

ARIZONA

2022

**ARIZONA
QUALIFICATION
SYSTEM
BASE PLAN**

Arizona Qualification System (AQS)

5636 E. McDowell Rd., Phoenix, AZ 85008 | dema.az.gov/aqs

The Department of Emergency and Military Affairs (DEMA) Arizona Qualification System (AQS) Plan was developed by the DEMA AQS Project Team in collaboration with the AQS Working Group. For more information on this plan, contact: DEMA AQS Project Team.

**The plan is located at:
<https://dema.az.gov/AQS>**

REVIEW, EVALUATION, AND CHANGES

Date	Summary of Activity	Plan/Document Section	Recommendation By Entry Made By
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INTRODUCTION

The Department of Emergency and Military Affairs (DEMA) establishes the Arizona Qualification System (AQS) including guidance and tools to assist state, local, and tribal Emergency Operations Centers (EOCs) in developing qualified, certified, and credentialed deployable emergency personnel.

This document describes the AQS and its principles of standard qualification, certification, and credentialing processes. The AQS establishes a framework to assist Authorities Having Jurisdiction (AHJ) with emergency response personnel.

The AQS is established for efficient statewide deployment of personnel, including possible Emergency Management Assistance Compact (EMAC) and Incident Management Assistance Team (IMAT) needs. The AQS establishes a process for an effective and consistent statewide system that aligns with national standards to ensure readiness to respond with qualified personnel. The AQS encourages local agencies to perpetuate all-hazards training and build a foundation of credentialed all-hazards personnel. Additionally, the AQS affords local management access to the resources needed to manage/support Emergency Operations Centers effectively and safely within their own jurisdictional boundaries per National Incident Management System (NIMS) standards.

Within the AQS, DEMAs will maintain a database of qualified personnel that can be dispatched to incidents with AQS credentials to better serve Arizona communities during emergencies and disaster response. The AQS is designed to incorporate all agencies and organizations that have active roles in emergency management including, but not limited to public safety, emergency management, public works, public health, technical specialists, private sector, volunteer, and non-governmental organizations (NGO).

Note: The AQS is a credentialing system and distinct from EMAC procedures.

AQS Objectives

The AQS mission is to accomplish the following 5 objectives:

- Create a comprehensive program to train personnel to meet the NIMS standards.
- Create a comprehensive program to credential personnel for specific positions using the NIMS National Qualification System (NQS) as the baseline.
- Develop a roster of personnel qualified to work within department, local, tribal, county and state EOCs.

- Institute a process to assist deployment of credentialed personnel upon the request of an Authority Having Jurisdiction.
- Integrate personnel into an All-Hazards Incident Management Assistance Team.

Federal Alignment

The AQS was developed in alignment with the Federal Emergency Management Agency (FEMA) NIMS NQS.

The NQS national doctrine promotes interoperability by establishing a common language for defining job titles and by enabling jurisdictions and organizations to plan for, request, and have confidence in the capabilities of personnel deployed for disasters and emergencies from other entities through mutual aid agreements and compacts. Following the concepts and processes in this document will enhance national preparedness by expanding the network of qualified incident management and support personnel who can be deployed statewide and nationally.

NQS Overview

The NQS establishes standard minimum qualifications for specific incident-related positions to provide consistency across the nation and support nationwide interoperability. Using the NQS approach to qualify, certify, and credential incident management and support personnel ensures personnel deploying through mutual aid agreements and compacts have the capabilities to perform the duties of their assigned roles.

NQS uses a performance-based approach that focuses on verifying the capabilities of personnel to perform as required in the various incident-related positions. This approach incorporates education, training, and experience to build proficiency and establishes performance as the primary qualification criterion. This approach differs from training-based systems, which use the completion of training courses or passing scores on examinations as qualification criteria. A performance-based approach is advantageous over a training-based system because it provides greater confidence of on-the-job performance since evaluators have observed the proficiencies of the individual through their performance of a series of pre-designated tasks.

The AQS aligns with this concept to provide a standardized statewide credentialing process to enhance deployment capabilities and interoperability.

How AQS Supports Mutual Aid

Sharing emergency resources among jurisdictions and organizations is an important emergency preparedness strategy used throughout the nation every day. Using the AQS to qualify, certify and credential personnel allows an AHJ to share a common language of defined minimum capabilities with other entities. This common framework makes the sharing of emergency resources through the process of mutual aid both possible and practical.

AQS supports the sharing of credentialed personnel as a resource, as well as the development of personnel for EMAC and IMAT requests. Having qualified personnel with the knowledge, skills, and abilities needed for their job positions allows supporting agencies and the AHJ to identify the correct positions and personnel for deployment requests.

Establishing and maintaining both formal and informal mutual aid arrangements enhance preparedness and readiness by enabling communities and organizations to activate, deploy, share, and scale resources rapidly across jurisdictions and organizations.

Authorities and References

The AQS is consistent with all applicable state and federal guidance and authorities. This includes utilizing the NIMS and the Incident Command System (ICS) as a basis for the structure. Development of the AQS is based upon the following authorities:

- Robert T. Stafford Disaster Relief and Emergency Assistance Act (Public Law 93-288, as amended, 42 U.S.C. §§ 5121-5207), November 1988
- Homeland Security Presidential Directive 5 (HSPD-5)
 - National Incident Management System (NIMS)
- Presidential Policy Directive 8 (PPD-8)
 - National Preparedness Goal and National Preparedness System
 - National Response Framework (NRF)
- A.R.S. § 26-305 Division of emergency management; duties; director; term; qualifications; compensation; emergency management training fund
- A.R.S. § 26-306 (A), Powers and duties of the director of emergency management
- Arizona Emergency Management Mutual Aid Compact (AZMAC)
- A.R.S. § 41-2051 Governor's office on tribal relations; director; responsibilities of state agencies; report
 - DEMA Tribal Consultation Policy Letter No. 10.20

Additionally, Emergency Management Performance Grant (EMPG) recipients are required to implement the following based on the EMPG Grants Manual (2021):

“EMPG Program recipients and subrecipients are required to implement NIMS. EMPG Program recipients must use standardized resource management concepts for resource typing, credentialing, and an inventory to facilitate the effective identification, dispatch, deployment, tracking, and recovery of resource

AQS CONCEPT OF OPERATIONS

Overview

This document describes the principles of the AQS and provides directions and practices to help guide individuals and AHJs through the qualification, certification, and credentialing process.

Guidance

DEMA has the overall responsibility to develop, implement, and maintain the processes sufficient to assure that individuals who are credentialed within the policy meet the standards described herein.

There are many oversight and supervisory roles that different individuals execute in the training, coaching, performance evaluation, documentation review, certification, and credentialing of a position candidate. For a qualification system to operate with integrity, it is of the utmost importance that everyone fulfills the responsibilities inherent in each of these oversight roles. No amount of guidance, qualification criteria, or rules put into a qualification policy book, no matter how well-crafted and precise, can compensate for a lack of due diligence by each of these key players executing their role. Overseeing individuals have the responsibility to make thoughtful and measured decisions regarding the readiness of the specific position candidate to advance on to the next phase in the training and development sequence. Overseeing individuals make the qualification determination.

