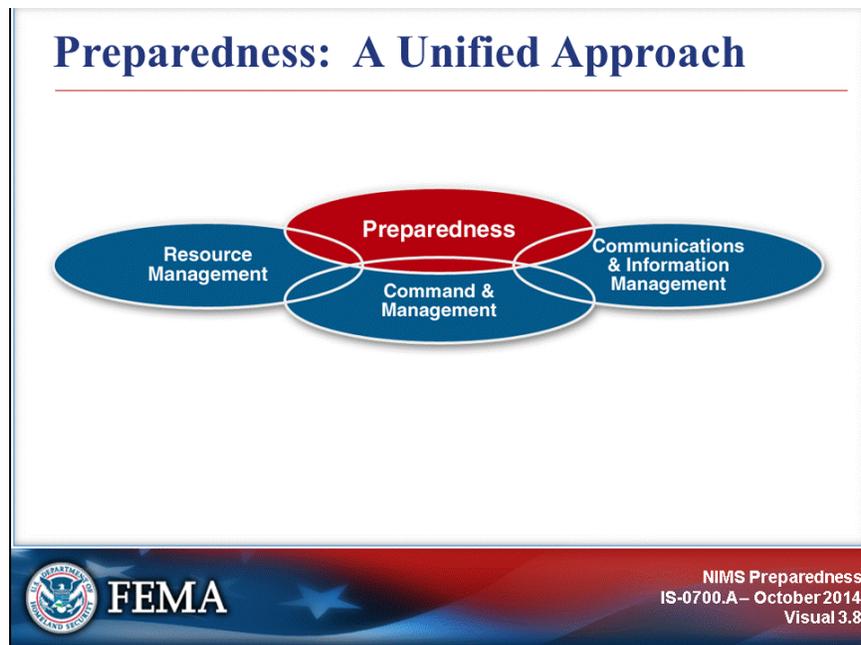


Instructor Notes

Tell the participants that ongoing preparedness helps us to:

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

Use the visual to describe how preparedness is achieved and maintained through a continuous cycle of planning, organizing, training, equipping, exercising, evaluating, and taking corrective action.



Instructor Notes

Explain to the participants that 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.

Use the visual to explain how 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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Visual 3.9

Instructor Notes

Tell the participants that 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.

Explain that 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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Instructor Notes

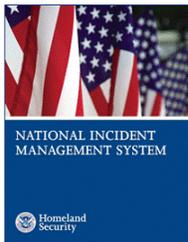
Preparedness activities should be coordinated among all appropriate agencies and organizations within the jurisdiction, as well as across jurisdictions. Preparedness activities may involve the following groups:

- **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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Instructor Notes

Explain to the participants that 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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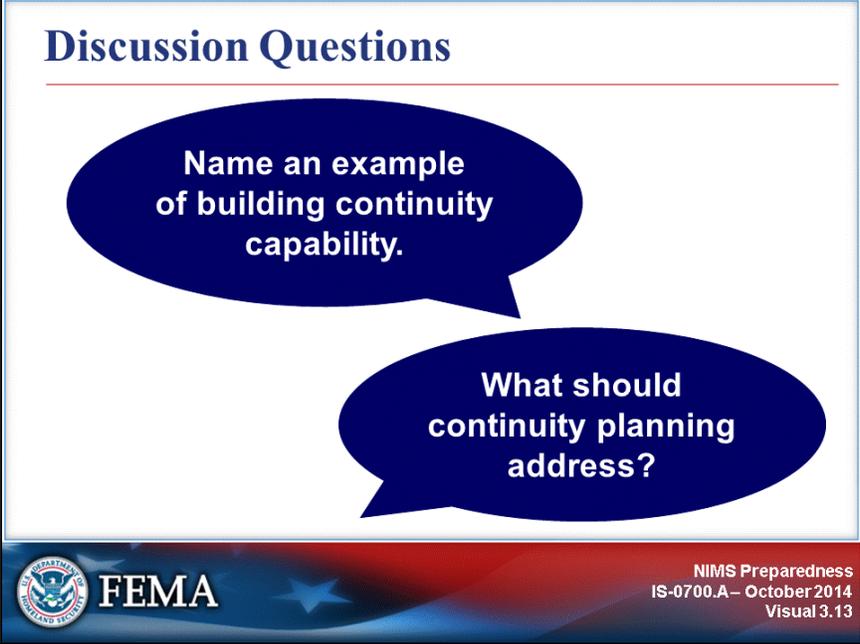
Instructor Notes

Tell the participants that recent natural and manmade disasters have demonstrated the need for building continuity capability as part of preparedness efforts.

Explain that 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.

Note that 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).



The slide features a white background with a blue border. At the top, the title "Discussion Questions" is written in a blue serif font. Below the title, two dark blue speech bubbles contain white text. The first bubble asks, "Name an example of building continuity capability." The second bubble asks, "What should continuity planning address?". At the bottom of the slide, there is a red and blue decorative banner. On the left side of the banner is the FEMA logo, which includes the text "FEDERAL EMERGENCY MANAGEMENT AGENCY" around a circular emblem and the word "FEMA" in large letters. On the right side of the banner, the text "NIMS Preparedness IS-0700.A - October 2014 Visual 3.13" is displayed in a small, white, sans-serif font.

Instructor Notes

Ask the participants the following discussion questions:

- **Name an example of building continuity capability.**

Facilitate a discussion. If not mentioned by participants, you can add: A working group drafting plans for leadership succession in the case of a catastrophic incident is an example of building continuity capability.

