

Disaster Response SMARTBOOK

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Incident Command System (ICS)

On-Scene, All-Hazards Incident Management

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Disaster Response SMARTbook 2: Incident Command System (ICS) On-Scene, All-Hazards Incident Management

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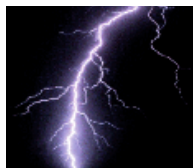
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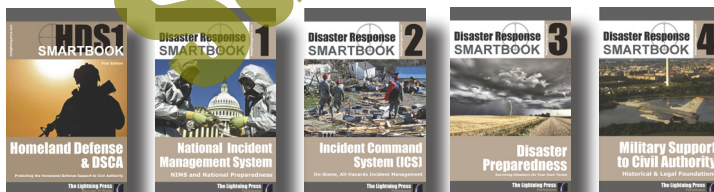
Disaster can strike anytime, anywhere. It takes many forms—a hurricane, an earthquake, a tornado, a flood, a fire, a hazardous spill, or an act of terrorism. An incident can build over days or weeks, or hit suddenly without warning. ICS is the national standard for response.

The **Incident Command System (ICS)** helps ensure integration of our response efforts. ICS is a standardized, on-scene, all-hazards approach to incident management. ICS allows responders to adopt an integrated organizational structure that matches the complexities and demands of the incident while respecting agency and jurisdictional authorities.

This SMARTbook provides a detailed explanation of ICS as outlined in **FEMA Emergency Management courses 100, 200, 300, 400, 700, 703, and 800; including 2015 updates.** It is designed to serve as an introduction to ICS concepts, methods, and organization, as a pocket reference for experienced responders, or as a desk reference for emergency planners, community leaders, or any responder involved in the Multiagency Coordination process.

Disaster Response SMARTbooks

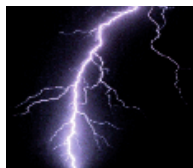
Disaster management (or emergency management) is the term used to designate the efforts of communities or businesses to plan for and coordinate all the personnel and materials required to either mitigate the effects of, or recover from, natural or man-made disasters, or acts of terrorism. Defense support of civil authorities (DSCA) is support provided by federal military forces, Dept of Defense assets, and National Guard forces in response to requests for assistance from civil authorities for domestic emergencies, law enforcement support, and other domestic activities, or from qualifying entities for special events.



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ICS Training Courses

ICS-100 Introduction to the Incident Command System: This independent study course introduces ICS and provides the foundation for higher level ICS training. It describes the history, features and principles, and organizational structure of the system. This course also explains the relationship between ICS and NIMS.

ICS-200 ICS for Single Resources and Initial Action Incidents: This independent study course is designed to enable personnel to operate efficiently during an incident or event within the ICS. ICS-200 provides training and resources for personnel who are likely to assume a supervisory position within the ICS.

ICS-300 Intermediate ICS for Expanding Incidents: ICS-300 provides training and resources for personnel who require advanced knowledge and application of the ICS. This course expands upon information covered in the ICS-100 and ICS-200 courses.

ICS-400 Advanced ICS: This course provides training and resources for personnel who require advanced application of ICS. This course expands upon information covered in ICS-100 through ICS-300.

IS-700 NIMS, an Introduction: This independent study course introduces the NIMS concept. NIMS provides a consistent nationwide template to enable all government, private-sector, and nongovernmental organizations to work together during domestic incidents.

IS-703: NIMS Resource Management: This course introduces resource management as described in the NIMS, and shows how systems for managing resources can be used to improve incident response.

IS-800 National Response Framework (NRF), an Introduction: The course introduces participants to the concepts and principles of the NRF.

Other Publications

FEMA Incident Action Planning Guide, FEMA, Jan 2012

National Incident Management System (NIMS) Incident Command System (ICS) Forms Booklet, FEMA, Sept 2010

Internet Resources

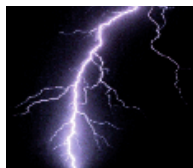
ICS Resource Center - <https://training.fema.gov/emiweb/is/icsresource/index.htm>

ICS Review Material: <https://training.fema.gov/emiweb/is/icsresource/assets/reviewmaterials.pdf>

ICS Position Checklists: <https://training.fema.gov/emiweb/is/icsresource/positionchecklists.htm>

ICS Forms (Word Fillable): <https://training.fema.gov/emiweb/is/icsresource/icsforms.htm>

2-Introduction



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ICS Purpose, Features, & Principles

I. Overview of ICS Purpose, Features and Principles

Reference: ICS-100 - Unit 2, ICS-100 - Unit 3

Why use ICS?

Disaster can strike anytime, anywhere. It takes many forms—a hurricane, an earthquake, a tornado, a flood, a fire or a hazardous spill, or an act of terrorism. An incident can build over days or weeks, or hit suddenly, without warning.

A poorly managed incident response can undermine our safety and well-being. With so much at stake, we must effectively manage our response efforts.

Although most incidents are handled locally, partnerships among Local, Tribal, State, and Federal agencies as well as nongovernmental and private-sector organizations may be required. As partners, we must respond together in a seamless, coordinated fashion.

The Incident Command System, or ICS, helps ensure integration of our response efforts. ICS is a standardized, on-scene, all-hazards approach to incident management. ICS allows all responders to adopt an integrated organizational structure that matches the complexities and demands of the incident while respecting agency and jurisdictional authorities. Although ICS promotes standardization, it is not without needed flexibility. For example, the ICS organizational structure can expand or contract to meet incident needs.

The Larger Picture

The Incident Command System is just one part of a larger integrated system of stability and response called the National Response Framework. It is used collectively through all levels of government, from Federal to Local, to ensure that in the case of an emergency, or any other situation that threatens the function of government, the services required to protect lives, preserve and maintain public infrastructure, and protect personal property are in place or restored as soon as possible.

Within the National Response Framework the “how to respond to a disaster” portion is called the National Incident Management System (NIMS). NIMS provides a consistent framework for incident management at all jurisdictional levels regardless of the cause, size, or complexity of the incident. NIMS is not an operational incident management or resource allocation plan, but rather a system of interlinking efforts. Each of these efforts has its own preparation, resourcing, and plans that provide for the activities required of that component.

NIMS represents a core set of doctrines, concepts, principles, terminology, and organizational processes that enables effective, efficient, and collaborative incident management.

ICS Overview

Now that we see where ICS fits in the National Response Framework we can recognize how the principles of preparedness, information, resources, plans and maintenance apply within the ICS. You are encouraged to find out more about the NRF but the reason for this introduction was to plant the seed of the ideas of consistency of method and coordination of effort as you study ICS. You will see these themes repeated over and over because they are the secret to success at every level of response. Keep this in mind as you learn the specifics of ICS.

What is ICS?

- A standardized, on-scene, all-hazards incident management concept
- Enables a coordinated response among various jurisdictions and agencies
- Establishes common processes for planning and managing resources
- Allows for the integration of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure

ICS is not a “stand alone” system. It is coordinated with other National programs designed to provide for the safety and security of everyone within its jurisdictions. The list below provides a few examples of other plans and regulations that apply or are interlinked with ICS.

- National Incident Management System (NIMS)
- Superfund Amendments and Reauthorization Act (SARA) — 1986
- Occupational Safety and Health Administration (OSHA) Rule 1910.120
- State and Local regulations

When is ICS used?

ICS can be used to manage any number of situations that require coordination of effort. Understand that ICS is not just about disasters. Even though it is used in disaster and emergency response it is not limited to those types of situations. ICS is about coordination of effort in any situation that requires people to work together towards a common goal. These can include:

- Natural hazards
- Technological hazards
- Human-caused hazards
- Planned events

This is important to remember. ICS can be practiced every day. By using ICS principles in coordination of planning for events and activities an agency can become very proficient at ICS before ever having to use it in response to a disaster.

Why use ICS?

ICS is not just a good idea. ICS is a requirement in both a regulatory sense but more importantly in the need to avoid failure. A big part of why we use ICS is based upon the Lessons Learned from using it (and not using it well).

ICS was developed in the 1970's following a series of catastrophic fires in California. Property damage ran into the millions, and many people died or were injured. The personnel assigned to determine the causes of these disasters studied the case histories and discovered that response problems could rarely be attributed to lack of resources or failure of tactics.

The failure that caused death and destruction was specifically found in the lack of coordination of effort.

Without ICS, incident responses typically result in:

- Lack of Accountability, including unclear Chain of Command and supervision.
- Poor communication, due to both inefficient uses of available communications systems and conflicting codes and terminology.
- Lack of an orderly, systematic planning process.
- No common, flexible, predesigned management structure that enabled commanders to delegate responsibilities and manage workloads efficiently.
- No predefined methods to integrate interagency requirements into the management structure and planning process effectively.

Using ICS enables us to avoid these weaknesses in all types of incident responses. In fact, its required by law.

- The use of ICS is mandated by the National Incident Management System (NIMS). NIMS provides a systematic, proactive approach to guiding departments and agencies at all levels of government. It provides the private sector, and nongovernmental organizations a structure in which to coordinate and prepare for, prevent, respond to, recover from, and mitigate the effects of incidents regardless of cause, size, location, or complexity. NIMS also provides guiding priorities to focus efforts on the reduction of loss of life and destruction of property as well as protection of the environment.

In addition to the NIMS mandate, the following laws require the use of ICS:

- The Superfund Amendments and Reauthorization Act (SARA) of 1986 established Federal regulations for handling hazardous materials. SARA directed the Occupational Safety and Health Administration (OSHA) to establish rules for operations at hazardous materials incidents.
- OSHA rule 1910.120, effective March 6, 1990, requires all organizations that handle hazardous materials to use ICS. The regulation states: "The Incident Command System shall be established by those employers for the incidents that will be under their control and shall interface with other organizations or agencies who may respond to such an incident."

Note that the Environmental Protection Agency (EPA) requires States to use ICS at hazardous materials incidents.

According to the National Integration Center, "institutionalizing the use of ICS" means that government officials, incident managers, and emergency response organizations at all jurisdictional levels must adopt ICS. Actions to institutionalize the use of ICS take place at two levels:

- **Policy Level:** At the policy level, institutionalizing ICS means government officials (i.e., Governors, Mayors, County and City Managers, Tribal Leaders, and others) must:
 - Adopt ICS through executive order, proclamation, or legislation as the jurisdiction's official incident response system; and
 - Direct that incident managers and response organizations in their jurisdictions train, exercise, and use ICS in their response operations.
- **Organizational Level:** At the organizational / operational level, evidence that incident managers and emergency response organizations are institutionalizing ICS would include the following:
 - ICS is being integrated into functional and system-wide emergency operations policies, plans, and procedures.
 - ICS training is planned or underway for responders, supervisors, and command-level officers.
 - Responders at all levels are participating in and/or coordinating ICS-oriented exercises that involve responders from multiple disciplines and jurisdictions.

II. ICS Essential Features

Every profession is made up of tools and ways to use them. The same is true for the ICS. This means that there is an art to how tools are used to make them the most effective. The better someone understands how the tools and methods interact with each other, the greater that person's potential for making the ART of emergency management work smoothly. By having responders who use a common methodology across the whole spectrum of the response community the opportunity for similar efficiencies in application of the tools (the art) becomes a collective efficiency.

