

State of Illinois National Incident Management System (NIMS)



NIMS Compliance for Local Governments & Jurisdictions

On February 28, 2003, President Bush issued Homeland Security Presidential Directive ([HSPD](#))–5, *Management of Domestic Incidents*, which directs the Secretary of Homeland Security to develop and administer a National Incident Management System (NIMS). This system provides a systematic, proactive approach to guide departments and agencies at all levels of government, nongovernmental organizations, and the private sector to work seamlessly to prevent, protect against, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity, in order to reduce the loss of life and property and harm to the environment.

NIMS works hand in hand with the [National Response Framework](#) (NRF). NIMS provides the template for the management of incidents, while the NRF provides the structure and mechanisms for national-level policy for incident management.

Local governments and jurisdictions must be NIMS compliant in order to be considered eligible to receive federal preparedness funds as a sub-grantee of the State of Illinois. The NIMS compliance requirements established by the State are the adoption of NIMS principles and practices through resolution or ordinance and completion of the NIMSCAST Compliance Objectives and Metrics for Local Governments. Federal Preparedness Grant funding will NOT be awarded from the State of Illinois until all NIMS Compliance requirements have been met for the designated federal fiscal year (FFY). It is no longer permissible for local governments and jurisdictions to rely on their respective county to file for NIMS compliance.

When a local government or jurisdiction is compliant, all departments under the local government or jurisdiction are also compliant. It is the responsibility of the certifying authority for the local government or jurisdiction to ensure all of its departments have met or are in the process of meeting the NIMS standards. It is not necessary for each department under the local government or jurisdiction to file for NIMS compliance separately. *Example:* If Lincoln County is NIMS Compliant, then all departments under Lincoln County are also, i.e. the Sheriff's Office, Public Health Department, Highway Department, etc. However, the Village of New Salem in Lincoln County must comply for itself. If the Village of New Salem is NIMS Compliant, then all departments under the Village of New Salem are also compliant, i.e. the fire department, police department, public works, etc.

Small local governments or jurisdictions with limited or no response capabilities that are served by the county are allowed to include the county's resources when filing their NIMSCAST. We encourage small local governments and jurisdictions to sit down with their county and work on the metrics together. It is acceptable for the small local government and jurisdiction to rely on the county's response capabilities;

however, the local government or jurisdiction must adopt its own resolution and submit its own NIMSCAST.

Frequently Asked Questions

What is considered a jurisdiction?

When we refer to jurisdictions, we are referring any unit of local government and/or taxing district (i.e. townships, municipalities, counties, fire protection districts, park districts, etc.) See Section 2 (10), Homeland Security Act of 2002, Pub.L. 107-296, 116 Stat. 2135 (2002).

What requirements have to be met to become NIMS Compliant?

When we refer to NIMS Compliance, we are referring to the process of passing a resolution and completing the NIMSCAST Objectives and Metrics for Local Governments, which entails all of the compliance activities in the metrics.

Who is required to be NIMS Compliant?

Jurisdictions receiving (or trying to receive) federal preparedness grant funding are required to be NIMS Compliant. The State of Illinois NIMS Compliance requirements are not applicable to all communities; only those who are applying for federal preparedness grant funding.

What if we are not applying for federal preparedness grant funding?

It is not necessary for jurisdictions to go through the NIMS Compliance process if they are not trying to receive federal preparedness grant funding; however, it is important for jurisdictional officials to receive as much training as they can and keep open lines of communication with their local emergency management coordinators.

Our jurisdiction is very small; do we still have to complete the NIMS Compliance process?

Regardless of the size of the community, if you are a separate taxing body and are applying or have applied for federal preparedness grant funding, you are required to complete the NIMS Compliance process.

We can't answer all of the NIMSCAST Objectives and Metrics because we don't have the assets or capabilities larger jurisdictions have.

Small jurisdictions with limited or no response assets and capabilities that are served by the county are allowed to include the county's resources when filing their NIMSCAST. We encourage the small jurisdictions to sit down with their county coordinator and work on the metrics together. It is acceptable for the small jurisdictions to rely on the county's response capabilities; however, the jurisdiction must adopt its own resolution and submit its own NIMSCAST.

Do we have to start with FFY 2007 NIMSCAST Metrics and Objectives and complete all the compliance years to be considered NIMS compliant?

