E/L/G 0400
Advanced Incident Command System for Complex Incidents

FEMA

Student Manual
April 2019
Version 1.0

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Unit 1: Course Introduction

STUDENT MANUAL

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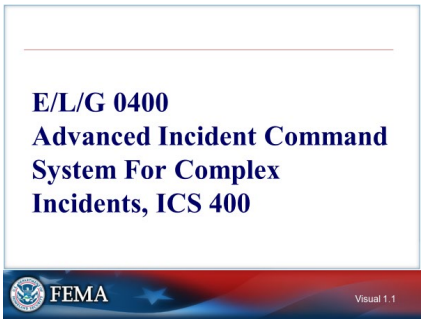
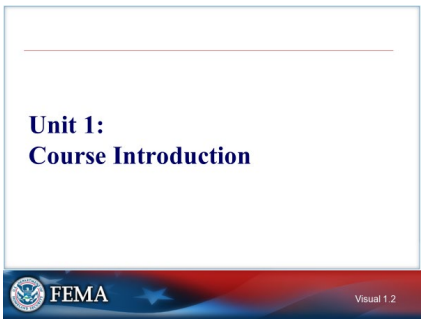


Visual 1.1

E/L/G 0400 ADVANCED INCIDENT COMMAND SYSTEM FOR COMPLEX INCIDENTS, ICS 400

This course builds on the ICS 100, ICS 200, and ICS 300 courses. However, it was designed to provide overall incident management skills rather than tactical expertise. Additional courses are available on developing and implementing incident tactics.



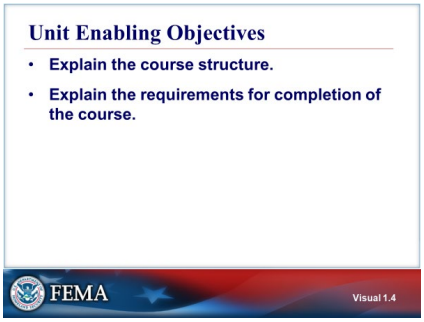
Visual 1.2

UNIT 1: COURSE INTRODUCTION

Visual 1.3

UNIT TERMINAL OBJECTIVE

Identify the course scope, objectives, and classroom logistics.



Visual 1.4

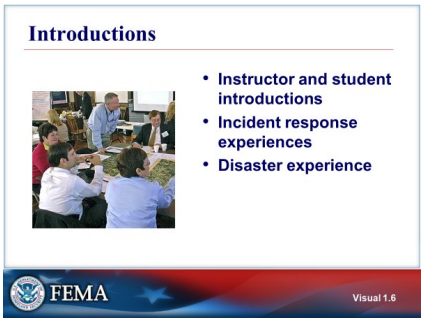
UNIT ENABLING OBJECTIVES

- Explain the course structure.
- Explain the requirements for completion of the course.

The pretest and final exam are based on the Unit Enabling Objectives from Units 3 – 5. Because Unit 2 is a review of ICS 100, ICS 200, and ICS 300, there will be no associated pretest and final exam questions for Unit 2.

Visual 1.5

ADMINISTRATIVE CONSIDERATIONS



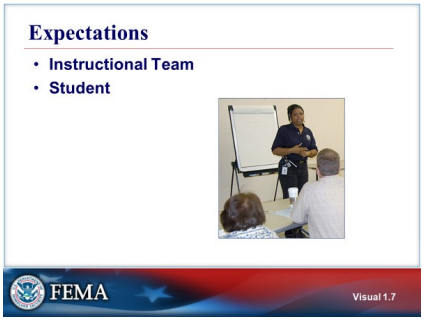
Visual 1.6

INTRODUCTIONS

The instructor gives an overview of their background and operational experience using ICS on multioperational-period incidents.

You will be asked to introduce yourself and provide an overview of your incident response experiences and ICS background.

After the introductions, the instructor will administer the Pretest.



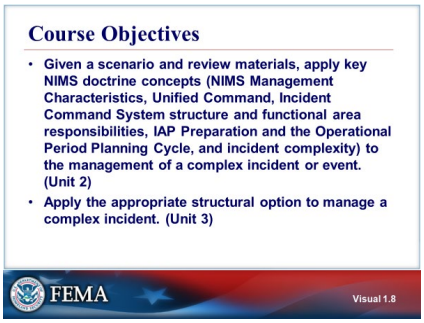
Visual 1.7

EXPECTATIONS

The instructional team's expectations of the students:

- Cooperate with the group.
- Be open minded to new ideas.
- Use what they learn in the course to perform effectively within an ICS organization.
- Participate actively in all of the training activities.
- Return to class at the stated time.

What are your expectations for the course?

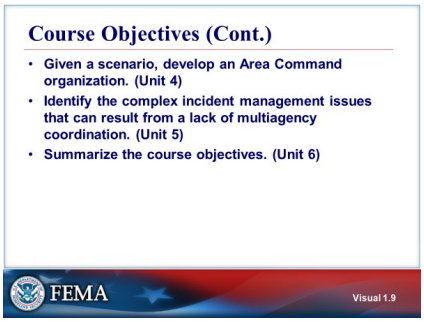


Visual 1.8

COURSE OBJECTIVES

State: Each course objective aligns with a unit (in parenthesis):

- Given a scenario and review materials, apply key NIMS doctrine concepts (NIMS Management Characteristics, Unified Command, Incident Command System structure and functional area responsibilities, IAP Preparation and the Operational Period Planning Cycle, and incident complexity) to the management of a complex incident or event. (Unit 2)
- Apply the appropriate structural option to manage a complex incident. (Unit 3)

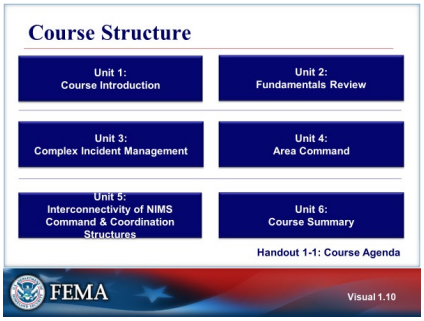


Visual 1.9

COURSE OBJECTIVES (CONT.)

Continue stating the objectives and associated units:

- Given a scenario, develop an Area Command organization. (Unit 4)
- Identify the complex incident management issues that can result from a lack of multiagency coordination. (Unit 5)
- Summarize the course objectives. (Unit 6)



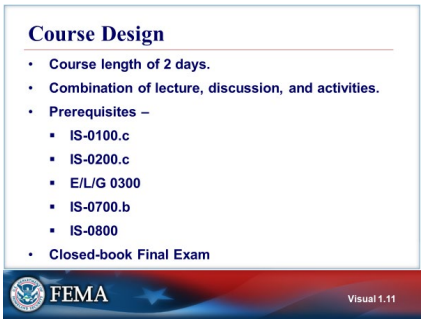
Visual 1.10

COURSE STRUCTURE

Below are the Units included in this course:

- Unit 1: Course Introduction (current lesson)
- Unit 2: Fundamentals Review for Command and General Staff
- Unit 3: Complex Incident Management
- Unit 4: Area Command
- Unit 5: Interconnectivity of NIMS Command and Coordination Structures
- Unit 6: Course Summary

Refer to Handout 1-1: Course Agenda.



Visual 1.11

COURSE DESIGN

The course is scheduled to be 2 days in length. Direct students to the Course Schedule and point out the units to be covered through the course period.

Through a combination of lecture, discussion, and activites, students, upon course completion, will be provided the knowledge to meet the objectives of the course. Student interaction and participation will be integral to this process.

Prerequisites -

- IS-0100.c An Introduction to the Incident Command System, ICS 100
- IS-0200.c Basic Incident Command System for Initial Response, ICS 200
- E/L/G 0300 Intermediate Incident Command System for Expanding Incidents, ICS 300
- IS-0700.b An Introduction to the National Incident Management System
- IS-0800 National Response Framework (NRF)

Recommended courses:

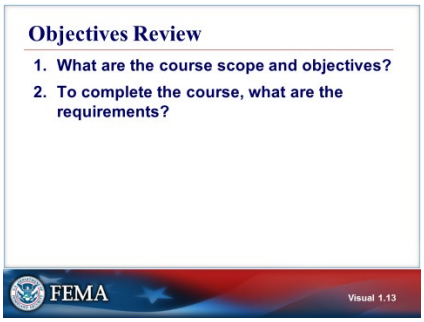
- E/L/G 0191 Emergency Operations Center/Incident Command System Interface

Closed-Book Final Exam - To receive a certificate of completion for the course, students must obtain a 75% or higher on the final exam. The final exam will be closed-book, one hour will be allotted for its completion, and the final exam's questions will be based on the Unit Enabling Objectives for Units 3 - 5. Neither Unit 1 nor Unit 2 will be tested in the pretest or the final exam.

Visual 1.12

SUCCESSFUL COURSE COMPLETION

- Participate in unit activities.
- Achieve 75% or higher on the Final Exam.
- Complete end-of-course evaluation.



Visual 1.13

OBJECTIVES REVIEW

Unit Enabling Objectives

- Explain the course structure.
- Explain the requirements for completion of the course.

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Supplemental Materials

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Handout 1-1: ICS 400 Course Agenda

DAY 1

Morning Session

- Unit 1: Course Introduction (1 hour)
- Unit 2: Fundamentals Review for Command and General Staff (3 hours)

Afternoon Session

- Unit 3: Complex Incident Management (3 hours)
- Homework Assignment – Read Handout 4-1: Katrina Area Command Scenario

DAY 2

Morning Session

- Unit 4: Area Command (3 hours)

Afternoon Session

- Unit 5: Interconnectivity of NIMS Command and Coordination Structures (3 hours)
- Unit 6: Course Summary (2 hours)

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Unit 2: Fundamentals Review for Command and General Staff

STUDENT MANUAL

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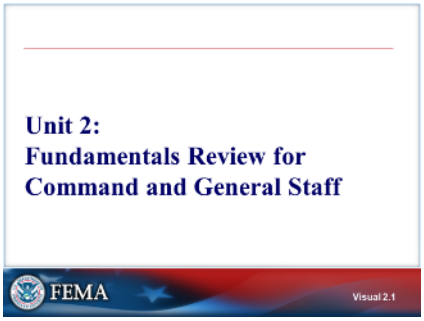


Visual 2.1

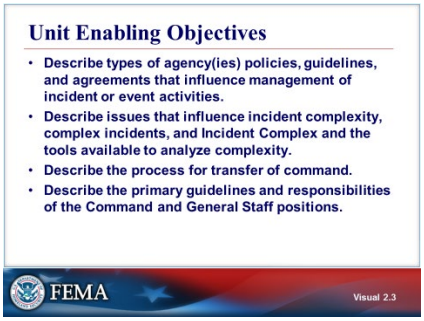
UNIT 2: FUNDAMENTALS REVIEW FOR COMMAND AND GENERAL STAFF

This unit, through an Activity, reviews the tenets and concepts presented in An Introduction to Incident Command System (ICS 100), Basic Incident Command System for Initial Response (ICS 200), and Intermediate Incident Command System for Expanding Incidents (ICS 300).

Visual 2.2

UNIT TERMINAL OBJECTIVE

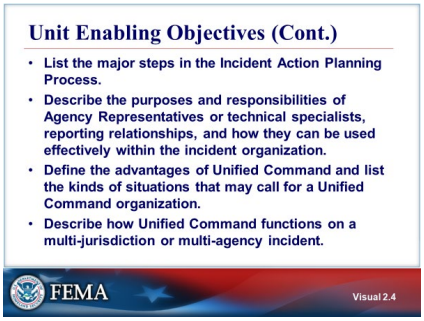
Given a scenario and review materials, apply key NIMS doctrine concepts (NIMS Management Characteristics, Unified Command, Incident Command System structure and functional area responsibilities, IAP Preparation and the Operational Period Planning Cycle, and incident complexity) to the management of a complex incident or event.



Visual 2.3

UNIT ENABLING OBJECTIVES

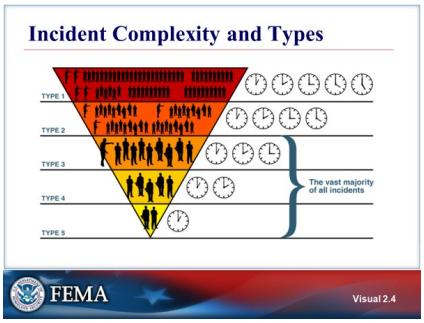
- Describe types of agency(ies) policies, guidelines, and agreements that influence management of incident or event activities.
- Describe issues that influence incident complexity, complex incidents, and Incident Complex and the tools available to analyze complexity.
- Describe the process for transfer of command.



Visual 2.4

UNIT ENABLING OBJECTIVES (CONT.)

- Describe the primary guidelines and responsibilities of the Command and General Staff positions.
- List the major steps in the Incident Action Planning Process.
- Describe the purposes and responsibilities of Agency Representatives or technical specialists, reporting relationships, and how they can be used effectively within the incident organization.
- Define the advantages of Unified Command and list the kinds of situations that may call for a Unified Command organization.
- Describe how Unified Command functions on a multi-jurisdiction or multiagency incident.



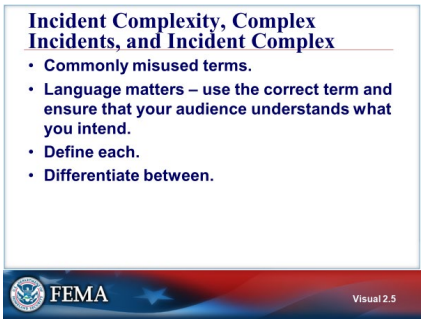
Visual 2.5

INCIDENT COMPLEXITY AND TYPES

Incidents, like resources, may be categorized into five types based on complexity. Type 5 incidents are the least complex and Type 1 the most complex.

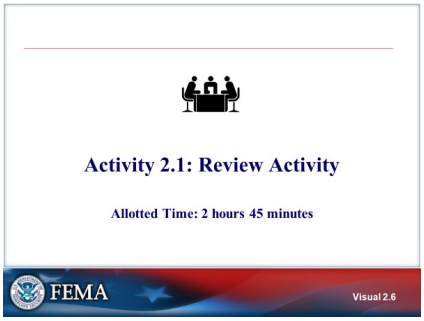
Incident typing may be used to:

- Make decisions about resource requirements.
- Order Incident Management Teams (IMTs). An IMT is made up of the Command and General Staff members and often subordinate positions in an ICS organization.



Visual 2.6

INCIDENT COMPLEXITY, COMPLEX INCIDENTS AND INCIDENT COMPLEX



Visual 2.7

ACTIVITY 2.1: REVIEW ACTIVITY

The instructor will explain Activity 2.1.

You will have 2 hours and 45 minutes to complete the activity and to provide feedback/debrief.

ACTIVITY 2.1 DEBRIEF

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Visual 2.8

Visual 2.9

ACTIVITY 2.1 DEBRIEF (CONT.)

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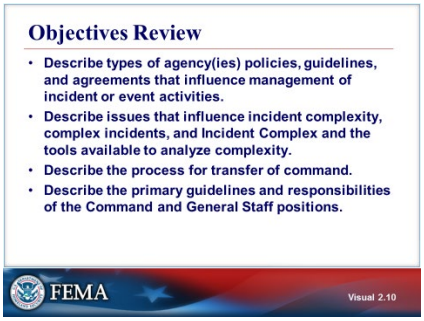
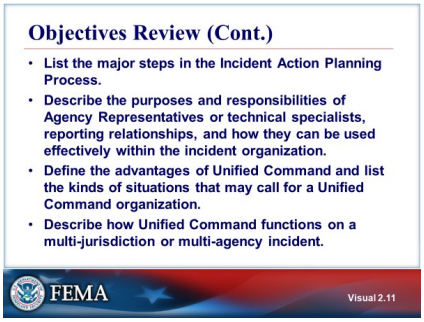


Visual 2.10

OBJECTIVES REVIEW

Review the Unit Enabling Objectives to ensure the students obtained the knowledge necessary to successfully meet the Unit Terminal Objective.

- Describe types of agency(ies) policies, guidelines, and agreements that influence management of incident or event activities.
- Describe issues that influence incident complexity, complex incidents, and Incident Complex and the tools available to analyze complexity.
- Describe the process for transfer of command.
- Describe the primary guidelines and responsibilities of the Command and General Staff positions.



