

Enclosure

**SEMS/NIMS Integration Status  
September 29, 2006**

Background: This document provides an overview of California's SEMS/NIMS Integration status relative to NIMS requirements set forth in the official policy letter to governors from the Department of Homeland Security dated October 4, 2005.

FFY 2006 Requirements for States and Territories	
1	<p>Adopt NIMS at the state/territorial level for all government departments and agencies; as well as promote and encourage NIMS adoption by associations, utilities, non-governmental organizations (NGOs) and private sector incident management and response organizations.</p> <p>Monitor formal adoption of NIMS by all tribal and local jurisdictions.</p>
2	<p>Establish a planning process to ensure the communication and implementation of NIMS across the state, including local governments and tribes. This process must provide a means for measuring progress and facilitate reporting.</p>
3	<p>Designate a single point of contact within the state government to serve as the principal coordinator for NIMS implementation statewide.</p>
4	<p>To the extent permissible by law, ensure that federal preparedness funding to state and territorial agencies and tribal and local jurisdictions is linked to the satisfactory progress in meeting the requirements related to FY 06 NIMS implementation requirements.</p>
5	<p>To the extent permissible by state and territorial law and regulations, audit agencies and review organizations should routinely include NIMS implementation requirements in all audits associated with federal preparedness grant funds. This process will validate the self-certification process for NIMS compliance.</p>
6	<p><u>Incident Command System (ICS):</u> Manage all emergency incidents and preplanned (recurring/special) events in accordance with ICS organizational structures, doctrine and procedures, as defined in NIMS. ICS implementation must include the consistent application of Incident Action Planning and Common Communications Plans.</p>
7	<p><u>Multi-agency Coordination System:</u> Coordinate and support emergency incident and event management through the development and use of integrated multi-agency coordination systems, i.e. - develop and maintain connectivity capability between local Incident Command Posts (ICP), local 911 Centers (EOCs), the state EOC and regional and/federal EOCs and /NRP organizational elements.</p>
8	<p><u>Public Information System:</u> Institutionalize, within the framework of ICS, the Public Information System, comprising of the Joint Information System (JIS) and a Joint Information Center (JIC). The Public Information System will ensure an organized, integrated, and coordinated mechanism to perform critical emergency information, crisis communications and public affairs functions which is timely, accurate, and consistent. This includes training for designate participants from the Governor's office and key state agencies.</p>

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FFY 2006 Requirements for States and Territories	
9	Establish the state's NIMS baseline against the FY 2005 and FY 2006 implementation requirements.
10	Coordinate and leverage all federal preparedness funding to implement the NIMS.
11	Revise and update plans and SOPs to incorporate NIMS and National Response Plan (NRP) components, principles and policies, to include planning, training, response, exercises, equipment, evaluation and corrective actions.
12	Promote intrastate and interagency mutual aid agreements, to include agreements with the private sector and non-governmental organizations.
13	Leverage training facilities to coordinate and deliver NIMS training requirements in conformance with the NIMS National Standard Curriculum.
14	Complete IS-700 NIMS: An Introduction
15	Complete IS-800 NRP: An Introduction
16	Complete ICS 100 and ICS 200 Training
17	Incorporate NIMS/ICS into all state and regional training and exercises.
18	Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions.
19	Incorporate corrective actions into preparedness and response plans and procedures.
20	Inventory state response assets to conform to homeland security resource typing standards.
21	Develop state plans for the receipt and distribution of resources as outlined in the National Response Plan (NRP) Catastrophic Incident Annex and Catastrophic Incident Supplement.
22	To the extent permissible by state and local law, ensure that relevant state national standards and guidance to achieve equipment, communication and data interoperability are incorporated into state and local acquisition programs.
23	Apply standardized and consistent terminology, including the establishment of plain English communications standards across public safety sector.