- **What should continuity planning address?**

Facilitate a discussion. If not mentioned by participants, add the following:

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

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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Instructor Notes

Inform the participants that 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.

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

Explain that 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.

The slide features a white background with a blue border. At the top, the title "Discussion Questions" is written in a blue serif font. Below the title, two dark blue speech bubbles contain white text. The first bubble asks, "What agreements does your organization have in place?" and the second bubble asks, "What actions has your organization taken to strengthen those agreements?". At the bottom of the slide, there is a red and blue decorative banner. On the left side of the banner is the FEMA logo, which includes the text "U.S. DEPARTMENT OF HOMELAND SECURITY" and "FEMA". On the right side of the banner, the text "NIMS Preparedness IS-0700.A - October 2014 Visual 3.15" is displayed in a small, white, sans-serif font.

Instructor Notes

Ask the participants the following discussion questions:

- **What agreements does your organization have in place?**

Acknowledge the examples offered by participants. Add any examples that you may have.

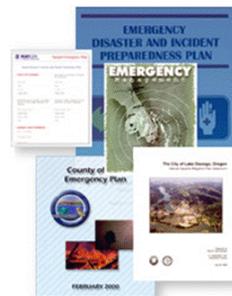
- **What actions has your organization taken to strengthen those agreements?**

Acknowledge the examples offered by participants. Add any examples that you may have.

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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Instructor Notes

Remind the participants that effective preparedness involves documenting specific procedures to follow before, during, and after an incident.

Explain that 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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Instructor Notes

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

Explain that 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.

Mention that 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.

The slide features a white background with a blue border. At the top, the title "Discussion Questions" is written in a blue serif font. Below the title, two dark blue speech bubbles contain white text. The first bubble asks, "What is the difference between procedures and protocols?" and the second bubble asks, "What are some examples of each?". At the bottom left is the FEMA logo, and at the bottom right is the text "NIMS Preparedness IS-0700.A – October 2014 Visual 3.18".

Instructor Notes

Ask the participants the following discussion questions:

- **What is the difference between procedures and protocols?**

If not mentioned by participants, explain that 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. Procedural documents, not protocols, provide the specific actions to implement a plan or system.

- **What are some examples of each?**

If not mentioned by participants, add the following examples:

- A jurisdiction is establishing protocols that provide the needed authority to permit first responders to rapidly execute life-safety measures without seeking approval.
- An agency is developing procedural documents that provide detailed step-by-step instructions on how to complete a task assignment.
- A nongovernmental organization is writing the procedure to be followed if a jurisdiction requests assistance during an incident.

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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Instructor Notes

Describe how 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.

Explain that 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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Instructor Notes

Tell the participants that 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.

Discussion Questions

How does your organization ensure that all response partners receive necessary training and participate in exercises?

What system do you have in place for corrective actions following an exercise?



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Visual 3.21

Instructor Notes

Ask the participants the following discussion questions:

- **How does your organization ensure that all response partners receive necessary training and participate in exercises?**

Acknowledge the examples offered by participants. Add any examples that you may have.

- **What system do you have in place for corrective actions following an exercise?**

Acknowledge the examples offered by participants. Add any examples that you may have.

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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Instructor Notes

Explain to the participants that 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.

Note that 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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Visual 3.23

Instructor Notes

We all count on having the right tools to do the job. Being able to certify equipment is a critical component of preparedness. Explain that 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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Instructor Notes

Ask the participants the following discussion question:

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

If not mentioned by participants, explain that credentialing involves an objective evaluation and documentation of an individual's:

- Current certification, license, or degree,
- Training and experience, and
- Competence or proficiency.

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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Instructor Notes

Explain that 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.



Instructor Notes

Conduct the Unit 3 review as follows:

- Direct the participants to the Knowledge Review located on the next page in their Student Manuals.
- Allow 5 minutes for the participants to answer the questions.
- Monitor the time. When 5 minutes have passed, ask for volunteers to provide their answers.
- If not mentioned by participants, provide the correct responses from the answer key on the next page.
- Ask the participants if they have any questions on the material covered in this unit. Be sure to answer all questions before moving on to Unit 4.

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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Instructor Notes

Present the following instructions to the participants:

- 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.

Allow time for the participants to complete the assessments.

Transition to the next unit by explaining that it will introduce the NIMS Communications and Information Management component.

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
<u>B</u>	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.
<u>A</u>	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).
<u>C</u>	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?

Possible Answer: Incidents should be managed at the lowest jurisdictional level possible.

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

Any of the following possible answers:

- Help to establish relationships (including mutual aid agreements and assistance agreements) with other jurisdictions and, as appropriate, with nongovernmental organizations and the private sector.
- Provide guidance to their jurisdictions, departments, and/or agencies, with clearly stated policies for NIMS implementation.
- Understand laws and regulations in their jurisdictions that pertain to emergency management and incident response.

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 checked="" 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 checked="" type="checkbox"/>
An agency has established a mechanism for incorporating corrective actions into the planning process following the evaluation of an exercise.	<input checked="" 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 checked="" 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?

Answer: Mutual Aid Agreement or Assistance Agreement

These are written or oral agreements between and among agencies/organizations and/or jurisdictions that provide a mechanism to quickly obtain emergency assistance in the form of personnel, equipment, materials, and other associated services.

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

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.