Addressing the ART of response may sound like warm, fuzzy, wishful thinking but it is not. The military learned long ago that teaching common problem solving methods and having standardized means of communication allowed Soldiers who had never met before to communicate effectively under high stress situations. Additionally, in times of stress, they would approach a problem in a similar manner and collectively overcome challenges based on how they were trained to respond. This allowed for maximum individual ingenuity and problem solving to be expressed in ways that are recognizable and understandable to other Soldiers who would then join in to the effort and add their collective strengths to overcoming the challenge. The methods of the ICS use this same kind of recognizable frame work to maximize individual efforts and provide for the power of collective effort.

ICS is made up of two kinds of tools; core system features which make up the working parts of the system, and the management principles which express uniform methodology for how those features are to be used. This section provides an overview of the basic features and principles of the Incident Command System (ICS). Understand that as you read more on the subject your understanding of the features and principles will evolve and you will become better at the art of leading and following to complete goals and objectives within an ICS response.

ICS Benefits

These "best practices" provide some very important advantages. ICS allows for the efficient use of resources which leads to the achievement of response objectives in the shortest time frame and at the lowest cost (in both lives and resources). These efficiencies help to ensure the safety of responders, faculty, workers, and others. This is important for two major reasons; first, during a disaster response because the preservation of people, equipment, and facilities allows for continued operations. Second, it provides the greatest opportunity for minimizing the loss of life and resources.

A. Standardization

Common Terminology

Using common terminology helps to define organizational functions, incident facilities, resource descriptions, and position titles.

Common terminology: This means no Codes (10 codes), lingo or jargon.

The ability to communicate within ICS is absolutely critical. An essential method for ensuring the ability to communicate is by using common terminology and clear text.

A critical part of an effective multiagency incident management system is for all communications to be in plain English. That is, use clear text. Do not use radio codes, departmental codes, or jargon.

Common Response Methodology

Although Common Terminology is the primary tool provided in the function of Standardization there is also the greater scope of standardization within all the functions.

ICS Essential Features

The following is an essential list of ICS Features. They are called essential functions because they are common to every ICS response and are a basic requirement for successful ICS implementation.

ICS Essential Features

- A. Standardization**
- B. Command**
- C. Planning/Organizational Structure**
- D. Facilities and Resources**
- E. Communication/Information Management**
- F. Professionalism**

A. Standardization

- Common Terminology
- Common Response Methodology

B. Command

- Establishment and Transfer of Command
- Chain of Command

C. Planning / Organization Structure

- Manage by Objectives
- Incident Action Plan (IAP)
- Modular Organization
- Manageable Span of Control

D. Facilities and Resources

- Comprehensive Resource Management
- Incident Locations and Facilities

E. Communication / Information Management


- Integrated Communication
- Information and intelligence Management

F. Professionalism

- Accountability
- Dispatch / Deployment

ICS Graphic Symbols


 **Command Post** _____

 **Base** _____

 **Camp** _____

 **Staging Area** _____

 **Helibase** _____

 **Helipad #** ____
H-3


Incident Command Post (ICP)

The **Incident Command Post**, or ICP, is the location from which the Incident Commander oversees all incident operations. Every incident must have some form of an Incident Command Post. An ICP is required to be established for every ICS response. There should only be one ICP for each incident, but it may change locations during the event. The ICP may be located outside, in a vehicle, trailer, or tent, or within a building. The ICP will be positioned outside of the present and/or potential hazard zone but close enough to the incident to maintain effective communication and command.

 **Command Post** _____

Map Graphic and Naming Convention: on a map the ICP location appears as a blue and white square with the bottom right half of the square filled. On black and white maps the blue coloring will appear as black. It is important that the upper left of the graphic be colored white and not opaque so the graph is prominent on the map. The name of the ICP will be the incident name or fire complex. If the area or fire complex is called Storm Ridge, the ICP will be called the Storm Ridge Command Post. This ensures that there is not confusion about where information, material, and resources are to go to assist with the incident.

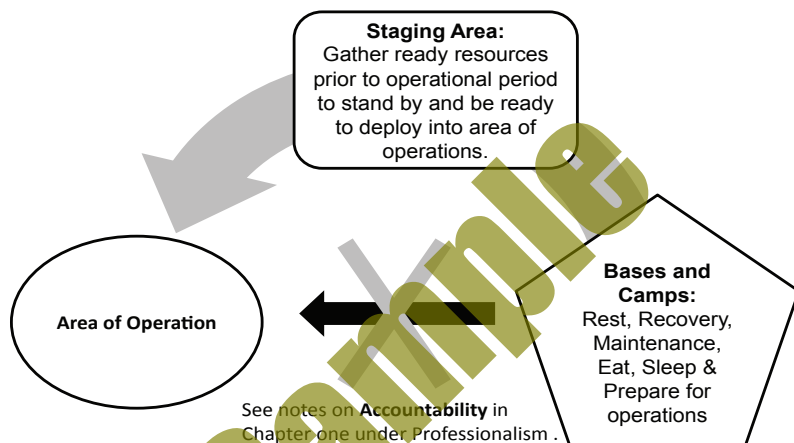
Base

 **Base** _____

A **Base** is the location from which primary logistics and administrative functions are coordinated and administered. Activities like maintenance, responder health care, rest, and feeding take place here. Personnel and equipment will move from a Base to a Staging Area prior to entering into an active incident location.

Staging Areas

Staging Areas are where operations ready personnel and equipment are gathered while waiting to be assigned. The sole purpose of a Staging Area is to provide a separate area for elements to stage in and depart from. No preparation or rest activities take place in the Staging Area. Think of a Staging Area as a launch point for operations. These locations are not permanent and can be occupied and stood down quickly. Staging Areas should be located close enough to the incident for a timely response, but far enough away to be out of the immediate impact zone. In large, complex incidents, there may be more than one Staging Area at an incident. Staging Areas can be co-located with other ICS facilities. They can be near a Base or Camp but should be a distinct and separate location to avoid confusion.



Map Graphic and Naming Convention: On a map the Staging Area appears as a white circle with a bold black S in it. It is important that the circle background is filled white and not opaque so the graphic is prominent on the map. The naming convention for a Staging Area describes the facility location.

(S) Staging Area _____

After a Staging Area has been designated and named, a Staging Area Manager will be assigned. The Staging Area Manager will report to the Operations Section Chief, or to the Incident Commander if an Operations Section Chief has not been designated.

Staging Areas are different from Bases and Camps. Bases and Camps are areas where elements recover from past activities and prepare to conduct new activities. It is where they rest, refuel, eat, receive medical care, and conduct maintenance or repair of their equipment and any other activity related to preparing for future activities.

Chap 2

ICS Command & Staff Functions

References: ICS-100 Unit 4: Incident Commander & Command Staff Functions, ICS-100 Unit 5: General Staff Functions, ICS-200 Unit 4: Functional Areas & Positions.

Notes on References: ICS-100 – Unit 4, ICS-100 – Unit 5 & ICS200 - Unit 4. The discussion of the Command Staff and the General Staff are similar in each unit as the information is meant to be both repetitive and progressive. The ICS-200 unit 4 course materials provide refinement on some General Staff position descriptions introduced in ICS-100 unit 4 & 5 course material as well as additional position descriptions. They are combined here in progression as laid out in the respective courses.

Chain of Command and Response Capability

ICS recognizes a difference between the people and equipment used to provide Chain of Command in an incident and the people and equipment used to mitigate the incident. Command and staff functions as well as the roles of deputies, officers, chiefs, directors, supervisors, leaders, and assistants all refer to authority within a Chain of Command.

Example: When a person is assigned to a position of authority, for example: a doctor assigned as a medical Section Chief, is considered management within the Chain of Command. There are times when that same person will be described as a resource. When that is the case the person, in this example the doctor, who is assigned as to the medical Group as an emergency medical care provider is seen as a capacity to treat wounds in the same way a dump truck is seen as a capacity to haul tonnage.

Within the ICS it is important to differentiate between Chain of Command and Response Capability. Both can incorporate people and equipment but the terms will provide clarity by describing the function the person or equipment provides.

Naming Purpose and Meaning

Each new response element and their function within the response is described by the Organizational Level name they are given. The name Section, Branch, Units and others as described in the organizational charts all have specific meanings for where or how the element operates. This means you can tell a lot about a response elements function by the name they are given by the Incident Commander. It is important to keep in mind that none of these structures have a set number of people in them. Each element is sized (and expands and contracts) in accordance with the changing needs of the incident.

Expanding Response

Most incidents are usually small and managed in a short period of time. They require few additional response resources. However, an institution may become involved in a larger incident affecting the whole community and may be isolated. In such cases, a larger ICS organization may be required to manage the incident. Expanding incidents will add supervisory layers to the organizational structure as needed.

The ICS supervisory titles are shown in the graphic.

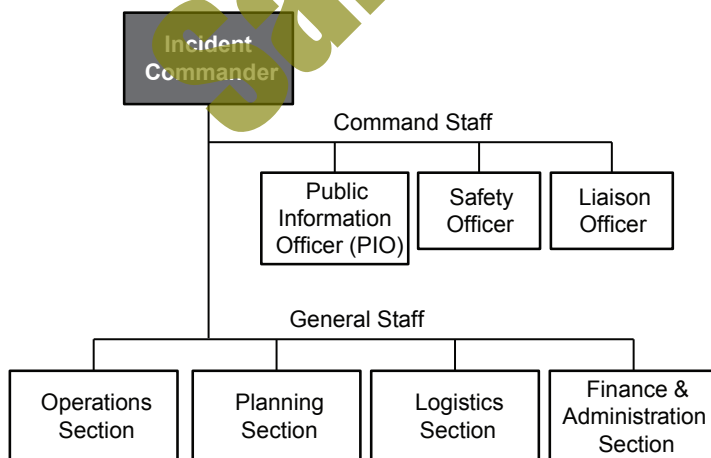
Organizational Level	Supervisor Title	Support Position Title
Incident Command	Incident Commander	Deputy
Command Staff	Officer	Assistant
General Staff (Section)	Chief	Deputy
Branch	Director	Deputy
Division / Group	Supervisor	N/A
Unit	Leader	Manager
Strike Team / Task Force	Leader	Single Resource Boss

Note that the expansion of the response organization goes hand in hand with the expansion of management personnel. Each new piece of response structure or new Resource that joins in the mitigation effort requires supervisory and support personnel to ensure the resources are applied as directed by the Incident Commander in accordance with the mitigation plan.

Also note that the expansion of personnel and equipment on hand does not go hand in hand with the expansion of response organization. Each new piece of response structure or new resource that joins in the mitigation effort adds not only the management personnel but also the personnel and resources of the incoming agency or resource.

I. Incident & Deputy Incident Commander

Make note of the difference in authority held by personnel on the staff. The Incident Commander and the Operations Section Chief are the direct Chain of Command. The Command Staff and the supporting functions of the General Staff support the direct Chain of Command but are not in the Chain of Command.