**1. Adopt NIMS at the state/territorial level for all government departments and agencies; as well as promote and encourage NIMS adoption by associations, utilities, non-governmental organizations (NGOs) and private sector incident management and response organizations.**

The Governor issued Executive Order S-02-05, which directed the Governor's Office of Emergency Services and Office of Homeland Security to integrate NIMS with the state Standardized Emergency Management System (SEMS) through the SEMS Advisory Board. The Standardized Emergency Management System (SEMS) established by statute (Government Code § 8607 and regulation California Code of Regulations § 2400 has been in effect statewide since December 1, 1996. (See attached SEMS Advisory Board Membership and SEMS Technical Group Membership Rosters.)

The SEMS Advisory Board, the executive level of the SEMS maintenance system consisting of 15 members provides executive direction to the SEMS Technical Group. The SEMS Technical Group, that provides staff work for the Advisory Board was, expanded beyond their state, and

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local governments and emergency responder associations membership to include private sector, volunteer and service organizations for to a total of 50 members. The Technical Group at the direction and approval of the Advisory Board established the following Specialist Committees:

Specialist Committee	Number of Meetings	Number of Members
1. After-Action/Corrective Action	15	28
2. Credentialing	7	24
3. Private/Non-governmental/volunteer	10	31
4. Resource Management	3	16
5. Training and Exercises	8	50
6. Tribal Government	3	10

Specialist Committees were composed of representatives of the SEMS Technical Group and emergency management community with expertise necessary to develop recommendations for intergrading NIMS and SEMS. The SEMS Technical Group which oversees the Specialist Committee work met formally nine times and eighteen times through conference calls to track progress and maintain momentum. Specialist Committee recommendations were presented to the SEMS Advisory Board for approval and adoption.

To support this effort, presentations were also made to the California Emergency Services Association's annual and chapter meetings, California Utility Emergency Services Association annual meeting, law enforcement group and the Statewide Emergency Planning Committee meetings.

**Monitor formal adoption of NIMS by all tribal and local jurisdictions.**

Formal adoption has been monitored and assisted by the OES regional offices and their staffs consistent with the Standardized Emergency Management System and Governor's Executive Order. Templates for adoption were developed and posted on the OES website as well as circulated among local governments via the OES regions.

**2. Establish a planning process to ensure the communication and implementation of NIMS across the state, including local governments and tribes. This process must provide a means for measuring progress and facilitate reporting.**

Specialist Committees developed materials in the form of guidance to assist all jurisdictions in meeting the FY 06 NIMS Requirements. These materials, as well as sample resolutions and supporting documentation were collected into the, *California Implementation Guidelines For The National Incident Management System, Workbook and User Manual*. Following a beta testing of the document, attended by over fifty representatives of the statewide emergency management community, the workbook was approved for distribution and use by the SEMS Advisory Board. The workbook was then used as basis of fourteen compliance assistance workshops that were conducted from June through August, 2006 throughout the state with a total attendance of over five hundred representatives from the emergency management community.

This amounted to one state agency workshop, nine local government workshops and four tribal government workshops. The state agency workshop was directed primarily to state agency

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compliance requirements and attended by state agencies and departments that have specific emergency duties assigned to them in the State Emergency Plan.

The local government workshops were directed to addressing local governments FY 06 requirements and included participants not only from local emergency management agencies, but also city and county department heads, volunteer groups and private sector representatives as well as tribal government representatives. The local government workshops were presented in all OES Regions covering all areas of the state.

Tribal workshops were open to tribal governments, focused on FY 06 tribal government requirements and were located in areas to maximize participation by all tribal governments. This resulted in workshops in the northeast, northwest, southeast and southwest portions of the state as well as OES headquarters in Sacramento.

The workbook was also distributed through the OES regional offices to local governments, and made available via the OES website, in its entirety.

