

# National Incident Management System 3.0

## Disclaimer

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# Objectives

- Give brief overview of the development of the National Incident Management System (NIMS) doctrine.
- Provide information on the key changes contained in the new NIMS document released in October 2017.
- Discuss how primary care is represented in the NIMS structure for New York City.
- Identify additional resources for further learning.

# What is NIMS?

- The National Incident Management System (NIMS) is a systemic and proactive approach to incident management to guide all levels of private sector, non-profit, and government to work together to prevent, protect against, mitigate, respond to, and recover from the effects of incidents.
- National Incident Management System (NIMS) applies to:
  - Planned events and exercises
  - Day-to-day and large scale incidents
  - Incidents with or without warning

# NIMS Scope and Applicability

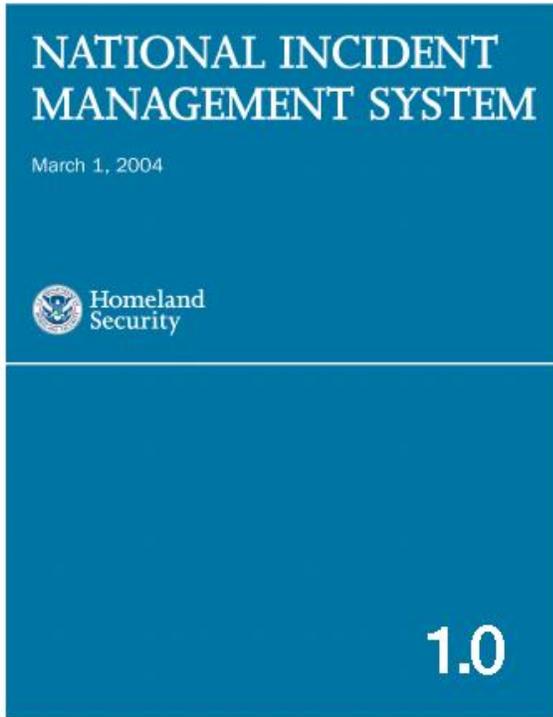
National Incident Management System (NIMS) audience includes all-levels of:

- Emergency responders
- Emergency management personnel
- Humanitarian, faith-based and community-based non-governmental organizations (American Red Cross, Habitat for Humanity etc.)
- Healthcare entities (including community health centers)
- Private sector businesses
- Elected and appointed government officials

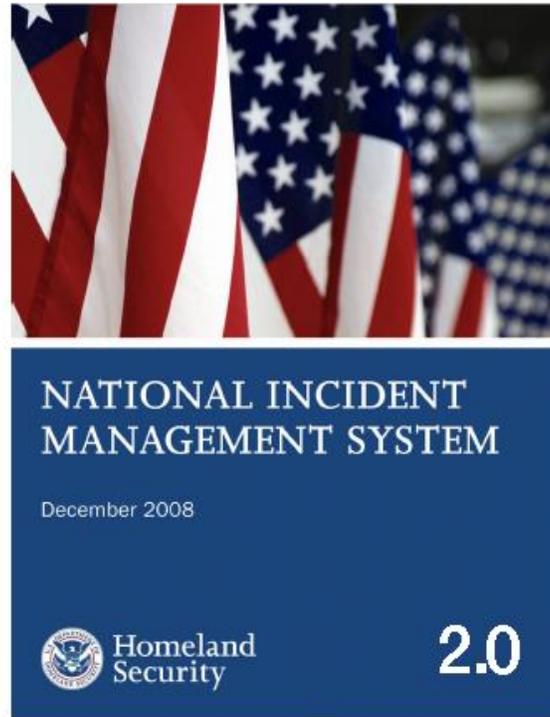
## Before NIMS 1.0

- Work began in the 1970s - local, state, and federal agencies created Firefighting Resources of California Organized for Potential Emergencies (FIRESCOPE), that included Incident Command System (ICS) and Multiagency Coordination System (MACS).
- In 1982, the agencies that developed FIRESCOPE and the National Wildfire Coordinating Group (NWCG) created the National Interagency Incident Management System (NIIMS).
- Communities across the Nation adopted ICS and MACS, but adoption was not universal.