The AQS states that successful performance of the tasks in the Position Task Book (PTB) is the definitive component of this performance-based qualification system. As the core of the AQS, evaluation of a Trainee's performance of the PTB competencies is to be rigorously applied whether through traditional Trainee assignments or through Historical Recognition. Through the adaptation of this Policy all personnel credentialed in this system must have demonstrated satisfactory performance in the relevant PTB to become qualified.

The Arizona Qualification System (AQS) will focus on PTB's for Type III EOC/ICS All-Hazard credentials and Gold Cards. Each AQS certification level will be designated on the individual AQS PTB. The EOC/ICS PTBs align with the AHIMT Typing guidelines (See Appendix A for Typing Guidelines).

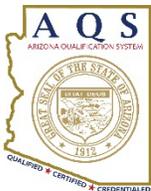
Roles and Responsibilities within the AQS

AHJs have the overall responsibility to qualify and certify individuals through the completion of prerequisites and associated PTBs described herein. The AHJ is responsible for assigning a PTB to align with the career tracking of the individual. The AHJ will bear responsibility for the certification of their staff in established AQS EOC/ICS positions.

In Arizona, there will be one state Qualification Review Board (QRB). The QRB is established to provide oversight of the qualification and certification process and provide recommendations for those seeking certification and credentialing.

The process of credentialing will remain with the state and align with the recommendation of the QRB. The state’s Department of Emergency and Military Affairs will maintain the credentialing process and oversee the platform to organize this process. OneResponder is the FEMA supported platform for managing qualifications. The AHJ will collaborate with the trainee to correctly populate OneResponder (if applicable to the AHJs established qualification procedures). The State Quality Control Officer (QCO) will manage the issuing of credentials (Gold Card), yearly review, and PTB currency qualifications as needed.

Process Flow Diagram



CONCEPT OF OPERATIONS



QUALIFICATION

A key element of developing consistency in positions is establishing minimum criteria that trainees must meet to be qualified in a specific position. The AQS assists AHJs in establishing consistent criteria for positions that organizations are most likely to request through mutual aid.

NIMS NQS Job Titles/Position Qualifications establish minimum criteria necessary to perform in a position during incidents at a particular complexity level. The AQS PTBs will at a minimum align to this criterion.

Qualification is the process of enabling personnel to perform the duties of a specific position and documenting their proficiency of those capabilities required by the position. The qualification process incorporates individual training and the completion of a PTB which focuses on an individual's performance of position associated tasks. A Trainee must demonstrate successful performance, as assessed by a qualified evaluator(s), of tasks in the PTB on qualifying incidents, events, job activities, exercises, and/or classroom activities as permitted in the PTB.

Note: For the purposes of this document, the word “incident” includes planned events as well as emergencies and/or disasters of all kinds and sizes.

Completion of the PTB provides a method to document satisfactory performance of the critical tasks to perform in the position safely and successfully as observed by a qualified evaluator(s) over the course of two (recommended minimum) or more qualifying incidents, events, job activities, or qualifying exercises.

It is the responsibility of the individual agency to ensure that each trainee can acquire the knowledge and skills necessary for position performance.

Training Requirements

Mandatory Prerequisite Classes:

The following prerequisites MUST be completed before initiation of a PTB:

- IS-100: Introduction to the Incident Command System (ICS)
- IS-200: Basic Incident Command System for Initial Response
- IS-700: NIMS: An Introduction
- IS-800 National Response Framework: An Introduction
- IS-2200: Basic Emergency Operation Center Functions

Foundational Classes:

Foundational Classes are also a requirement for certification and credentialing. Foundational classes can be completed simultaneously while working through your PTB. Below are the required Foundational Classes:

- IS-300: Intermediate Incident Command System
- IS-400: Advanced Incident Command System
- G-191: ICS/Emergency Operations Center Interface
- G-2300: Intermediate Emergency Operations Center Functions

Note: A few specific PTBs do not require the completion of Foundational Classes. All PTBs are marked appropriately indicating their requirements for completion.

PTB Specific Classes:

Some PTBs have additional class requirements specific to that position. These courses are required for your specific certification and credential and must be completed. Review your specific PTB to determine what these courses are (these courses can also be found in the FEMA Resource Typing List).

PTBs

In a performance-based qualification system, evaluation of a position candidate's competency by an individual who is qualified in the target position is the preeminent measure of readiness for certification and credentialing. The PTB contains the identified competencies, behaviors, and tasks required to become qualified for an EOC/ICS position. Each AHJ will assign the PTB to the individual and manage the task book completion process.

The PTB completion process is central and paramount for assessing and documenting a candidate's readiness to be credentialed in a performance-based qualification system. Standardization of the competencies, behaviors, and tasks listed in a PTB is essential. If the intent of a qualification system is to assure all qualified personnel meet or exceed a minimum performance standard – that standard must be common to all. There is no component in the AQS that is more important to have standardized than the PTB – to do otherwise degrades the integrity of the system. The PTBs that have been established as a component of the AQS are the only PTBs that are recognized in the system.

A trainee who desires to become qualified in an AQS position must complete a PTB. The PTB is typically initiated by the candidate's Certifying Officer (CO), Supervisor, or AHJ designee. The PTB initiator does not have to be qualified in the position being assigned but must be able to make decisions that sets the position candidate on the path to qualification.

Note: Each AHJ should authorize at least one individual, the CO, to oversee the entire validation and certification process for their agency. The CO approves the certification process, and therefore should be integrally involved in the AQS process.

The CO receives the QRB's recommendations and holds the ultimate decision on personnel certification. Each agency will identify their CO to the AQS via AQS@azdema.gov.

The initiator should consider the following before PTB initiation:

- Can the AHJ/entity commit to the time and expense required for the candidate to complete the PTB and become qualified?
- Can the AHJ/entity provide on-going support and approval to perform in the position once qualified?
- Has the candidate completed the prerequisites required by the AQS?
 - If so, has the candidate demonstrated through his/her performance in the prerequisite position a readiness to pursue the next level qualification?
- Is there any training or experience required by the AQS or needed for the individual that should take place before the PTB is initiated and the candidate is assigned as a Trainee?
- Does the position require review and approval from any other department of the AHJ before it can be initiated?

Once a PTB is issued, trainees are generally required to complete the PTB within five years; however, many positions are typically completed in significantly less time.

After the AHJ issues a PTB, the trainee collaborates with mentors to apply the knowledge, skills, and abilities to perform the tasks required for the position through real world experience or exercises. Evaluator's review and sign off successful completion of PTB tasks. AHJs may not have enough resources to ensure that every evaluator is qualified in the position being assessed; therefore, a trainee's supervisor may evaluate the completion of PTB tasks. For example, a Logistics Section Chief has the authority to sign off on the completion of observed PTB tasks for a Food Unit Leader trainee.

Once a trainee completes a PTB, the final evaluator signs it, indicating that the trainee has met all PTB requirements for the position. A final evaluator is generally qualified in the same position for which the trainee is applying. While it is preferable to have a distinction between evaluators and the final evaluator, in situations with limited resources, the evaluator and final evaluator can be the same individual. Once the final evaluator has signed the PTB, it is forwarded to the DEMA QCO who will check for administrative consistency before the packet is put on the QRB schedule. The PTB is then forwarded to the QRB along with supporting evidence that the trainee

has completed all requirements for the position. The Certification Process section of the PTB describes the process of reviewing trainee submissions.