The planning process developed to ensure communication and implementation of NIMS includes the following components:

- Utilizing the OES regional offices to communicate and assist in meeting NIMS requirements;
- Posting of guidance and materials to the OES website under a "SEMS/NIMS" button;
- Providing news releases;
- Correspondence from the OES and OHS Directors to state, local, and tribal organizations concerning NIMS requirements and available compliance assistance;
- Presentations and updates to groups, jurisdictions, associations on NIMS requirements, processes and methods to meet them;
- Development of a workbook, distribution and workshops;
- Use of the SEMS Maintenance System components:
  - Advisory Board
  - Technical Group
  - Specialist Committees
  - Mutual Aid Regional Advisory Committees (five distinct Committees representing emergency managers and supporting state, volunteer and private sector representatives for each region).

The SEMS Maintenance System supported the development of compliance guidance and communication of requirements, and progress reports.

- Use of the Emergency Management Performance Grants (EMPG) to include NIMS compliance requirements and the progress reports;
- Use of NIMCAST to monitor the statewide level of NIMS compliance.

### **3. Designate a single point of contact within the state government to serve as the principal coordinator for NIMS implementation statewide.**

The Governor's Office of Emergency Services was designated as the principal coordinator for NIMS compliance statewide.

**4. To the extent permissible by law, ensure that federal preparedness funding to state and territorial agencies and tribal and local jurisdictions is linked to the satisfactory progress in meeting the requirements related to FY 06 NIMS implementation requirements.**

The Office of Homeland Security (OHS) is recognized statewide as the agency for matters related to Homeland Security Planning, Policy and Grant Administration. OES coordinates with OHS to ensure that our preparedness activities and these funding programs are aligned and support NIMS implementation. This will continue to be an ongoing activity. OHS representatives serve as members of not only the Advisory Board, but also the SEMS Technical Group.

To ensure the statewide implementation of NIMS, OHS grants staff has collaborated with all nine of the identified UASI jurisdictions to revise the current State and Urban Area Homeland Security Strategies to address 2004, 2005, and 2006 homeland security funding. The revised strategies will provide a blueprint for grant projects funded by the ODP grants and will include the four homeland security mission areas (prevent, protect, respond, recover) to reflect the seven National Priorities identified in the National Preparedness Goal. The State and UASI strategies will also address citizen preparedness and local government concerns, and identify any additional target capabilities from the Target Capabilities List (TCL) that are a priority for them beyond the National Priorities.

**5. To the extent permissible by state and territorial law and regulations, audit agencies and review organizations should routinely include NIMS implementation requirements in all audits associated with federal preparedness grant funds. This process will validate the self-certification process for NIMS compliance.**

All recipients and sub recipients of federal funds must comply with the audit requirements of Office of Management and Budget (OMB) Circular A-133. Under A-133, federal programs are considered major or non-major based upon total expenditures and expenditures per program. Major programs are subjected to more tests than non-major programs, including the testing of compliance requirements. If a federal preparedness grant is determined to be a major program, compliance testing will be performed on that program's expenditures. Auditors perform compliance tests identified in the A-133 Compliance Supplement, however, the NIMS requirement is not listed in the Supplement, therefore, audits may not always include compliance tests to ensure implementation of NIMS. To ensure that NIMS implementation requirements are included in compliance testing of federal preparedness grant funds, OES recommends that the U.S. Department of Homeland Security (DHS) contact the OMB to include this requirement in the DHS Agency Program Requirements section of the A-133 Compliance Supplement.

OES does not perform any audits of federal preparedness grants and relies upon A-133 audits to test for NIMS compliance. Audits conducted by the state of state agencies includes would include NIMS compliance as well as other programs of the audited agency or department.

**6. Incident Command System (ICS): Manage all emergency incidents and preplanned (recurring/special) events in accordance with ICS organizational structures, doctrine and procedures, as defined in NIMS. ICS implementation must include the consistent application of Incident Action Planning and Common Communications Plans.**

The Standardized Emergency Management System (SEMS) established by statute (Government Code § 8607 and regulation California Code of Regulations § 2400 has been in effect statewide

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since December 1, 1996. It is based on FIRESCOPE ICS, the same basis as NIMS. ICS is the field component of SEMS and incorporates Incident Action Planning and Common Communications Plans as well as other features of ICS. SEMS has been adopted by all counties, state agencies and cities. ICS has and continues to be used for all emergency incidents and preplanned (recurring/special) events in accordance with ICS organizational structures, doctrine and procedures, as defined in NIMS.