Functional Areas and Positions

Every incident requires that certain management functions be performed. The incident must be identified and assessed, a plan to deal with it developed and implemented, and the necessary resources procured and paid for. Regardless of the size of the incident, these management functions still will apply.

There are five major management functions that are the foundation upon which the ICS organization develops. These management functions refer to people and the products or services they provide. These functions also include the equipment required to perform these functions to include but not limited to buildings, computers, phones, radios, and even vehicles. These functions are:

Incident Command

Sets the incident objectives, strategies, and priorities and has overall responsibility for the incident.

Operations

Conducts operations to reach the incident objectives. Establishes the tactics and directs all operational resources.

Planning

Supports the incident action planning process by tracking resources, collecting / analyzing information, and maintaining documentation.

Logistics

Provides resources and needed services to support the achievement of the incident objectives.

Finance & Administration

Monitors costs related to the incident. Provides accounting, procurement, time recording, and cost analyses.

B. Planning Section

Planning Leadership

The Planning Section will have a Planning Section Chief. The Planning Section Chief may have a Deputy.

Planning Responsibilities

The Planning Section will have responsibility for:

- Maintaining Resource Status
- Maintaining and Displaying Situation Status
- Preparing the Incident Action Plan (IAP)
- Developing Alternative Strategies
- Providing Documentation Services
- Preparing the Demobilization Plan
- Providing a Primary Location for Technical Specialists Assigned to an Incident.

The Planning Section is typically responsible for gathering and disseminating information and intelligence critical to the incident, unless the Incident Commander places this function elsewhere.

One of the most important functions of the Planning Section is to look beyond the current and next operational period and anticipate potential problems or events.

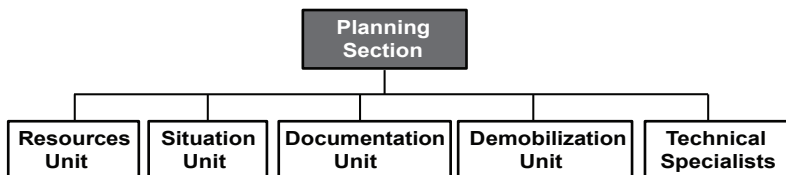
The major activities of the Planning Section may include:

- Collecting, Evaluating, and Displaying Incident Intelligence and Information
- Preparing and Documenting Incident Action Plans (IAP)
- Tracking Resources Assigned to the Incident
- Maintaining Incident Documentation
- Developing Plans for Demobilization

See also p. 3-18.

Planning Organization and Units

The Planning Section can be further staffed with four Units. In addition, Technical Specialists who provide special expertise useful in incident management and response may also be assigned to work in the Planning Section. Depending on the needs, Technical Specialists may also be assigned to other Sections in the organization.



Resources Unit

Conducts all check-in activities and maintains the status of all incident resources. The Resources Unit plays a significant role in preparing the written Incident Action Plan.

Situation Unit

Collects and analyzes information on the current situation, prepares situation displays and situation summaries, and develops maps and projections.

Documentation Unit

Provides duplication services, including the written Incident Action Plan. Maintains and archives all incident-related documentation.

Demobilization Unit

Assists in ensuring that resources are released from the incident in an orderly, safe, and cost-effective manner.

Technical Specialists

- Are advisors with special skills required at the Incident?
- Will initially report to the Planning Section, work within that Section, or be re-assigned to another part of the organization?
- Can be in any discipline required (e.g., epidemiology, infection control, chemical-biological-nuclear agents, etc.)?

ICS Leadership & Management

References: ICS-200 Unit 2: Leadership & Management, ICS-200 Unit 3: Delegation of Authority & Management by Objectives, ICS-200 Unit 7: Transfer of Command.

Leadership & Management Considerations

Command

Chain of Command = Authority, Responsibility, and Accountability

Unity of Command = Everyone reports to only one superior

Span of Control = Safety and Accountability (3-7 subordinates)

Communication Cover down, Talk across, & Listen up

Common Terminology = Consistency of Terms, No jargon, or acronyms

Formal Communication = Official Orders, Plans (IAP), Reports, Briefings, & Products

Informal Communications = Cross Talk and Situational Awareness,

Leadership

Responsibility, Duty, Commitment, Respect, Integrity, & Self Improvement

Establishing New Structure

Why = Span of Control & Need for Expertise

What = Assist Leadership & Perform a Function

How = By Geographic area, Complexity of Task, or Requirement of Expertise

Section, Branch, Division, Group, Strike Team, Task Force, Single Resource & Unit

Management by Objectives

Goals > Objectives > Plans > Direct efforts > Measure Success > Document

Command Concepts and Tools

Delegation vs. Scope of Authority, Transfer of Command & Documentation

ICS works for a reason. The best practices addressed in ICS are not recommendations, they are requirements. Not just statutory requirements or arbitrary administrative rules but rather hard learned requirements for success in incident response. It cannot be over stated that the early lessons of ICS are the results of learning things the hard way, from failures. People died and property was destroyed not because responders failed, but because responders were learning how to manage the level

of chaos that is inherently present during an Incident. Mistakes were made in the learning process. The intent of ICS is that these mistakes not be made again.

This means when ICS says it is good to keep management within the Span of Control we know this is true because when Span of Control was not used in the past it caused failures. Seek out the history of the 1970s California wild fires and the development of FireScope for the rational and specifics of its development if you desire to know more about how tough those lessons were.

With these thoughts in mind use this chapter to learn; not just about what to do, but also why it is done this way. When you get to the point where you can explain the rational and importance of these methods to others you will be getting close to being able to use them with real effectiveness. As leaders this must be our goal because every decision made potentially affects a human life in a hazard situation.

Note of clarification: For the purposes of the discussion in this chapter, the term "element" is used as a generic reference to any level of structure; Section, Branch, Division, Group, Strike Team, Task Force, Single Resource or Unit. Be aware that there is no command structure in ICS called an "element" and the term is used in a general descriptive sense.

I. Leadership & Management

This chapter on Leadership and Management provides a more detailed look at the following ICS features:

- Chain of Command
- Unity of Command
- Span of Control
- Leadership in Incident Management
- Common Terminology

A. Chain of Command

It is important to spend some time thinking about Chain of Command; why ICS uses it, its aspects and components, and our roles as individuals within it. The rationale of Chain of Command in ICS is that it permits coordination of different Individuals and Groups engaging in specialized tasks in order to accomplish incident objectives. Individuals or Groups engaged in specialized tasks do not always have the opportunity to see the big picture so authority is placed over those individual efforts to coordinate the collective goals.

By definition, a Chain of Command is a formalized hierarchy of authority, responsibility, and accountability where those at the top of the formalized hierarchy direct and control the respective activities of personnel assigned within that hierarchy, within the scope of their authority.

Authority: authority is a right or obligation to act on behalf of a department, agency, or jurisdiction. Authority in ICS also indicates the official recognition of an individual's certification and experience (capacity and capability) to provide effective leadership during an incident. The justification for granting authority in the United States is based upon our form of government, so ICS authority originates ultimately from the consent of the governed via their elected officials. This means authority is granted from the people and should never be used for any purpose other than the protection of the people.

The **Scope of Authority** will be addressed in more detail later in this chapter, but for now it should be accepted that those with Command Authority can give orders to others within the limits of the law. Do not confuse authority with "power". The "power"

C. Leadership and Integrity

Integrity is found in how you value yourself. You must be in charge of yourself, before you can be in charge of others. Leaders with integrity separate what is right from what is wrong and act according to what they know is right, even at personal cost. Your position of leadership means you are a shield for all those who serve under your authority. Good leaders serve those who follow them.

Make Good Decisions

Protect your team and their resources (including time) within reason. This means not disrupting other teams or efforts. To the best of your ability preserve everyone's ability to complete their respective missions. You can do this in your decision making.

Wait

Be calm in your deliberations and decisive in your actions. This does not mean to be slow, it means do not let the situation command you. Keep your head and think.

Think

Consider everything you know and think multiple steps forward; second and third order effects will be important to you and your team. Be the wise leader.

Judge

Judge the situation in accordance with your authority, capability, and capacity. Affect what you can and call for assistance for what you cannot. Ask, "Should it be done?" and then ask, "Are we the ones who should do it?"

Act

Be decisive and have the moral courage to do what needs to be done, what is right, and what is within your ability and authority (both moral and jurisdictional). This can be difficult. Choosing between right and wrong is easy. Making good decisions when there are no good options is where leaders make their mark.

Integrity means knowing yourself and seeking improvement.

- Know the strengths/weaknesses in your character and skill level
- Ask questions of peers and superiors
- Actively listen to feedback from subordinates

Integrity means seeking responsibility and accepting responsibility for your actions.

- Accept full responsibility for and correct poor team performance. Remember that as a leader you are responsible for everything that happens and fails to happen within your authority. If your team fails, find what YOU did wrong. Were orders not clear? Were resources not available? Was the task too great for your team?
- Credit subordinates for good performance. When your team succeeds give them the credit they deserve. Your superiors will know you lead well. Give the credit to the team as a whole.
- Keep your superiors informed of your actions. Higher commands need information like a body needs food. Keep the body fed and it will function well. This has definite advantages. Keeping your command informed will allow them to task you effectively and keep you well supplied and properly rested. A command cannot protect a resource who does not keep them informed of their situation. Support the command by giving them the information they require and they will be better able to support the people who serve as resources.

A. Scope of Authority (Limitations on Delegated Authority)

Scope of Authority is a term used in law to describe the limits of authority granted to an individual in a leadership position. Scope has several aspect including, but not limited to, “where”, the geographic area of one or more jurisdictions where their authority is recognized, “when” the duration of the authority and limitations what conditions can end that authority, “what”, the type and kinds of things they can direct, and “whom”, the resources in personnel, equipment and funds available to the command.

An Incident Commander’s Scope of Authority is derived in the same way as Delegation of Authority. Understand the difference; one is where authority comes from and the other is the limits of the authority. It is a subtle difference but an important one. Scope of Authority is defined in two ways.

- First is when the authority is already granted through existing laws, agency policies, and procedures. This would be the case in a larger city where the relationship between jurisdictions is already well established, coordinated, and practiced with hierarchies in place and personnel already certified and hired to serve in specific leadership roles.
- The second method is when a hierarchy does not exist and an ICS hierarchy needs to be established. In this case the Scope of Authority would be granted through a Delegation of Authority from the agency administrator or elected official. When this second method is used the Delegation of Authority should include the following elements to establish the Scope of Authority.
 - Legal authorities and restrictions
 - Financial authorities and restrictions
 - Reporting requirements
 - Demographic issues
 - Political implications
 - Agency or jurisdictional priorities
 - Plan for public information management
 - Process for communications
 - Plan for ongoing incident evaluation

The delegation should also specify the conditions or time frame that will end the Delegation of Authority prior to a Transfer of Command or release.

Implementing Authority (Once you have it, what will you do with it?)

Within his or her Scope of Authority, the Incident Commander establishes incident objectives, then determines strategies, resources, and ICS structure. The Incident Commander must also have the authority to establish an ICS structure adequate to protect the safety of responders and citizens, to control the spread of damage, and to protect the environment.