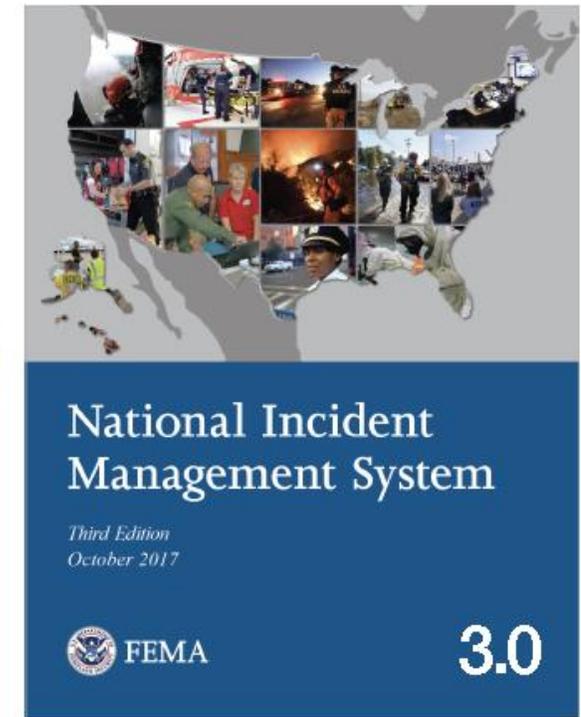
## NIMS Timeline



2004



2008



2017

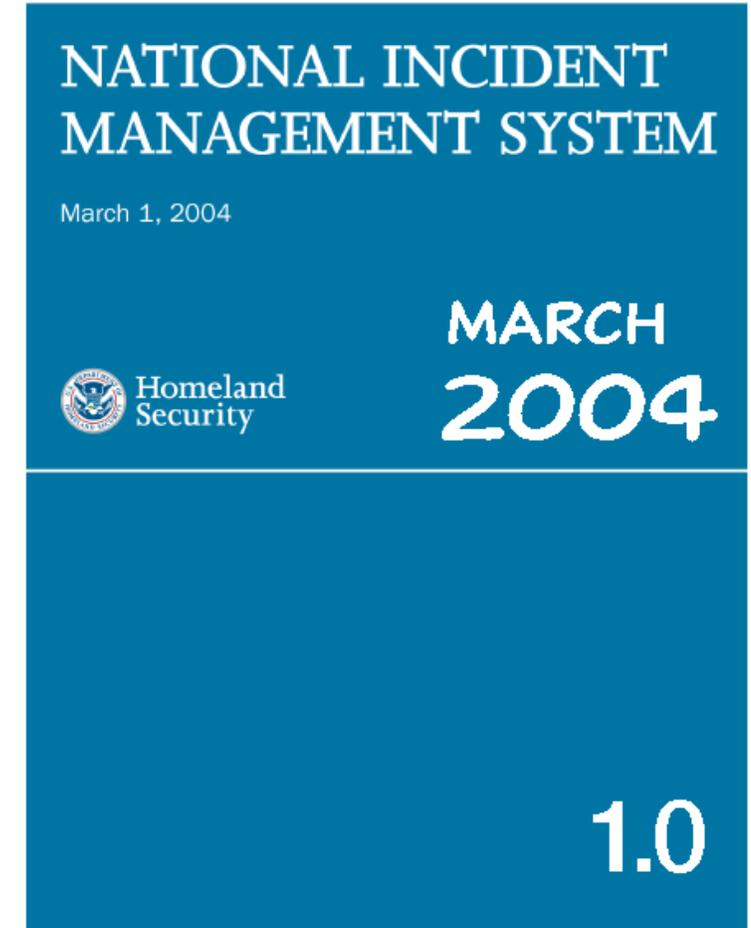
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MARCH 15, 2018

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## NIMS 1.0

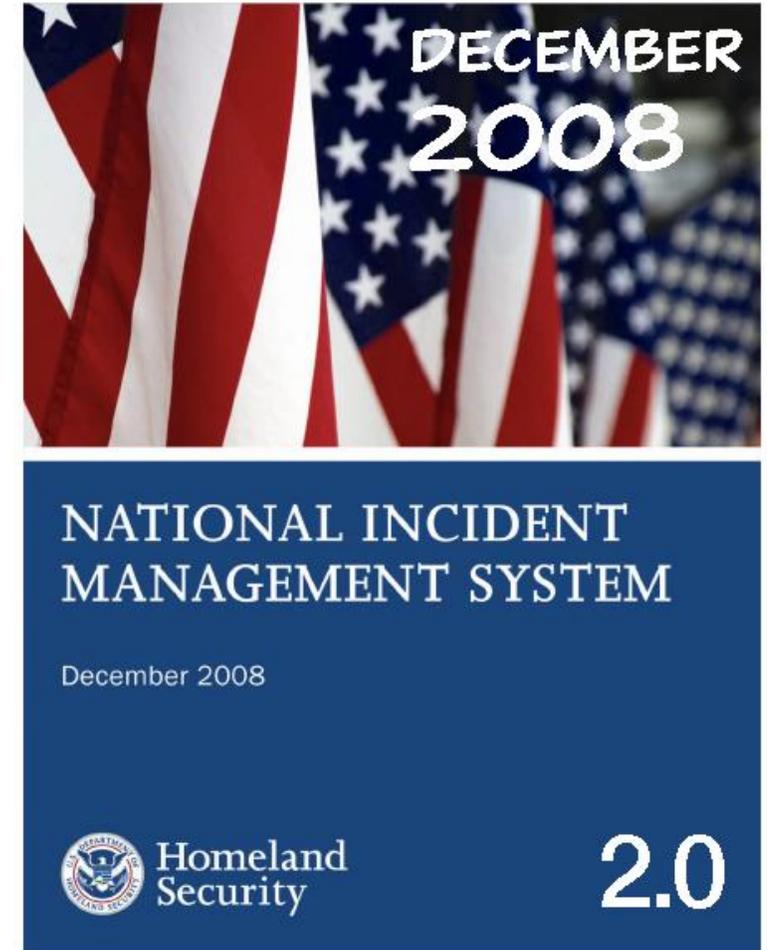
- NIMS 1.0, was a mandate of Homeland Security Presidential Directive (HSPD)-5, Management of Domestic Incidents, which was issued on February 28, 2003 following 9/11 events.
- HSPD-5 requires all Federal departments and agencies to:
  - Adopt NIMS and use it in their individual incident management programs and activities.
  - Make adoption of NIMS by State, tribal, and local organizations a condition for Federal preparedness assistance (through grants, contracts, and other activities).