The AQS utilizes PTBs to assist in certifying and credentialing individuals for deployment in support of EOC needs. These individual members must understand the role of the EOC and be effective in their interactions with that coordination entity.

An individual pursuing credentialing for an EOC/ICS position must, at a minimum, have completed at least two position performance assignments as a trainee of a team which is providing assistance in support and coordination of an event or incident. Advanced training on EOC/ICS interface is required, as listed in the Foundational Classes.

The PTB serves as the official record documenting evaluation of the Trainees' performance. Successful completion, as determined by a qualified evaluator(s), of all tasks required of a position is the basis for the final evaluation and recommendation that the relevant CO certify the trainee.

Modification of PTBs

To add additional tasks to an existing AQS PTB, the requesting entity will create the proposed additional page(s) outlining the new discipline- or hazard-specific tasks. Each discipline or hazard-specific task should be categorized under the existing core competencies and behaviors by listing the competency, the behavior, and the new task. These additional tasks must align with the existing core competencies and behaviors. Once the modification has been submitted to the DEMA QCO and approved by the QRB and DEMA Director, it will be added to the endorsement section of the PTB.

Implementing a Modification of a PTB

Once a modification has been approved and included into the PTB, the modification must be completed to be qualified for that PTB position.

When submitting a PTB to the QRB, the most current version (including updated tasks) must be adhered to. If new tasks have been incorporated since initiating a task book, these new tasks can be added to the back of your PTB, signed off, and submitted to the QRB. Credentialed persons will receive PTB modification updates upon their yearly review and do not need to complete a new PTB.

Creation of a New PTB

There may be situations where an AHJ needs to create a new PTB to address specific disciplines not established within the AQS. The AQS has a template for creating new PTB's. AHJs can build out new position specific PTBs and submit it to the QCO to bring to the QRB for approval. If the QRB approves, the DEMA Director has final approval before the PTB is incorporated into the AQS.

Note: Not all EOC/ICS positions require a PTB. Refer to the Technical Specialists section to understand how Technical Specialists fit into the AQS and whether a new position and PTB is necessary.

Technical Specialists

Technical Specialists are personnel with specialized skills gained through educational degree programs or industry training of established standards. These personnel usually perform the same duties during an incident that they perform in their regular job and may have supplemental training to use their specialized skills in the incident environment.

No minimum qualifications for Technical Specialists have been established by AQS. Standards for Technical Specialist qualifications are determined by the applicable agency or entity the Technical Specialist normally works for. This agency or entity is responsible for ensuring that Technical Specialists have the proper knowledge, skills, and abilities, as well as required certifications and/or qualifications to be engaged in the activities relevant to the specific incident. It is also incumbent on the agency or entity to assure proper physical and medical capability to meet the needs of the work on the incident. The rigors of incident work may differ from the normal work activities required of the individual.

Qualifying Incident, Exercise, and Event Policy

In the AQS, experience can be gained, and position task performance can be demonstrated, evaluated, and documented in a PTB through qualifying incidents, events and/or exercises.

The tasks listed in the PTB for a given position are the same regardless of the different typing levels. The situation complexity in which those tasks are accomplished is what determines the level (Type I, II, III).

It is a crucial factor in a performance-based qualification system that Trainees demonstrate their proficiency at performing the tasks of an AQS position during incidents, events, and exercises that are typed at the same level of complexity as the target positions the Trainees are pursuing. In some cases, position performance assignments and experiences on higher typed incidents, events, or exercises can be used toward PTB completion for a lower typed position.

An individual who is in Trainee status, regardless of other qualifications they may hold, should not be evaluating another Trainee on the same incident, event, or exercise, and this applies only to the same type (I, II, III, IV, V) event. A type III Planning Section Chief (PSC) at an event working on his PTB for Type II PSC, can evaluate someone who is working on their Type III PTB.

Qualifying Incidents

A qualifying incident is any incident requiring an ISP/IAP and meets the level of a Type III Incident. Required incident support personnel will be determined by the AHJ. The AHJ

determines the Qualifying Incident by complexity, duration of time, multi-jurisdictional and/or multi-agency and relevancy to the Type III position being evaluated.

Incident complexity is the combination of involved factors that affect the probability of control of an incident. Many factors determine the complexity of an incident, including, but not limited to, area involved, threat to life and property, political sensitivity, organizational complexity, jurisdictional boundaries, values at risk, weather, strategy, tactics, and agency policy. Incident complexity is considered when making incident management level, staffing, and safety decisions. Incident complexity is assessed on a five-point scale ranging from Type 5 (the least complex incident) to Type 1 (the most complex incident). The AQS initial certification process will be in an EOC/ICS designation of Type III.

Qualifying Exercises

While trainees should demonstrate proficiency in actual incidents, AHJs may also allow trainees to complete certain PTB tasks in exercises. This action can accelerate the qualification process when opportunities for trainees to perform on actual incidents are limited. Evaluators should ensure that exercises used for PTB task signoffs simulate the actual conditions under which the trainee would have to perform in an incident.

The policy below is intended to provide consistency and authenticity when an AHJ uses or recognizes an operations-based exercise, whether functional or full scale, to evaluate personnel, provide an opportunity for trainees to complete tasks in their PTB, or to maintain qualification currency for an AQS position.

Exercises should meet the standards of the Homeland Security Exercise and Evaluation Program (HSEEP) to ensure a quality training and evaluation opportunity. The guidance below is provided as support when developing qualifying exercises.

Exercise Guidance

Exercise players should be given an appropriate level of foundational knowledge through classroom or other learning methods to assure they are sufficiently prepared for an exercise. Players should not be thrown into an exercise unprepared. Exercises are not where the fundamentals are learned, nor are they the appropriate venue for demonstrating performance without adequate preparatory learning and practice opportunities.

AHJs should define the types of exercises that will be acceptable for trainee PTB task evaluation in terms of the HSEEP definitions. Within the PTB task codes, the evaluator will indicate which tasks trainees completed through exercises and which one's trainees demonstrated in actual incidents

Exercise Components

- The exercise must be operations-based, either a functional or full-scale exercise.
- A complexity analysis of the exercise's incident scenario must match or be higher than the type rating being pursued or maintained for currency. One important complexity factor of the scenario is that the incident (though not necessarily the exercise) will encompass multiple operations periods.
- Trainees can be evaluated by a fully qualified individual who is a player in a supervisory position within the ICS structure. (e.g., a fully qualified Incident Commander (IC) could evaluate a Planning Section Chief Trainee, a fully qualified Planning Section Chief could evaluate a Resources Unit Leader Trainee).
- Trainees can also be evaluated by an individual who is an evaluator in the exercise and qualified in the position being evaluated, or above, within the ICS structure.
- The event should involve a significant amount of coordination between functional areas and maintaining good working relationships as would be required on an actual incident.
- It is ideal to have the Command and General Staff positions filled with an individual in each position.
- EOC/ICS Command and General Staff positions or functions that should be present are:
 - EOC Manager, EOC Director, or Incident Commander
 - EOC/ICS Safety Officer
 - EOC/ICS Public Information Officer
 - EOC/ICS Liaison Officer
 - EOC/ICS Operations Section Chief
 - EOC/ICS Planning Section Chief
 - EOC/ICS Logistics Section Chief
 - EOC/ICS Finance/Administration Section Chief
 - Appropriate Emergency Support Function (ESF) partners
- To be a qualifying exercise for a Unit Leader position, the Section Chief and at least two of the Section's Unit Leader positions should be filled.