Visual 2.11

OBJECTIVES REVIEW (CONT.)

- List the major steps in the Incident Action Planning Process.
- Describe the purposes and responsibilities of Agency Representatives or technical specialists, reporting relationships, and how they can be used effectively within the incident organization.
- Define the advantages of Unified Command and list the kinds of situations that may call for a Unified Command organization.
- Describe how Unified Command functions on a multi-jurisdiction or multi-agency incident.

Pose the Unit Enabling Objectives as a question. **Ask** the group to give a brief example or short explanation to answer the question. Try to call on a different student for each answer. **Display** the Objectives Review visual so that students can think about what they learned in relation to the objectives.

Instructor Note: This is not intended to be an inclusive discussion of all material covered in Unit 2, but rather a quick and engaging way to wrap up the unit, and

reconnect the students to the material before moving on to Unit 3.

Supplemental Materials

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Activity 2.1: Instructions

Objective: Apply key NIMS doctrine concepts to the management of a complex incident or event using a scenario.

The responses to this assignment are designed to review key NIMS doctrinal concepts that students have learned in previous courses including: NIMS Management Characteristics, Unified Command, Incident Command System structure and functional area responsibilities, IAP Preparation and the Operational Period Planning Cycle, and incident complexity.

It is important that each group apply these key NIMS concepts in relation to the scenario and answer the questions from the perspective of a command or general staff member.

Instructions:

1. You will be divided into five groups. Each group will be given a group nameSelect a leader for your group.
2. The instructor will present a brief synopsis of the main elements of the scenario.
3. Complete the questions outlined for “ALL” first. The Group 1 - 5 assignments are based on the results of the questions answered for ALL.
4. You will have 10 – 15 minutes to complete and you will be asked to share your responses.
5. Instructors will give you further direction on how to continue completing the rest of the assignment either: 1) Select an individual ‘what if’ scenario, or 2) the class as a whole selects a ‘what if’ scenario for all to collectively use.
6. Each group is assigned their associated series of issues and questions.
    - Group 1
    - Group 2
    - Group 3
    - Group 4
    - Group 5

During the next 75 minutes, each group will develop a 10- to 15-minute presentation that, based on the scenario:

- Addresses all assigned questions.
- Uses chart paper to create visual displays and bullet items summarizing key points.
- Allows all group members to have a role during the presentation.

7. Review materials in the Student Manual to help formulate their presentations.
8. Be prepared to present after 75 minutes.

Activity 2.1: Scenario

Your group is part of a group preparing to manage a 4th of July celebration that includes the following:

- July 3rd - July 5th: The Fire Department's annual 3-day carnival will begin each day at 10:00 a.m., and end each evening with a concert and fireworks. In conjunction with the carnival, the 4-H Club is sponsoring a craft fair and livestock show.

- July 4th: A parade honoring a returning war hero is scheduled to begin at 9:30 a.m., ending in a noon rally. The rally will include speeches from your U.S. Senator, the Governor, and Department of Defense officials. Press reports have indicated that the Senator is about to announce her intent to run for President in the fall primaries.

The carnival and rally will be held on the County Fairgrounds. The mile-long parade route begins at the County Courthouse. The county is in the middle of a heat wave that is forecasted to continue. Large crowds are projected. National media outlets are beginning to arrive. The FBI has issued a general advisory warning of possible terrorism directed at disrupting holiday celebrations.

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Activity 2.1: Assignments

Group	Assigned Questions
All	▪ What are the three most likely factors/scenarios that might cause the incident to increase in complexity? ▪ Select one of the above "what-if" factors/scenarios. Now assume that this factor/scenario has occurred and that a transfer of command is needed. What are the five important steps for effectively assuming command of an incident?
Group 1	▪ How might the role of Command be defined in this scenario? Should it be limited to public safety and security only, or should it also include management of all activities associated with the 3-day event? What are the issues associated with each choice? ▪ What are the primary responsibilities of the Safety Officer for this event? ▪ What are the primary responsibilities of the Liaison Officer for this event? What Agency Representatives may be present? What are the roles of the Agency Representatives? ▪ What are the primary responsibilities of the Public Information Officer for this event?
Group 2	▪ What are the primary responsibilities of the Operations Section Chief for this event? ▪ What tactical resources are likely to be needed to manage this event? ▪ How will span of control be managed? Will Branches, Divisions, and/or Groups be added? ▪ What is a possible organizational structure for the Operations Section? (Draw a chart.)
Group 3	▪ What are the primary responsibilities of the Planning Section Chief for this event? What are the greatest challenges facing the Planning Section? What types of Technical Specialists may be included in the Planning Section? ▪ What are the primary responsibilities of the Logistics Section Chief for this event? What are the greatest challenges facing the Logistics Section? ▪ What are the primary responsibilities of the Finance/Administration Section Chief for this event? What are the greatest challenges facing the Finance/Administration Section?

Group 4	▪ Who is responsible for the Incident Action Planning Process? ▪ What types of policies, guidelines, or agreements must be considered in managing this event? ▪ How long will the first operational period be? ▪ What are the initial objectives for the event's first operational period? (Write SMART objectives!) ▪ Once the formal Incident Action Planning Process begins, what are the major steps/meetings conducted? ▪ What ICS forms will be completed? What are the purposes of each form?
Group 5	▪ What are the advantages of using Unified Command for this event? ▪ Which jurisdictions/agencies will be included in the Unified Command structure? ▪ What are the essential elements of Unified Command and how will they be used to manage this event? ▪ What are the top three challenges associated with using Unified Command for this event? What strategies will be used to address these challenges?

Activity 2.1: Review Materials

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ICS Forms 71

Incident Command System (ICS)

ICS was developed in the 1970s following a series of catastrophic fires in California's urban interface. Property damage ran into the millions, and many people died or were injured. The personnel assigned to determine the causes of these outcomes studied the case histories and discovered that response problems could rarely be attributed to lack of resources or failure of tactics. Surprisingly, studies found that response problems were far more likely to result from inadequate management than from any other single reason.

ICS is a standardized approach to the command, control, and coordination of on-scene incident management that provides a common hierarchy within which personnel from multiple organizations can be effective. ICS specifies an organizational structure for incident management that integrates and coordinates a combination of procedures, personnel, equipment, facilities, and communications. Using ICS for every incident helps hone and maintain skills needed to coordinate efforts effectively. ICS is used by all levels of government as well as by many NGOs and private sector organizations. ICS applies across disciplines and enables incident managers from different organizations to work together seamlessly. This system includes five major functional areas, staffed as needed, for a given incident: Command, Operations, Planning, Logistics, and Finance/Administration. A sixth ICS Function, Intelligence/ Investigations, is used when the incident requires these specialized capabilities.

Incident Complexity, Complex Incidents and Incident Complex

The *NIMS Guideline for the National Qualification Syste*m defines **Incident Complexity** as the Incident criteria determined by the level of difficulty, severity, or overall resistance faced by incident management or support personnel while trying to manage or support an incident to a successful conclusion or to manage one type of incident or event compared to another type.

Incident Complexity is the combination of involved factors that affect the probability of control of an incident. Many factors determine the complexity of an incident, including, but not limited to, area involved, threat to life and property, political sensitivity, organizational complexity, jurisdictional boundaries, values at risk, weather, strategy and tactics, and agency policy. Incident complexity is considered when making incident management level, staffing, and safety decisions.

Incident complexity is assessed on a five-point scale ranging from Type 5 (the least complex incident) to Type 1 (the most complex incident).

Various analysis tools have been developed to assist consideration of important factors involved in incident complexity. Listed below are the factors that may be considered in analyzing incident complexity:

- Impacts to life, property, and the economy
- Community and responder safety
- Potential hazardous materials
- Weather and other environmental influences
- Likelihood of cascading events
- Potential crime scene (including terrorism)
- Political sensitivity, external influences, and media relations
- Area involved, jurisdictional boundaries
- Availability of resources

Complex Incidents are larger incidents with higher incident complexity (normally Type 1 or Type 2 incidents) that extend into multiple operational periods and rapidly expand to multijurisdictional and/or multidisciplinary efforts necessitating outside resources and support.

According to NIMS 2017 **Incident Complex** refers to two or more individual incidents located in the same general area and assigned to a single Incident Commander or Unified Command

NIMS Management Characteristics

The following characteristics are the foundation of incident command and coordination under NIMS and contribute to the strength and efficiency of the overall system:

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

Standardization

- **Common Terminology:** NIMS establishes common terminology that allows diverse incident management and support organizations to work together across a wide variety of functions and hazard scenarios. This common terminology covers the following:
  - Organizational Functions: Major functions and functional units with incident responsibilities are named and defined. Terminology for incident organizational elements is standard and consistent.
  - Resource Descriptions: Major resources—including personnel, equipment, teams, supplies and facilities—are given common names and are typed to help avoid confusion and to enhance interoperability.
  - Incident Facilities: Incident management facilities are designated using common terminology

Command

- **Establishment and Transfer of Command:** The Incident Commander or Unified Command should clearly establish the command function at the beginning of an incident. The jurisdiction or organization with primary responsibility for the incident designates the individual at the scene responsible for establishing command and protocol for transferring command. When command transfers, the transfer process includes a briefing that captures essential information for continuing safe and effective operations, and notifying all personnel involved in the incident.

- **Chain of Command and Unity of Command:** Chain of command refers to the orderly line of authority within the ranks of the incident management organization. Unity of command means that each individual only reports to one person. This clarifies reporting relationships and reduces confusion caused by multiple, conflicting directives, enabling leadership at all levels to effectively direct the personnel under their supervision.
- **Unified Command:** When no one jurisdiction, agency or organization has primary authority and/or the resources to manage an incident on its own, Unified Command may be established. In Unified Command, there is no one "commander." Instead, the Unified Command manages the incident by jointly approved objectives. A Unified Command allows these participating organizations to set aside issues such as overlapping and competing authorities, jurisdictional boundaries, and resource ownership to focus on setting clear priorities and objectives for the incident. The resulting unity of effort allows the Unified Command to allocate resources regardless of ownership or location. Unified Command does not affect individual agency authority, responsibility, or accountability.

Planning/Organizational Structure

- **Management by Objectives:** The Incident Commander or Unified Command establishes objectives that drive incident operations. Management by objectives includes the following:
  - Establishing specific, measurable objectives;
  - Identifying strategies, tactics, tasks, and activities to achieve the objectives;
  - Developing and issuing assignments, plans, procedures, and protocols for various incident management functional elements to accomplish the identified tasks; and
  - Documenting results against the objectives to measure performance, facilitate corrective actions, and inform development of incident objectives for the subsequent operational period.
- **Modular Organization:** ICS and EOC organizational structures develop in a modular fashion based on an incident's size, complexity, and hazard environment. Responsibility for establishing and expanding ICS organizations and EOC teams ultimately rests with the Incident Commander (or Unified Command) and EOC director. Responsibility for functions that subordinates perform defaults to the next higher supervisory position until the supervisor delegates those responsibilities. As incident complexity increases, organizations expand as the Incident Commander, Unified Command, EOC director, and subordinate supervisors delegate additional functional responsibilities.
- **Incident Action Planning:** Coordinated incident action planning guides incident management activities. IAPs represent concise, coherent means of capturing and communicating incident objectives, tactics, and assignments for operational and support activities. Every incident should have an action plan; however, not all incidents need written plans. The necessity for written plans depends on incident

complexity, command decisions, and legal requirements. Formal IAPs are not always developed for the initial operational period of no-notice incidents. However, if an incident is likely to extend beyond one operational period, becomes more complex, or involves multiple jurisdictions and/or agencies, preparing a written IAP becomes increasingly important to maintain unity of effort and effective, efficient, and safe operations. Staff in EOCs also typically conduct iterative planning and produce plans to guide their activities during specified periods, though these are typically more strategic than IAPs.

- **Manageable Span of Control:** Maintaining an appropriate span of control helps ensure an effective and efficient incident management operation. It enables management to direct and supervise subordinates and to communicate with and manage all resources under their control. The type of incident, nature of the task, hazards and safety factors, experience of the supervisor and subordinates, and communication access between the subordinates and the supervisor are all factors that influence manageable span of control. The optimal span of control for incident management is one supervisor to five subordinates; however, effective incident management frequently necessitates ratios significantly different from this. The 1:5 ratio is a guideline, and incident personnel use their best judgment to determine the actual distribution of subordinates to supervisors for a given incident or EOC activation.

Facilities and Resources

- **Incident Facilities and Locations:** Depending on the incident size and complexity, the Incident Commander, Unified Command, and/or EOC director establish support facilities for a variety of purposes and direct their identification and location based on the incident. Typical facilities include the Incident Command Post (ICP), incident base, staging areas, camps, mass casualty triage areas, points-of-distribution, and emergency shelters.
- **Comprehensive Resource Management:** Maintaining an accurate and up-to-date picture of resource utilization is a critical component of incident management. Resources include personnel, equipment, teams, supplies, and facilities available or potentially available for assignment or allocation. Maintaining an accurate and up-to-date inventory of resources is an essential component of incident management. Section II, the Resource Management component of NIMS, describes this in detail.

Communications/Information Management

- **Integrated Communications:** Leadership at the incident level and in EOCs facilitates communication through the development and use of a common communications plan, interoperable communications processes, and systems that include voice and data links. Integrated communications provide and maintain contact among and between incident resources, enable connectivity between various levels of government, achieve situational awareness, and facilitate information sharing. Planning, both in advance of and during an

incident, addresses equipment, systems, and protocols necessary to achieve integrated voice and data communications. Section IV, the Communications and Information Management component of NIMS, describes this in more detail.

- **Information and Intelligence Management:** The incident management organization establishes a process for gathering, analyzing, assessing, sharing, and managing incident-related information and intelligence. Information and intelligence management includes identifying essential elements of information (EEI) to ensure personnel gather the most accurate and appropriate data, translate it into useful information, and communicate it with appropriate personnel. Note that in In NIMS, “intelligence” refers exclusively to threat-related information developed by law enforcement, medical surveillance, and other investigative organizations.

Professionalism

- **Accountability:** Effective accountability for resources during an incident is essential. Incident personnel should adhere to principles of accountability, including check-in/check-out, incident action planning, unity of command, personal responsibility, span of control, and resource tracking.
- **Dispatch/Deployment:** Resources should deploy only when appropriate authorities request and dispatch them through established resource management systems. Resources that authorities do not request should refrain from spontaneous deployment to avoid overburdening the recipient and compounding accountability challenges.

Transfer of Command

The process of moving the responsibility for incident command from one Incident Commander to another is called “transfer of command.” It should be recognized that transfer of command on an expanding incident is to be expected. It does not reflect on the competency of the current Incident Commander.

There are five important steps in effectively assuming command of an incident in progress.

Step 1: The incoming Incident Commander should, if at all possible, personally perform an assessment of the incident situation with the existing Incident Commander.

Step 2: The incoming Incident Commander must be adequately briefed.

This briefing must be by the current Incident Commander, and take place face-to-face if possible. The briefing must cover the following:

- Incident history (what has happened)
- Priorities and objectives
- Current plan
- Resource assignments
- Incident organization
- Resources ordered/needed
- Facilities established
- Status of communications
- Any constraints or limitations
- Incident potential
- Delegation of authority

The ICS Form 201 is designed to assist in incident briefings. It should be used whenever possible because it provides a written record of the incident as of the time prepared. The ICS Form 201 contains:

- Incident objectives.
- A place for a sketch map.
- Summary of current actions.
- Organizational framework.
- Resources summary.

Step 3: After the incident briefing, the incoming Incident Commander should determine an appropriate time for transfer of command.

Step 4: At the appropriate time, notice of a change in incident command should be made to:

- Agency headquarters (through dispatch).
- General Staff members (if designated).
- Command Staff members (if designated).
- All incident personnel.

Step 5: The incoming Incident Commander may give the previous Incident Commander another assignment on the incident. There are several advantages to this:

- The initial Incident Commander retains first-hand knowledge at the incident site.
- This strategy allows the initial Incident Commander to observe the progress of the incident and to gain experience.

Modular Organization

Standardization of the ICS organizational chart and associated terms does not limit the flexibility of the system. (See the chart on the next page.)