Graphic: bParati.com

## NIMS 2.0

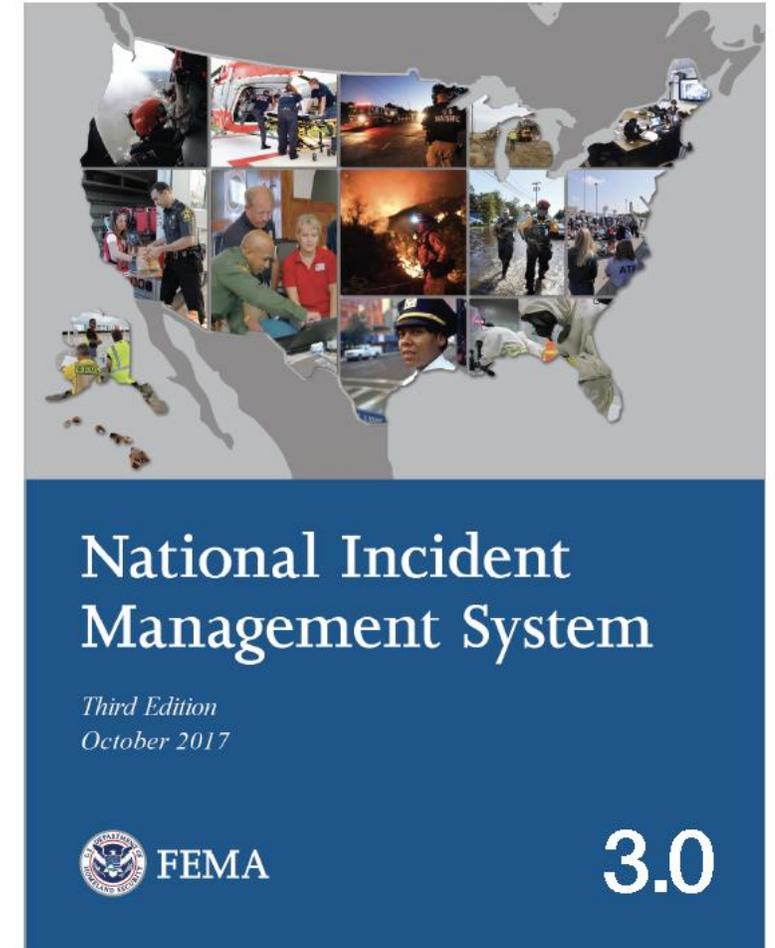
- 18 months after publication of NIMS 1.0, Hurricane Katrina hit the Gulf region.
- Lessons learned after Katrina highlighted some shortcomings of NIMS 1.0 and necessitated the release of NIMS 2.0 in December 2008.



Graphic: bParati.com

## NIMS 3.0

- The Federal Emergency Management Agency (FEMA) published NIMS 3.0 in October 2017.
- NIMS 3.0 reflects progress since 2008, based on lessons learned, best practices, and changes in national policy, including updates to the National Preparedness System.



Graphic: bParati.com

## NIMS 3.0 – Overview

NIMS 3.0 strengthens guidance for effective incident management:

- Reflects and incorporates policy updates from lessons learned from exercises and real-world incidents and disasters
- Clarifies the processes and terminology for qualifying, certifying, and credentialing incident personnel, building a foundation for the development of a national qualification system
- Removes the Preparedness component of NIMS to avoid redundancy with the *National Preparedness System and Goal*
- Clarifies that NIMS is more than just Incident Command System (ICS), and that it applies to all incident personnel, from the incident command post to the National Response Coordination Center
- Demonstrates the applicability of NIMS to all five mission areas (Prevention, Protection, Mitigation, Response and Recovery)

# NIMS 3.0 – Overview

- Adds guidance on the Intelligence and Investigations function
- Refines the model for the Operational Period Planning Cycle
- Provides expanded EOC guidance based on input from local, state, tribal and territorial EOC leaders
- Describes common functions and terminology for staff in Emergency Operations Centers (EOC), while remaining flexible to allow for differing missions, authorities, and resources of EOCs across the Nation
- Explains the relationship among Incident Command Structure (ICS), Emergency Operation Centers (EOCs), and senior leaders/ policy groups (Multiagency Coordination Group)
- Enhances guidance on information management processes

# NIMS 3.0 - Guiding Principles

Incident management priorities include saving lives, stabilizing the incident, and protecting property and the environment. To achieve these priorities, incident personnel apply and implement NIMS components in accordance with the principles of **flexibility**, **standardization**, and **unity of effort**.

# Flexibility

- NIMS components are adaptable to any situation, from planned special events to routine local incidents to incidents involving interstate mutual aid or Federal assistance. Some incidents need multiagency, multijurisdictional, and/or multidisciplinary coordination. Flexibility allows NIMS to be scalable and, therefore, applicable for incidents that vary widely in terms of hazard, geography, demographics, climate, cultural, and organizational authorities.

# Standardization

- Standardization is essential to interoperability among multiple organizations in incident response. NIMS defines standard organizational structures that improve integration and connectivity among jurisdictions and organizations. NIMS defines standard practices that allow incident personnel to work together effectively and foster cohesion among the various organizations involved. NIMS also includes common terminology, which enables effective communication.

## Unity of Effort (new principle in NIMS 3.0)

- Unity of effort means coordinating activities among various organizations to achieve common objectives. Unity of effort enables organizations with specific jurisdictional responsibilities to support each other while maintaining their own authorities.

## NIMS 2.0 vs 3.0 Comparison

NIMS	2.0
Component	Contents
1	Preparedness
2	Communications and Information Management
3	Resource Management
4	Command and Management
	<ul style="list-style-type: none"> <li>Incident Command System (ICS)</li> </ul>
	<ul style="list-style-type: none"> <li>Multiagency Coordination System (MACS)</li> </ul>
	<ul style="list-style-type: none"> <li>Public Information</li> </ul>
5	Ongoing Management and Maintenance

Elements of both the structure and content of NIMS have been changed in the NIMS 3.0 update

NIMS	3.0
Component	Contents
1	Fundamentals and Concepts of NIMS
2	Resource Management
3	Command and Coordination
	<ul style="list-style-type: none"> <li>Incident Command System (ICS)</li> </ul>
	<ul style="list-style-type: none"> <li>Emergency Operations Centers (EOC)</li> </ul>
	<ul style="list-style-type: none"> <li>Multiagency Coordination Group (MAC Group)</li> </ul>
	<ul style="list-style-type: none"> <li>Joint Information System (JIS)</li> </ul>
4	Communications and Information Management

# Three NIMS Framework Components

- **Resource Management** describes standard mechanisms to systematically manage resources, including personnel, equipment, supplies, teams, and facilities, both before and during incidents in order to allow organizations to more effectively share resources when needed.
- **Command and Coordination** describes leadership roles, processes, and recommended organizational structures for incident management at the operational and incident support levels and explains how these structures interact to manage incidents effectively and efficiently.
- **Communications and Information Management** describes systems and methods that help to ensure that incident personnel and other decision makers have the means and information they need to make and communicate decisions.