- Injects (incident information including events, messages that can be delivered by way a variety of different media including role players in person, radio, written, etc.) must include:
 - Simulated activities occurring on the incident that need attention.
 - Simulated external influences from:
 - Agency Executives
 - Elected Officials
 - Media
 - Stakeholders and the general public
- Injects must include information that must be shared with other EOC/IMT members in order to practice and demonstrate essential elements of information sharing and closing information loops.
- An adequate number of injects must be designed and provided to cause each member of the EOC/IMT to be engaged in the ongoing incident response as well as the planning process.
- The scenario should be multi-jurisdictional (preferred) or have multiple agencies from the same jurisdiction.
- If the scenario involves Unified Command, then all command positions should be filled.
- There should be an ordering process established through an EOC, simulated EOC, local or geographic dispatch.
- All applicable ICS forms should be completed for a complete ISP/IAP, including intermediate forms such as the ICS-215 and ICS-215a

After Action Review and Evaluation

- To progress in the PTB process, a trainee must be evaluated by personnel qualified in the target position or in a position that supervises the target position.
- Documents that could be used to document evaluation could include the position PTB and/or ICS225 Incident Personnel Performance Rating.

Qualifying Events

Qualifying events are events that have a pre-planning need involving an ISP/IAP and meets the level of a Type III event. Personnel will be determined by the AHJ. The AHJ determines the qualifying event by complexity, duration of time, multi-jurisdictional and/or multi-agency and relevancy to the TYPE III position being evaluated.

Criteria:

- The event is complex enough to suggest a Type III IMT or higher is appropriate to manage.
- Sharing of information between IMT members is necessary to close critical decision loops.

- The event must span at least two distinct periods of time in which the entire Command and General Staff of the IMT is involved - to include, at a minimum:
 - Development and production of an ISP/IAP. This could occur in advance of the actual onset of the event.
 - Support / On-Scene management of the event.
- It is ideal to have a Command and General Staff filled with an individual in each position (see list in next bullet item), however some considerations and caveats are offered here:
 - Trainees can be evaluated by a fully qualified individual who is in a supervisory position within the ICS structure. (e.g., a fully qualified IC could evaluate a Planning Section Chief Trainee, a fully qualified Planning Section Chief could evaluate a Resources Unit Leader Trainee.)
 - The incident, event, exercise, or class simulation should involve a significant amount of coordinating between functional areas and the establishing or maintaining of good working relationships.
- EOC/ICS Command and General Staff positions or functions that should be present are:
 - EOC Manager, EOC Director, or Incident Commander
 - EOC/ICS Safety Officer
 - EOC/ICS Public Information Officer
 - EOC/ICS Liaison Officer
 - EOC/ICS Operations Section Chief
 - EOC/ICS Planning Section Chief
 - EOC/ICS Logistics Section Chief
 - EOC/ICS Finance/Administration Section Chief
 - Appropriate Emergency Support Function (ESF) partners
- Event influences should include:
 - Agency Administrators or Executives of the event sponsors to set out what the goals are and what success looks like
 - Elected Officials
 - Media
 - Stakeholders and the general public
- The event should be multi-jurisdictional (preferred), or have multiple agencies from the same jurisdiction.
- Planning should include contingency planning, (e.g., incident within event planning).

- All applicable ICS forms must be completed for a complete ISP/IAP, including intermediate forms such as the ICS-215 and ICS-215a.
- For PTB task evaluation: The complexity of the incident must match the type rating of the EOC/ICS position. A trainee must be evaluated by personnel currently qualified at an equivalent position or in a position that supervises in ICS or the same qualification but a higher type (e.g., a Type I Public Information Officer can evaluate a Type III Public Information Officer).
- To be creditable for currency: Signing of a PTB requires incident/event performances to be completed within that PTB position as a trainee.

Shadowing

An opportunity for an individual on an incident or qualifying exercise to only observe an individual or team to gain experience and knowledge in an EOC/ICS operation or position specific operation. The individual is not performing thus is not accomplishing any work towards completion of a PTB. Only trainees can be evaluated for task completion.

Historical Recognition

Historical recognition is a process that enables AQS and AHJs to recognize an individual's prior qualifications, education, training, and experience as a way of meeting some or all the criteria to qualify for a particular incident-related position. Personnel who have documentation of previous education, training, or significant on-the-job incident experience may receive credit towards qualification for a given position through this process.

The AQS will accept all historical documentation from the AHJs going back in time as needed to assist in establishing a roster of personnel that are qualified, recommended and approved by the QRB and the AHJs CO. Exceptions can be made via the approval of the QRB. (See QRB Appendix for more details regarding historical recognition).

The Historical Recognition Process

An individual seeking historical recognition submits a Historical Recognition Packet including prior education, training, and/or experience along with the completed PTB. The QRB assesses the documentation and determines which qualification criteria the candidate has met, and which still need to be met. The QRB has the option of inviting an applicant for an interview after the initial review.

In all cases of historical recognition, a PTB will be completed by the individual with each task being referenced with the specific historical information.

Note: A previously completed PTB can be used as historical evidence for an evaluator to sign off on a task within a separate PTB containing the same competencies.

When the QRB determines that the individual's prior education, training, and experience meets all criteria for a given position, the QRB recommends that the AHJ CO certify the individual as qualified for the position. If the QRB determines that the individual's prior education, training, and experience do not meet all the qualification criteria for the position, the QRB notifies the individual and his/her sponsoring organization of their findings and may make recommendations regarding training and development opportunities. In all cases the CO makes the final determination. If the unmet criteria involve PTB competencies, individuals can address the unmet criteria through the normal PTB evaluation process.

Historical Recognition for the Applicant

The applicant for historical recognition should review the PTB. The applicant will need to provide evidence of completion for all Mandatory and Foundational classes required. The Behavior to Task Competencies shall be reviewed and the evaluation record(s) filled out by the applicant covering the event(s) that satisfy the criteria. The applicant goes back to Behavior to Task Competencies and puts the relevant evaluation record number in each task. All relevant evidence shall be submitted with the PTB showing historical performance. At this point the Final Evaluator will review all documentation and interview the applicant. The Final Evaluator will then, if approving, sign the PTB and send it back to the AHJ Certifying Officer for submission to the QRB via the QCO. In cases of Historical Recognition, the applicant's direct full-time supervisor in the current AHJ, or the incident / event supervisor listed in the documentation can do this.

PTB Packet

The candidate will need to show convincing evidence supporting the information provided on the self-assessment checklist. This section provides examples of the types of evidence needed in the portfolio to show position competencies have been met. There are four categories of evidence that can be used for completion of a PTB packet:

- Products – Items that show the assessment panel to imply competence:
 - Records, documents (e.g., Incident Action Plans), or reports from incidents showing participation.
 - Records or reports of training exercises showing participation.
 - Reports, papers, published material written by the candidate that relate to the competencies the candidate is trying to document.
- Knowledge – Answering written or oral questions posed by the QRB to demonstrate competence:

- The ability to provide thoughtful, detailed, and correct answers to questions may constitute a significant part of the overall assessment. This type of evidence helps confirm competence, particularly as it applies to the required technical knowledge and the way variable circumstances are managed and contingencies developed.
- Other Evidence – Documentation of activities or statements (in written or oral format) that the candidate or others can provide to the assessor to imply competence:
 - Video recordings, photographs, or After-Action Report (AAR) notes can contain useful evidence.
 - Letters, evaluations, or other documentation showing the candidate successfully performed the task or skills needed.
- Written statements or testimonials – These written items can support the historical recognition process in the PTB.
 - The candidate will need to provide evidence that is:
 - Valid – i.e., applicable to what is being assessed.
 - Sufficient – i.e., enough to clearly show competence.
 - Current – i.e., recent enough to demonstrate current competence.
 - Authentic – i.e., genuine and relating to the candidate, not to someone else (original certificates should be shown during the interview and not included in the portfolio).