ICS and EOC organizational structures develop in a modular fashion based on an incident's size, complexity, and hazard environment. Responsibility for establishing and expanding ICS organizations and EOC teams ultimately rests with the Incident Commander (or Unified Command) and EOC director. Responsibility for functions that subordinates perform defaults to the next higher supervisory position until the supervisor delegates those responsibilities. As incident complexity increases, organizations expand as the Incident Commander, Unified Command, EOC director, and subordinate supervisors delegate additional functional responsibilities.

A key principle of ICS is its flexibility. The ICS organization may be expanded easily from a very small size for routine operations to a larger organization capable of handling catastrophic events.

Flexibility does not mean that the ICS feature of common terminology is superseded. Note that flexibility is allowed within the standard ICS organizational structure and position titles.

Position Titles

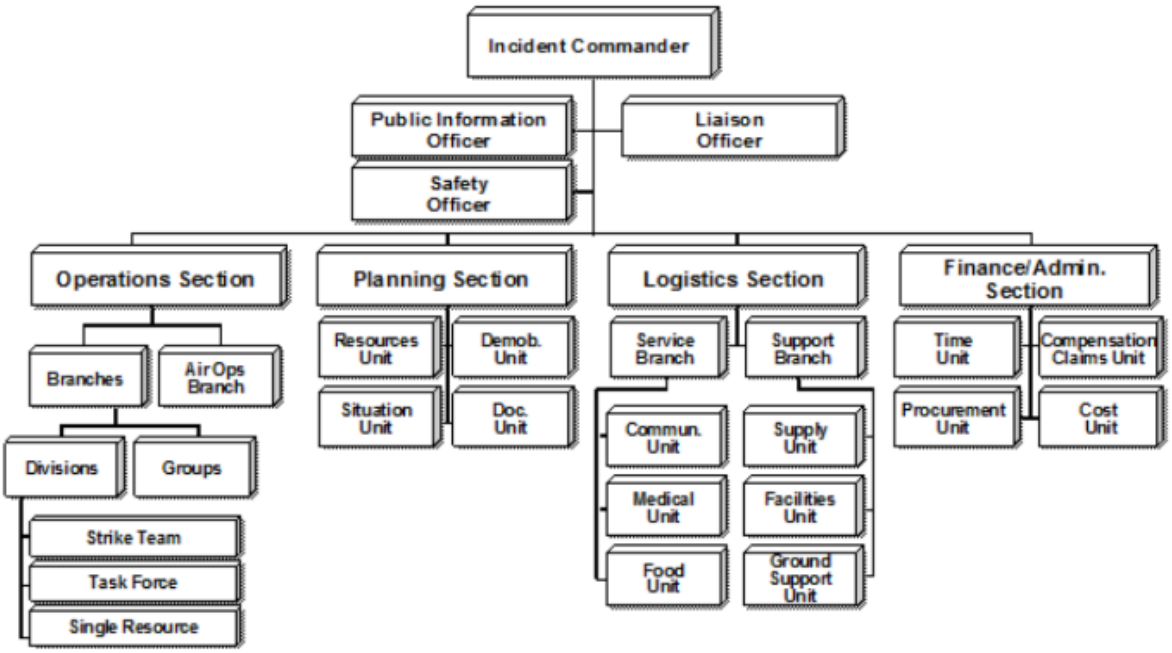
At each level within the ICS organization, individuals with primary responsibility positions have distinct titles. Titles provide a common standard for all users. For example, if one agency uses the title Branch Chief, another Branch Manager, etc., this lack of consistency can cause confusion at the incident.

The use of distinct titles for ICS positions allows for filling ICS positions with the most qualified individuals rather than by seniority. Standardized position titles are useful when requesting qualified personnel. For example, in deploying personnel, it is important to know if the positions needed are Unit Leaders, clerks, etc.

Listed below are the standard ICS titles:

Organizational Element	Leadership Position Title	Support Positions
Incident Command	Incident Commander	Deputy
Command Staff	Officer	Assistant
Section	Deputy	Assistant
Branch	Director	Deputy
Divisions/Groups	Supervisors	N/A
Unit	Unit Leader	Manager, Coordinato
Strike Team/Task Force	Leader	Single Resource Boss
Single Resource	Boss, Leader	N/A
Technical Specialist	Specialist	N/A

ICS Organization



- **Command Staff:** The Command Staff consists of the Public Information Officer, Safety Officer, and Liaison Officer. They report directly to the Incident Commander.
- **Section:** The organization level having functional responsibility for primary segments of incident management (Operations, Planning, Logistics, Finance/Administration). The Section level is organizationally between Incident Commander and Branch.
- **Branch:** The organizational level having functional, geographical, or jurisdictional responsibility for major parts of the incident operations. The Branch level is organizationally between Section and Division/Group in the Operations Section, and between Section and Units in the Logistics Section. Branches are identified by the use of Roman numerals, by function, or by jurisdictional name.
- **Division:** The organizational level having responsibility for operations within a defined geographic area. The Division level is organizationally between Branch and Strike Team/Task Force.
- **Group:** Groups are established to divide the incident into functional areas of operation. Groups are located between Branches (when activated) and Resources in the Operations Section.
- **Unit:** The organizational element having functional responsibility for a specific incident planning, logistics, or finance/administration activity.
- **Task Force:** A group of resources, not all of the same kind and type, with common communications and a leader that may be preestablished and sent to an incident, or formed at an incident.

- **Strike Team/Resource Team:** Specified combination of the same kind and type of resources, with common communications and a leader.
- **Single Resource:** An individual piece of equipment and its personnel complement, or an established crew or team of individuals with an identified work supervisor that can be used on an incident.

Overall Organizational Functions

ICS was designed by identifying the primary activities or functions necessary to effectively respond to incidents. Analyses of incident reports and review of military organizations were all used in ICS development. These analyses identified the primary needs of incidents.

As incidents became more complex, difficult, and expensive, the need for an organizational manager became more evident. Thus in ICS, and especially in larger incidents, the Incident Commander manages the organization and not the incident.

In addition to the Command function, other desired functions and activities were:

- To delegate authority and to provide a separate organizational level within the ICS structure with sole responsibility for the tactical direction and control of resources.
- To provide logistical support to the incident organization.
- To provide planning services for both current and future activities.
- To provide cost assessment, time recording, and procurement control necessary to support the incident and the managing of claims.
- To promptly and effectively interact with the media, and provide informational services for the incident, involved agencies, and the public.To provide a safe operating environment within all parts of the incident organization.
- To ensure that assisting and cooperating agencies' needs are met, and to see that they are used in an effective manner.

Incident Commander

When an incident occurs within a single jurisdiction and without jurisdictional or functional agency overlap, the appropriate authority designates a single Incident Commander who has overall incident management responsibility. In some cases where incident management crosses jurisdictional and/or functional agency boundaries, the various jurisdictions and organizations may still agree to designate a single Incident Commander.

The Incident Commander is technically not a part of either the General or Command Staff. The Incident Commander is responsible for overall incident management.

Unified Command

When no one jurisdiction, agency or organization has primary authority and/or the resources to manage an incident on its own, Unified Command may be established. In Unified Command, there is no one "commander." Instead, the Unified Command manages the incident by jointly approved objectives. A Unified Command allows these participating organizations to set aside issues such as overlapping and competing authorities, jurisdictional boundaries, and resource ownership to focus on setting clear priorities and objectives for the incident. The resulting unity of effort allows the Unified Command to allocate resources regardless of ownership or location. Unified Command does not affect individual agency authority, responsibility, or accountability.

Unified Command improves unity of effort in multijurisdictional or multiagency incident management. The use of Unified Command enables jurisdictions and those with authority or functional responsibility for the incident to jointly manage and direct incident activities through the establishment of a common set of incident objectives, strategies, and a single IAP. However, each participating partner maintains authority, responsibility, and accountability for its personnel and other resources, and each member of Unified Command is responsible for keeping other members of Unified Command informed.

The exact composition of the Unified Command depends on factors such as incident location (i.e., which jurisdictions or organizations are involved) and the nature of the incident (i.e., which agencies from the jurisdiction(s) or organization(s) involved are needed). The organizations participating in the Unified Command use a collaborative process to establish and rank incident priorities and determine incident objectives.

Advantages of Using Unified Command

The advantages of using Unified Command include:

- A single set of objectives is developed for the entire incident.
- A collective approach is used to develop strategies to achieve incident objectives.
- Information flow and coordination is improved between all jurisdictions and agencies involved in the incident.
- All agencies with responsibility for the incident have an understanding of joint priorities and restrictions.
- No agency's legal authorities will be compromised or neglected.
- The combined efforts of all agencies are optimized as they perform their respective assignments under a single Incident Action Plan.

DELEGATION OF AUTHORITY

Authority and responsibility for an Incident Commander or a Unified Command to manage an incident or event comes in the form of a delegation of authority from the agency executive or administrator of the jurisdiction of occurrence or inherent in existing agency policies and procedures. When an incident/event spans multiple jurisdictions, this responsibility belongs to the various jurisdictional and agency executives or administrators who set policy and are accountable to their jurisdictions or agencies. They must appropriately delegate to the Unified Command the authority to manage the incident. Given this authority, the members of the Unified Command will then collectively develop one comprehensive set of incident objectives, and use them to develop strategies.

Responsibilities of the Incident Commander and Unified Command

Whether using a single Incident Commander or a Unified Command, the command function:

- Establishes a single ICP for the incident;
- Establishes consolidated incident objectives, priorities, and strategic guidance, and updating them every operational period;
- Selects a single section chief for each position on the General Staff needed based on current incident priorities;
- Establishes a single system for ordering resources;
- Approves a consolidated IAP for each operational period;
- Establishes procedures for joint decision making and documentation; and
- Captures lessons learned and best practices.

Command Staff

The Incident Commander or Unified Command assigns Command Staff as needed to support the command function. The Command Staff typically includes a Public Information Officer (PIO), a Safety Officer, and a Liaison Officer who report directly to the Incident Commander or Unified Command and have assistants as necessary. The Incident Commander or Unified Command may appoint additional advisors as needed.

The table starting on SM-47 summarizes the responsibilities of the Command Staff.

General Staff

The General Staff consists of the Operations, Planning, Logistics, and Finance/Administration Section Chiefs. These individuals are responsible for the functional aspects of the incident command structure. The Incident Commander or Unified Command activates these section chiefs as needed. These functions default to the Incident Commander or Unified Command until a section chief is assigned.

General guidelines related to General Staff positions include the following:

- Only one person will be designated to lead each General Staff position.
- General Staff positions may be filled by qualified persons from any agency or jurisdiction.
- Members of the General Staff report directly to the Incident Commander. If a General Staff position is not activated, the Incident Commander will have responsibility for that functional activity.
- Deputy positions may be established for each of the General Staff positions. Deputies are individuals fully qualified to fill the primary position. Deputies can be designated from other jurisdictions or agencies, as appropriate. This is a good way to bring about greater interagency coordination.
- General Staff members may exchange information with any person within the organization. Direction takes place through the chain of command. This is an important concept in ICS.
- General Staff positions should not be combined. For example, to establish a "Planning and Logistics Section," it is better to initially create the two separate functions, and if necessary for a short time place one person in charge of both. That way, the transfer of responsibility can be made easier.

The table starting on SM-47 summarizes the responsibilities of the General Staff

Major ICS Position	Primary Functions
Incident Commander or Unified Command	• Have clear authority and know agency policy • Establish the ICS organization needed to manage the incident • Set incident objectives and determine incident priorities • Establish the ICP • Manage Command Staff and General Staff • Approve the IAP • Ensure incident safety • Approve resource requests and use of volunteers and auxiliary personnel • Authorize information release to the media • Order demobilization as needed • Ensure after-action reports are completed
Public Information Officer	• Develop accurate, accessible, and timely information for use in press/mediabriefings or dissemination via social media • Monitor information from traditional and social media that is useful forincident planning and forward it as appropriate • Understand any limits on information release • Obtain the Incident Commander's approval of news releases • Conduct media briefings • Arrange for tours and other interviews or briefings • Make information about the incident available to incident personnel • Participate in Planning Meetings • Identify and implement rumor control methods
Safety Officer	• Identify and mitigate hazardous situations • Stop and prevent unsafe acts • Create and maintain the incident Safety Plan • Prepare and communicate safety messages and briefings • Review the IAP for safety implications • Assign assistants qualified to evaluate special hazards • Initiate preliminary investigation of accidents within the incident area • Review and approve the Medical Plan • Participate in Planning Meetings to address anticipated hazards associatedwith future operations

Liaison Officer	• Act as a point of contact for agency representatives • Monitor incident operations to identify current or potential inter-organizational issues • Maintain a list of assisting and cooperating agencies and agencyrepresentatives • Assist in setting up and coordinating interagency contacts • Participate in Planning Meetings and provide current resource status,including limitations and capabilities of agency resources • Provide agency-specific demobilization information and needs
Operations Section Chief	• Manage tactical operations • Determine strategies and tactics for incident operations • Ensure safety of tactical operations • Oversee the Operations Section's central role in the incident actionplanning process • Supervise execution of the Operations Section's assignments in the IAP • Request additional resources to support tactical operations • Approve release of resources from operational assignments • Make or approve expedient changes to the IAP • Maintain close contact with the Incident Commander, subordinateOperations personnel, and other agencies involved in the incident

Major ICS Position	Primary Functions
Planning Section Chief	• Collect and manage incident-relevant operational data • Supervise/facilitate incident planning activities • Supervise preparation of the IAP • Provide resources input to the Incident Commander and OperationsSection in preparing the IAP • Reassign out-of-service personnel within the ICS organization, asappropriate • Compile and display incident status information • Establish information needed and reporting schedules for units (e.g.,Resources Unit, Situation Unit) • Determine need for specialized resources • Establish specialized data collection systems as necessary (e.g., weather) • Assemble information on alternative strategies • Provide periodic predictions on incident potential • Report significant changes in incident status • Oversee preparation of the Demobilization Plan
Logistics Section Chief	• Manage all incident logistics • Provide facilities, transportation, communications, supplies, equipmentmaintenance and fueling, food, and medical services for incident personneland all off-incident resources • Identify known or anticipated incident service and support needs • Request additional resources as needed • Provide the Logistics Section’s input to the IAP • Ensure and oversee development of Traffic, Medical, and CommunicationsPlans as needed • Oversee demobilization of Logistics Section and associated resources

Finance/ Administration Section Chief	• Manage financial aspects of an incident • Provide financial and cost analysis information as requested • Ensure compensation and claims functions are addressed relative to theincident • Develop an operational plan for the Finance/Administration Section andsubmit requests for the section's supply and support needs • Maintain daily contact with cooperating and assisting agencies on financematters • Ensure that personnel time records are completed accurately andtransmitted to the appropriate agency/organization • Ensure the accuracy of all obligation documents initiated at the incident • Brief agency administrative personnel on incident-related financial issuesneeding attention or follow-up • Provide input to the IAP

Agency Representatives

An Agency Representative is a person assigned by a primary, assisting, or cooperating local, state, tribal, territorial, or Federal Government agency, or nongovernmental or private organization, who has authority to make decisions affecting that agency's or organization's participation in incident management activities following appropriate consultation with that agency's leadership.

Agency Representatives report to the Liaison Officer or to the Incident Commander in the absence of a Liaison Officer.

Major responsibilities of the Agency Representative are to:

- Ensure that all of their agency resources have completed check-in at the incident.
- Obtain briefing from the Liaison Officer or Incident Commander.
- Inform their agency personnel on the incident that the Agency Representative position has been filled.
- Attend planning meetings as required.
- Provide input to the Incident Action Planning Process on the use of agency resources unless resource technical specialists are assigned from the agency.
- Cooperate fully with the Incident Commander and the Command and General Staffs on the agency's involvement at the incident.
- Oversee the well-being and safety of agency personnel assigned to the incident.
- Communicate agency-specific information including statutory authorities and responsibilities, resource availability and capabilities, constraints, limitations, concerns; and areas of agreement and disagreement between agency officials
- Advise the Liaison Officer of any special agency needs, requirements, or agency restrictions.
- Report to agency dispatch or headquarters on a prearranged schedule.
- Ensure that all agency personnel and equipment are properly accounted for and released prior to departure.
- Ensure that all required agency forms, reports, and documents are complete prior to departure.
- Have a debriefing session with the Liaison Officer or Incident Commander prior to departure.