**7. Multi-agency Coordination System: Coordinate and support emergency incident and event management through the development and use of integrated multi-agency coordination systems, i.e. - develop and maintain connectivity capability between local Incident Command Posts (ICP), local 911 Centers (EOCs), the state EOC and regional and/federal EOCs and /NRP organizational elements.**

SEMS is based on and supportive of a hierarchical structure that provides connectivity from the field to the department/city, county, OES Region, State and federal EOCs. This connectivity is enhanced by the Response Information Management System (RIMS) an on-line, interactive system that provides informational reports, tracks, monitors and facilitates resource management and mutual aid and is connects counties, OES Regions and the State EOCs.

Connectivity between the counties and cities and special districts is through the functional operations of Operational Areas. The Operational Area concept is part of the SEMS regulations and operational areas and their responsibilities are identified by each of the 58 county agreements. Each county facilitates as the coordinator of emergency response information and resources as an "Operational Area" for the county and all the jurisdictions within the geographic boundaries, when activated as described in SEMS regulations. Operational areas in turn coordinate information and resource requests with their respective OES Regional Emergency Operations Centers (REOCs). REOCs coordinate with the State Emergency Operations Center (SOC), and the SOC coordinates with federal agencies.

**8. Public Information System: Institutionalize, within the framework of ICS, the Public Information System, comprising of the Joint Information System (JIS) and a Joint Information Center (JIC). The Public Information System will ensure an organized, integrated, and coordinated mechanism to perform critical emergency information, crisis communications and public affairs functions which is timely, accurate, and consistent. This includes training for designate participants from the Governor's office and key state agencies.**

The function of the public information officer is an integral part of SEMS at the field (ICS), level, EOC, State Operations Center levels. Functions and duties of the Public Information Officer are delineated in the workbook and in the SEMS Approved Course of Instruction (ACI) which preceded the development of NIMS. At the State Emergency Operations Center level the public information function is enhanced by a Joint Information Center approach that combines the public information officers from impacted state agencies and federal agencies with OES taking the lead.

The public information function, being a management function at the EOC and Command function in ICS is incorporated in all SEMS training as well as NIMS enhanced statewide training programs.

**9. Establish the state's NIMS baseline against the FY 2005 and FY 2006 implementation requirements.**

To obtain a statewide baseline, OES required under the Emergency Management Performance Grant that all fifty-eight counties complete NIMCAST. Key state agencies (twenty) with primary emergency responsibilities delineated in the State Emergency Plan were also required to complete NIMCAST. To round-out the statewide baseline, tribal governments were invited to participate. The composite assessment provides a statewide perspective, indicating substantial compliance with NIMS and identifies areas that need additional assistance for uniformity.

To assist in this effort OES provided three NIMCAST training sessions to over sixty-five individuals who would be involved in their jurisdictions submittal. These workshops were provided in both North and South state to tribal, local and state agencies.

NIMCAST results indicate the state is eight-five percent compliant with NIMS to date.

**10. Coordinate and leverage all federal preparedness funding to implement the NIMS.**

OES coordinates with OHS to ensure that our preparedness activities and these funding programs are aligned and support NIMS implementation. This will continue to be an ongoing activity. OHS representatives serve as members of not only the Advisory Board, but also the SEMS Technical Group. The SEMS Maintenance System by Executive Order is charged with insuring the integration of NIMS and SEMS.