Note: Statements must be provided by someone with known technical proficiency in their field; people who have worked with or supervised the candidate in a job or task that is relevant to the competency being addressed. Testimonials must address the ability to do a job, perform a task, or manage a given situation and speak to this exclusively in an objective manner.

Incident Command System Forms as Performance Evidence

Utilizing Incident Command System (ICS) forms from an ISP/IAP that the trainee / applicant was involved in is a source of performance evidence. The ISP/IAP from an incident or event can be used depending on the specific PTB requirement. The title page to the ISP/IAP should be included in the PTB application evidence along with the ICS 203, ICS 204, ICS 205A and any pertinent ICS 214. The ICS 201, ICS 202, ICS 207 may have significance as well. Many PTBs have specific tasks that relate to certain ICS forms being completed which should be used as performance evidence. The AQS has listed performance evidence for ICS forms for certain PTBs.

Falsification or forgery of documents used in the QRB process should be considered grounds for dismissal from the certification process with notification to the respective AHJ.

Portability of Qualifications

AQS guidelines increase the chances that a new AHJ or sponsoring agency will accept the trainee's qualifications signed off from another AHJ. Utilization of OneResponder assists in the portability of individuals qualifications. The receiving AHJ will determine whether to accept the transferring qualifications. This applies to both partial and completed PTB's.

Mentor/Evaluator

Mentors/Evaluators are a necessary component of the AQS qualification process. Mentoring is the act of helping trainees build knowledge, skills, and abilities to perform in a specific position. Evaluation is the act of verifying that the trainee knows how to do a certain task. In many agencies both the mentor and evaluator are the same. For details regarding these roles, please refer to the Mentor/Evaluator Guide.

AHJs are encouraged to leverage mentors/evaluators from neighboring localities, or professional organizations until these AHJs have developed their own cadre of qualified and certified personnel.

CERTIFICATION

Overview

Certification in the context of the AQS refers to the AHJ's certification that an individual has met the established criteria and is qualified for a specific incident-related position. It is distinct from professional certifications and licenses.

The AHJ holds the authority to certify their individuals. The state QRB provides their recommendation based on the adequate completion of the PTB packet. A certification can be issued by an AHJ CO without the recommendation from the QRB, but the state will not credential (Gold Card) an individual who is not recommended by the QRB.

State QRB

The AQS uses a QRB structure to assist in the certification and credentialing process. The QRB reviews an individual's qualifications against the criteria for a particular AQS position.

The QRB will consist of a cross-section of relevant agencies, organizations, individuals, and disciplines. Size and composition of the QRB may vary at the discretion of the DEMA Director. Arizona will establish one QRB, with rotating representation from all 15 counties, the tribal nations, and the state's Department of Emergency and Military Affairs. Each county/tribe develops criteria and processes for appointing its own QRB member in compliance with the State formatted rotating schedule (see QRB Manual - Appendix C, in References).

Submitting to the QRB for Recommendation

The Final Evaluator of an AHJ will forward the completed PTB and related documents to the DEMA QCO for clerical consistency. The QCO will then forward the packet to the QRB. The QRB reviews the package and will determine if the trainee meets all the requirements and is qualified to perform the duties of the position.

Once the QRB determines a trainee has successfully completed all requirements for a position, the board forwards a recommendation to the AHJ's CO, explaining its findings and recommending the CO certify the trainee as qualified for the position. If the QRB determines that the trainee's package does not provide enough evidence that the trainee has met the requirements for the position he/she is pursuing, the QRB returns the package to the trainee, along with an indication of any unmet requirements.

Signing off the Certification

Acting on the QRB's positive recommendation, the CO certifies that the individual is qualified for the given position. The AHJ should maintain a complete record of all the evaluations and documentation it needs to validate the certification. The AQS QCO will maintain necessary documentation regarding the employee's credential(s).

Individuals may be certified in multiple positions. An AHJ determines how many certifications an individual can hold at one time.

CREDENTIALING

Overview

Credentialing is the essential last step in the process for qualifying, certifying, and credentialing personnel for incident-related positions. A common nationwide credentialing approach helps to expedite access to incident sites, acceptance of credentials by other jurisdictions, and ideally, the assurance that personnel deploying to other jurisdictions have the knowledge, experience, training, and capability to perform the duties of their assigned incident-specific roles. Being able to quickly and confidently identify incident management and support personnel from different jurisdictions or organizations who are qualified and authorized to perform incident duties is essential to an efficient integrated incident management operation.

Credentialing is the process of providing documentation that identifies personnel and verifies their qualifications for certain positions. The AQS will credential individuals whose PTBs are approved by the QRB and approved by the AHJ CO.

While credentialing includes the issuing of identification cards or other credentials, it is separate and distinct from an incident-specific badging process. The AQS system will provide the Gold Card for credentialing purposes via the QCO.

Individual AQS Gold Card credentials will be managed and supported by the State.

AQS credentialing is essential to the emergency response and management community in that it ensures and validates the identity and attributes (e.g., affiliations, qualifications, or privileges) of individuals through standards of capability and performance. Credentialing ensures that personnel resources match requests and supports effective management of those deployed personnel. The process for obtaining and documenting qualifications is a key component of credentialing personnel.

The Gold card shall be issued and shall list current qualifications for each position to include trainee status. The Gold Card will be issued by the DEMA QCO yearly by anniversary of issuance.

American Disabilities Act (ADA) and Americans with Disabilities Amendment Act (ADAA) Compliance

The Department of Emergency and Military Affairs (DEMA) Arizona Qualification System (AQS) establishes guidance and tools to assist state, local, and tribal Authority Having Jurisdiction (AHJ) in developing qualified, certified, and credentialed deployable personnel.

Qualified individuals seeking reasonable accommodations for tasking and deployment must contact their employing AHJ. State, local, and tribal AHJ providing qualified individuals for tasking and deployments are solely responsible for processing reasonable accommodation requests in accordance with the ADA/ADAA and applicable AHJ's policies and procedures, before and during tasking and deployments.

MAINTAINING QUALIFICATIONS, CERTIFICATIONS, AND CREDENTIALS

The state will ensure that all currency and annual qualification requirements for positions are met to maintain credentials.

Currency

Currency is defined as successfully performing in the position for which the individual is qualified, or in an associated position at least once every five years during a qualifying incident, event, qualifying exercise, or qualifying simulation.