Technical Specialists

Certain incidents or events may require the use of technical specialists who have specialized knowledge and expertise. Technical specialists may function within the Planning Section, or be assigned wherever their services are required.

While each incident dictates the need for technical specialists, some examples of the more commonly used technical specialists are:

- Access and functional needs advisor
- Agricultural specialist
- Community representative
- Decontamination specialist
- Environmental impact specialist
- Epidemiologist
- Flood control specialist
- Health physicist
- Industrial hygienist
- Intelligence specialist
- Legal advisor Behavioral health specialist
- Meteorologist
- Science and technology advisor
- Pharmacist
- Veterinarian
- Toxicologist

Additional advisory positions may also be necessary depending on the nature and location(s) of the incident, and/or specific requirements The Incident Commander or Unified Command may choose to appoint technical specialists as command advisors. For example, the Incident Commander or Unified Command may appoint:

- A legal counsel to advise on legal matters such as those related to emergency declarations, evacuation and quarantine orders, and rights and restrictions pertaining to media access;
- A Medical Advisor to provide guidance and recommendations to incident command regarding a broad range of areas such as medical care, acute care, long-term care, behavioral services, mass casualties, vector control, epidemiology, or mass prophylaxis;

- A Science and Technology Advisor to monitor incident operations and advise incident command on the integration of science and technology into planning and decision making; and
- An Access and Functional Needs Advisor to provide expertise regarding communication, transportation, supervision, and essential services for diverse populations in the affected area.

Intelligence/Investigations Function

- The purpose of the intelligence/investigations function within ICS is to determine the source or cause of the incident (e.g., disease outbreak, fire, complex coordinated attack, or cyber incident) to control its impact and/or help prevent the occurrence of similar incidents. This involves collecting, analyzing, and sharing information and intelligence; informing incident operations to protect the lives and safety of response personnel as well as the public; and interfacing with counterparts outside the ICS organization to improve situational awareness.

- The collection, analysis, and sharing of incident-related information and intelligence are important elements of ICS.
  - Typically, operational information and situational intelligence are management functions located in the Planning Section, with a focus on three incident information areas: situation status, resource status, and anticipated incident status or escalation (e.g., weather forecasts, location of supplies, etc.).
  - This information and intelligence is utilized for incident management decisionmaking. In addition, technical specialists may be utilized in the Planning Section to provide specific information that may support tactical decisions on an incident.
- Incident management organizations must also establish a system for the collection, analysis, and sharing, as possible, of information developed during intelligence/investigations efforts.
  - Some incidents require the utilization of intelligence and investigative information to support the process. Intelligence and investigative information is defined as information that either leads to the detection, prevention, apprehension, and prosecution of criminal activities (or the individuals(s) involved), including terrorist incidents, or information that leads to determination of the cause of a given incident (regardless of the source) such as public health events or fires with unknown origins.
- ICS allows for organizational flexibility, so the Intelligence/Investigations Function can be embedded in several different places within the organizational structure:
  - Within the Planning Section. This is the traditional placement for this function and is appropriate for incidents with little or no investigative information requirements, nor a significant amount of specialized information.
  - As a Separate General Staff Section. This option may be appropriate when there is an intelligence/investigative component to the incident or when multiple investigative agencies are part of the investigative process and/or there is a need for classified intelligence.

  - Within the Operations Section. This option may be appropriate for incidents that require a high degree of linkage and coordination between the investigative information and the operational tactics that are being employed.
  - Within the Command Staff. This option may be appropriate for incidents with little need for tactical information or classified intelligence and where supporting Agency Representatives are providing the real-time information to the Command element.
- The mission of the Intelligence/Investigations Function is to ensure that all investigative and intelligence operations, functions, and activities within the incident response are properly managed, coordinated, and directed in order to:
  - Prevent and/or deter potential unlawful activity, incidents, and/or attacks;
  - Collect, process, analyze, secure, and disseminate information, intelligence, and situational awareness;
  - Identify, document, process, collect, create a chain of custody for, safeguard, examine and analyze, and store evidence or specimens;
  - Conduct thorough and comprehensive investigations that lead to the perpetrators' identification and apprehension;
  - Conduct missing persons and mass fatality/death investigations;
  - Inform and support life safety operations, including the safety and security of all response personnel, by helping to prevent future attacks or escalated impacts; and
  - Determine the source or cause of an ongoing incident (e.g., disease outbreak, fire, complex coordinated attack, or cyber incident) to control its impact and/or help prevent the occurrence of similar incidents.
- The Intelligence/Investigations Function has responsibilities that cross all departments' interests involved during an incident, but there are functions that remain specific to law enforcement response and/or mission areas. Two examples of these are expeditious identification and apprehension of all perpetrators, and successful prosecution of all defendants.

  Regardless of how the Intelligence/Investigations Function is organized, a close liaison will be maintained and information will be transmitted to Command, Operations, and Planning. However, classified information requiring a security clearance, sensitive information, or specific investigative tactics that would compromise the investigation will be shared only with those who have the appropriate security clearance and/or need to know.

Air Operations Branch

As the incident grows in complexity, additional "layers" of supervision and coordination may be required to support effective and safe air operations. It is important to recognize that in Air Operations, like any other part of the ICS organization, it is only necessary to activate those parts of the organization that are required.

When activated, the Air Operations Branch is responsible for managing all air operations at an incident. This includes both tactical and logistical operations. Prior to activation of the Air Operations Branch, management of aviation operations (including the use of aircraft for logistical support) is the responsibility of the Operations Section Chief, or Incident Commander if the Operations Section Chief position has not been activated. It is not necessary to activate Air Operations positions if the function can be adequately managed at the Operations Section Chief level.

An Air Operations Branch can be established if:

- Tactical and logistical air support activity is needed at the incident.
- Helicopters and fixed-wing aircraft are involved within the incident airspace.
- Safety, environmental, weather, or temporary flight restriction issues become apparent.
- A helibase or several helispots are required to support incident operations.
- Agency policy and/or flight operations SOPs require it.
- The Incident Commander and/or Operations Section Chief are unfamiliar with aviation resources, their uses, and safety protocols.

Common Types of Aviation Operations

- Fire Control - Fixed-wing aircraft and helicopters for water and retardant drops, use of helicopters for transporting personnel to and from tactical assignments, for reconnaissance, and for logistical support.
- Forest and Other Land Management Programs - Pest control programs.
- Maritime Incidents - Hazardous materials spills, accidents, and searches.
- Other Applications - Communications relay airborne command and control, photo mapping, etc.
- Search and Rescue - Fixed-wing and helicopters for flying ground and water search patterns, medical evacuations, and logistical support.
- Medical Evacuation - Transportation of injured victims and personnel.
- Earthquakes, Floods, etc. - Reconnaissance, situation and damage assessment, rescue, logistical support, etc.
- Law Enforcement - Reconnaissance, surveillance, direction, control, and transportation security.

Incident Action Planning Process

It was recognized early in the development of ICS that the critical factor of adequate planning for incident operations was often overlooked or not given enough emphasis. This resulted in poor use of resources, inappropriate strategies and tactics, safety problems, higher incident costs, and lower effectiveness.

The Incident Action Planning Process and IAPs are central to managing incidents. The Incident Action Planning Process helps synchronize operations and ensure that they support incident objectives. Incident action planning is more than producing an IAP and completing forms—it provides a consistent rhythm and structure to incident management.

Personnel managing the incident develop an IAP for each operational period. A concise IAP template is essential to guide the initial incident management decision process and the continuing collective planning activities. The IAP is the vehicle by which leaders on an incident communicate their expectations and provide clear guidance to those managing the incident. The IAP:

- Informs incident personnel of the incident objectives for the operational period, the specific resources that will be applied, actions taken during the operational period to achieve the objectives, and other operational information (e.g., weather, constraints, limitations, etc.);
- Informs partners, EOC staff, and MAC Group members regarding the objectives and operational activities planned for the coming operational period;
- Identifies work assignments and provides a roadmap of operations during the operational period to help individuals understand how their efforts affect the success of the operation;
- Shows how specific supervisory personnel and various operational elements fit into the organization; and
- Often provides a schedule of the key meetings and briefings during the operational period.

The IAP provides clear direction and includes a comprehensive listing of the tactics, resources, and support needed to accomplish the objectives. The various steps in the process, executed in sequence, help ensure a comprehensive IAP. These steps support the accomplishment of objectives within a specified time.

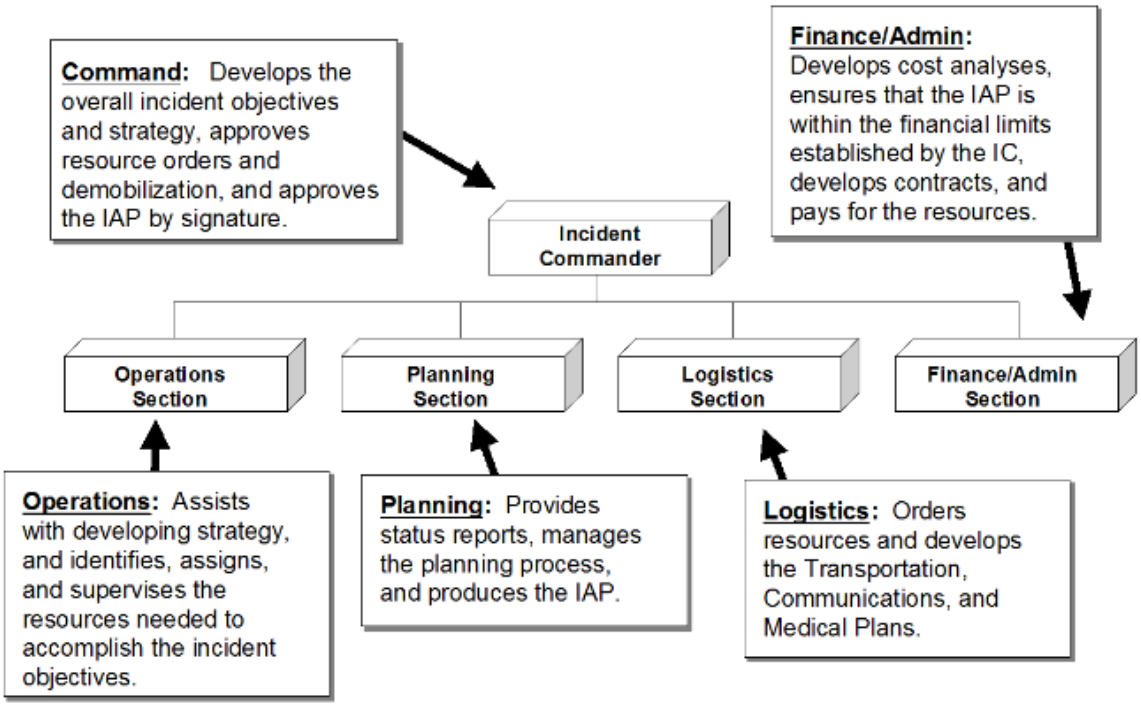
The development of IAPs is a cyclical process, and personnel repeat the planning steps every operational period. Personnel develop the IAP using the best information

available at the time of the Planning Meeting. Personnel should not delay planning meetings in anticipation of future information.

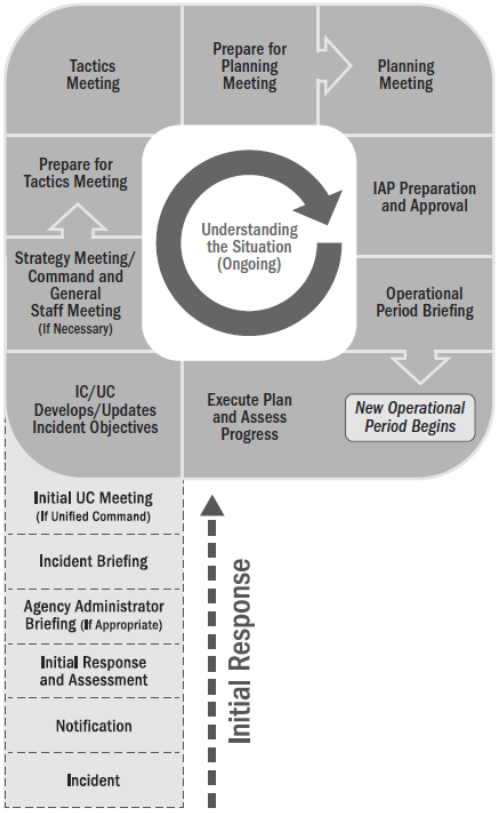
During the initial stage of incident management, the Incident Commander typically develops a simple plan and communicates the plan through concise oral briefings. In the beginning of an incident, the situation can be chaotic and situational awareness hard to obtain, so the Incident Commander often develops this initial plan very quickly and with incomplete situation information. As the incident management effort evolves, additional lead time, staff, information systems, and technologies enable more detailed planning and cataloging of events and lessons learned. The steps of the Incident Action Planning Process are essentially the same for the first responders on scene determining initial tactics and for personnel developing formal written IAPs”

Planning involves:

- Evaluating the situation.
- Developing incident objectives.
- Selecting a strategy.
- Deciding which resources should be used to achieve the objectives in the safest, most efficient, and most cost-effective manner.

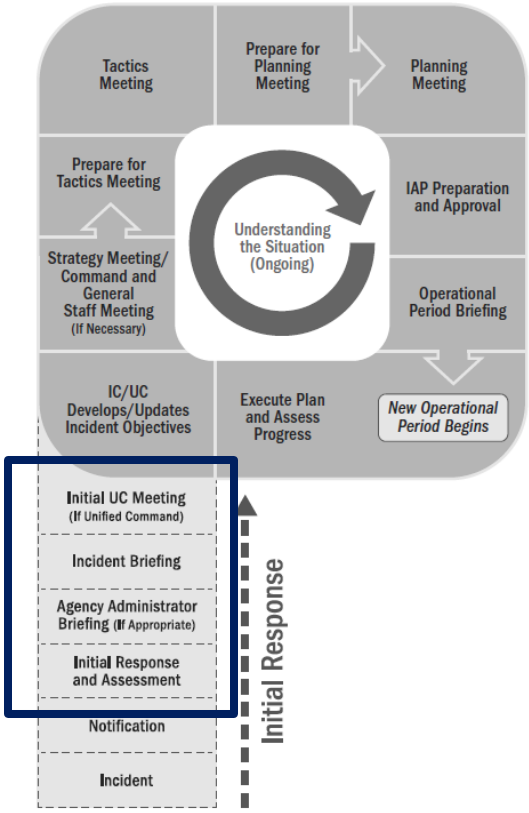


The Operational Period Planning Cycle (Planning "P")



- Many incident management organizations use a formal planning cycle with established meetings and deliverables to mark their progress through the planning process and enable coordination of the entire team. The Operational Period Planning Cycle (Planning P) is a graphical representation of the sequence and relationship of the meetings, work periods, and briefings that comprise the incident action planning cycle. Other versions of the Planning P may be used as training and operational aids.
- The Planning "P" is a guide to the process and steps involved in planning for an incident. The leg of the "P" describes the initial response period: Once the incident/event begins, the steps are Notifications, Initial Response & Assessment, Agency Administrator Briefing (if appropriate), Incident Briefing Using ICS 201, and Initial/Unified Command (UC) Meeting.
- At the top of the leg of the "P" is the beginning of the first operational planning period cycle. In this circular sequence, the steps are IC/UC Develop/Update Objectives Meeting, Strategy Meeting/Command and General Staff Meeting, Preparing for the Tactics Meeting, Tactics Meeting, Preparing for the Planning Meeting, Planning Meeting, IAP Prep & Approval, and Operations Briefing.
- At this point a new operational period begins. The next step is Execute Plan & Assess Progress, after which the cycle begins again.

Initial Response



Initial Response and Assessment

Planning begins with a thorough size-up that provides information needed to make initial management decisions. The responder(s) who is first to arrive at the incident scene conducts the initial assessment and takes whatever immediate response actions are appropriate and possible. The initial or rapid assessment is essential to gaining and maintaining situational awareness. It enables the Incident Commander to request additional resources and/or support, develop, and implement initial tactics. Jurisdiction officials might decide to activate an EOC based on the initial assessment. The ICS Form 201 provides Command and General Staff with information about the incident situation and the resources allocated to the incident. This form serves as a permanent record of the initial response to the incident and can be used for transfer of command.