# NIMS 3.0 - Resource Management

- Reorganizes key resource management activities to address resource planning (pre-incident) resource management activities (during incidents), and mutual aid
- Establishes a foundation for a national qualification system by clarifying processes for qualifying, certifying and credentialing incident personnel
- Emphasizes the role of the Authority Having Jurisdiction (AHJ)

## **NIMS 2.0**

- Concepts and Principles
- Managing Resources

## **NIMS 3.0**

- Resource Management Preparedness
- Resource Management During an Incident
- Mutual Aid

## Resource Typing

Resource typing establishes common definitions for capabilities of personnel, equipment, teams, supplies, and facilities. Typing definitions include the following information:

- **Capability:** the core capability for which the resource is most useful
- **Category:** the function for which a resource would most likely be used such as firefighting, law enforcement, health and medical, etc.
- **Kind:** a broad classification such as personnel, teams, facilities, equipment and supplies
- **Type:** a resource's level of minimum capability to perform its function; based on size, power, capacity (for equipment) or experience and qualifications (for personnel or teams)

## Credentialing

Qualifying, certifying and credentialing are essential steps, led by an Authority Having Jurisdiction (AHJ) to help ensure that deploying emergency management personnel can perform their assigned role.

- **Qualification:** personnel meet minimum established criteria -training, experience, physical and medical fitness, capability –to fill specific positions
- **Certification/Recertification:** recognition from an AHJ or a third party stating that an individual is qualified for a specific position
- **Credentialing:** documentation from an AHJ or a third party, usually in the form of an identification card or badge, that identifies personnel and verifies their qualifications for a particular position

# Authority Having Jurisdiction (AHJ)

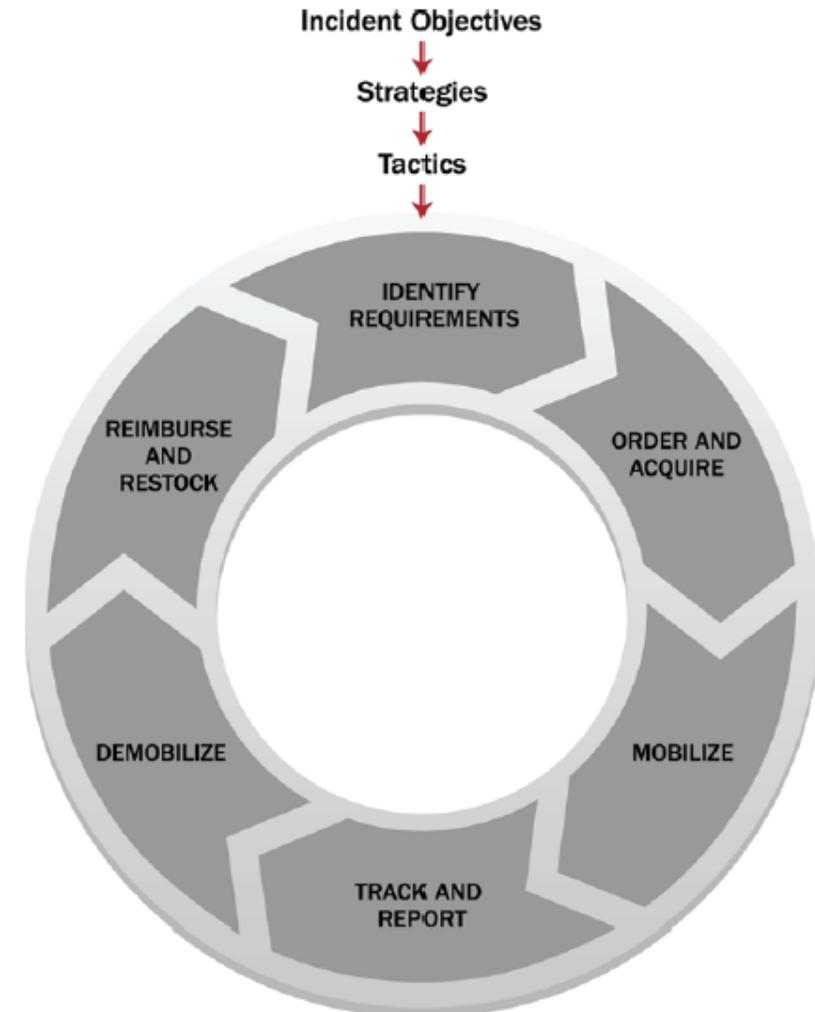
- The AHJ is a public or private sector entity that has the legal authority to establish and administer processes to qualify, certify, and credential personnel for incident-related positions.
- The AHJ may be a state or Federal agency, training commission, NGO, private sector company, or a tribal or local agency such as a police, fire, or public health department.
- The AHJ derives authority to credential from the elected official or, in the private sector, from the senior executive.

# Resources - Preparedness Activities

- Before an incident jurisdictions and organizations develop resource plans.
- This resource planning includes identifying resource requirements based on an assessment of threats and vulnerabilities and developing strategies to obtain the needed resources.
- Resource management strategies include stockpiling resources, establishing mutual aid agreements to obtain resources from neighboring jurisdictions, determining approaches to reassigning resources from non-essential tasks, and developing contracts to rapidly acquire resources from vendors when needed.
- A resource inventory is used to track resource availability and enables organizations to acquire resources promptly when needed for an incident.

# Resources -Activities During an Incident

- The resource management process is the six resource management tasks performed in an incident.
- The resource management process includes methods to identify requirements, order and acquire, mobilize, track and report, demobilize and reimburse and restock resources in an incident.