Currency can be maintained by successful performance in:

- The position in which the individual is qualified.
- Some higher position(s) for which that position is a qualification prerequisite, providing the individual was previously qualified in that position.
- Some lower position(s) that are qualification prerequisite(s)

Currency documentation might include one or more of the following:

- Incident Action Plan with person's name.
- Incident, event, or exercise performance evaluations (such as an ICS225 Incident Personnel Performance Rating or equivalent) from qualified evaluators or supervisors.
- Experience records with supporting information about:
 - Number of assignments.
 - Variety of incidents.
 - The type, level of incidents, planned events, exercises during which the individual performed.

The process for recertification when qualifications are lost is discussed later in this policy.

On-going Maintenance of Qualifications and Certifications

DEMA and the credentialed individual's AHJ should retain a complete record of all evaluations and documentation needed to make this certification current. This record should, at the minimum, contain:

- Training records.
- Experience records, including the completed PTB, with supporting information about:

- Number of assignments
- Number of operational periods
- Variety of incidents
- The Type level of incidents, planned events, exercises during which the individual performed.
- Other incident, event, or exercise performance evaluations from qualified evaluators or supervisors.
- Recommendations from the State QRB.

Recertification, Decertification. Loss of Certification and Appeals

The AHJ ensures the currency and accuracy of the credentials their employees carry. This is typically an outcome of the recertification/decertification processes. Credentials may expire at the time recertification is required, and the AQS reissues them following recertification. Credential holders should note the expiration date of their credentials and seek reissuance of the card in case the recertification and credential expiration dates are not the same.

When individuals are decertified, the AHJ promptly retrieves the decertified individual's credentials.

Individuals who lose credentials or are decertified by the AQS/AHJ will not be displayed as available for assignment within the AQS. A local AHJ can determine how the individual may perform within the local jurisdiction irrespective of their AQS state credential status

Recertification

Certifications are not permanent. AHJs should establish a process to ensure that personnel continue to be capable of performing in the position(s) for which they are certified. Recertification periods may vary depending on the position. Each position description includes the proposed recertification period.

The recertification process will begin three months prior to the expiration of the PTB certification. The QCO will make this notification to the AHJ checking on the current competency of an individual. This procedure will include verifying the PTB competency has been maintained via incidents, events, and training by the AHJ documentation. This documentation can be a PTB with updated criteria, or a timeline of incidents, events, and training. The AHJ CO will include a statement of approval. The QCO will then issue a Gold Card. This is separate from the AQS QCO sending on the anniversary of the individual's certification date that years new Gold Card.

To prevent the degradation of the knowledge, capabilities, and competencies required to carry out the responsibilities of a position, a person must perform in that position frequently enough to maintain competency.

Individuals maintain currency by successfully performing in the position in which they are qualified. They can also maintain currency by performing in a higher position(s), provided that their current position is a qualification prerequisite for this higher position. Some AHJs may allow personnel to meet currency requirements by demonstrating proficiency in exercises as allowed by the PTB. To prevent the degradation of knowledge, experience, training, and capabilities required to successfully carry out the responsibilities of a position. Currency may also vary based on position requirements in the PTBs. Please see the AQS PTBs for Job Titles/Position Qualifications for currency requirements for individual AQS positions.

The AQS maintains records regarding credentialed personnel and establishes procedures for the periodic review of these individuals' qualifications and currency in their positions. This may result in a formal periodic recertification or decertification if individuals no longer meet minimum qualification standards or are not current in the position requirements. The recertification period is listed in each PTB.

An individual who does not meet the currency criteria or fails to maintain qualified status reverts to trainee status for that position. The AHJ determines if:

- The AHJ should issue a new PTB.
- The individual should complete further training; or
- The individual can gain the requisite experience in an assignment(s).

A return to trainee status may have the advantage of introducing the individual to modern technology, procedures, and advances in incident and event management.

Decertification and Loss of Certification

AHJs are also responsible for decertification—revoking an individual's position certifications. An individual may lose his or her certification for currency reasons, by voluntarily withdrawing, or for other reasons the AHJ deems appropriate. The AHJ should initiate a decertification investigation when an individual:

- Takes actions that lead to unsafe conditions on an accident.
- Misrepresents incident qualifications.
- Fails to follow delegation of authority.
- Demonstrates inappropriate conduct or behavior.

- Disregards identified safe practices.
- Receives one or more “unacceptable” or equivalent performance rating(s).
- Misuse of authority.
- Arrest or legal Issues.
- Inappropriate conduct.

The AHJ should develop guidelines and rules to revoke or decertify position qualifications. If an investigation determines decertification is warranted, the guidelines should direct immediate removal of decertified personnel from all rosters, lists, or databases of qualified individuals applicable to the specific role or position until recertification occurs. These guidelines should also address the recertification process. This is an AHJ process, however, the DEMA Director will have the authority to revoke at all times based on the above criteria. The right of the individual to appeal will still be available.

The AQS, QRB, and the QCO will not make recommendations regarding disciplinary actions. The AQS retains the right to remove credentials from individuals on a case-by-case basis.

When developing the procedures for decertification and recertification, the AHJ should consider the following:

- Decertification of qualifications only applies to performance in the incident-specific position for which the individual was performing and not for performance of tasks as a part of their regular job.
- During any decertification action, the responder should not accept, the employer should not request, and the AQS should not approve a responder’s deployment.
- The EOC Manager /Incident Commander does not have the authority to decertify responders; however, they may remove an individual from an incident-related position and demobilize the individual. In such cases, they should document the reason for early demobilization on the ICS Form 225. This form will be sent to the AHJ of the responder and the AQS QCO.

The individual who does not meet the currency criteria or fails to maintain qualified status should be decertified and revert to a trainee status for that position.

Appeals

Credentialing is an administrative process for validating personnel qualifications and providing authorization to perform specific functions during an incident. Historical Recognition / Recognition of Prior Learning (RPL) is a tool that evaluates a candidate’s demonstrated

knowledge, skills, and past experiences, against a position's minimum standards for credentialing purposes.

To address circumstances where an individual feels there is an error in the evaluation of his or her qualifications or receives notice of impending decertification, AQS will have a documented appeals process. The AHJ will use the existing QRB to adjudicate the appeal.

The AQS will direct that the QRB establish the appeal time frame when they have purview and the AHJ will establish the appeal time frame when they have purview.

QUALIFICATIONS SYSTEM PLATFORM

Support Technologies assist stakeholders in implementing effective qualification and certification processes. For example, the Resource Typing Library Tool (RTLTL) is an online catalog containing resource-typing definitions, NIMS Job Titles and their corresponding Position Qualifications, and NIMS PTBs. The AQS recommends the FEMA PrepToolKit (including OneResponder and Resource Inventory System) as a supporting technology platform for personnel management of qualifications and certifications. (Link: <http://preptoolkit.fema.gov>).

DEPLOYMENT INFORMATION

The AQS supports the mission of preparedness via trained, certified, and credential personnel. That mission of preparedness becomes the ability to deploy personnel that have a PTB completed that meets National Standards.

Within Arizona the expectation for requests from local, tribal, and county entities for personnel is to start the process with a phone call. The calls will be to the correlating County Emergency Manager (or duty officer) who will start the process. The type of personnel, duration, and response time requirement should be relayed along with any situational awareness to start the process of deploying resources to the affected area.