A jurisdiction must have completed the NIMSCAST Metrics and Objectives for the year previous to the year of grant funding for which it is applying. *Example:* If a jurisdiction is applying for FFY 2010 grant funds, then it must have completed FFY 2009 NIMSCAST Metrics and Objectives. It is only necessary to have completed the year's metrics previous to the year of grant funding for which you are applying.

Presidential Disaster Declaration

NOTE: NIMS Compliance is NOT associated with a jurisdiction's ability to receive funds resulting from a Presidential Disaster Declaration. A NIMS non-compliant jurisdiction IS ELIGIBLE to receive Federal funds resulting from a Presidential Disaster Declaration.

Preparedness Efforts

NIMS Compliance eligibility is only considered in regards to the federal preparedness funding a jurisdiction receives either directly from the Federal government or passed through the State of Illinois. NIMS requirements are applicable for those grants only; NIMS compliance is not applicable on any other Federal funding sources, such as, Disaster funding. Federal Preparedness Funding includes any funding that is used to support State, Tribal and/or local preparedness efforts, including **planning, training, exercises, interoperability and equipment acquisition**, as well as capacity building for prevention activities, including **information gathering, detection, deterrence, and collaboration**.

- ▶ **Planning** – any plans, policies or procedures that establish how an agency/department will prepare for, respond to, and/or recover from an incident/event. Any award to support this effort could be used for the respective agency to hire direct personnel or a vendor to provide this effort.
- ▶ **Training** – any training that supports required NIMS courses or supports training for components of NIMS (i.e. response equipment, communications, equipment database management, multi-agency coordination, public information system) whether by computer or classroom delivery. Any award to support this effort could be used for the respective agency to hire direct personnel or a vendor to provide this effort. NIMS training provided by a vendor must adhere to the NIMS National Standard Curriculum Training Development Guidance, published October 2005 [http://www.oes.ca.gov/Operational/OESHome.nsf/PDF/SEMS-NIMS%20Training%20&%20Exercises/\\$file/TrainGuide.pdf](http://www.oes.ca.gov/Operational/OESHome.nsf/PDF/SEMS-NIMS%20Training%20&%20Exercises/$file/TrainGuide.pdf).
- ▶ **Exercises** – any exercises that will enhance the ability to discuss or demonstrate plans, policies, procedures, learned training, and/ or equipment as it pertains to NIMS components.
- ▶ **Interoperability and Equipment Acquisition** - any communication equipment, response and/or recovery equipment, or database programs/equipment that will support or enhance an agency/department's ability to prepare for, respond to, and/or recover from an incident or event. Such equipment could be needed for an agency/department to meet particular resource typing criteria or to improve multi-agency and/or multi-jurisdictional communications.
- ▶ **Information gathering, detection, deterrence, and collaboration** – to support information sharing efforts regarding information received by State and local government. These efforts could support the establishment/enhancement of fusion centers, creation of secure websites or database programs for information sharing, equipment, personnel or training to support these efforts.

State of Illinois NIMS Compliance Requirements by Federal Fiscal Year

The following table provides a brief overview of NIMS Compliance Activities according to each respective federal fiscal year.

State of Illinois NIMS Compliance Requirements by Federal Fiscal Year

Federal Fiscal Year (FFY) 2005-2006

The State of Illinois required local governments who chose to comply with NIMS to submit a copy of their local ordinance officially adopting NIMS practices and principles and a copy of the '05 and '06 Compliance Activity Certification Checklist. The State of Illinois certified with the Department of Homeland Security "that taken as whole" Illinois had successfully complied with the minimum '05 and '06 NIMS requirements as set forth by DHS.

FFY 2007

Due September 30, 2007

1. Jurisdictions are required to formally adopt NIMS practices and principles by means of resolution or ordinance. A copy must be on file with the State of Illinois. Fax a copy of your ordinance to (217) 558-1335. *It is not necessary to repeat this process if the jurisdiction has previously adopted NIMS and submitted a copy of the resolution.*
2. Jurisdictions are required to have an official NIMSCAST account set up through the State of Illinois and complete the 2007 Compliance Metrics module. Tier 1 metrics (in bold type) require completion in the affirmative. All other metrics (not in bold type) do not require completion in the affirmative. Upon completion, the metrics are required to be rolled up by the jurisdiction to the Federal Emergency Management Agency (FEMA).