## Mutual Aid

### Mutual Aid Agreements and Compacts

- Establish the legal basis for two or more entities to share resources
- Address issues including liability, compensation and procedures
- Exist between communities, tribal governments non-governmental organizations and the private sector, within a state, between states, between Federal agencies, and internationally

### Mutual Aid Process

- A request for resources is received from requesting jurisdiction.
- The request is evaluated by the providing jurisdiction to determine if they can accommodate a temporary loss of the resource.
- If the providing jurisdiction can accommodate the request, they deploy the resource to the requesting jurisdiction.

# NIMS 3.0 - Command and Coordination

Defines the fourteen NIMS Management Characteristics

Describes four NIMS Command and Coordination structures:

- Incident Command System (ICS)
- Emergency Operations Centers (EOCs)
- Multiagency Coordination (MAC) Group
- Joint Information System (JIS)

## **NIMS 2.0**

- Incident Command System (ICS)
- Multiagency Coordination System (MACS)
- Public Information

## **NIMS 3.0**

- Multi-Agency Coordination Systems (MACS):
  1. ICS
  2. EOCs
  3. MAC Group
  4. JIS

# NIMS Management Characteristics

NIMS bases incident management and coordination on fourteen NIMS Management Characteristics (formerly called ICS Management Characteristics).

The name is new but the 14 characteristics remain the same:

- Common Terminology
- Management by Objectives
- Manageable Span of Control
- Comprehensive Resource Management
- Establishment and Transfer of Command
- Chain of Command and Unity of Command
- Dispatch/ Deployment
- Modular Organization
- Incident Action Planning
- Incident Facilities and Locations
- Integrated Communications
- Unified Command
- Accountability
- Information and Intelligence Management

# Incident Command System (ICS)

- Standardized approach to the command, control, and coordination of on-scene incident management
- Provides a common hierarchy within which personnel from multiple organizations can be effective
- Specifies an organizational structure for incident management that integrates and coordinates a combination of procedures, personnel, equipment, facilities, and communications.
- Helps hone and maintain skills needed to coordinate efforts effectively.
- Applies across disciplines and enables incident managers from different organizations to work together seamlessly.

# Incident Command System (ICS) Changes in NIMS 3.0

- Revised description of the Intelligence/ Investigations function
- Revised “Manageable Span of Control” guidance
- Made revisions to the incident planning process to align with processes in use within the emergency management community
- Consistent use of the term “Incident Management Team” to refer to pre-rostered teams that may be assigned to an incident.
- Includes list of possible command advisors, including Legal Counsel, Medical Advisor, and Access and Functional Needs Advisor.
- Added “resource team” as an alternative law enforcement term for a “strike team”.

# NIMS 3.0 – Appendix A

Describes in detail major elements of ICS and organizes them into 10 tabs:

- Tab 1—ICS Organization
- Tab 2—The Operations Section
- Tab 3—The Planning Section
- Tab 4—The Logistics Section
- Tab 5—The Finance/  
Administration Section
- Tab 6—The Intelligence  
/Investigations Function
- Tab 7—Consolidating the  
Management of Multiple  
Incidents
- Tab 8—Incident Action Planning
- Tab 9—ICS Forms
- Tab 10—Primary Functions of  
Incident Commander or Unified  
Command, Command Staff, and  
General Staff Positions