Whenever a credentialed position is requested for a mission, the request will be overseen by DEMA. A request from within the State will go to the DEMA Operations/Duty Officer via the affected County Office of Emergency Management. All mission requests within the State will be started via an ICS-213 in WebEOC from the affected County Office of Emergency Management. Tribal entities can work directly with the DEMA's Tribal Liaison or with a county EOC with submitting personnel requests. DEMA will contact the requestor and verify needs. Once a credentialed individual has been identified, DEMA will contact the individual's AHJ. Through the individual's AHJ, the mission particulars will be shared and the AHJ will offer the individual the mission. The AHJ may reject a mission offering for any agency reasons. Once a mission is accepted DEMA will be in direct contact with the mission assignee, while simultaneously keeping both the receiving and giving agency situational awareness on the mission. After acceptance in-state mission deployments will follow either the ICS 213 process or AZMAC protocols depending on the instrument needed for payment.

All out-of-state requests for PTB credentialed positions will be managed through DEMA's EMAC process. DEMA will contact the AHJ for the individual being sought for the mission and present the request. The AHJ of the individual will present the mission opportunity to the individual. The AHJ may reject a mission offering for any agency reasons. Once an individual has accepted the mission, the DEMA will be in direct contact with them and will keep the AHJ advised of all mission actions.

Any AHJ can go to another AHJ directly for personnel needs. In these cases, notification to DEMA is recommended via AQS@azdema.gov for AQS deployment tracking purposes.

Note: This process is essential for payment, and in ALL cases the AQS encourages phone calls to the Emergency Operations Center of the County and the State Emergency Operations Center as soon as personnel needs from AQS are recognized. Tribal entities can submit requests through DEMA's Tribal Liaison for personnel.

PROGRAM CONTINUITY

Policy Review and Update Process

The policy will be reviewed as necessary and at a minimum every other year. At any time, revisions or new PTB's can be submitted to the QCO via AQS@azdema.gov. Revisions will be considered by the QRB for consideration and adoption. Agencies wishing to submit revisions, additions, or comments should submit appropriate justification to the QCO. The QCO will schedule the QRB review. The QRB will review and make a recommendation to the Director of DEMA for his/ her final approval.

For positions not defined in the NIMS Job Titles/Position Qualifications, the AQS should use organizational and industry guidelines to type the positions and establish PTB qualifications. The AHJs can build and submit new PTBs with Job Titles/Position Qualifications to the AQS for review and consideration for a new statewide PTB. The PTB "Template" in the current AQS PTB index is the outline for a new submission. The AQS addresses both the emergency operations support as well as incident management support through completed PTBs

GLOSSARY

- **Agency Having Jurisdiction** - An AHJ is any entity with the authority and responsibility for the development, implementation, maintenance, and oversight of the qualification process within its organization or jurisdiction for its own personnel.
- **Certifying Officer** - Each AHJ should authorize at least one individual, the CO, to oversee the entire validation and certification process for their agency. The CO is approving the certification process, and therefore should be integrally involved in the AQS process. The CO receives the QRB's recommendations and holds the ultimate decision on personnel certification. Each agency will identify their CO to the AQS via AQS@azdema.gov.
- **Historical Recognition** - Historical recognition is a performance-based evaluation process to assess an individual's prior experiences and training to determine competency in a position. This is based on the premise that the candidate has already performed the job or performed in a position remarkably similar to the one desired.
- **Homeland Security Exercise and Evaluation Program (HSEEP)** - HSEEP provides a set of guiding principles for exercise programs, as well as a common approach to exercise program management, design and development, conduct, evaluation, and improvement planning.
- **Incident Complexity** - Incident complexity is a characterization used to describe the level of difficulty, severity, or overall resistance to control, that incident management personnel face while trying to manage an incident or event to a successful and safe conclusion or to manage one type of incident compared to another type. It is essential to understand the relationship between certain position qualifications that are typed to correlate with incident complexity typing.
- **Operational Period** - The period established for execution of a given set of operation actions as specified by the IC and deployment agreement. Operational Periods can be of various lengths, although usually not over 24 hours.
- **Technical Specialists** - Personnel with specialized skills gained through educational degree programs or industry training of established standards. These personnel usually perform the same duties during an incident that they perform in their regular job and may have supplemental training to use their specialized skills in the incident environment. These individuals are used on a case-by-case basis and are not certified in the AQS.

ACRONYMS

ADA	American Disabilities Act
AHIMAT	All-Hazard Incident Management Assistance Team
AHIMT	All-hazard Incident Management Team
AHJ	Authority Having Jurisdiction
AQS	Arizona Qualification System
AZMAC	Arizona Mutual Aid Compact
CO	Certifying Officer
DEMA	Arizona Department of Emergency and Military Affairs
EOC	Emergency Operations Center
EMAC	Emergency Management Assistance Compact
EMPG	Emergency Management Performance Grant
ESF	Emergency Support Function
FEMA	Federal Emergency Management Agency
HSEEP	Homeland Security Exercise and Evaluation Program
IAP	Incident Action Plan
IC	Incident Commander
IMT	Incident Management Team
IMAT	Incident Management Assistance Team
ISP	Incident Support Plan
MACS	Multi-agency Coordination System
NGO	Non-Governmental Organization
NIMS	National Incident Management System
NQS	National Qualification System
PTB	Position Task Book

QCO	Quality Control Officer
QRB	Qualification Review Board
RTL	Resource Typing Library Tool
SLT	State, Local, Tribal

REFERENCES

- AQS Position Task Books
- Qualification Review Board Manual
- Mentors and Evaluators Guide

All AQS supporting documents can be found at: dema.az.gov/AQS

APPENDIX A

The Arizona Qualification System (AQS) will focus on PTB's for Type III EOC/ICS All Hazard credentials and Gold Cards. The EOC/ICS PTBs align with the AHIMT Typing guidelines.

AHIMT Type I-II-III Guidelines

An AHIMT is a multi-agency /multi-jurisdictional team for extended incidents formed and managed at the state, regional, or metropolitan level.

AHIMTs are deployed as a team of trained personnel to manage major and/or complex Incidents requiring a significant number of local, regional, and state resources. They also manage Incidents that extend into multiple operational periods and require written Incident Support Plans or Incident Action Plans (IAP).

A Type III AHIMT may be utilized in incidents such as a tornado touchdown, earthquake, flood, or multi-day hostage/standoff situation. They are also utilized at planned mass-gathering type of events such as festivals, political rallies, state and national summits and conferences. An AHIMT may initially manage larger, more complex incidents that are later transitioned to a Type II or Type I AHIMT.

Type I and Type II are reserved for those who have reached a level of greater experience which is combined with more events and incidents. The Type II teams typically manage up to five hundred incident personnel and the Type I teams typically manage incidents that have more than five hundred incident personnel.

Type III Qualifying Event

An event that has a pre-planning need involving an ISP/IAP and meets the level of a Type III the event. Personnel will be determined by the Agency Having Jurisdiction (AHJ). The AHJ determines the qualifying event by complexity, duration of time, multi-jurisdictional and/or multi-agency and relevance to the TYPE III position being evaluated.

Type III Qualifying Incident

An incident requiring an ISP/IAP and meets the level of a Type III Incident. Personnel will be determined by the AHJ. The AHJ determines the qualifying incident by complexity, duration of time, multi-jurisdictional and/or multi-agency and relevance to the TYPE III position being evaluated.

Incident Complexity Analysis Chart

This chart is a policy guide and should not be used as absolute.