The methodology for performing this herculean task of leadership is described in detail in the plans chapter. It is a fairly specific process and will require study and contemplation to master, but once mastered it has a certain flow that lends itself to efficiency. It is designed this way and works well. What follows in the remainder of this leadership chapter is a discussion of what an ICS leader will want to accomplish. It is an overview of the plans process but not a complete description. It is important to learn the goals and general methods first so that the detailed instructions of the planning process will make more sense when it is introduced.

B. Management by Objectives

At its most basic level ICS is Management by Objectives, determining what needs to be done and organizing resources to accomplish those goals. Objectives are communicated throughout the entire ICS organization through the incident planning process which is then expressed in the form of the Incident Action Plan (IAP).

See 5-22 for further discussion of the IAP.

Management by Objectives includes:

- Establishing overarching objectives
- Developing and issuing assignments, plans, procedures, and protocols
- Establishing specific, measurable objectives for various incident management functional activities
- Directing efforts to attain them, in support of defined strategic objectives
- Documenting results to measure performance and facilitate corrective action

Management by Objectives Process

The process for establishing and implementing incident objectives involves:

Step 1: Understand Agency Policy and Direction.

Step 2: Assess Incident Situation.

Step 3: Establish Incident Objectives.

Step 4: Select Appropriate Strategy or Strategies to Achieve Objectives.

Step 5: Perform Tactical Direction.

Step 6: Provide Necessary Follow-Up.

Important Note: Scope of Authority can affect the kinds of objectives you are allowed to set. The Incident Commander must have a firm grasp of the policies and direction of his or her agency or jurisdiction. The laws, regulations, and policies of any agency or jurisdiction will govern the Incident Commander's Scope of Authority to act and, therefore, the objectives they can establish. An Incident Commander should never act or even plan outside of their Scope of Authority without coordination with higher authority. This does not mean that should not do what is right and required but that they should go to the higher authority for coordination and permission before operating outside of their Scope of Authority. The best example of how this works is to look at an expanding incident.

In an initial incident, a size-up is done to set the immediate incident objectives. The first responder to arrive must assume command and size up the situation by determining the nature and magnitude of the incident. To do this they will identify the hazards and safety concerns facing response personnel and the public, issue immediately required warnings and directives for evacuation, identify injuries and casualties, and determine any requirements to secure or isolate the area.

From these initial determinations the first responder on the scene identifies the immediate priorities and resource requirements. These may be well beyond their capability or Scope of Authority. At this point they will "call higher", initially through their regular dispatch, to communicate that the situation requires greater resources. Once this is done they facilitate the incoming authority by selecting an initial location for the Incident Command Post and Staging Area and identifying safe entrance and exit routes for responders.

This same general process can happen at a larger scale at all levels of ICS response. The lesson learned is that each authority can assess and operate within their respective authority and facilitate for the arrival and assistance of the next higher level without violating their Scope of Authority or any legal limitations. The key to success in this is communication.

See also p. 1-10.

C. Delegation of Authority Process (How Authority is Granted)

The process of granting authority to carry out specific functions is called the Delegation of Authority. A Delegation of Authority grants authority to carry out specific functions. It is issued by the chief elected official, chief executive officer, or agency administrator in writing or verbally.

It allows the Incident Commander to assume command but does NOT relieve the granting authority of the ultimate responsibility for the incident. Remember the discussion on Chain of Command and how accountability always moves up the chain.

Ideally, this authority will be granted in writing. Whether it is granted in writing or verbally, the authorities granted remain with the Incident Commander until such time as the incident is terminated, or a relief shift Incident Commander is appointed, or the Incident Commander is relieved of his or her duties for just cause.

Delegation of Authority is defined by the situation and law, the requirement of a Delegation of Authority has similar requirements. A Delegation of Authority may not be required if the Incident Commander is acting within his or her existing authorities. As in the case of an emergency manager who already has the authority to deploy response resources to a small flash flood or a fire chief probably who has the authority (as part of the job description) to serve as an Incident Commander at a structure fire. A Delegation of Authority is needed when the incident is outside the Incident Commander's jurisdiction, when the incident scope is complex or beyond existing authorities, or when required by law or procedures.

VI. Transfer of Command

A Note on Terminology: The terms Transfer of Authority and Transfer of Command are sometimes used interchangeably but they are not the same thing. One is a subset of the other. A Transfer of Authority refers to any transfer of any kind of authority. A Transfer of Command is a subset of this and refers to the specific authority of Command, and specifically refers to the change of an Incident Commander. Understand the difference between the two definitions as you read any ICS documents, including this one.

In an incident of any significant duration (i.e. over 12 hours) and in some other situations there will be a need to transfer authority to a new Incident Commander. When this happens a specific process is followed to ensure the transfer is correct, complete, documented, and communicated. This examination of the process covers the leadership considerations; the reasons and rationales of why a transfer of authority / command takes place. The Transfer of Command briefing is a big part of this process and although mentioned in this discussion, the details of the briefing and its conduct are covered in Chapter 6, Briefings. The intent of this discussion is to describe the process of Transfer of Command and list the essential elements of information involved in Transfer of Command in respect to leadership.

Transfer of Command is the process of moving the responsibility for incident command from one Incident Commander to another. Transfer of Command may take place for many reasons, some reasons are just part of dealing with an expanding incident, others are for purely legal reasons, and some reason are for cause to replace an ineffective Incident Commander.

Some things to keep in mind about the position of Incident Commander are that it is not just a figurehead position. It is not a prize or a badge of honor. It is an operational position that requires intelligence and knowledge to execute properly. The Incident Commander must be pragmatic and selfless in their service to every person under their command.

Chap 4

ICS: Dealing with Complexity

References: ICS-100 Unit 6: Unified Command, ICS-300 Unit 3: Unified Command, ICS-400 Unit 4: Area Command, ICS-400 Unit 5: Multiagency Coordination

What is Complexity?

Complexity in respect to Incident Command is not the effects of the disaster. Hurricane Katrina and Super-storm Sandy were big disasters but neither were complex as an event; they were complex as a response. Complexity is related to the human interaction in disaster response, not to the physical damage or geographic area affected by a disaster. Understand this difference and you will have gone a long way to understanding how to deal with Complexity.

The Three Cs

The Three Cs

Communication > Cooperation > Command

First there must be effective **Communication** so there is understanding.

Where there is understanding there can be **Cooperation**.

Where there is cooperation, **Command** is effective.

ICS uses Command and Coordination to turn Complexity and Confusion into Cooperation and Unity of Effort.

This is a simple concept that is very difficult to achieve. But with a cooperative attitude, standardized training and consistent application of ICS principles, Complexity can be overcome. The strength of ICS is found its ability to have many jurisdictions and disciplines involved in mitigation and still communicate, focus effort and function effectively.

Complexity is a very broad subject that covers aspects from loose concepts to specific methods and it is, by its very nature, a confusing and frustrating subject. The ICS leader(s) who can master the control of Complexity will be the most effective at disaster mitigation and reduction of aftermath.

This chapter is an introduction to methods of ICS that deal with higher levels of jurisdictional and operational Complexity. It is important to get a complete and firm grasp on ICS fundamentals before moving on to the components of the National Incident Management System (NIMS). For now concentrate on learning why these organizational structures are used. These fundamentals will be very helpful when you move on to learning how these organizational structures are developed, maintained, and deployed. In this chapter the descriptions of the forms and structures will move back and forth between Federal, State and Local. They are so intertwined that it is impossible to separate them. While this is a good thing for ICS it makes it problematic to compartmentalize in description. Be mindful of the different aspects being described and how they intertwine at the different levels of government.

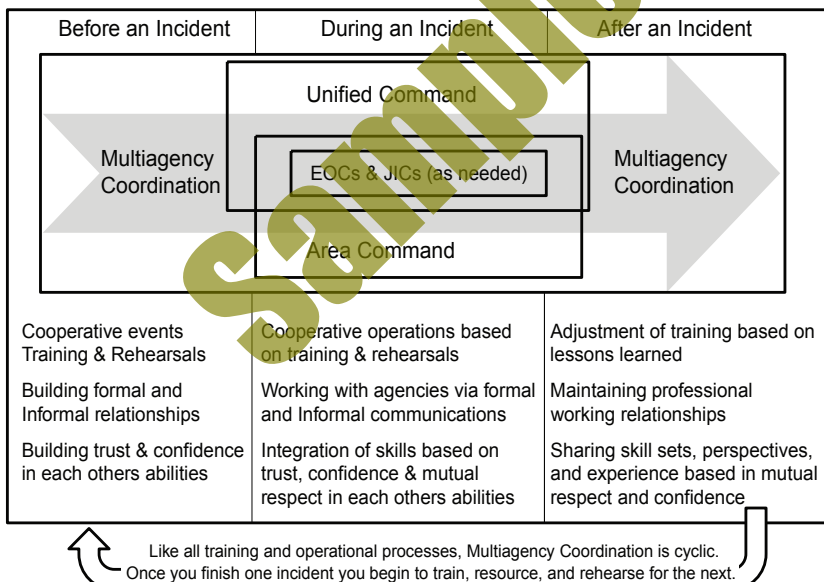
Types of Commands and Coordination

This chapter introduces Unified Command, Area Command, and Multiagency Coordination as specific methods of reducing incident Complexity. Each of these subjects addresses the difficulties of Complexity in a different way and they are almost always used in some combination with each other. As you read the chapter make note of how each of these three methods are interconnected with the other two, as well as having aspects that are independent of the other two.

The hinge pin that holds a complex incident response together is Multiagency Coordination (MAC). Even if the agencies have not trained and rehearsed ICS together they will still use MAC. Unified Command and Area Command can be used separately or together based upon the jurisdictional or geographic requirements of the incident respectively.

This mix of methodologies provides ICS leadership with options for incident response flexibility when dealing with jurisdictional (conceptual) Complexity and geographic (physical) Complexity. Endeavor to understand the balance between them and to see how they work together in ICS to create a stronger and more effective mitigation response.

Although we will address Multiagency Coordination last in this discussion it is important to understand that Unified Command and Area Command are in reality separate methods of command and coordination that are utilized within Multiagency Coordination. This order of presentation is to familiarize you with the aspects of Complexity before we go into how to reduce it.



I. Unified Command

Unified Command allows for coordinated efforts where there is jurisdictional Complexity. It can be used in a single area or in conjunction with Area Command. Unified Command is established in response to an incident as part of ICS. It is a style of command and coordination that is used when a single Incident Commander is not practical due to the jurisdictional Complexity of an incident. This can be related to the size of an incident but understand that in this case "size" equates to "too many jurisdictions".