Agency Administrator Briefing

The Agency Administrator Briefing is a presentation to the personnel who will be managing or supporting the incident by the administrator or other senior official of the jurisdiction, agency, or organization affected by the incident. This briefing occurs when the Incident Commander or Unified Command are assuming duties outside their normal

responsibilities or are from an entity or jurisdictional area that does not possess authority to the manage the incident they are being assigned. In such cases, the briefing provides supporting details to the delegation of authority or other document that the jurisdiction, agency, or organization typically provides to the Incident Commander or Unified Command.

During the briefing, the agency administrator or a designee provides information, guidance, and direction—including priorities and constraints—necessary for the successful management of the incident. The briefing is intended to ensure a common understanding between the jurisdiction, agency, or organization and the incident personnel regarding such things as the environmental, social, political, economic, and cultural issues relevant to the incident and its location.

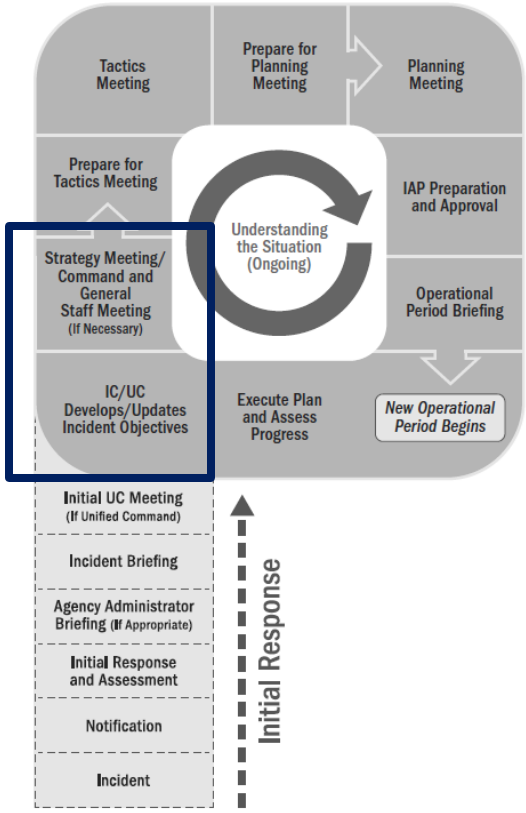
Incident Briefing

The incident briefing marks the transition from reactive to proactive incident management. The initial responder(s) typically delivers the briefing to the incoming Incident Commander or Unified Command. This meeting enables the incoming Incident Commander or Unified Command to initiate planning for the next operational period.

Initial Unified Command Meeting

If a Unified Command is managing the incident, the Initial Unified Command Meeting allows members of the Unified Command to meet in private to discuss each jurisdiction or organization’s priorities and objectives as well as any limitations, concerns, and restrictions. During the Initial Unified Command Meeting, members of the Unified Command generally accomplish the next step by developing the initial joint incident objectives.

The Start of Each Planning Cycle



IC/UC Objectives Meeting

The Incident Commander or Unified Command establishes the incident objectives for the initial operational period. After the initial operational period, the Incident Commander or Unified Command reviews the incident objectives and may validate them, modify them, or develop new objectives.

Incident objectives are based on incident priorities and other requirements. Clearly communicated priorities and objectives support unity of effort among incident personnel and enable the development of appropriate strategies and tactics. When the members of the team clearly understand the intent behind their instructions, they are better equipped to act decisively and make good decisions.

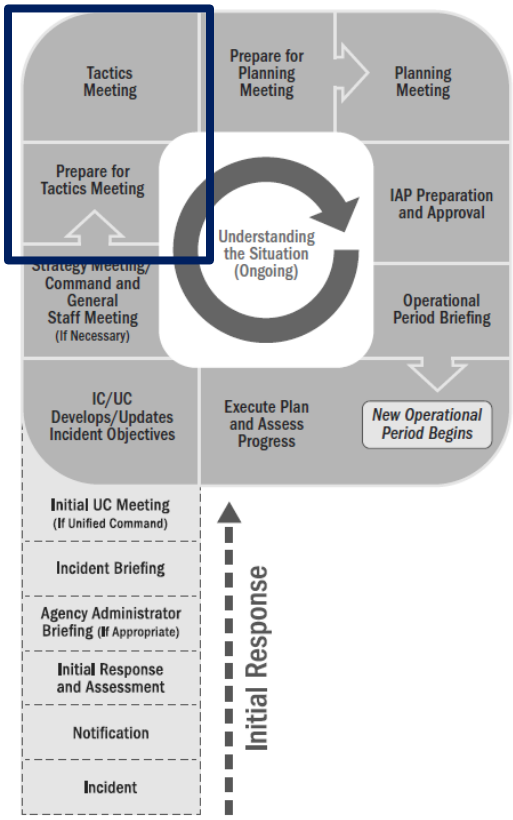
The cyclical planning process is designed to take the overall incident objectives and break them down into tactical assignments for each operational period. It is important that this initial overall approach to establishing incident objectives establish the course of the incident, rather than having incident objectives only address a single operational period.

Strategy Meeting/ Command and General Staff Meeting

After developing or revising the incident objectives, the Incident Commander or Unified Command typically meets with the Command and General Staff, and sometimes others, to discuss the incident objectives and provide direction. This meeting may be called the Strategy Meeting or the Command and General Staff Meeting and is held as needed to determine how best to meet the incident objectives and should be as brief as possible.

The initial Strategy Meeting, which is held the first time through the planning cycle, is particularly important, because it allows team members to share information and jointly determine the initial approach to response operations. The initial Strategy Meeting may include the initial Incident Commander and a representative from the Agency Administrator.

Preparing for and Conducting the Tactics Meeting



Preparing for the Tactics Meeting

Once the approach to achieving or working toward achieving the incident objectives is determined, the Operations Section Chief and staff prepare for the Tactics Meeting by developing tactics and determining the resources that will be applied during the operational period.

Tactics Meeting

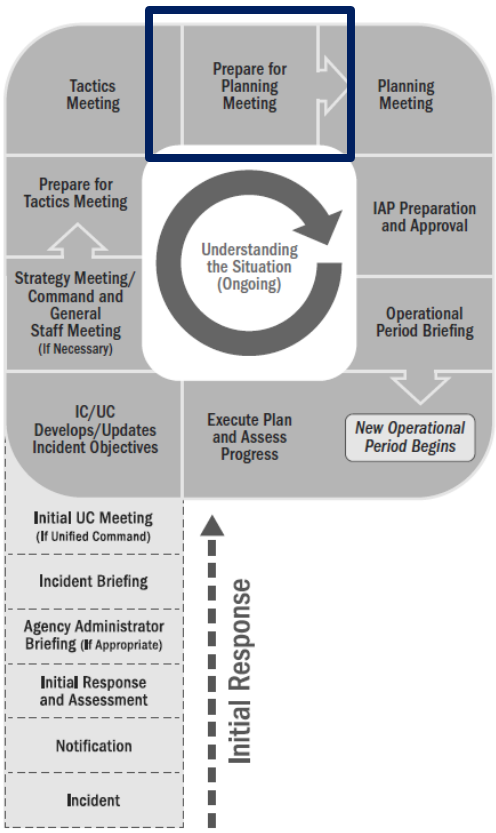
The Tactics Meeting is a forum for key players to review the proposed tactics developed by the Operations Section staff and to conduct planning for resource assignments. This includes the following:

- Determine how the selected strategy will be accomplished in order to achieve the incident objectives and the selected work assignments.
- Assign resources to implement the tactics.
- Identify methods for monitoring tactics and resources to determine if adjustments are required (e.g., different tactics, different resources, or new strategy).

The Operations Section Chief leads the Tactics Meeting, and key participants include the Logistics Section Chief, Safety Officer, a representative from the Planning Section—typically, the Resources Unit Leader—and other technical specialists or team members invited by the Operations Section Chief, Logistics Section Chief, or Safety Officer. The team uses ICS Forms 215 and 215A, the Operational Planning Worksheet and the Incident Action Plan Safety Analysis, to facilitate and document decisions they make during the meeting.

Resource assignments will be made for each of the specific work tasks. Resource assignments will consist of the kind, type, and numbers of resources available and needed to achieve the tactical operations desired for the operational period. If the required tactical resources will not be available, then an adjustment should be made to the tactical assignments being planned for the operational period. It is very important that tactical resource availability and other needed support be determined prior to spending a great deal of time working on strategies and tactical operations that realistically cannot be achieved.

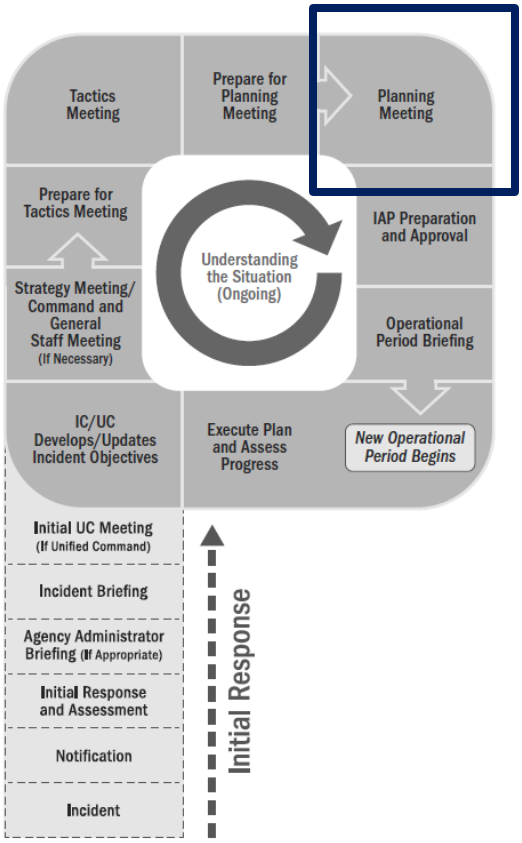
Preparing for the Planning Meeting



Following the Tactics Meeting, preparations begin for the Planning Meeting. Team members collaborate between the Tactics Meeting and the Planning Meeting to identify support needs and assign specific operational resources to accomplish the operational plan. This includes the following actions coordinated by the Planning Section:

- Review the ICS Form 215, Operational Planning Worksheet developed in the Tactics Meeting.
- Review the ICS Form 215A, Incident Safety Analysis (prepared by the Safety Officer), based on the information in the ICS Form 215.
- Assess current operations effectiveness and resource efficiency.
- Gather information to support incident management decisions.
- Arrange the meeting locations with the necessary meeting displays.

Planning Meeting

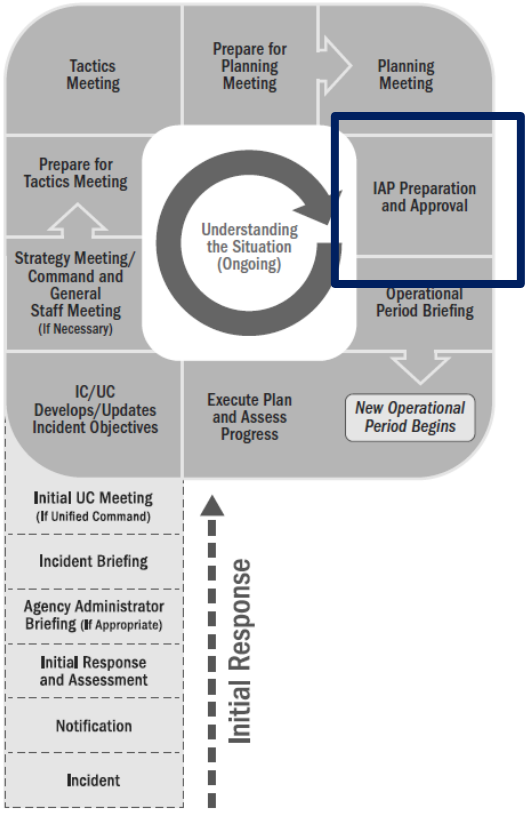


The Planning Meeting serves as a final review and approval of operational plans and resource assignments developed during and after the Tactics Meeting. Ideally, the Planning Meeting involves no surprises and simply serves as a review of a plan that the Command and General Staff have collaboratively developed and agreed upon.

The Planning Meeting provides the opportunity for the Command and General Staff to review and validate the operational plan as proposed by the Operations Section Chief. Attendance is required for all Command and General Staff. Additional incident personnel may attend at the request of the Planning Section Chief or the Incident Commander. The Planning Section Chief facilitates conducts the Planning Meeting following a fixed agenda.

The Operations Section Chief delineates the amount and type of resources he or she will need to accomplish the plan and their work assignment.. The Planning Section's Resources Unit will have to work with the Logistics Section to accommodate. At the end of the Planning Meeting, Command and General Staff, and any agency officials involved, confirm that they can support the plan. At the conclusion of the meeting, Oonce the proposed planaln is supported by the Command and General Staff ands approved by the IC/UC the Planning Section Staff will indicate when all elements of the plan and support documents are required to be submitted so the plan can be collated, duplicated, and made ready for the Operational Period Briefing.

IAP Preparation and Approval



Based on concurrence from all elements at the end of the Planning Meeting, the Incident Commander or Unified Command approves the plan. After this final approval, the Planning Section staff assemble the plan and ensure that it is ready for use during the Operational Period Briefing.

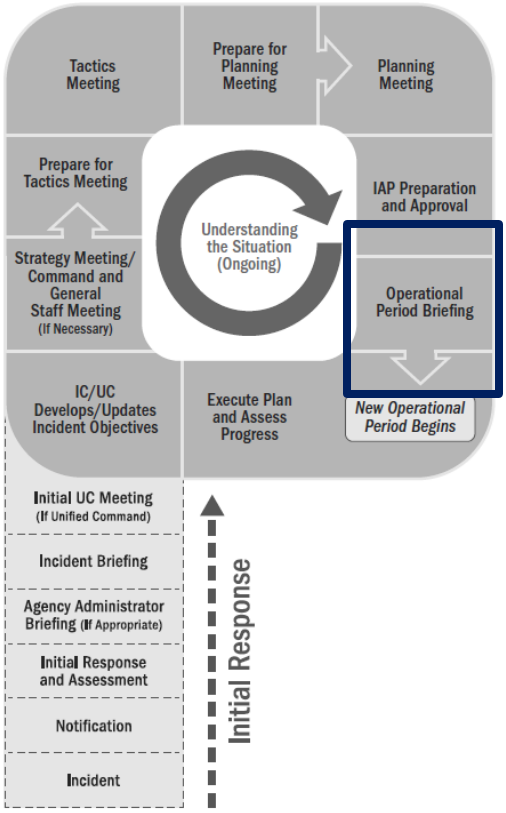
A written IAP is composed of a series of standard forms and supporting documents that convey the intent of the Incident Commander or Unified Command, as well as the Operations Section Chief for the operational period. The Incident Commander or Unified Command determines which ICS forms and attachments to include in the IAP; the Planning Section Chief ensures that staff in the appropriate sections, branches, or units prepare the forms and attachments. The Incident Commander or Unified Command gives final approval of the written IAP before Planning Section staff reproduce and disseminate it. IAPs may be distributed electronically, in hard copy, or both.

For simple incidents of short duration, the Incident Action Plan (IAP) will be developed by the Incident Commander and communicated to subordinates in a verbal briefing. The planning associated with this level of complexity does not demand the formal planning meeting process as highlighted above.

Certain conditions result in the need for the Incident Commander to engage a more formal process. A written IAP should be considered whenever:

- Two or more jurisdictions are involved in the response.
- The incident continues into the next operational period.
- A number of ICS organizational elements are activated (typically when General Staff Sections are staffed).
- It is required by agency policy.
- **Note: A written IAP is a legal requirement (not optional) for incidents involving hazardous materials (HAZMAT**).