Name of Incident: Kind of Incident:		Date: Completed By:	
YES = A likely factor - NO = Not likely a factor			
1. Jurisdictional boundaries (Check One)		YES	NO
Incident is within a single local political jurisdiction			
Incident is within two adjoining local political jurisdictions			
Incident is within more than two adjoining local political jurisdictions			
Incidents encompass more than two non-adjoining local political jurisdictions (Incident Complex)			
Incident is within local government and state/tribal jurisdictions			
Incident is within local government and federal jurisdictions			
Incident is within only a state/tribal jurisdiction			
Incident is within only a federal jurisdiction			

2. Threat to life (persons who require responder assistance) (Check One)	YES	NO
Less than 10 persons		
Less than one hundred persons		
Greater than one hundred persons		
3. Threat to property (Check One)	YES	NO
Incident is not getting larger		
Incident is getting larger but is not extending beyond existing perimeter		
Incident cannot be contained within the existing perimeter		
4. Area (location) involved (does not include property value) (Check One)	YES	NO
Less than one acre/square block (not likely to extend beyond)		
Less than one acre/square block) (likely to extend beyond)		
Less than ten acres (not likely to extend beyond)		
Less than ten acres (likely to extend beyond)		
Less than 360 acres/square miles (not likely to extend beyond)		

	YES	NO
Greater than 360 acres		
Greater than one thousand acres		
5. Population Impact (Check One)	YES	NO
N/A		
Less than one hundred		
Less than five hundred		
Greater than five hundred		
6. Number of homes and business evacuated or may be needed to be evacuated (Check One)	YES	NO
N/A		
Less than 25		
Less than one hundred		
Greater than one hundred		

7. Values at risk (Check One)	YES	NO
Additional losses should be less than \$100,000		
Additional losses should be less than \$1,000,000		
Additional losses should be less than \$10,000,000		
Additional losses should be less than \$100,000,000		
Additional losses will exceed \$100,000,000		
8. Threat to environment (Check One)	YES	NO
Environmental issues will only be during the incident		
Environmental issues will be mitigated within one year of the incident		
Environmental issues will last more than a year of the incident		
9. Weather (Check One)	YES	NO
Forecast indicating no impact on incident operations		
Forecast indicates no significant relief		
Forecast indicates worsening conditions		

10. Organizational complexity (Check All Applicable)	YES	NO
The Incident will go beyond the initial operational period		
Written Incident Action Plan is needed for each operational period		
Less than 25 incident personnel		
Less than one hundred incident personnel (Type 3)		
Less than 250 incident personnel		
Less than five hundred incident personnel (Type 2)		
More than five hundred incident personnel (Type 1)		
Three or more Division or Groups will be needed		
Branches will be needed		
Substantial Air Operations will be needed		
Night operations will be needed		

	YES	NO
Special support/operations personnel will be needed (Health, Electrical Restoration, Public Works, Hazmat, other)		
11. Media/Social Impact Significant Media Impacts, Social networks (Check All Applicable)	YES	NO
Local Media is or will be at the Incident		
Regional Media is or will be at the Incident		
National Media is or will be at the Incident		
Social Media Networks will need to be monitored and replied to		
JIC will be established		
Regular Public Meetings will be needed		
12. Resource Ordering (Check All Applicable)	YES	NO
Number and kind of local resources available will not be sufficient		
Resources from assisting, cooperating or mutual aid agencies are needed		
Resources from outside the area are needed		

	YES	NO
There are state resources at the incident or will be needed		
There are federal resources at the incident or will be needed		
There are numerous spontaneous volunteers		
There has been or expected a large amount of donated supplies		
There is or will be a need for private/contracted resources		
There is a single point to order resources		
There are multiple points to order resources		
There is an activated local EOC		
There is a local MAC/Coordination Center		
There is a State MAC/Coordination Center		
There is a Regional MAC/Coordination Center		
There is a National MAC/Coordination Center		

	YES	NO
Local resources will need to be available to deal with other emergencies that are not related to this incident		
13. Political/Economic Sensitivity (Check All Applicable)	YES	NO
The kind of incident		
The location of the incident		
Cost of incident mitigation will be significant		
High Potential for Incident Growth and/or Escalation of the Event		
Critical Infrastructure Damaged and/or Compromised (Electricity, Water, Sewer etc.)		
Transportation Ingress/Egress compromised affecting Travel Routes		
Hazardous Materials Present in Large Quantities		
High Volume of Debris Present		
Local Municipality, City, or County Disaster Declaration has been made or is needed		

	YES	NO
Governor’s Emergency or Disaster Declaration has been made or is needed		
Governor ‘s and Presidential Stafford Act Disaster Declaration has been made or is needed		
There are pre-existing controversies with the public that will be a factor in the management of the incident		
There are preexisting relationships with response resources that will be a factor in the management of the incident		
14. List Other issues		

Determining Type I, II, III Incident Complexity:

- Greater than 8 YES answers would probably indicate a need for a Type 3 team, (subtract shaded boxes).
- Greater than 15 YES answers would probably indicate a need for a Type 2 team.
- More than 20 YES answers would probably indicate a need for a Type 1 team.

Task Evidence Examples for PTBs

While completing a PTB, ISPs/IAPs provide evidence of a task performed. The following are position relevant norms for task completion evidence:

- **Logistics Section Chief (LSC)** - If no Communication Unit Leader or Medical Unit Leader were utilized, add two (2) different Incident Communication Plans (ICS-205 form) and two (2) different Incident Medical Plans (ICS-206 form) that have your signature as the preparer.
- **Planning Section Chief (PSC)** - Your signature should appear on the bottom as the Planning Section Chief on the forms.
- **Operations Section Chief (OSC), Division/Group Supervisor** - The two (2) ICS-204 forms should have your name in it as part of the organization managing what you are stating in the application.
- **Finance/Administration Section Chief (FSC)** - Add ICS-209 form or equivalent, or finance related documents demonstrating the operability of the Finance/Admin section, incident time records, budget records, written spending authority delegation, or letter.
- **Public Information Officer (PIO)** - Add two (2) different press releases that have your name as the point of contact, or that indicate you wrote the message.
- **Safety Officer (SOFR)** - Add two (2) different ICS-206 forms and ICS-208 forms (Safety Messages) or ICS-215A forms with your name and signature as the approver or preparer.
- **Liaison Officer (LOFR)** - Add two (2) different incident listings of the Assisting and Cooperating agencies; meeting flyer; agency contact lists; or other document demonstrating LOFR responsibilities on the incident; and a letter indicating you filled that role.
- **Incident Commander (IC)** - The ICS-202 form should have your signature on the bottom as the IC.
- **Situation Unit Leader (SITL)** - Add two (2) ICS-209 forms or Situation Reports that include your name as the author or preparer, or maps with an indication that you developed them.
- **Resources Unit Leader (RESL)** - The ICS-204 forms should have your signature when completing the form.
- **Supply Unit Leader (SPUL)** - The ICS-203 form should have you assigned to that role.

- **Communications Unit Leader (COML)** - Add two (2) different ICS-205-Radio Communication Plans with your name and signature as the preparer.

All Incident Action Plans submitted shall include the Cover Sheet, ICS-202, ICS- 203, and two (2) different ICS-204 forms. Your name should be listed on the ICS- 203 for that operational period. The signature pages must be complete and legible.