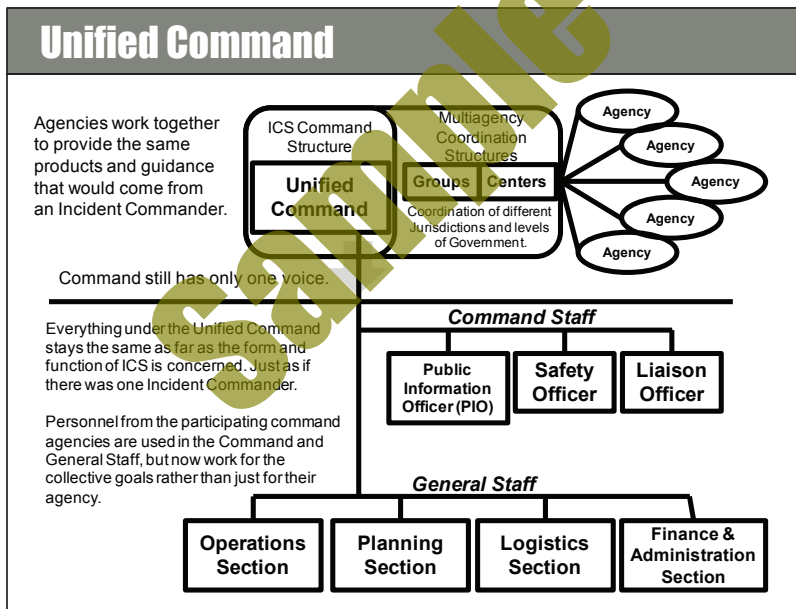
See pp. 4-4 to 4-8 for further discussion of unified command.

You will also discover that patterns of priority, ideals, form, function, and structure will be repeated in the descriptions of the National Response Framework, National Incident Management System, and Incident Command System. The similarity is not an accident. The different agencies and levels of government are designed to be similar in function even when separate in scale in order to work in harmony with each other. The needs of the lower jurisdictions are “nested” in the support goals of the higher jurisdictions. Harmony may seem to be an odd word to use to describe government functions, but it is a perfect word to use when describing Multiagency Coordination.

As you read this chapter you will receive explanations in parts that may seem, in the beginning, to be incomplete. The Complexity of the interactions requires this but upon completion of the chapter you will have all the parts required to see the whole picture and the dynamics within it.

I. Unified Command

Unified Command applies ICS in incidents involving multiple jurisdictions or agencies. This may be the case in the event of large scale incident where many jurisdictions are affected but a single effort to mitigate the effects is desirable. Incidences in populated metropolitan areas are good candidates for Unified Command where it enables institutions and agencies with different legal, geographic, and functional responsibilities to coordinate, plan, and interact effectively.



The Incident Commanders within the Unified Command make joint decisions and speak as one voice. Any differences are worked out within the Unified Command. This is not “command by committee” but rather a joint effort where each jurisdiction (geographic) or discipline (function) with a vested interest in the incident mitigation is represented in the collaborative decision making process.

The greatest advantage to Unified Command is the ability to have different disciplines take the lead with their expertise at different times during the incident. As an example; the police may take the lead in the beginning of a civil disturbance to coordinate establishing security, fire fighters may then pick up the lead when the

D. National & Regional Level MAC Structure

National Operations Center (NOC)

The NOC is the primary national hub for domestic incident management operational coordination and situational awareness. The NOC is a standing 24/7 interagency organization fusing law enforcement, national intelligence, emergency response, and private-sector reporting. The NOC facilitates homeland security information sharing and operational coordination with other Federal, State, Local, Tribal, and Non-government EOCs.

National Response Coordination Center (NRCC)

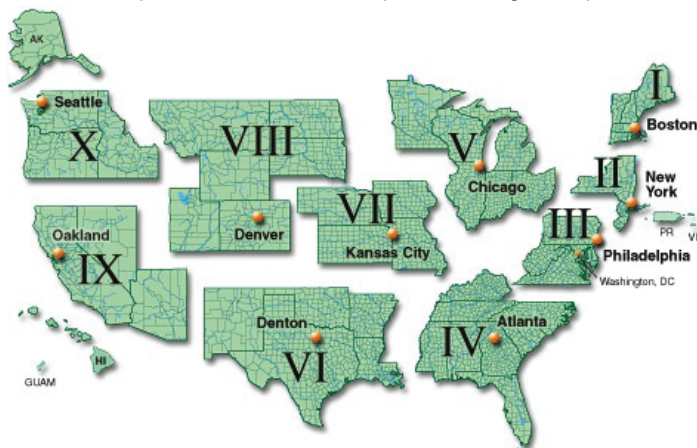
- Coordinates Federal resource deployment
- Provides operational support to regional field structures (Federal EOCs, JICs & JFOs)
- Develops strategic goals for Federal objectives
- Serves as an information conduit from the federal level to other Federal, State, Local, Tribal, and Non-government agencies

The NRCC is a multiagency center that provides overall Federal response coordination for emergency management program implementation (including both Stafford Act and non-Stafford Act incidents). FEMA maintains the NRCC as a functional component of the National Operations Center (NOC) in support of incident management operations. The NRCC replaces the Emergency Support Team.

Regional Response Coordination Center (RRCC)

- Establishes initial Federal objectives for an incident
- Provides Federal Support to the States affected by an incident
- Deploys teams to establish the Joint Field Office (for those functions) at the incident

The RRCC is a permanent activity established in a standing facility operated by FEMA. It is activated to coordinate regional response efforts, establish Federal priorities, and implement Local level Federal program support. The RRCC establishes communications with the affected State Emergency Management Agency and the National Response Coordination Center (NRCC), coordinates deployment of the Emergency Response Team-Advance Element (ERT-A) to field locations, assesses damage information, develops situation reports, and issues initial mission assignments. The RRCC operates until a JFO is established in the field and / or the Principal Federal Officer, Federal Coordinating Officer, or Federal Resource Coordinator can assume their National Response Framework (NRF) coordination responsibilities. The RRCC replaces the Regional Operations Center.



References: ICS-300 Unit 5: Planning Process

I. Plans

A plan is a mental tool. It provides order where there is chaos through forethought of preparation and priority of effort. Some plans are “stand alone” plans. They begin and end within themselves. There are no “stand alone” plans in the field of disaster preparedness or emergency response. Take this lesson to heart and understand that every response plan in the United States, from the Presidential directives that say “we should have a plan” to the Standard Operating Procedures for how to set the bone of a broken leg, are linked within one conceptual stream of thought that represents “our way” of provided emergency response. All plans need to be understood within this context. This is especially true of Incident Action Plans because the IAP is where the “rubber meets the road” for emergency response. Every other plan is preparation, an IAP is application.

In order to put the Incident Action Plan into context it is prudent to take a look at where the IAP fits into the big picture of response plans. The reason for this is that many people look at plans as if they stack in layers, one upon the next, each having its own “space” and separate from those above it or below it. This is not so. Although the actions within plans can stratify along jurisdictional lines, a better description would be to say all plans are inter-linked and dependent upon the all other plans. Plans are links in a long chain. If any one of them fails the chances are good that other plans, no matter how individually sound, will fail also.

To illustrate this interconnection a short description of Federal plans and the different functions they serve is provided here. A more complete description of Federal plans and their individual components can be found in Book #1 of this series (National Response Framework) but this short introduction will assist you in understanding the role the IAP plays within the full scope of a response effort.

After the introduction to Federal plans there is an important discussion on the components of plans and definitions of terms used in and around plans and planning. These components and terms will become important to your ability to understand what any particular plan really does and how it fits into the larger response effort. National response is complex and understanding these terms will help put each plan into context. As you will discover, context (or interaction between plans) is important.

When the discussion does get to the IAP you will see the linkage that provides for success in an IAP that is provided through a set of “nested” planning components that start at the National level (which provide authority, directives, definition, and eventually logistics) and come to fruition with direct support to an IAP at the Local level.

All of this is important for one of two reasons; if you are an ICS leader you will need to understand how plans work, and as a responder you should have enough confidence in the process to trust that the plans will work.

II. Federal Plans and their Relation to ICS and Incident Action Plans

Each separate Federal plan is one piece of a series of plans that interconnect to form what is collectively called the National Response. Reading a lone plan without the context of its relationship with other plans leaves the reader with an incomplete picture of the National Response as a whole. If you are reading a Federal plan and see a void or aspect that is not addressed, it only means that you need to go find the plan that meets that part of the need in the National Response. Sometimes finding all the plans required to meet all the national goals is difficult, but here are a few of the Federal plans that will have a significant impact on how things will work during a National Response to a disaster. A short description of the general concepts and priorities and methods of each plan will be provided with notes on how they interconnect with other Federal plans. For the purposes of our discussion, the goals of governance will be identified when they match a major aspect of the plan. Although not specifically addressed in ICS, the tenets of governance are important to response. (For a complete discussion on governance see book 3 in this series, Disaster Preparedness)

1. Presidential Defense Directive 67 (PDD 67): Enduring Constitutional Government and Continuity of Government Operations, 21 October 1998

This defense plan is a classified document and its contents are secret. The existence of the plan is not a secret, but the aspects of the plan are secret. It is the directive for all branches of government (including some programs and agencies that are not mentioned openly) and provides detailed standards for how the U.S. will respond to a major catastrophic event. The text of PDD-67 has not been released, and there is no White House fact sheet summarizing its provisions. It makes a certain amount of common sense not to openly display our defense and security plans. This is done to ensure the National Response plans for the U.S. are not countered by an opponent reverse engineering our plan in order to find (or create) vulnerabilities. What we do know about PDD 67 comes from the non-secret Continuity of Operation and Continuity of Government plans that were written at the direction of PDD 67 for the subsequent branches of government. This is open-source (meaning unclassified and open to media release) information and can be quite revealing.

The President will coordinate the cooperative efforts of National Response, not control or direct. This means the separate branches of government will stay separate, and the sovereignty of the States is preserved. This specification that the President will not have "special executive powers of authority" is important. We will see the theme of the preservation of authority within State and Local level jurisdictions repeated throughout the plans. This is the best indication of the government's intention to help without taking over. The executive branch, being the largest branch of government, has well-defined plans that offer a good view of the goals and methods of the plans.

2. Federal Continuity Directive 1 (FCD 1): Federal Executive Branch National Continuity Program and requirements (Feb 2008)

This is the overall plan on how the executive branch of the Federal Government will respond to a major disaster. This is the order for what is to be done. It is a Continuity of Operation, or COOP, plan which means its purpose is to ensure that the essential functions of government do not completely break down by directing the organizations, agencies, and departments of the executive branch to identify their respective

mission functions. Mission functions are important because they identify services that the government must provide to the people.

Primary Mission Essential Functions (PMEF): These functions are those tasks each organization must ensure continue in a seamless and immediate manner. Plans for PMEFS are made independently by each organization and simultaneously with other plans.

Mission Essential Functions (MEF): These functions are those tasks each organization must ensure they can continue to provide or resume rapidly after a disruption. Plans for MEFs are made independently by each organization and simultaneously with other plans.

It provides annexes to give specific direction on a variety of who, what, when, where, and why issues. It issues standards, timelines, redundancies and testing requirements to ensure the separate parts of the executive branch can perform their duties in case of a disaster. What it does not say is how to do these things, leaving the details to the individual organizations.