FFY 2008

Due September 30, 2008

1. Jurisdictions are required to formally adopt NIMS practices and principles by means of resolution or ordinance. A copy must be on file with the State of Illinois. Fax a copy of your ordinance to (217) 558-1335. *It is not necessary to repeat this process if the jurisdiction has previously adopted NIMS and submitted a copy of the resolution.*
2. Jurisdictions are required to have an official NIMSCAST account set up through the State of Illinois (*It is not necessary to repeat this process if the jurisdiction has an account*) and complete the 2008 NIMS Compliance Objectives and Metrics for Local Governments module. All metrics require completion. Upon completion, the metrics are required to be rolled up by the jurisdiction to FEMA.

FFY 2009

Due September 30, 2009

1. Jurisdictions are required to formally adopt NIMS practices and principles by means of resolution or ordinance. A copy must be on file with the State of Illinois. Fax a copy of your ordinance to (217) 558-1335. *It is not necessary to repeat this process if the jurisdiction has previously adopted NIMS and submitted a copy of the resolution.*
 2. Jurisdictions are required to have an official NIMSCAST account set up through the State of Illinois (*It is not necessary to repeat this process if the jurisdiction has an account*) and complete the 2009 NIMS Compliance Objectives and Metrics for Local Governments module.
- NOTE:** There are **no** new NIMS Compliance objectives for FFY 2009. It's considered a time period for Local governments to continue working on building and maintaining NIMS capacity. Although there are no new compliance objectives for 2009, jurisdictions are required to complete and submit for roll up to FEMA the FFY 2009 NIMS Compliance Objectives and Metrics for Local Governments module. If a jurisdiction completed the FY 2008 NIMS Compliance Objectives and Metrics for Local Governments on NIMSCAST, it will only be required to update the information in the FY 2009 module.

2010
Due September 30, 2010

1. Jurisdictions are required to formally adopt NIMS practices and principles by means of resolution or ordinance. A copy must be on file with the State of Illinois. Fax or email a copy of your ordinance to fax number (217) 558-1335 or email address ema.NIMS@illinois.gov. It is not necessary to repeat this process if the jurisdiction has previously adopted NIMS and submitted a copy of the resolution.

2. Jurisdictions are required to have an official NIMSCAST account set up through the State of Illinois (*It is not necessary to repeat this process if the jurisdiction has an account.*)

NOTE: The 2010 NIMS Compliance objectives are identical to the 2009 NIMS Compliance objectives with the exception of four additional training courses: IS 701, IS 702, IS 703, and IS 704. Local governments are encouraged to continue working on building and maintaining NIMS capacity. Although the 2010 objectives are similar to the 2009 objectives, jurisdictions are required to complete and submit for roll up to FEMA the FFY 2010 NIMS Compliance Objectives and Metrics for Local Governments module.

Additional Information

TRAINING

Each local government or jurisdiction is responsible for deciding which NIMS training courses are required of its personnel. The local government or jurisdiction is also responsible for maintaining the training records of its employees. FEMA's guidelines may prove useful for jurisdictions when determining NIMS training needs <http://www.fema.gov/emergency/nims/NIMSTrainingCourses.shtm> FEMA's Emergency Management Institute provides online independent study courses free of charge; IS-700.a, IS-100.b, IS-200.b, and IS-800.b are available at the following website <http://training.fema.gov/IS/crslist.asp>

NIMSCAST

Each jurisdiction applying for Federal Preparedness Grant funding must have an official account on NIMSCAST. An account can **only** be established by the State of Illinois NIMS Program Manager. Please email your request to ema.NIMS@illinois.gov

RESOURCE MANAGEMENT

Resource typing is an important part of resource management, which is one of the six components of NIMS. Please refer to the following FEMA website for Resource Management information. <http://www.fema.gov/emergency/nims/ResourceMngmnt.shtm#item4>

AUDITS

The Department of Homeland Security and the State of Illinois began to audit Federal Preparedness Grant Fund recipients beginning in FFY2008 (October 1, 2007 - September 30, 2008). If your jurisdiction or department receives Federal Preparedness Grant Funds, you may be asked to produce documents supporting your efforts to implement NIMS. Failure to do so will result in the inability to receive Federal grant funds.