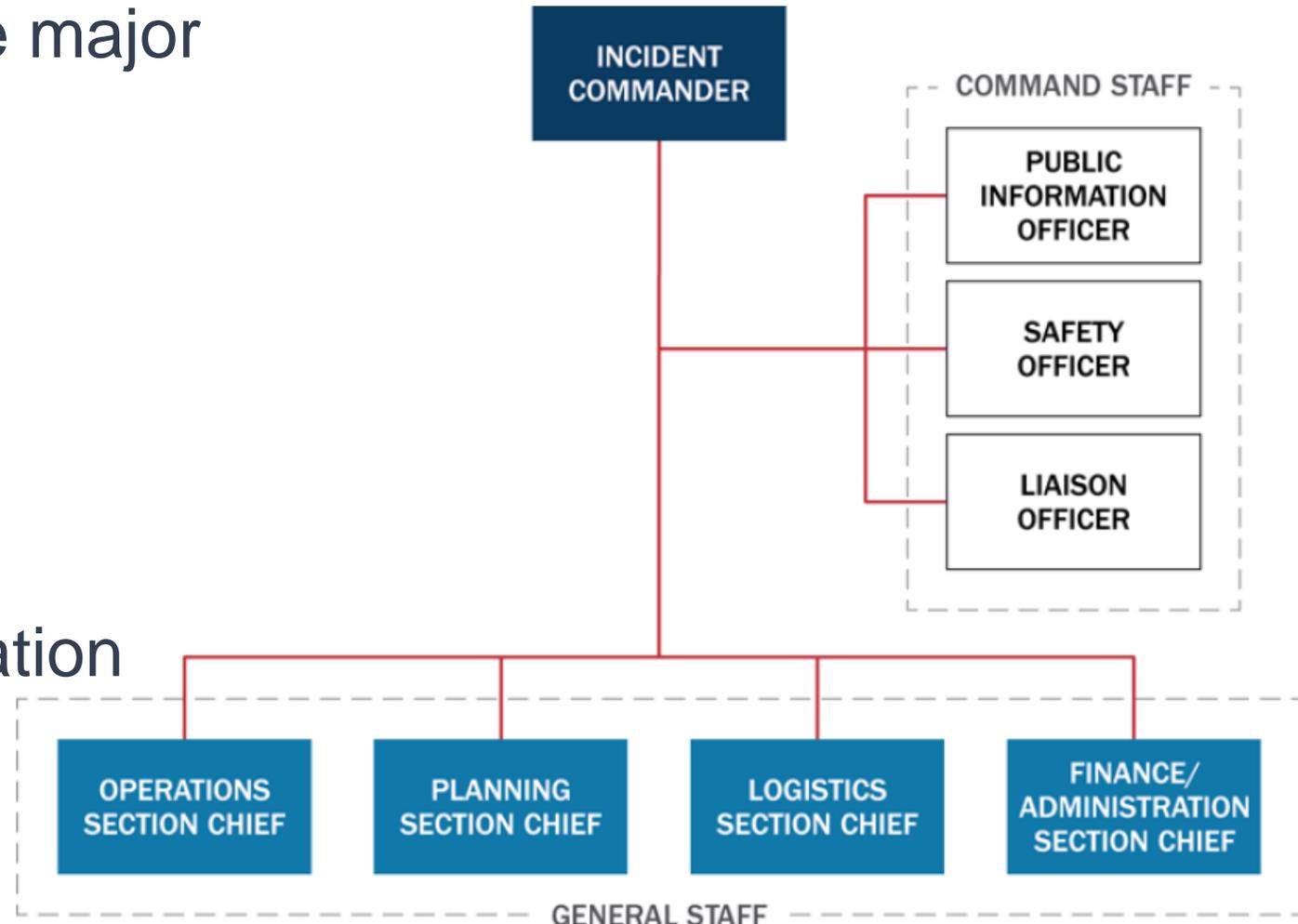
# Manageable Span of Control

- NIMS 2.0 states that “in ICS, the span of control of any individual with incident management supervisory responsibility should range from 3 to 7 subordinates, with 5 being optimal. During a large-scale law enforcement operation, 8 to 10 subordinates may be optimal.”
- NIMS 3.0 adjusts this guidance to provide more flexibility and allow for factors such as supervisory experience and the nature of the work.
- “The optimal span of control for incident management is one supervisor to five subordinates; however, effective incident management frequently necessitates ratios significantly different from this. The 1:5 ratio is a guideline, and incident personnel use their best judgment to determine the actual distribution of subordinates to supervisors for a given incident or EOC activation.”