Operational Period Briefing



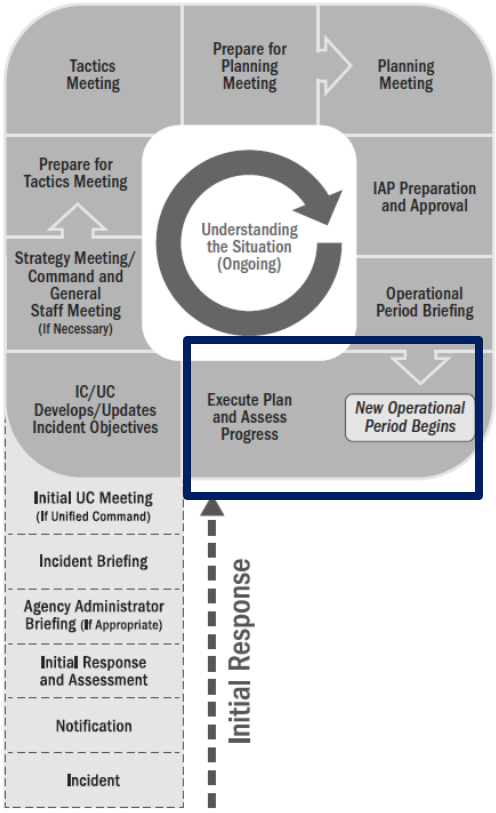
Each operational period starts with an Operational Period Briefing. Incident supervisory and tactical personnel receive the IAP during the briefing. During this briefing, various members of the Command and General Staff present the incident objectives, review the current situation, and share information related to communications or safety.

The Operational Period Briefing is referred to as the Operations Briefing or the Shift Briefing by some organizations. Note that during longer operational periods, shift change briefings may be conducted within an operational period.

This briefing is conducted just before the start of each operational period and presents the Incident Action Plan to supervisors of tactical resources.

Following the Operational Period Briefing, supervisors brief their assigned personnel on their respective assignments as documented in the IAP.

Execute Plan and Assess Progress



The Operations Section directs the implementation of the plan. The supervisory personnel within the Operations Section are responsible for implementation of the plan for the specific operational period.

The plan is evaluated at various stages in its development and implementation. The Operations Section Chief may make the appropriate adjustments during the operational period to ensure that the objectives are met and effectiveness is assured.

Assessment is an ongoing, continuous process to help adjust current operations, as appropriate or required, and help plan the future operations to meet the incident objectives.

Based on input from the Command and General Staff members (particularly the Operations Section Chief) the IC/UC will determine if the Incident Objectives need to be modified or altered. If the Incident Objectives require adjustment, amendment, or alteration, the IC/UC will meet to draft the changes.

ICS Forms

This section describes common ICS forms.

Not all ICS forms are included in the IAP; some support the Incident Action Planning Process or incident operations in other ways. The IAP normally consists of the Incident Objectives (ICS Form 202), Organization Assignment List (ICS Form 203), an Assignment List (ICS Form 204) for each division/group on the incident, and a map of the incident area. Larger incidents necessitate additional supporting attachments, such as a separate Incident Radio Communications Plan (ICS Form 205), a Medical Plan (ICS Form 206, a IAP Safety Message/Plan (ICS Form 208) and possibly a Traffic Plan.

The following section provides brief descriptions of selected ICS forms. This list is not all-inclusive; other forms are available online, commercially, and in a variety of formats.

- **ICS Form 201—Incident Briefing**: The initial Incident Commander typically uses this form to capture vital incident information before implementing the formal Incident Action Planning Process. The use of this four-section document (often produced as four pages) allows a concise and complete transition-of-command briefing to an incoming new Incident Commander. In addition, this form may serve as the full extent of incident command and control documentation if the initial response resources and organization resolve the situation. This form simplifies and supports the transfer of situation information to the members of the Command and General Staffs as they arrive and begin work. It is not included as a part of a written IAP.
- **ICS Form 202—Incident Objectives**: Serves as the opening section of a written IAP and includes incident information, a listing of the objectives for the operational period, pertinent weather information, a general safety message, and a table of contents for the plan. This form contains the signature block in which the Incident Commander or Unified Command approves the IAP.
- **ICS Form 203—Organization Assignment List**: Is typically the second section of the IAP and provides a full accounting of incident management and supervisory staff for that operational period.
- **ICS Form 204—Assignment List**: The incident IAP typically includes multiple ICS Form 204s, based on the organizational structure of the Operations Section for the operational period. Each division/group has its own page, listing the supervisor for the division/group (including the Branch Director if assigned) and the specific assigned resources with the leader’s name and the number of personnel assigned to each resource. This document details the specific actions assigned to that division or group for the operational period, any special instructions, and pertinent elements of the Incident Radio Communications Plan (ICS Form 205)..

- **ICS Form 205—Incident Radio Communications Plan**: Documents radio frequency assignments down to the division/group level.
- **ICS Form 205A—Communications List**: Documents non-radio contact information for incident personnel.
- **ICS Form 206—Medical Plan**: Presents the incident's plan to care for responder medical emergencies.
- **ICS Form 207—Incident Organization Chart**: Depicts an organization chart of the major elements and key staff in the ICS organization.
- **ICS Form 208—Safety Message/Plan**: Typically contains the safety message, expanded safety message, safety plan, and site safety plan.
- **ICS Form 209—Incident Status Summary**: The primary form for reporting situation information to incident coordination and support organizations and agency administrators/executives.
- **ICS Form 210—Resource Status Change**: Documents changes in the status of resources assigned to the incident; it can also be used as a worksheet to track resource arrival and departure.
- **ICS Form 211—Incident Check-In List**: Documents resources that check in to the incident.
- **ICS Form 213—General Message Form**: A general use form to communicate information among incident personnel or with other echelons of incident management.
- **ICS Form 213RR—Resource Request Message Form**: A general use form utilized to order resources and track resource status.
- **ICS Form 214—Activity Log**: Used to record notable activities or events.
- **ICS Form 215—Operational Planning Worksheet**: Used to develop tactical assignments and identify resource needs for the coming operational period.
- **ICS Form 215A—IAP Safety Analysis**: Communicates the safety and health issues identified by the Safety Officer; it also identifies mitigation measures to address safety issues.
- **ICS Forms 219-1 to 210-10—Resource Status Card (T-Card)**: Utilized to track the status of incident resources.
- **ICS Form 221—Demobilization Check-Out:** Documents details regarding the demobilization of incident resources.
- **ICS Form 230—Meeting Schedule**: Records information regarding meetings and briefings scheduled for the operational period.

The IAP and Typical Attachments

IAP Component	Normally Prepared By ICS
Incident Objectives (ICS Form 202)	Incident Commander
Organizational Assignment List (ICS Forms 203, 207)	Resources Unit
Assignment List (ICS Form 204)	Resources Unit
Incident Radio Communications Plan (ICS Form 205) or Communications List (ICS Form 205A)	Communications Unit
Medical Plan (ICS Form 206)	Medical Unit
Incident Maps	Situation Unit
General Safety Message/ Site Safety Plan (ICS Form 208)	Safety Officer

Other Potential IAP Components (Incident Dependent)	Normally Prepared By ICS
Air Operations Summary	Air Operations
Traffic Plan	Ground Support Unit
Decontamination Plan	Technical Specialist
Waste Management or Disposal Plan	Technical Specialist
Demobilization/Deactivation Plan	Demobilization Unit
Site Security Plan	Law Enforcement, Technical Specialist, or Security Manager
Investigative Plan	Intelligence/Investigations Function
Evacuation Plan	As needed
Meeting Schedule (ICS Form 230)	Situation Unit
Sheltering/Mass Care Plan	As needed
Other (as needed)	As needed

Demobilization

The goal of demobilization is the orderly, safe, and efficient return of a resource to its original location and status. Once resources are no longer needed on an incident, those responsible for resources should demobilize them. The resource requestor and provider may agree to reassign a resource rather than demobilize it. Prior to demobilization, incident staff responsible for the planning and Logistics Functions collaborate to plan how resources are rehabilitated, replenished, disposed of, and/or returned or restored to operational condition. Managers plan and prepare for the demobilization process at the same time they begin mobilizing resources.

Demobilization planning helps to:

- Eliminate waste in resources.
- Eliminate potential fiscal and legal impacts.
- Ensure a controlled, safe, efficient, and cost-effective release process.

Demobilization policies and procedures depend on size of incident and may involve:

- Fiscal/legal policies and procedures.
- Work rules.
- Special license requirements.
- Other requirements.

Unit 3: Complex Incident Management

STUDENT MANUAL

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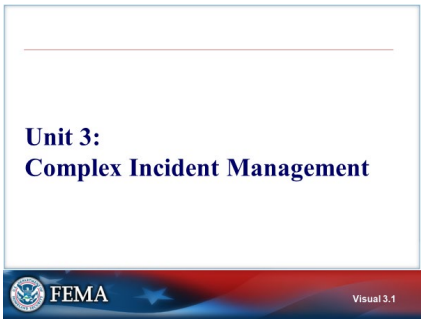


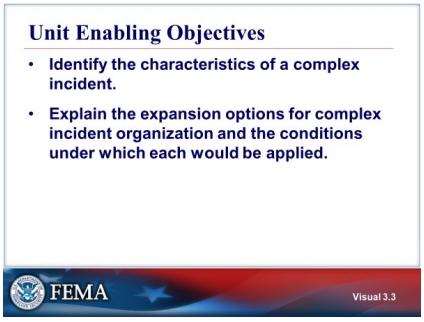
Visual 3.1

UNIT 3: COMPLEX INCIDENT MANAGEMENT

Visual 3.2

UNIT TERMINAL OBJECTIVE

Apply the appropriate structural option to manage a complex incident.



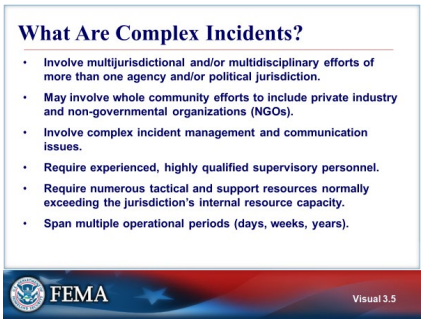
Visual 3.3

UNIT ENABLING OBJECTIVES

- Identify the characteristics of a complex incident.
- Explain the expansion options for complex incident organization and the conditions under which each would be applied.

Visual 3.4

FACILITATED GROUP ACTIVITY: COMPLEX INCIDENT MANAGEMENT

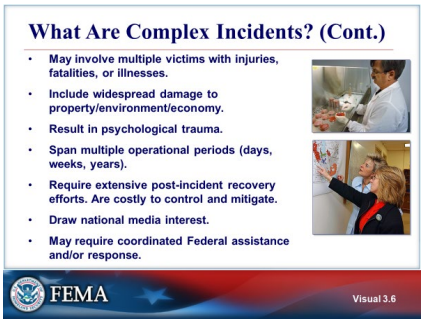


Visual 3.5

WHAT ARE COMPLEX INCIDENTS?

The term "complex incident" may have different meanings to different agencies depending upon the size of the jurisdiction, number of resources available, and other variables. However, in the context of incident management, complex incidents generally:

- Involve multijurisdictional and/or multidisciplinary efforts of more than one agency and/or political jurisdiction
- May involve whole community efforts to include private industry and non-governmental organizations (NGOs)
- Involve complex incident management and communication issues
- Require experienced, highly qualified supervisory personnel
- Require numerous tactical and support resources normally exceeding the jurisdiction's internal resource capacity
- Span multiple operational periods (days, weeks, years)

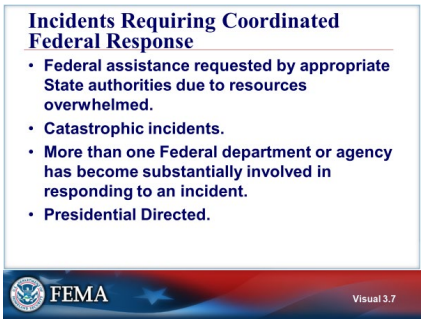


Visual 3.6

WHAT ARE COMPLEX INCIDENTS? (CONT.)

Complex incidents also generally:

- May involve multiple victims with injuries, fatalities, or illnesses
- Include widespread damage to property/environment/economy
- Result in psychological trauma
- Span multiple operational periods (days, weeks, years)
- Require extensive post-incident recovery efforts. Are costly to control and mitigate
- Draw national media interest
- May require coordinated Federal assistance and/or response, including management of donations and activities of nongovernment organizations (NGOs)



Visual 3.7

INCIDENTS REQUIRING COORDINATED FEDERAL RESPONSE

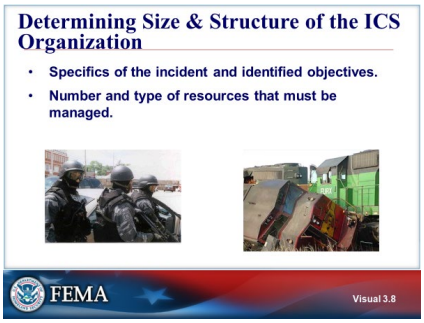
The types of incidents requiring a coordinated Federal response include:

- The resources of State, tribal, and local authorities are overwhelmed (or are expected to be) and Federal assistance has been requested by the appropriate State authorities. Examples include:
  - Major disasters or emergencies as defined under the Stafford Act.
- Catastrophic incidents.
  - A catastrophic incident, as defined by the *National Response Framework (NRF)*, is any natural or manmade incident, including terrorism, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions. A catastrophic incident could result in sustained nationwide impacts over a prolonged period of time; almost immediately exceeds resources normally available to State, tribal, local, and private-sector authorities in the impacted area; and significantly interrupts governmental operations and emergency services to such an extent that national security could be threatened.
- More than one Federal department or agency has become substantially involved in responding to an incident. Examples include:
  - Credible threats, indications, or warnings of imminent terrorist attack, or acts of terrorism directed domestically against the people, property, environment, or political or legal institutions of the United States or its territories or possessions.
  - Threats or incidents related to high-profile, large-scale events that present high-probability targets such as National Special Security Events (NSSEs) and other special

events as determined by the Secretary of Homeland Security, in coordination with other Federal departments and agencies.

  - Public Health emergencies declared under section 319 of the Public Health Service (PHS) Act by the Secretary of the Department of Health and Human Services (HHS) due to a disease or disorder presents a public health emergency; or a public health emergency, including significant outbreaks of infectious disease or bioterrorist attacks.
  - A Federal department or agency acting under its own authority has requested the assistance of the Secretary of Homeland Security. An example of this would be the Army Corps of Engineers responding to an infrastructure incident or the US Forestry service responding to a wildland fire.

- Presidential Directed - The President has directed the Secretary of Homeland Security to coordinate the Federal response.



Visual 3.8

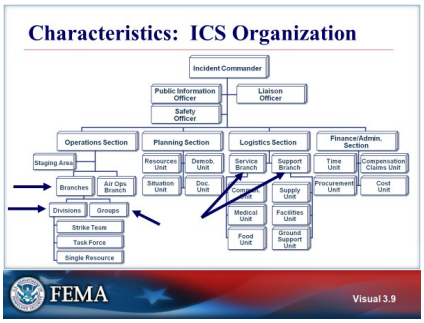
DETERMINING SIZE & STRUCTURE OF THE ICS ORGANIZATION

There are decision making factors that will need to considered in determining the size of the modular organization structure. The primary factors for determining the size and structure of the ICS organization include:

- Specifics of the incident and identified objectives.
  - The geographical area involved
  - Potential for expansion (time, geographic area, impacted jurisdictions and organizations)
  - The administrative and jurisdictional complexity (multiple jurisdictions or organizations with overlapping or conflicting concerns)
  - Political concerns
  - Public and Media attention
- Number and type of resources that must be managed.
  - Consideration of the span of control
  - Functional specialties required
  - Incident logistical, planning, and other support needs

Some incidents start smaller and become complex incidents – Smaller incidents, such as fires or hazardous materials spills, can become complex as result of wind or surface conditions and also as a result of response time delays, poor initial management, and/or lack of resources or support.

Other incidents start as complex incidents – Earthquakes, hurricanes, floods, major aviation crashes, tanker spills, major hazardous materials situations, simultaneous civil unrest, terrorism, etc., can all produce complex incident management situations.



Visual 3.9

CHARACTERISTICS: ICS ORGANIZATION

In a complex incident, most Command and General Staff positions are filled.

- The Command Staff consists of the Public Information Officer, Safety Officer, and Liaison Officer who report directly to the Incident Commander.
- The General Staff consists of incident management personnel including the Incident Commander, Operations Section Chief, Planning Section Chief, Logistics Section Chief, and Finance/Administration Section Chief.