**11. Revise and update plans and SOPs to incorporate NIMS and National Response Plan (NRP) components, principles and policies, to include planning, training, response, exercises, equipment, evaluation and corrective actions.**

The OES Planning Section revised the 1998 State Emergency Plan in August of 2006 to incorporate reference to the federal NIMS and NRP documents. The definitions and acronyms contained in the document "State NIMS Integration – Integrating the National Incident Management System into State Emergency Operations Plans and Standard Operating Procedures" were incorporated in to the draft plan. Additional reference was incorporated detailing the need to complete after action reports with corrective actions, both for exercises and actual response activations. The internal OES plan review is scheduled for the month of September 2006. It will then be placed on the OES website for further review and comment. The plan was review will ensure that concepts within the plan are consistent with the federal definitions given existing state laws and regulations.

**12. Promote intrastate and interagency mutual aid agreements, to include agreements with the private sector and non-governmental organizations.**

The basis of all mutual aid in California is the Master Mutual Aid Agreement signed by all counties in 1950. In addition, California is an member of the Emergency Management Assistance Compact. Consistently, OES has developed model guidance for mutual aid agreements for private sector, volunteer groups and tribal governments. These materials are part of the *California Implementation Guidelines For The National Incident Management System, Workbook and User Manual*, which has been used in workshops held throughout the state to promote SEMS/NIMS integration.

**13. Leverage training facilities to coordinate and deliver NIMS training requirements in conformance with the NIMS National Standard Curriculum.**

All OES Staff will be participating in the Emergency Operations Training Program (EOTP), which includes SEMS, NIMS Awareness, ICS 100, ICS 200, and the NRP. Training will occur in each OES Region this summer and into the early fall. Our State Agency partners will also be participants. We are in the process of receiving G&T approval of this course (working with CA Homeland Security).

OES Trainers and Region staff have also put together a SEMS/NIMS/ICS Train the trainer course to assist State Agencies and local government meet the NIMS compliance requirements. At least three iterations of this course, will be taught in each of the 3 OES regions, this summer. This course has been approved by G&T for three iterations, and we expect full certification soon.

**14. Complete IS-700 NIMS: An Introduction**

The Training Specialist Committee developed an eight hour course, the SEMS/NIMS/ICS combined course, that includes IS-700, ICS 100, ICS 200 and the SEMS Introductory Course. This course meets the objectives of those courses, and is NIMS compliant. During the late spring and summer of 2006 this combined course was made available to all jurisdictions in the form of a train-the-trainer course conducted throughout the state at 12 separate venues. This course material and the train-the-trainer materials were also made available via the OES website.

**15. Complete IS-800 NRP: An Introduction**

The SEMS Training and Exercise Specialist Committee created a matrix of who should receive which training courses, according to an individual's emergency/disaster role/responsibility, to meet both State and Federal requirements. The matrix includes links to IS-800 NRP training resources. This matrix is on the OES website and in the California Implementation Guidelines for The National Incident Management System, Workbook and User Manual that identifies the required NIMS training by positions for emergency response agencies. The matrix has also been widely distributed throughout the State by the OES Regions. The matrix includes links to IS-800 NRP training resources.

**16. Complete ICS 100 and ICS 200 Training**

See items 14 and 15 above.

**17. Incorporate NIMS/ICS into all state and regional training and exercises.**

State and regional exercises have been conducted incorporating California's Standardized Emergency Management System (SEMS) since December 1996, when SEMS was implemented (the SEMS Field Course modules are based on basic, intermediate, and advanced ICS). All OES curriculum has been or is in the process of being modified to ensure all coursework presented includes those components of NIMS and ICS, that were not already a part of California's SEMS.

OES is incorporating NIMS/ICS into all State and Regional exercises planned and implemented by OES staff.

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The SEMS Training and Exercise Specialist Committee, whose focus has been the incorporation of NIMS into California's SEMS, has included NIMS/ICS in its statewide exercise strategy.