There was some confusion when Federal Continuity Directive (FCD) 1 was released in 2008: the legislative and judicial branches were nowhere in the plan! They were not directed, included, or even addressed. Some people took exception to this and mistakenly believed that the President had made a plan for National Response without the benefits of the legislative or judicial branches. This, of course, is not true. Because FCD 1 is the Continuity of Operations Plan (COOP) for the executive branch, the plan only addresses the executive branch. The President has no authority to direct the legislative or judicial branches in any way. FCD 1 was designed to coordinate with the plans of the other branches of government as outlined in the Continuity of Government and Enduring Constitutional Government plans. This is a good example of the issue of a seemingly incomplete plan being misread by people who do not understand the purpose of each of the COOP, COG, and ECG plan types.

A review of FCD 1, Annex D: Essential Functions provides the details that appeared to be missing from the plan. It spells out exactly what the goals of the plan are along with the authorities and responsibilities of the different branches of government. As described earlier in this chapter, the participants in the plans are all three branches of the Federal Government, who hold the resources and moneys needed for National Response; the State, Local, Territorial, and Tribal Governments, who hold most of the authority; and private-sector critical infrastructure owners and operators, who control the capability for production and manufacturing.

3. Executive Order 12656, Assignment of Emergency Preparedness Responsibility

This document provides specifics on the areas of responsibility for the Departments of Agriculture, Commerce, Defense, Education, Energy, Health and Human Services, Housing and Urban Development, Interior, Justice, Labor, State, Transportation, Treasury, Environmental Protection Agency, Federal Emergency Management Agency (FEMA), National Aeronautics and Space Administration (NASA), National Archives and Records Administration, Nuclear Regulatory Commission, Office of Personnel Management, Selective Service System, Tennessee Valley Authority, United States Information Agency, United States Postal Service (USPS), the Veterans Administration, and the Office of Management and Budget. This is the order that describes who is to perform what tasks. For all intents and purposes, EO 12656 outlines the Primary Mission Essential Functions (PMEF) and Mission Essential Functions (MEF) for each executive branch function. There is not a lot left to the imagination in this order, and it represents a clear understanding from the White House of what it expects from each executive branch function.

Federal Plan Types and Tasks

Federal plans are designed to do different things at different times. When you find a plan that looks incomplete, think about what that plan was designed to do. No plan does everything, so when one plan appears lacking; the chances are good there is another plan to cover the issue you are concerned about. Federal plans fall into one of these three major categories: Continuity of Operation (COOP), Continuity of Government (COG), and Enduring Constitutional Government (ECG). Each has special components to meet specific requirements. We will not go into great detail here to describe the mechanics of these plans, but knowing what each kind of plan is designed to accomplish is very helpful in understanding how the different plans work together.

Continuity of Operation Plan (COOP)

COOPs are individual organizational efforts within organizations, agencies, or departments within a branch of government and provide guidance, both specific and general, as to how the individual organizations, agencies, or departments are to ensure they can continue to perform their respective duties.

Continuity of Government (COG)

COG plans are coordinated organizational efforts within branches of government to ensure the eight National Essential Functions (which will be described in detail soon) are continuously protected, supported, and provided.

Enduring Constitutional Government (ECG)

ECG plans are cooperative efforts between the three branches of government — legislative, executive, and judicial — coordinated by the president, where each branch does its part in a mutually supporting and friendly manner to ensure the eight National Essential Functions are continuously protected, supported, and provided for the express purpose of preserving the constitutional framework under which the nation is governed.

Important Definitions

Continuity of Government (COG). Activities that address the continuance of constitutional governance.

Continuity of Operations (COOP) Plans. Ensure the continued performance of core capabilities and/or critical government operations during any potential incident.

Enduring Constitutional Government (ECG). ECG plans are cooperative efforts between the three branches of government.

Presidential Directives & Executive Orders. In relation to incident response, PDs & EOs provide authority to Federal agencies to make plans and take actions.

Emergency Operations Plan (EOP). The ongoing plan maintained by various jurisdictional levels for responding to a wide variety of potential hazards. (All Hazards Approach)

Incident Action Plan (IAP). An oral or written plan containing general objectives reflecting the overall strategy for managing an incident.

Recovery Plan. A plan developed to restore the affected area or community.

Roles and Responsibilities

Checks and balances are a big part of how government works in the United States, and it is important to maintain this balance, especially in times of emergency. No one part of government is allowed to have sole authority over “Caesar’s Trifecta” of manpower, material, and authority to command. We see this represented in the three separate branches of government. We can see these same ideas in the roles and responsibilities of disaster response, where it is less about defense of Freedom and more about being able to concentrate on providing the different aspects of required services well. You will find that the providers within the plans fall within one of three major groups: Service Providers, Material Providers, and Authority Providers.

Service Providers and Technical Leadership

These groups will have the capability and skills to take action. They do not have the authority to take action without permission and do not provide their own long-term resources. Examples of Service Providers are the police, fire department, and military.

Material Providers and Control Elements

These groups have the resources in the form of money to pay for manpower and materials to do the things that need to be accomplished, but will not have the authority to take action and may not have the skills to use the materials they can provide. The best example of this is FEMA. They have resources and the ability to control large operations, but rely on Local and State Government to bring Service Providers and technical leadership.

Authority Providers

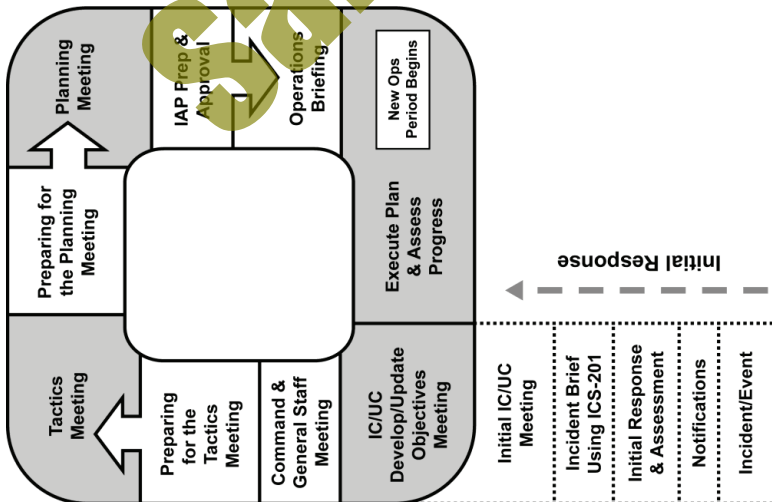
These groups have the power to start and stop the actions of Service Providers. This idea of needing authority to take action is a very important form of control and comes in the form of jurisdiction, which we will discuss in detail in a later chapter. Elected officials are Authority Providers.

With no one group having all three powers, each group is dependent upon the others to get the job done. Working together, the balance of power is maintained between Local, State, and Federal Government. At the State, Local Government, and private-sector level, it is important that resources be separate from government control. This is the strength behind how a representative republic and capitalism work together. The table below provides a visual representation of the providers and their respective roles.

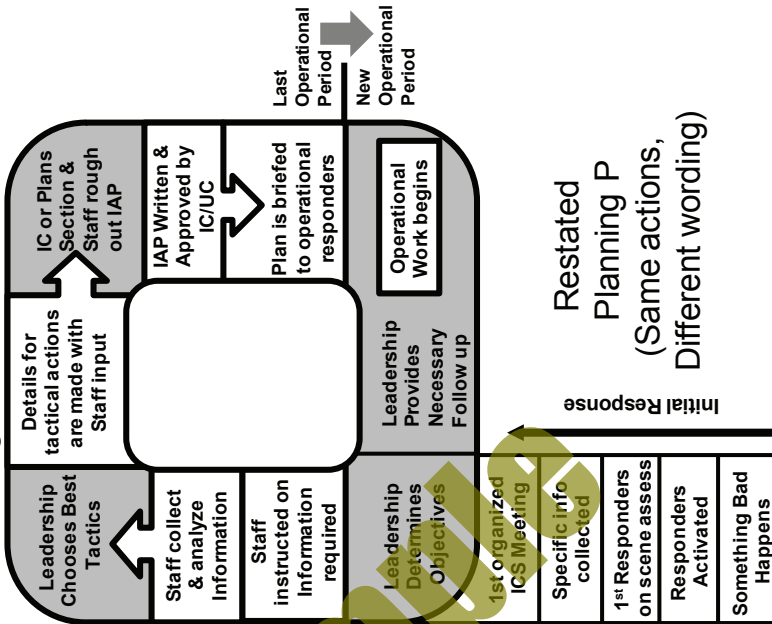
Federal Plan Participants

Group	Participants	Provide
Federal Government	Executive Branch	Leadership & Resources for action (short term)
	Legislative Branch	Authority to spend or use resources (long term)
	Judicial Branch	Constitutional Rulings on Roles & Authority
State, Local, Territorial, and Tribal Government	Elected Officials	Leadership & Authority within Jurisdictions
	Emergency Services	First Response
	Public Services	Reestablish lost services
Private Sector	Owners	Leadership, Money, & Materials
	Operators	Skills and Labor

Planning P with Methods



Planning P with Products



Restated
Planning P
(Same actions,
Different wording)

Planning Process for Developing an IAP

This process is to establish the operational requirements of the IAP. It is an operational mirror image of the strategic Plan Development Process. Note that the IAP is just one of the products generated during the Planning Process for Developing an IAP, but it is the major item. As pointed out earlier, all of these actions work at the operational level except for the last set which is operational but has direct tactical applications. The components are:

1. Understand the Situation
2. Establish Incident Objectives and Strategy
3. Develop the Plan
4. Prepare and Disseminate the Plan
5. Execute, Evaluate, and Revise the Plan

1. Understand the Situation

The first phase includes gathering, recording, analyzing, and displaying situation, resource, and incident potential information in a manner that will facilitate:

- Increased situational awareness of the magnitude, complexity, and potential impact of the incident; and
- The ability to determine the resources required to develop and implement an effective IAP

2. Establish Incident Objectives and Strategy

The second phase includes formulating and prioritizing measurable Incident Objectives and identifying an appropriate strategy. The Incident Objectives and Strategy must conform to the legal obligations and management objectives of all affected agencies. These may also need to include specific issues relevant to critical infrastructure.

Reasonable alternative strategies that will accomplish overall Incident Objectives are identified, analyzed, and evaluated to determine the most appropriate strategy for the situation at hand. Evaluation criteria include public health and safety factors, estimated costs, and various environmental, legal, and political considerations.

3. Develop the Plan

The third phase involves determining the tactical direction and the specific resource, reserves, and support requirements for implementing the selected strategies and tactics for the Operational Period.

Before the formal planning meetings, each member of the Command and General Staffs is responsible for gathering certain information to support the proposed plan. All Command and General Staff members have responsibilities for planning and the goal is to generate a tactical plan in the form of an IAP.

Incident Commander

- Provides overall Incident Objectives and Strategy
- Establishes procedures for Incident Resource Ordering
- Establishes procedures for resource activation, mobilization, and employment
- Approves completed IAP by signature

(With Safety Officer)

- Reviews hazards associated with the incident and proposed tactical assignments
- Assists in developing safe tactics
- Develops safety message(s)

Operations Section Chief

- Assists in identifying strategies
- Determines Tactics to achieve Incident Objectives
- Determines work assignments and resource requirements.