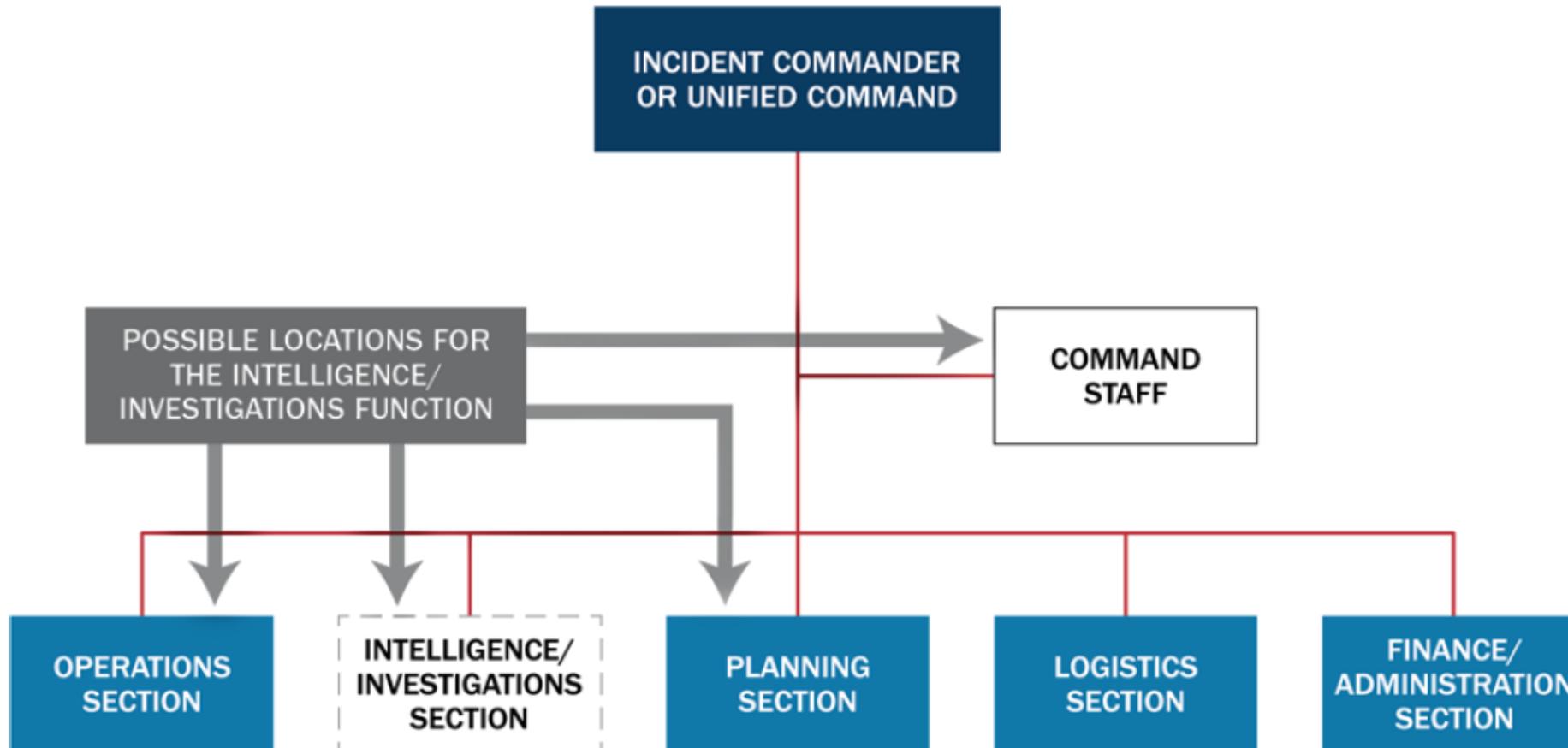
# Incident Command System Structure

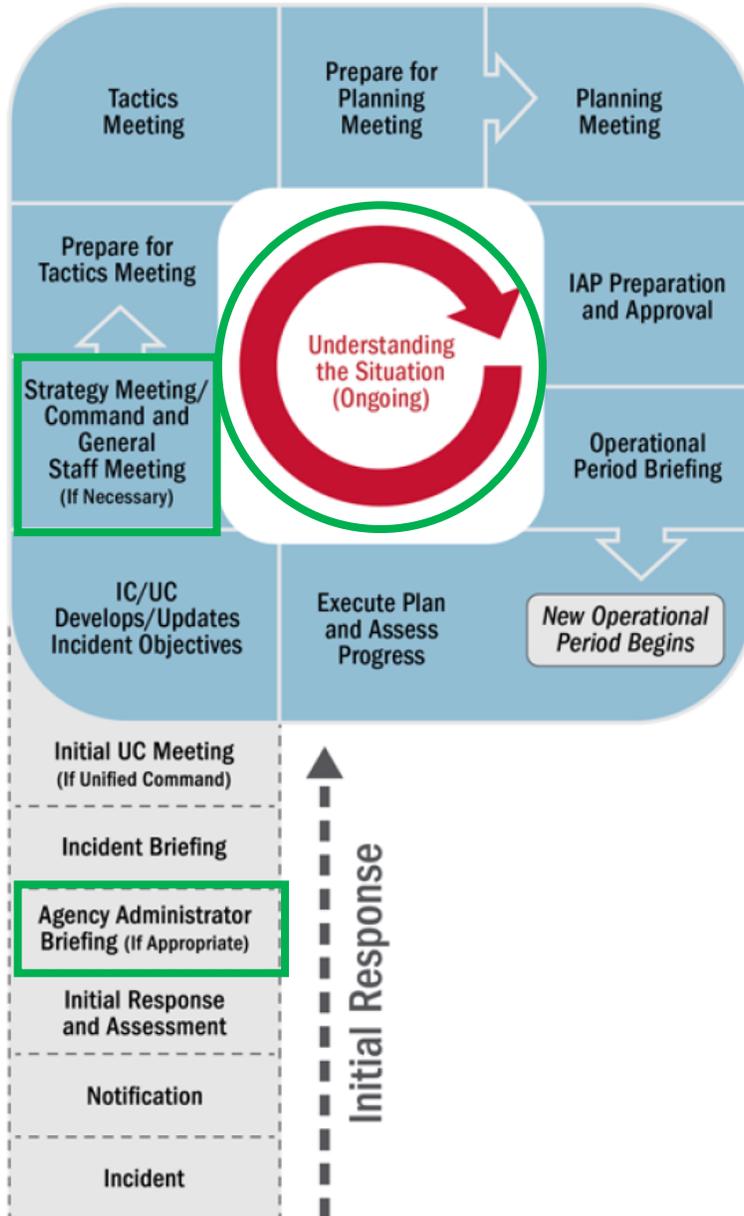
ICS still includes five major functional areas:

- Command
- Operations
- Planning
- Logistics
- Finance/Administration



# Intelligence/ Investigations Placement in ICS





# Incident Action Planning - Operational Period Planning Cycle

NIMS 3.0 Planning “P” Changes:

- Adds “Agency Administrator Briefing (If Appropriate)”
- Adds “Strategy Meeting/ Command and General Staff Meeting (if necessary)”
- Adds “Understanding the Situation (Ongoing)” to the center of the graphic

# Emergency Operations Centers (EOCs)

Emergency Operations Centers (EOCs) are used for the offsite support to on-scene ICS operations.

- NIMS 3.0 provides expanded guidance on EOC structures and activation levels.
- NIMS 3.0 EOC content was developed with input from EOC leaders across the nation.
- NIMS 3.0 describes common functions, examples of organizational structure and terminology for staff in EOCs.
- ICS is used to manage on-scene, tactical-level response; EOCs are used to manage off-scene support to ICS.
- Common EOC functions include information management, resource management, and communicating policy decisions.

# EOC Activation and Deactivation

- EOCs are activated for various reasons based on the needs of a jurisdiction, organization, or Incident Commander; the context of a threat; the anticipation of events; or in response to an incident.
- EOCs frequently have multiple activation levels to allow for a scaled response, delivery of the needed resources, and a level of coordination appropriate to the incident.

## EOC Activation Levels in NIMS 3.0

Level	Activation Level Title	Description
3	Normal Operations/ Steady State	<ul style="list-style-type: none"> <li>Activities that are normal for the EOC when no incident or specific risk or hazard has been identified</li> <li>Routine watch and warning activities if the EOC normally houses this function</li> </ul>
2	Enhanced Steady State/ Partial Activation	<ul style="list-style-type: none"> <li>Certain EOC team members/organizations are activated to monitor a credible threat, risk, or hazard and/or to support the response to a new and potentially evolving incident</li> </ul>
1	Full Activation	<ul style="list-style-type: none"> <li>EOC team is activated, including personnel from all assisting agencies, to support the response to a major incident or credible threat</li> </ul>

# Multiagency Coordination Group (MAC Group)

- Multiagency Coordination Groups (MAC Group) are composed of agency administrators, executives or their designees.
- Also referred to as policy groups
- MAC Groups provide offsite support of ICS and EOC organizations through:
  - High level strategic policy guidance
  - Scarce resource allocation

# Joint Information System (JIS)

- JIS integrates incident information and public affairs to provide consistent, coordinated, accurate, accessible, timely and complete information to the public and stakeholders during incident operations.
- JIS operates across and supports the other NIMS structures: ICS, EOCs and MAC Group

# JIS Activities

JIS activities include:

- Coordinating interagency messaging
- Developing, recommending and executing public information plans and strategies
- Advising the Incident Commander or Unified Command, MAC Group and EOC director on public affairs issues
- Addressing and managing rumors and inaccurate information

A Joint Information Center (JIC) manages these JIS activities

# Broadened Definition of MACS

- NIMS 2.0 defined MACS as *“the architecture to support coordination for incident prioritization, critical resource allocation communications systems integration and information coordination.”* EOCs and MAC Groups were elements of MACS.
- NIMS 3.0 defines MACS as *“an overarching term for the NIMS Command and Coordination systems: ICS, EOCs, MAC Group/ policy groups and JISs.”*
- This broadens the definition of MACS to include the Command and Coordination architecture for tactical coordination (ICS), operational support coordination (EOCs), policy level coordination (MAC Group) and their support through coordinated information (JIS).