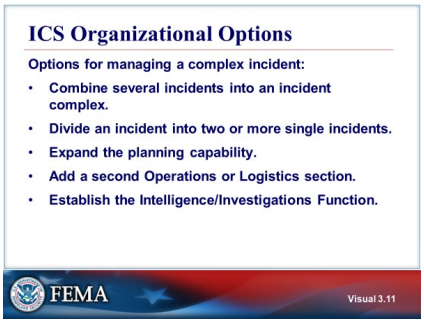
In a complex incident-based span of control can be a significant challenge.

The optimal span of control for incident management is one supervisor to five subordinates; however, effective incident management frequently necessitates ratios significantly different from this. The 1:5 ratio is a guideline, and incident personnel use their best judgment to determine the actual distribution of subordinates to supervisors for a given incident.

Visual 3.10

CHARACTERISTICS: LOGISTICS & PLANNING

- Complexity Affects Logistics
  - A large number of tactical and support resources will need to be identified, ordered and acquired, mobilized, tracked, and eventually demobilized.
  - Additional Incident facilities such as multiple staging areas, incident support bases and camps may be required.
  - Some of the resources may be highly specialized and have unique support requirements.
  - Some of these resources will likely not be owned by the affected jurisdiction(s).
- Complexity Affects Planning
  - Plans will have to address multiple operational periods and likely geographically dispersed operations.
  - A Unified Command is likely and will bring multiple different organizations and jurisdictions together in developing the IAP.
  - The use of a more robust planning section (potentially including resources from an Incident Management Team) may be required.
  - Complex incidents require more extensive IAPs.
  - Specialized planning functions may be conducted outside of the planning section. For example, Urban Search and Rescue, Air Operations and Intelligence/ Investigations may produce internal plans for their own operations

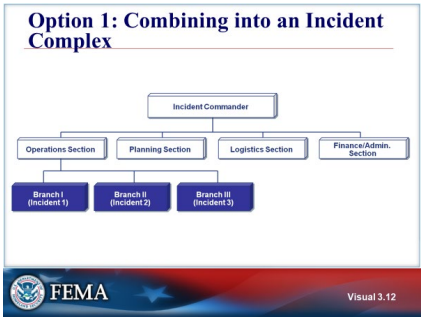


Visual 3.11

ICS ORGANIZATIONAL OPTIONS

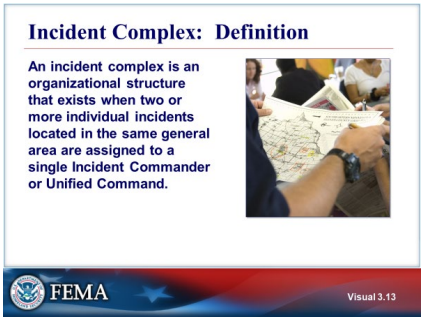
While the standard ICS structure is adaptable to meet the needs of most complex incidents, not all situations are alike. Other forms of ICS organization may be needed to meet extraordinary situations.

The management principles that relate to ICS are important. However, it also is important that the system works effectively to meet the needs of the incident. On complex incidents, this may require tailoring the organization to meet the needs of the situation.



Visual 3.12

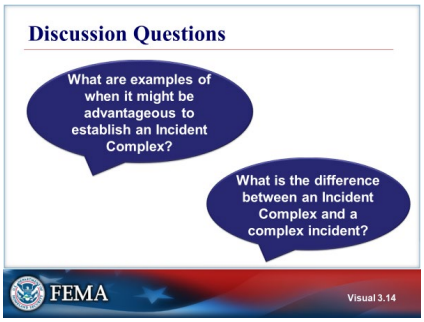
OPTION 1: COMBINING INTO AN INCIDENT COMPLEX



Visual 3.13

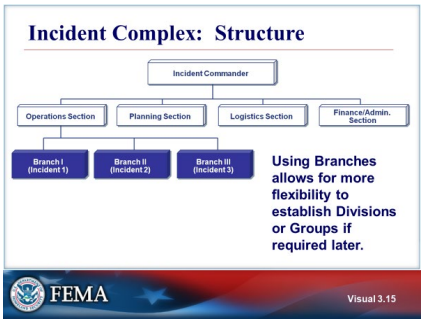
INCIDENT COMPLEX: DEFINITION

If any of the incidents within an incident complex have the potential to become a large-scale incident, it is best to establish it as a separate incident with its own ICS organization.



Visual 3.14

DISCUSSION QUESTIONS

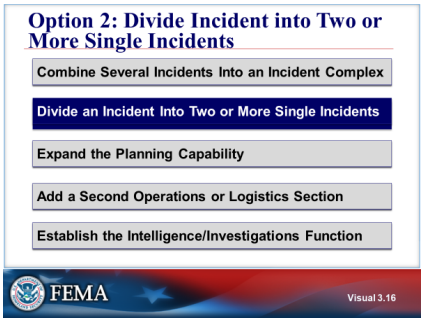


Visual 3.15

INCIDENT COMPLEX: STRUCTURE

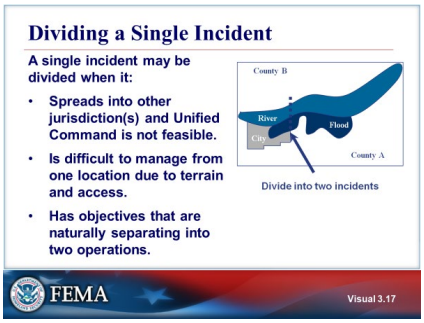
- An Incident Complex may be managed under a Unified Command.
- The incident complex is established over several individual incidents and each of the previously identified incidents become branches or divisions within the Operations Section of the incident complex.
- Using Branches allows for more flexibility to establish Divisions or Groups if required later.
- Because Divisions and Groups already may have been established at each of the incidents, the same basic structure can be maintained below the Branch level within the Incident Complex.
- Each branch has the flexibility to establish its own divisions or groups.

Refer to Handout 3-1: Option 1: Establish an Incident Complex by Combining Several Incidents.



Visual 3.16

OPTION 2: DIVIDE INCIDENT INTO TWO OR MORE SINGLE INCIDENTS

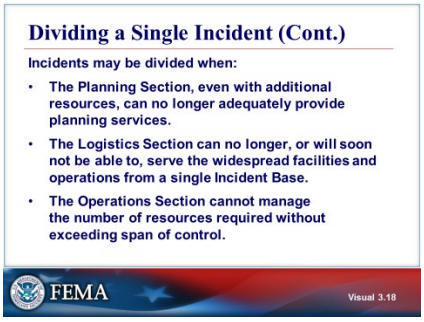


Visual 3.17

DIVIDING A SINGLE INCIDENT

Although Unified Command is the first choice, it is not always feasible. A single incident may be divided when it:

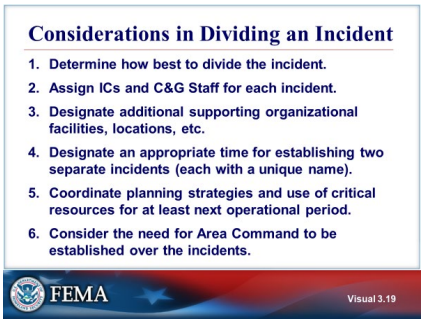
- Spreads into other jurisdiction(s) and Unified Command is not feasible. For example, a flooding may be divided by jurisdiction.
- Is difficult to manage from one location due to terrain and access. For example, an incident such as an earthquake, tornadoes, significant flooding, or wildland fire, where terrain and access affect operational or logistical mobility and the ability to manage from one location, may be divided geographically.
- Has objectives that are naturally separating into two functionally separate operations**.** For example, a bioterrorism incident that includes immediate public health objectives and longer term investigation objectives may be divided into two operations.



Visual 3.18

DIVIDING A SINGLE INCIDENT (CONT.)

Dividing an incident should be considered if two or more Sections are overtaxed due to the size of the incident.

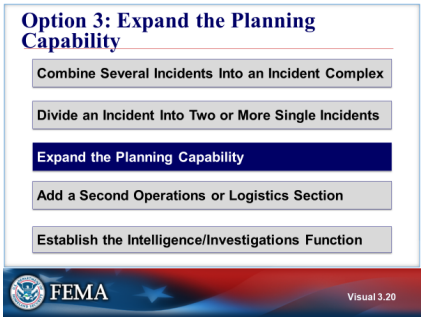


Visual 3.19

CONSIDERATIONS IN DIVIDING AN INCIDENT

1. Determine how best to divide the incident. This division could be done in several ways, depending upon:
   - Terrain and access considerations
   - Locations of future resource and logistical support
   - Jurisdictional/administrative boundaries
   - Current Operations Section structure (Branches, Divisions, etc.)
2. Assign an Incident Commander and Command and General Staff for each incident.
3. Designate additional supporting organizational facilities, locations, etc.
4. Designate an appropriate time for establishing two separate incidents (each with a unique name).
5. Coordinate planning strategies and use of critical resources between the incidents for at least the next operational period.
6. Consider the need for Area Command to be established over the incidents (covered in the next unit).

Refer to Handout 3-2: Option 2: Divide Incident into Two or More Single Incidents.

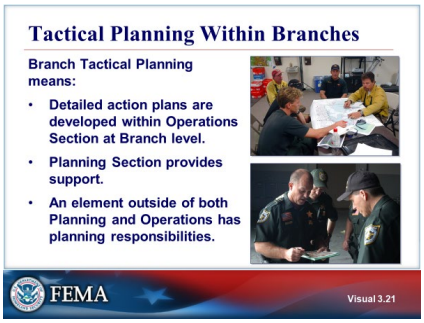


Visual 3.20

OPTION 3: EXPAND THE PLANNING CAPABILITY

Expanding the planning capability at an incident take several forms, including:

- Tactical planning within branches
- Separating advanced incident planning from the day-to-day Incident Action Planning Process



Visual 3.21

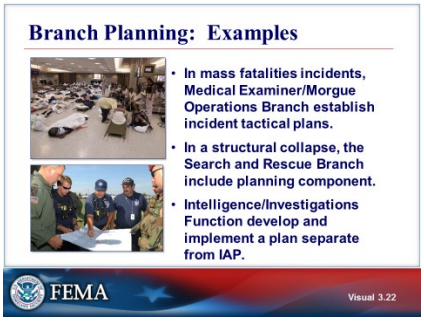
TACTICAL PLANNING WITHIN BRANCHES

Branch Tactical Planning normally means that the detailed action plans are developed within the Operations Section at the Branch level, with the Planning Section providing support and coordination.

It can also mean that an element outside of both the Planning and Operations Sections has planning responsibilities. An example of this is when the Intelligence/Investigations function is established as a separate ICS General Staff I/I Section.

Tactical planning at the Branch level may occur when:

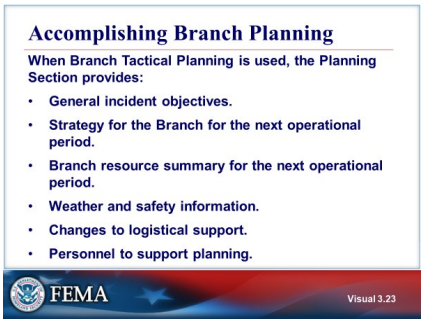
- The incident becomes so large that there is no single set of objectives that would logically pertain to the entire incident.
- Special technical expertise is needed for planning.
- Because of the immediacy of the operation, it is not feasible to wait for inclusion in the next IAP timeframe (the planning, approval and execution all occur before the publication of the next IAP).



Visual 3.22

BRANCH PLANNING: EXAMPLES

- In a mass fatalities incident, the Medical Examiner/Morgue Operations Branch may be best suited to establish its own incident tactical plans.
- In a structural collapse, the Search and Rescue Branch typically will include its own planning component.
- The Intelligence/Investigations Function is responsible for developing and implementing an intelligence/investigations plan separate from the IAP.



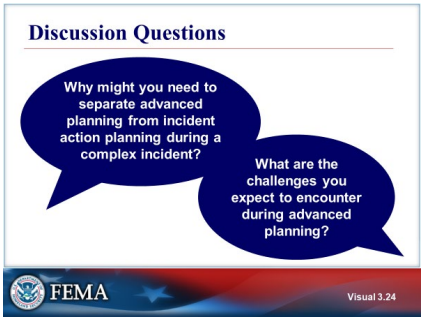
Visual 3.23

ACCOMPLISHING BRANCH PLANNING

Both the Planning Section and the Operations Section (and potentially the I/I Section if established) participate in the Branch Tactical Planning.

With this information, individual Branches can perform detailed tactical action planning. The Planning Section must ensure that necessary inter-Branch coordination takes place.

After the general information has been received from the Planning Section, the Branch develops a detailed tactical plan with the information required to complete the ICS Form 215.

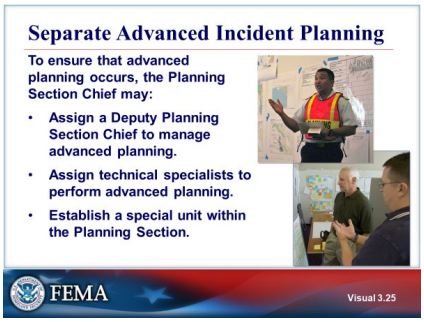


Visual 3.24

DISCUSSON QUESTIONS

Why might you need to separate advanced planning from incident action planning during a complex incident?

What are the challenges you expect to encounter during advanced planning?

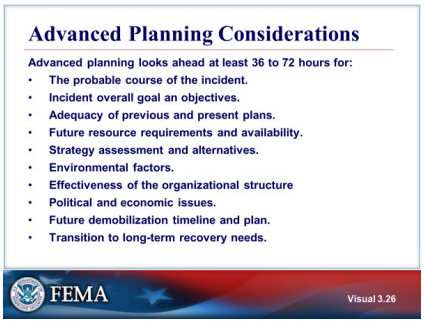


Visual 3.25

SEPARATE ADVANCED INCIDENT PLANNING

Advanced planning can include future planning for things we can anticipate will happen, and contingency planning for things that might happen (what if).

One of the functions of the Planning Section is to assess all available information and to provide periodic predictions on incident potential. The Planning Section is also responsible for developing any contingency plans that may be required.



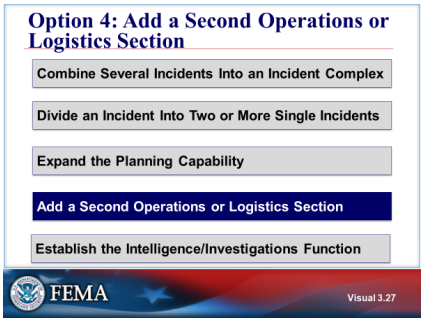
Visual 3.26

ADVANCED PLANNING CONSIDERATIONS

The goal of this advanced planning effort is to provide the Planning Section Chief and the Incident Commander or Unified Command with a range of alternatives related to management of the incident beyond the next operational period.

Advanced planning should project ahead beyond the next operational period. A common practice is to look forward 36 to 72 hours, but the incident may dictate other advanced planning timeframes.

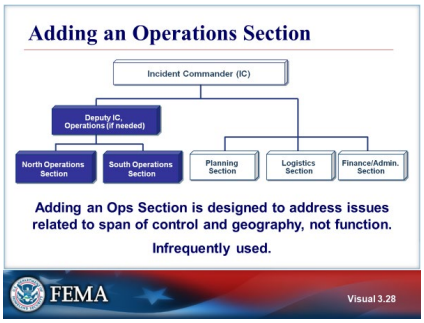
Refer to Handout 3-3: Option 3: Expand the Planning Capability.



Visual 3.27

OPTION 4: ADD A SECOND OPERATIONS OR LOGISTICS SECTION

While not common, it is possible to establish a second Operations or Logistics Section within a single incident. This situation may arise when the incident is operating under Unified Command; however, Unified Command is not a requirement.



Visual 3.28

ADDING AN OPERATIONS SECTION

This option is infrequently used.

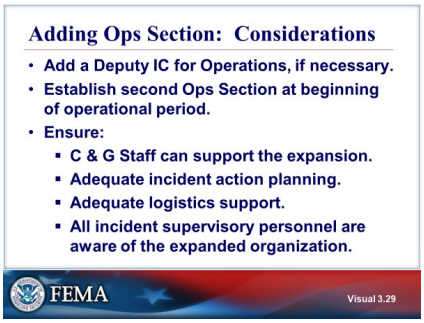
The model shown represents a complex incident in which the sheer volume of resources required means that the Operations Section cannot be further expanded without exceeding ICS span-of-control guidelines and it is not possible to establish separate incidents.