(With Safety Officer)

- Reviews hazards associated with the incident and proposed tactical assignments
- Assists in developing safe tactics

Planning Section Chief

- Conducts the planning meeting
- Coordinates preparation and documentation of the IAP

Logistics Section Chief

- Ensures that resource ordering procedures are communicated to appropriate agency ordering points
- Develops a transportation system to support operational needs.
- Ensures that the Logistics Section can support the IAP
- Completes assigned portions of the written IAP
- Places order(s) for resources

Finance / Admin. Section Chief

- Provides cost implications of Incident Objectives, as required
- Ensures that the IAP is within the financial limits established by the Incident Commander
- Evaluates facilities, transportation assets, and other contracted services to determine if any special contract arrangements are needed

4. Prepare and Disseminate the Plan

The fourth phase involves preparing the plan in a format that is appropriate for the level of complexity of the incident. For the initial response, the format is a well-prepared outline for an oral briefing. For most incidents that will span multiple Operational Periods, the plan will be developed in writing according to ICS procedures.

5. Execute, Evaluate, and Revise the Plan

The Planning Process includes the requirement to execute and evaluate planned activities and check the accuracy of information to be used in planning for subsequent Operational Periods. The General Staff should regularly compare planned progress with actual progress. When deviations occur and when new information emerges, that information should be included in the first step of the process used for modifying the current plan or developing the plan for the subsequent Operational Period.

ICS Resource Management Process

References: ICS-300 Unit 6 Resource Management, IS-703 Unit 6 Resource Management.

The ICS Resource Management process is the specific method of Resource Management used within an incident. It is the standard for Incident Commander and Unified Command Resource Management received from agencies and departments for the purpose of incident mitigation. This is different than agency level ICS Resource Management in that agency level management is about anticipation of needs and the incident level management process is based upon identified need.



Note the difference in the scale of consideration of issues between agency level and incident level Resource Management. As plans become orders anticipation is replaced with identified needs, storage is replaced with distribution, skills training and credentialing is replaced with assignment of tasks, budgets become executed contracts; ideas are now actions.

The ICS Resource Management Process includes the following steps outlined below. Each of these steps has specific standardized methods that are used in order to make the process familiar to all personnel. This common expectation of methodology saves time and improves the effectiveness of the process because the learning curve for how to identify, order, and manage resources is completed before the incident.

- Establishment of Resource Needs
- Resource Ordering
- Check-In Process and Tracking
- Resource Utilization and Evaluation
- Resource Demobilization

I. Establishment of Resource Needs

I. Establishment of Resource Needs (Kind / Type / Quantity)

- Tools – ICS FORMS 215 & 215A
- Kind & Type, and Quantity
- Building safety into the planning process

II. Resource Ordering (Request and Acquisition)

III. Check-in Process and Tracking (Status and Location)

IV. Resource Utilization and Evaluation (Using the Resources Effectively)

V. Resource Demobilization

This “first step” of the ICS Resource Management Process should be seen as a starting point in a cyclic process. Although it serves as an initial starting point it is also part of a larger process within the Planning P and the ICS Resource Management Process functions in synchronization with the ICS Planning Process.

The initial assessment of resource needs will be based on the immediately identifiable needs of the incident and some details will not be known until responders have a chance to collect more information on the situation. As an incident grows in size or complexity the establishment of resource needs is a much more involved task. The take away point is that Incident Command should not wait for “perfect understanding” in an incident. They should be diligent in the first assessment, make a plan based on the available information, and then commence with the known objectives. There will be an opportunity to refine and adjust the resource needs as more information becomes available.

During a small incident this process can be conceived and managed by a single person. Where only one jurisdiction is primarily involved the resources ordering process is typically prepared at the incident, approved by the Incident Commander, and transmitted from the incident to the jurisdiction or agency ordering point. The existing hierarchy within the jurisdiction does not need to delegate authority to mobilize resources and make expenditures for material.

A. Tools (ICS Forms 201, 215 and 215A)

The ICS Forms used for this activity are the Incident Briefing, ICS Form 201, the Operational Planning Worksheet (ICS Form 215) and the Incident Safety Analysis ICS FORM 215A.

ICS Form 201, Incident Briefing

The Incident Briefing, ICS FORM 201 provides the Incident Commander (and the Command and General Staff assuming command of the incident) with basic information regarding the incident situation and the resources allocated to the incident. From the logistical perspective, the ICS FORM 201 provides the initial accounting of available resources. This will be vital information during the staff and tactics meetings. Remember the basic formula:

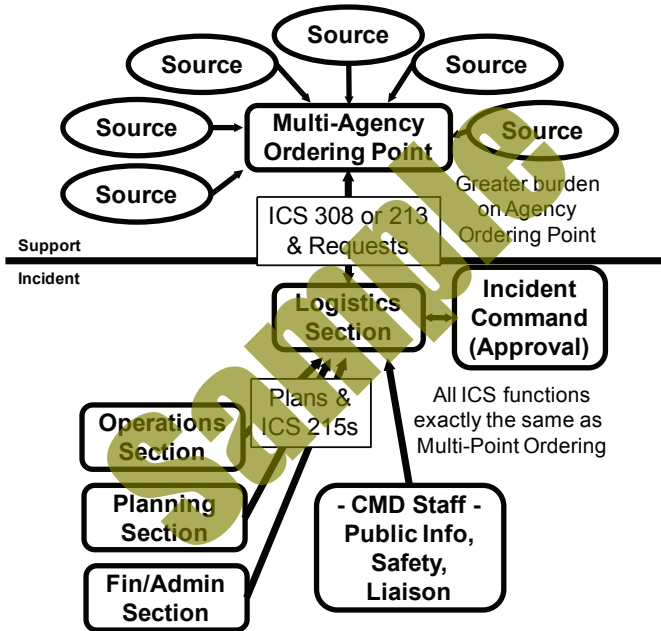
Mission Requirements – Resources On-Hand = Resource Request

Single vs. Multi-Point Ordering

Single Point Ordering

The concept of Single Point resource ordering is that the burden of finding the requested resources is placed on the responsible jurisdiction / agency dispatch / ordering center and not on the incident organization. Off incident resource ordering provides some advantages and is the preferred method of resource ordering. On smaller incidents this method works very well especially when a majority of the resources are coming from one jurisdiction or from other Local jurisdictions that are familiar with the personnel and policies the centralized dispatch / ordering center.

Single Point Ordering



However, Single Point resource ordering may not be feasible when:

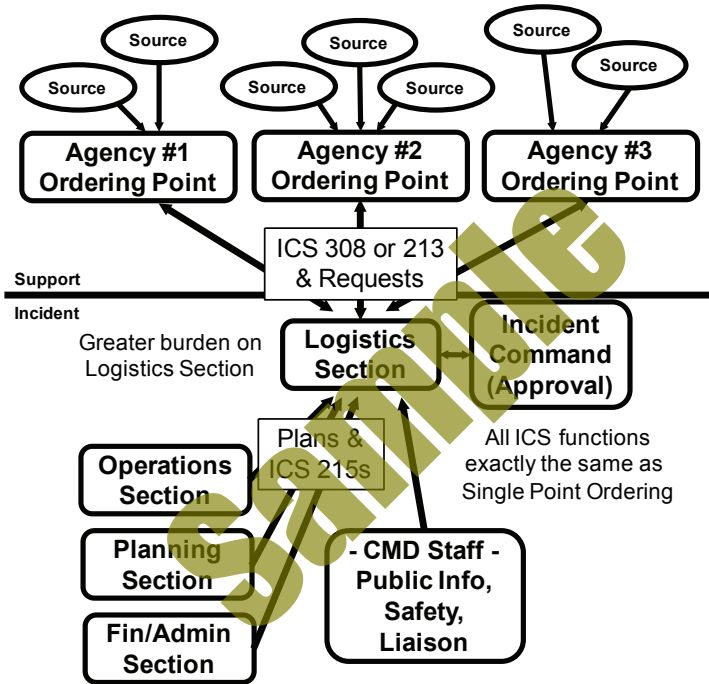
- The dispatch / ordering center becomes overloaded with other activity and is unable to handle new requests in a timely manner
- Assisting agencies at the incident have policies that require all resource orders be made through their respective dispatch / ordering centers
- Special situations relating to the order may necessitate that personnel at the incident discuss the details of the request directly with an off-site agency or private-sector provider

The first choice solution to this is to establish a multi-agency ordering center with representatives from the respective agencies and activates providing support to the incident.

Multi-Point Ordering

Multi-Point ordering is when the incident orders resources from several different ordering points and / or the private sector. Multi-Point off-incident resource ordering should be done only when necessary. Multi-Point ordering places a heavier load on incident personnel by requiring them to place orders through two or more ordering points. It also requires tremendous coordination between and among ordering points, and increases the chances of lost or duplicated orders.

Multi-Point Ordering



This option should be reserved for situations where there is a compelling reason to draw the majority of the coordination in to the logistics section. There could be several situations that would make Multi-Point ordering advantages but each incident should be examined independently before this option is selected. Some examples of possible reasons are:

- Large geographic areas are affected by the incident or there are significant physical barriers to travel. Examples of this could be requirements of ICS Divisions or in the case of an incident that crossed State or National boundaries.
- The incident has disrupted infrastructure to the point where the power and communication capabilities are dependent upon the resources deployed to the incident.
- Special circumstances require the use of separate ordering agencies as in the case of federalized military forces, special nuclear, biological, and chemical elements, or political considerations that make Multiagency Coordination impractical.

ICS Demobilization

References: ICS-300 Unit 7: Demobilization, Transfer of Command, and Close-Out.

Within the context of deployment, the factors of demobilization are addressed with the intent of framing demobilization in relation to the other dynamics affecting resources as well as Incident Commands. This is done to demonstrate the complexities of demobilization and to provide understanding of, and options for, dealing with that complexity.

ICS Demobilization

Demobilization

- Demobilization and the Resource Deployment Cycle

Tools and Considerations

- ICS FORM 211 Demobilization Check Out
- Demobilization of Command and General Staff
- Demobilization and Transfer of Command
- Area Command in Demobilization Process

The Plan

- The Importance of Demobilization Planning
- IMT responsibilities in the Demobilization planning process
- Impact of Agency Specific Policies, Procedures, and agreements
- The Demobilization Plan
- Sections of the Demobilization Plan

The Close Out

- Closeout Considerations
- After Action Review

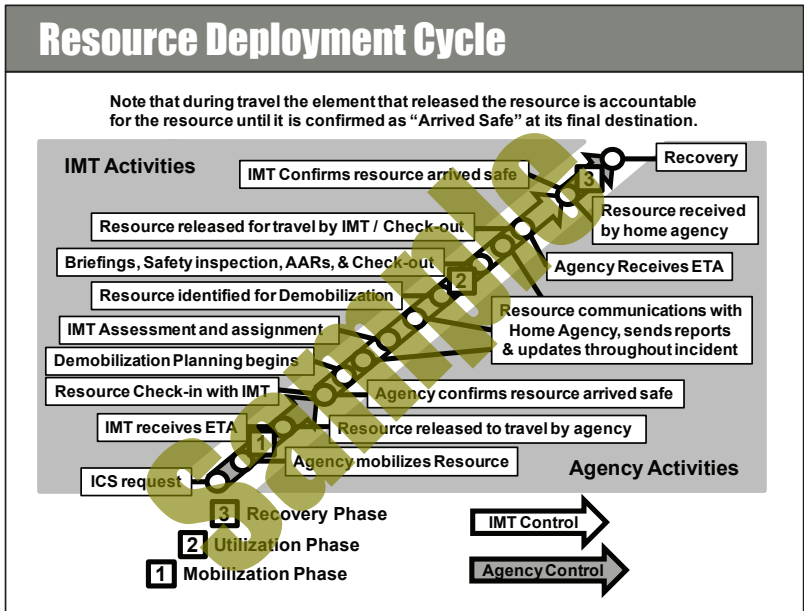
Demobilization and the Resource Deployment Cycle

Demobilization seems like a simple concept; once the incident is mitigated, responders count their equipment, collect their receipts and vouchers, and everyone gets to go home again. But let's take a moment to put this activity into perspective. The reality is that demobilization is just one aspect of a larger cycle that resources take part in when they are deployed. To understand the impacts of demobilization it is necessary to understand all the phases a resource encounters during the Resource Deployment Cycle.