# NIMS 3.0 - Communications and Information Management

Enhances information management processes:

- Expands guidance on data collection plans
- Integrates social media considerations
- Highlights the use of geographic information systems (GIS)

## **NIMS 2.0**

Concepts and Principles  
Management Characteristics  
Organization and Operations

## **NIMS 3.0**

Communications Management  
Incident Information  
Communications Standards and Formats

# Communications and Information Management

- **NIMS 3.0** adds “Security” as a fourth key principle of communications and information systems.
- The four key principles are now (1) Interoperability; (2) Reliability, Scalability, and Portability; (3) Resilience and Redundancy; and (4) Security.
  - **Security:** Some information is sensitive... Incident personnel should work with IT and security experts to incorporate data, network, and systems protection best practices into incident communications and data sharing.
- **NIMS 3.0** provides enhanced guidance on information management processes to improve data collection plans, social media integration and the use of geographic information systems.

# Citywide Incident Management System (CIMS)

Citywide Incident Management System (CIMS) - establishes roles and responsibilities and designates authority for New York City, state, other government entities, and nonprofit and private sector organizations performing and supporting emergency response.

- developed to address New York City's unique incident management requirements
- fully compliant with NIMS
- ensures compatibility with incident command systems in use in other states and federal agencies.
- designed to be scalable, and facilitates the involvement of additional organizations such as private sector and nonprofit entities.



# Recommended Incident Command System (ICS) Training\*

## All Emergency Management Practitioners

- IS 0100: Introduction to the Incident Command System, ICS 100
- IS 0700: National Incident Management System (NIMS), An Introduction

## Emergency Management Supervisors add

- IS 0200: Incident Command System for Single Resources and Initial Action Incidents
- IS 0800: National Response Framework, An Introduction

## Advanced NIMS Training for ICS Leaders/ Supervisors

- G 0191: ICS/EOC Interface
- E/L/G 0300: Intermediate ICS for Expanding Incidents
- E/L/G 0400: Advanced ICS for Command and General Staff
- NIMS ICS All Hazards Position Specific Courses (E/L/G 0949-0991)

\*FEMA recommendation

# Recommended Emergency Operations Center (EOC) Training\*

## All Emergency Management Practitioners

- IS 0100: Introduction to the Incident Command System, ICS 100
- IS 0700: National Incident Management System (NIMS), An Introduction

## Emergency Management Supervisors add

- IS 0775 or *IS 2200 (in development)* Basic EOC Management and Operations
- IS 0800: National Response Framework, An Introduction

## Advanced NIMS Training for EOC Leaders/ Supervisors

- G 0191 ICS/EOC Interface Workshop
- E/L/G 0775 or *E/L/G 2300 (in development)* Intermediate EOC Management and Operations

\*FEMA recommendation

## NIMS Overview

What NIMS is...	What NIMS is not...
<ul style="list-style-type: none"> <li>• A comprehensive, nationwide, systematic approach to incident management, including the management and coordination of incidents, resource management, and information management</li> </ul>	<ul style="list-style-type: none"> <li>• Only the Incident Command System</li> <li>• Only applicable to certain emergency /incident response personnel</li> <li>• A static system</li> </ul>
<ul style="list-style-type: none"> <li>• A set of concepts and principles for all threats, hazards, and events across all mission areas (Prevention, Protection, Mitigation, Response, Recovery)</li> </ul>	<ul style="list-style-type: none"> <li>• A response plan</li> </ul>
<ul style="list-style-type: none"> <li>• Scalable, flexible, and adaptable; used for all incidents, from day-to-day to large-scale</li> </ul>	<ul style="list-style-type: none"> <li>• Used only during large-scale incidents</li> </ul>
<ul style="list-style-type: none"> <li>• Standard resource management procedures that enable coordination among different jurisdictions or organizations</li> </ul>	<ul style="list-style-type: none"> <li>• A resource-ordering system</li> </ul>
<ul style="list-style-type: none"> <li>• Essential principles for communication and information management</li> </ul>	<ul style="list-style-type: none"> <li>• A communications plan</li> </ul>

## Additional Resources

- National Incident Management System - <https://www.fema.gov/national-incident-management-system>
- NIMS Doctrine Supporting Guides & Tools - <https://www.fema.gov/nims-doctrine-supporting-guides-tools>
- FEMA NIMS Training - <https://training.fema.gov/nims/>
- NYC EM Academy - [oemacademy@oem.nyc.gov](mailto:oemacademy@oem.nyc.gov)
- NIMS Reusable Learning Objects - <https://training.fema.gov/rlo/>
- NIMS/ICS Forms and Resources - <https://training.fema.gov/emiweb/is/icsresource/>
- Sign up for NIMS Alerts - <https://www.fema.gov/national-incident-management-system-alerts>

# References

1. Federal Emergency Management Agency (FEMA) | Emergency Management Institute (EMI) - <https://training.fema.gov/emi.aspx>
2. bParati – [www.bparati.com](http://www.bparati.com)
3. NYC Emergency Management – <https://www1.nyc.gov/site/em/index.page>

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