### **18. Participate in an all-hazard exercise program based on NIMS that involves responders from multiple disciplines and multiple jurisdictions.**

The Golden Guardian Exercise is an annual event that involves multiple jurisdictions and agencies. The scenarios for each exercise change to span all hazards. Golden Guardian exercises involve activities from the field level up to and including EOCs at the city, county, region and state levels. Other exercises that occur and involving multiple disciplines and multiple jurisdictions using NIMS include the following scenarios: nuclear powerplant incidents, dam failure incidents, hazardous materials. OES supports exercises at the local government level through its regional offices. OES Training branch includes exercise in training programs they conduct that also involve multiple jurisdictions and multiple disciplines. The Homeland Security Exercise Evaluation Program, under the California Office of Homeland Security also conducts exercises through out the state other than the Golden Guardian Exercise that involving multiple disciplines and multiple jurisdictions utilizing NIMS.

### **19. Incorporate corrective actions into preparedness and response plans and procedures.**

Following all incidents, planned/reoccurring events, declared disasters an after action process is initiated. The After Action Reporting Process defined in SEMS has been modified to ensure it meets NIMS standards. This process involves development of an After Action Report that includes the identification of corrective actions and responsible organizations assigned to each corrective action. A computerized database to track corrective actions is under development to be used statewide.

### **20. Inventory state response assets to conform to homeland security resource typing standards.**

The Resource Management Specialist Committee was formed prior to the release of the FY 06 requirements. This committees anticipated an extensive amount of work. In an effort to focus primarily on FY 06 NIMS requirements the committee released guidance materials to assist jurisdictions meet the resource typing inventorying activity required for FY 06. This material was provided to all jurisdictions through workshops, the OES website, presentations and mailings. State and local jurisdictions used this guidance to develop inventories of their response assets consistent with homeland security resource typing assets. These inventories are maintained by each jurisdiction and will be enhanced as more resources are typed.

### **21. Develop state plans for the receipt and distribution of resources as outlined in the National Response Plan (NRP) Catastrophic Incident Annex and Catastrophic Incident Supplement.**

The State Emergency Operations Center and Regional Emergency Operations Center Operations Section procedures address obtaining and receiving federal resources. Distribution of resources to state, or local jurisdictions would follow the SEMS structure as outlined in emergency plans, procedures, EOC SOPs and field guides.

### **22. To the extent permissible by state and local law, ensure that relevant state national standards and guidance to achieve equipment, communication and data interoperability are incorporated into state and local acquisition programs.**

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Standards to achieve equipment, communication and data interoperability, relative to interoperability are coordinated through the California Statewide Interoperability Executive Committee (CALSIIEC) and the Public Safety Radio Strategic Planning Committee (PSRSPC) committees collaboration, community outreach and strategic planning reports.

CALSIIEC represents various levels of government and tribal nations. It is responsible for developing and maintaining agreements that define practices for the use of interoperability radio channels. It functions as part of the SEMS/NIMS. CALSIIEC was established and operates under a Federal Communications Commission charter to the states to administer that portion of the 700 MHz band designated as interoperability spectrum. California already had an existing structure in OES to administer other existing state and federally designated interoperability spectrum within the context of the Master Mutual Aid system. Building on that structure, the Director of OES chartered CALSIIEC in 2003 to combine existing efforts and to provide a single body to administer all interoperability spectrum in California.

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

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

The following state agencies are members of the PSRSPC:

- The California Highway Patrol
- The Department of Corrections
- The Department of Fish and Game
- The Department of Forestry and Fire Protection
- The Department of General Services
- The Department of Justice
- The Department of Parks and Recreation
- The Department of Transportation
- The Department of Water Resources
- The Emergency Medical Services Authority
- The Governor's Office of Emergency Services
- The Governor's Office of Homeland Security

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

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

Both the CALSIIEC and PSRSPC Committees will facilitate with the integration of NIMS requirements throughout the state, while working towards improving California's interoperability

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capabilities. The committees will be reviewing and updating previous work efforts in this area, and will be developing a process for forward migration to meet the needs of California's public safety agencies.

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

Exercises, training and procedures have addressed and continue to address the need for use of plain English communications standards across the public safety sector in responding to emergencies.

#### **Attachment**

- SEMS Advisory Board Roster
- SEMS Technical Group Roster
- SEMS Specialist Committees