The Resource Deployment Cycle is a narrative description of the steps and phases that take a resource through its service within an incident. The deployment cycle is just a small piece of Resource Management. It takes years to equip and train a response resource. It takes hundreds of hours of negotiation to agree upon how resources can and should be used. And finally it takes months of negotiation and

coordination to generate the agreements required to allow the release of resources and the expenditure of funds.

Thousands of separate agencies and departments work, build, train, and coordinate within NIMS and ICS in order to create a system of available resources to respond to an incident. All for the express purpose of providing resources to an Incident Commander or Unified Command with the understanding and expectation, that each agency will get their resources back. Where many agencies have years to prepare and provide, the Incident Command only has the duration of the incident to utilize and return. When IC / UC's understand that the demobilization process is just one step in this whole deployment cycle, they will gain a better understanding of where demobilization fits into it. Because of the level of detail and documentation required for demobilization, the IC must start the process of planning for the return of any resource as soon as a resource is received. This recommendation will be repeated throughout the chapter to emphasize the point.



The graphic above depicts the general activities of the mobilization, utilization, and recovery of a resource. The details of the demobilization portion of this cycle are the subject of this chapter. They will be covered in great detail but for now take in the entirety of the cycle and understand the one significant underlying truth; The IC / UC never really "owns" the resource and the agency never really gives the resource up. The idea that the IC / UC is a steward of the resource and must return it as it was provided is paramount to the success of the demobilization process and the resource deployment cycle as a whole. The accountability for the resource is shared between the ICS Command and the providing agency with one party or the other having the primary role of command for the purpose of Unity of Command.

I. Resource Deployment Cycle Phases

The Resource Deployment Cycle has three phases: Mobilization, Utilization, and Recovery.

Resource Deployment Cycle Phases

Mobilization Phase:

- ☐ Request
- ☐ Mobilization
- ☐ Dispatch
- ☐ Ingress Travel

Utilization Phase:

- ☐ Receipt
- ☐ Assessment
- ☐ Assignment
- ☐ Demobilization
- ☐ Egress Travel

Recovery Phase:

- ☐ Receipt
- ☐ Assessment
- ☐ Recovery

A. Mobilization Phase

The mobilization phase consists of a request for a resource, the mobilization or “call up” of the resource, dispatch of the resource by the providing agency, and ingress travel to the appointed Check-In point at the incident. The providing agency is the command element during this phase.

1. Request

The request for resources will come to the agency through some official means of communication. This is an important control measure that must be respected by the agency. During a small incident this may be as simple as the Incident Commander contacting their dispatch center for additional resources. During a large incident the request may be coordinated through a County, State, or Regional Emergency Operations Center. The request should identify the requirement and provide all necessary information using the Resource Order Information Elements. If it does not then the agency should ask for clarification until a complete request is provided. Official requests will include this vital information and the lack of it should be an indicator that the request may not be properly staffed. This does not mean the agency should ignore or refuse the request. Only that they should ensure the request is official and complete.

2. Mobilize

Resource mobilization consists of calling up agency resources (usually per a practiced and properly resourced agency plan) and preparing to deploy to the incident. This process will be specific to the agency and often times specific to the resource. It is important to ensure that all preparations are complete prior to departure as there may not be means available to stock or complete preparations after departure.

A note on anticipation: In many cases an agency will have a good idea that a resource request is expected. Agencies are encouraged to conduct notifications of personnel and preparations in anticipation for a request but should be careful not to expend significant resources during this anticipation. A verbal request from an identified official authority, with assurance of a formal request to follow, is acceptable and often prudent, but should the request not arrive the expense of the mobilization will most often be the responsibility of the agency.

ICS Terms & Definitions

This chapter provides definitions for terms used within ICS and NIMS. Understanding these terms and definitions are an important part of effective communication during planning, preparing for, and responding to an incident.

Accessible: Having the legally required features and / or qualities that ensure easy entrance, participation, and usability of places, programs, services, and activities by individuals with a wide variety of disabilities.

Acquisition Procedures: Those policies and regulations used individually or collectively by agencies and departments to obtain resources to support operational requirements.

Agency: A division of government with a specific function offering a particular kind of assistance. In the Incident Command System, agencies are defined either as jurisdictional (having statutory responsibility for Incident Management) or as assisting or cooperating (providing resources or other assistance). Governmental organizations are most often in charge of an incident, though in certain circumstances private sector organizations may be included. Additionally, Non-governmental organizations may be included to provide support.

Agency Administrator / Executive: The official responsible for administering policy for an agency or jurisdiction, having full authority for making decisions, and providing direction to the management organization for an incident.

Agency Dispatch: The agency or jurisdictional facility from which resources are sent to incidents.

Agency Representative: A person assigned by a primary, assisting, or cooperating Federal, State, Tribal, or Local government agency or private organization that has been delegated authority to make decisions affecting that agency's or organization's participation in incident management activities following appropriate consultation with the leadership of that agency.

All-Hazards: Describing an incident, natural or manmade, that warrants action to protect life, property, environment, public health or safety, and minimize disruptions of government, social, or economic activities.

Allocated Resources: Resources dispatched to an incident.

Area Command: An organization established to oversee the management of multiple incidents that are each being handled by a separate Incident Command System organization or to oversee the management of a very large or evolving incident that has multiple incident management teams engaged. An agency administrator / executive or other public official with jurisdictional responsibility for the incident usually makes the decision to establish an Area Command. An Area Command is activated only if necessary, depending on the complexity of the incident and Incident Management Span of Control considerations.

Assessment: The evaluation and interpretation of measurements and other information to provide a basis for decision making.

Assigned Resources: Resources checked in and assigned work tasks on an incident.

Assignments: Tasks given to resources to perform within a given Operational Period that are based on Operational Objectives defined in the Incident Action Plan.

Assistant: Title for subordinates of principal Command Staff positions. The title indicates a level of technical capability, qualifications, and responsibility subordinate to the primary positions. Assistants may also be assigned to Unit Leaders.

Assisting Agency: An agency or organization providing personnel, services, or other resources to the agency with direct responsibility for Incident Management. See Supporting Agency.

Available Resources: Resources assigned to an incident, checked in, and available for a mission assignment, normally located in a Staging Area.

Badging: Based on credentialing and resource ordering, provides incident-specific credentials and can be used to limit access to various incident sites.

Base: The location at which primary Logistics functions for an incident are coordinated and administered. There is only one Base per incident. (Incident name or other designator will be added to the term Base.) The Incident Command Post may be co-located with the Base.

Branch: The organizational level having functional or geographical responsibility for major aspects of incident operations. A Branch is organizationally situated between the Section Chief and the Division or Group in the Operations Section, and between the Section and Units in the Logistics Section. Branches are identified by the use of Roman numerals or by functional area.

Cache: A predetermined complement of tools, equipment, and / or supplies stored in a designated location, available for incident use.

Camp: A geographical site within the general Incident Area (separate from the Incident Base) that is equipped and staffed to provide sleeping, food, water, and sanitary services to incident personnel.

Certifying Personnel: Process that entails authoritatively attesting that individuals meet professional standards for the training, experience, and performance required for key incident management functions.

Chain of Command: A series of Command, Control, Executive, or Management positions in hierarchical order of authority.

Check-In: Process in which all responders, regardless of agency affiliation, must report in to receive an assignment in accordance with the procedures established by the Incident Commander.

Chief: The Incident Command System title for individuals responsible for management of functional Sections: Operations, Planning, Logistics, Finance / Administration, and Intelligence/Investigations (if established as a separate Section).

Command: The act of directing, ordering, or controlling by virtue of explicit statutory, regulatory, or delegated authority.

Command and Control: This term refers to the process of directing operational activities within a Chain of Command.

12-2 ICS Terms & Definitions

ICS Tools

Some important tools you should have available at the incident include:

- ICS Forms
- Position Description and Responsibilities
- Emergency Operations Plan
- Agency Policies and Procedures Manual
- Maps

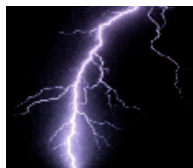
ICS Forms

When receiving ICS forms, some questions you should ask yourself about each form are:

- **Purpose** – What function does the form perform?
- **Preparation** – Who is responsible for preparing the form?
- **Distribution** – Who needs to receive this information?

The following commonly used ICS forms can be found on the NIMS Resource Center at <http://www.fema.gov/nims>:

- ICS Form 201, Incident Briefing
- ICS Form 202, Incident Objectives
- ICS Form 203, Organization Assignment List
- ICS Form 204, Assignment List
- ICS Form 205, Incident Radio Communications Plan
- ICS Form 206, Medical Plan
- ICS Form 207, Organizational Chart
- ICS Form 209, Incident Status Summary
- ICS Form 210, Status Change Card
- ICS Form 211, Check-In List
- ICS Form 213, General Message
- ICS Form 214, Unit Log
- ICS Form 215, Operational Planning Worksheet
- ICS Form 215a, Incident Action Plan Safety Analysis
- ICS Form 216, Radio Requirements Worksheet
- ICS Form 217, Radio Frequency Assignment Worksheet
- ICS Form 218, Support Vehicle Inventory
- ICS Form 220, Air Operations Summary
- ICS Form 221, Demobilization Plan
- ICS Form 226, Personnel Evaluation Form
- ICS Form 308, Resource Order Form



(ICS SMARTbook) Index

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Related SMARTbooks (HD/HS, DSCA, Disaster)

SMARTbook
Order Form

Disaster management (or emergency management) is the term used to designate the efforts of communities or businesses to plan for and coordinate all the personnel and materials required to either mitigate the effects of, or recover from, natural or man-made disasters, or acts of terrorism. Defense support of civil authorities (DSCA) is support provided by federal military forces, Dept of Defense assets, and National Guard (NG) forces in response to requests for assistance from civil authorities for domestic emergencies, law enforcement support, and other domestic activities, or from qualifying entities for special events.

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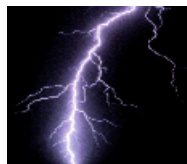


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On-Scene, All-Hazards Incident Management



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