This organizational option is designed to address issues of span of control and geography, not function.

I/I can include its own Investigative Operations Group, which can function somewhat like a second operations section, but it is not a second operations section within this definition because it is functional, not geographic and not normally established due to span of control.

Examples of situations where two Operations Sections may be established:

- Earthquake, hurricane, tornado, or flooding that covers several political jurisdictions
- Major wildland fire that continues to expand
- Major spill in a waterway
- Public health crisis/epidemic
- Domestic terrorist incident



Visual 3.29

ADDING OPERATIONS SECTION: CONSIDERATIONS

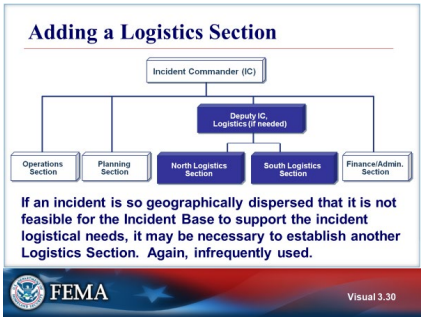
Considerations for adding an Operations Section include:

- Add a Deputy Incident Commander for Operations, if necessary.
- Establish the second Operations Section at the beginning of an operational period.
- Ensure that:
  - Command and General Staff can support the expansion (enough personnel to support two separate Operations Sections)
  - You have addressed how the two Operations sections will participate in development of a common Incident Action Plan
  - Adequate logistics support and deconflict resources between the two operations sections
  - All incident supervisory personnel are aware of how they will interact with the separate Operations Sections

If established, the Deputy Incident Commander for Operations:

- Has the responsibility to ensure that all aspects of both the original and the additional Operations Sections are fully coordinated with each other and with other Sections.
- Is normally collocated with the Incident Commander at the Incident Command Post.

Separate Staging Areas are normally established to support each Operations Section.

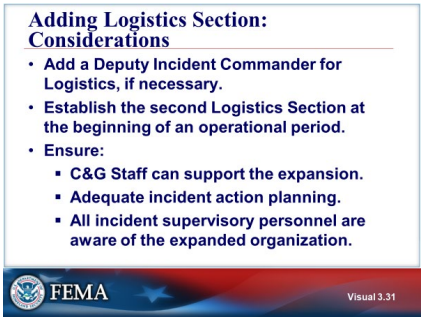


Visual 3.30

ADDING A LOGISTICS SECTION

This option is also infrequently used.

If an incident is so geographically dispersed that it is not feasible for the Incident Base to support the incident logistical needs, it may be necessary to establish another Logistics Section.



Visual 3.31

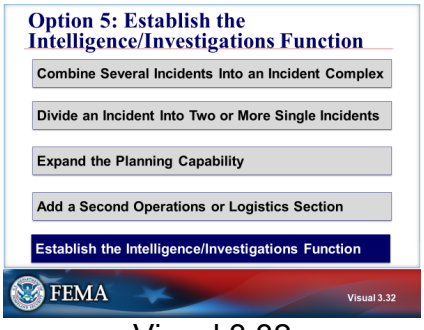
ADDING LOGISTICS SECTION: CONSIDERATIONS

Considerations for adding an Logistics Section include:

- Add a Deputy Incident Commander for Logistics, if necessary.
- Establish the second Logistics Section at the beginning of an operational period.
- Ensure that:
  - Command and General Staffs can support the expansion.
  - You have addressed how the two Logistics Sections will participate in development of a common Incident Action Plan.
  - All incident supervisory personnel are aware of how they will interact with the separate Logistics Sections.

Similar to the example with the Operations Section, a Deputy Incident Commander for Logistics could be added to the command structure if necessary to ensure coordination of the two Logistics efforts.

Refer to Handout 3-4: Option 4: Add a Second Operations or Logistics Section.

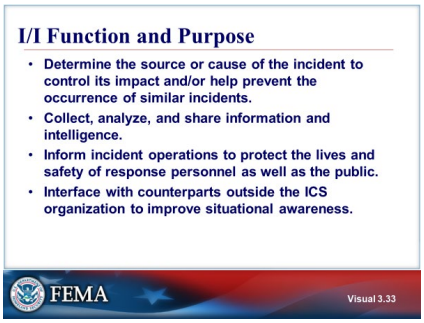


Visual 3.32

OPTION 5: ESTABLISH THE INTELLIGENCE/INVESTIGATIONS FUNCTION

Unlike other ICS functions, the I/I function is only established when needed.

Because the I/I Function can be implemented in a variety of ways, and can include its internal capability to manage internal I/I operations, planning and resources, it can be an effective method to address complexity in some types of incidents.



Visual 3.33

I/I FUNCTION AND PURPOSE

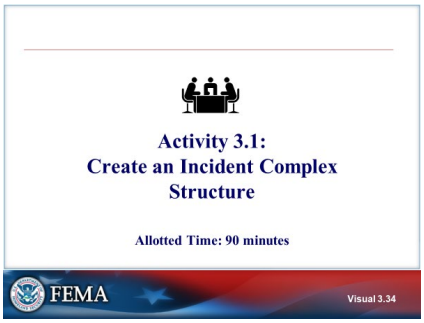
Establishing the I/I Function with ICS can address complex incidents by allowing an IC/UC to initiate intelligence/investigations activities while ensuring that life safety operations remain the primary incident objective. The I/I Function operates concurrently with, and in support of, life safety operations to protect evidence at crime and investigative scenes.

Many domestic incidents, such as natural disasters or industrial accidents, have an obvious cause and origin. However, other domestic incidents, such as large-scale fires, public health emergencies, explosions, transportation incidents (e.g., train derailments, airplane crashes, bridge collapses), active shooters, terrorist attacks, or other incidents causing mass injuries or fatalities require an intelligence or investigative component to determine the cause and origin of the incident and/or support incident/disaster operations.

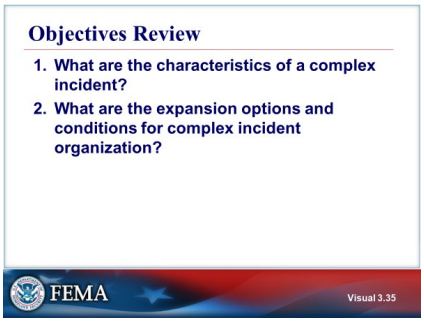
Although, in many cases, law enforcement departments/agencies fulfill intelligence/investigations duties, the I/I Function has aspects that cross disciplines and levels of government. “Nontraditional” forms of intelligence/investigations activities (i.e., non-law enforcement) might include:

- Epidemiology
- Mass fatality management
- Fire, explosion, or arson cause and origin (regardless of likelihood of criminal activity)
- Real-time research and analysis intended to protect against, respond, and/or recover from a specific incident (e.g., critical infrastructure vulnerability and consequence analysis; hurricane forecast regarding strength and estimated point of landfall; post-earthquake technical clearinghouse; or post-alert volcanic monitoring)
- Transportation accidents

Refer students to Handout 3-5: Option 5: Placement of the Intelligence/Investigations Function.



Visual 3.34



Visual 3.35

ACTIVITY 3.1: CREATE AN INCIDENT COMPLEX STRUCTURE

Introduce

The instructor will explain Activity 3.1.

You will have 60 minutes to complete the activity and 30 minutes for feedback/debrief.

OBJECTIVES REVIEW

Unit Enabling Objectives

- Identify the characteristics of a complex incident.
- Explain the expansion options for complex incident organization and the conditions under which each would be applied.

HOMEWORK: To prepare for a group activity in Unit 4 (Area Command), read Handout 4-1: Katrina Area Command Scenario (located in Unit 4's Supplemental Materials) prior to coming to class tomorrow.

Article Summary: In the aftermath of the devastating winds and flooding from Hurricane Katrina, more than 8.1 million gallons of oil escaped from numerous damaged oil infrastructure sources. This article analyzes how the U.S. Coast Guard adapted Area Command to manage the response efforts.

Focus on answering three questions:

- Why did the Coast Guard choose to use Area Command?
- How did the Coast Guard adapt the Area Command structure? Why?
- What are the lessons learned for your agency or jurisdiction?

Supplemental Materials

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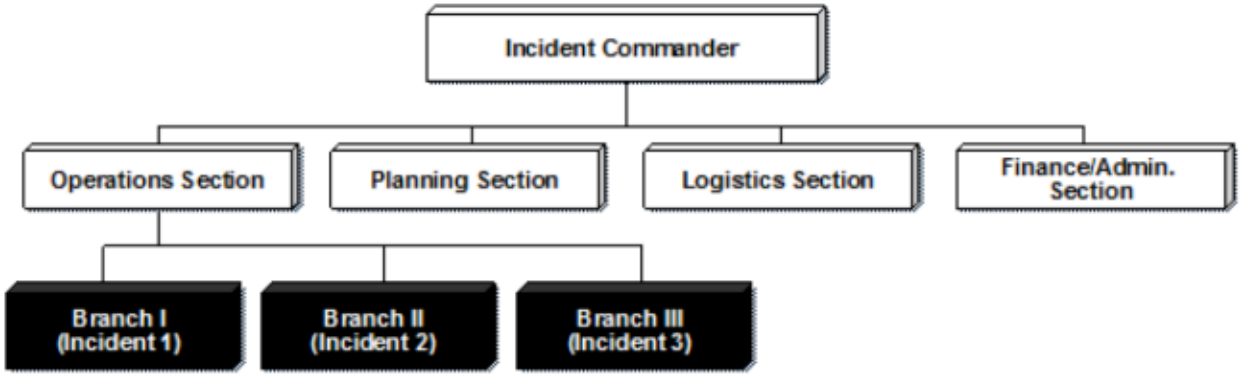
Handout 3-1: Option 1: Establish an Incident Complex by Combining Several Incidents

An Incident Complex is an organizational structure that exists when two or more individual incidents located in the same general area are assigned to a single Incident Commander or Unified Command.

ICS Organizational Strategy

When an incident complex is established over several individual incidents, the previously identified incidents become branches or divisions within the Operations Section of the incident complex. Each branch thus has the flexibility to establish divisions or groups. In addition, when divisions and groups have already been established at each of the incidents, the same basic structure can be propagated. If any of the incidents within an incident complex have the potential to become a large-scale incident, it is best to establish it as a separate incident with its own ICS organization.



When To Use It

An Incident Complex may be formed when:

- Disasters such as wildfires, earthquakes, tornadoes, floods, or other situations where manyseparate incidents occur in proximity;
- Several similar incidents occurring in proximity to one another; and
- One incident underway with an Incident Management Team (IMT) assigned, with othersmaller incidents occurring in the same area.

Guidelines for Use

- A single Command and General Staff can adequately provide operations, planning, logistics,and finance/administration activities to the incidents that comprise the incident complex; and
- A combined management approach could achieve staff or logistical support economies.

Handout 3-2: Option 2: Divide Incident into Two or More Single Incidents

Some incidents become so geographically or functionally dispersed that they can best be managed as separate incidents.

ICS Organizational Strategy

A single incident may be divided when it:

- **Spreads into other jurisdiction(s) and Unified Command is not feasible.**

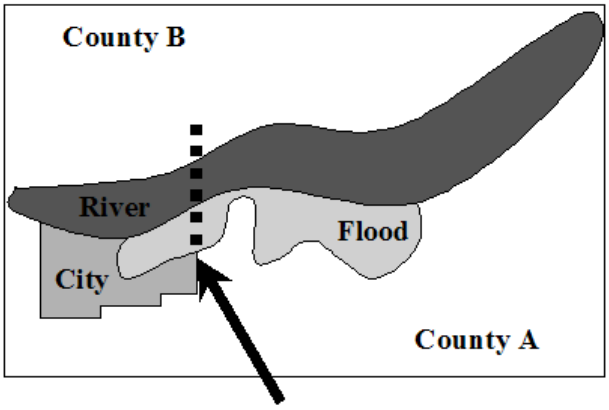
  For example, a flooding situation may be divided by jurisdiction.

- **Is difficult to manage from one location due to terrain and access.**

  For example, an incident such as an earthquake, tornadoes, significant flooding, or wildland fire, where terrain and access affect operational or logistical mobility and the ability to manage from one location, may be divided geographically.

- **Has objectives that are naturally separating into two functionally-separate operations.**

  For example, a bioterrorism incident that includes immediate public health objectives and longer-term investigation objectives may be divided into two operations.



Divide into two incidents

In addition to the characteristics of the incident itself, management issues also may make it advisable to divide an incident. Dividing an incident should be considered if two or more Sections are overtaxed due to the size of the incident. Examples include when:

- The Planning Section, even with additional resources, can no longer adequately provide planning services because of:
  - The size of the incident.
  - The varying objectives and strategies needed.
- The Logistics Section can no longer, or will soon not be able to, serve the widespread facilities and operations from a single Incident Base.
- The Operations Section cannot manage the number of resources required without exceeding span of control.

Considerations in Dividing an Incident

1. Determine how best to divide the incident.

   This division could be done in several ways, depending upon:

   - Terrain and access considerations.
   - Locations of future resource and logistical support.
   - Jurisdictional/administrative boundaries.
   - Current Operations Section structure (Branches, Divisions, etc.).
2. Assign separate Incident Commanders and Command and General Staff for each incident.
3. Designate additional supporting organizational facilities, locations, etc.
4. Designate an appropriate time for establishing two separate incidents (each with a unique name).
5. Coordinate planning strategies and use of critical resources between the incidents for at least the next operational period.
6. Consider the need for Area Command to be established over the incidents.

Handout 3-3: Option 3: Expand the Planning Capability

Some incidents are so complex that the Planning Function must be enhanced or expanded. For example, cascading events may make managing the response more difficult. Planning is required to project the risk of cascading events. It may also be difficult to make cost-effective resource management decisions without advanced planning. The consequences of poor resource management decisions could be unnecessary loss of life and property.

Expanding the planning capability at an incident may take several forms, including:

- Tactical Planning within the branches
- Separating advanced incident planning from the day-to-day IAP planning process

Branch Tactical Planning

Branch Tactical Planning is not a new concept. It normally means that the Operations Section at the Branch level develops the detailed action plans, and the Planning Section provides support and coordination.

For example, Branch Tactical Planning is often used in search and rescue operations, when detailed tactical assignments are developed at the Branch Director level. In situations like this, the Planning Section provides support to the Branch Director.

It can also mean that an element outside of both the Planning and Operations Sections has planning responsibilities. An example of this is when the Intelligence/ Investigations function is established as a separate ICS General Staff I/I Section.

Branch Tactical Planning: When To Use It

Tactical planning at the Branch level may be used when:

- The incident becomes so large that there is no single set of objectives that would logically pertain to the entire incident.
- Special technical expertise is needed for planning.
- Because of the immediacy of the operation, it is not feasible to wait for inclusion in the next IAP timeframe (the planning, approval and execution all occur before the publication of the next IAP).

The following are examples of when Branch Tactical Planning may be implemented:

- In a mass fatalities incident, when the Medical Examiner/Morgue Operations Branch may be best suited to establish its own incident tactical plans
- In a structural collapse, when the Search and Rescue Branch typically will include its own planning component

- The Intelligence/Investigation Function is responsible for developing and implementing an intelligence/ investigations plan separate from the IAP

When Branch Tactical Planning is used, the Planning Section provides:

- General incident objectives
- Strategy for the Branch for the next operational period
- Branch resource summary for the next operational period
- Weather and safety information
- Changes to logistical support
- Personnel to support planning

With this information, individual Branches can perform detailed tactical action planning. The Planning Section would have to ensure that necessary inter-Branch coordination took place wherever necessary.

Any additional resource requirements (over those already authorized) that are identified by the Branch must be communicated to the Operations Section Chief to include them in the IAP and normal resource ordering and tracking process.

A modification to this model could be accomplished by limiting Branch Tactical Planning to certain Branches (e.g., those with less complex situations). Other Branches would continue under a central planning structure. In either case, the Planning Section would provide each Branch doing individual Branch planning with the required support in terms of personnel and other support resources to get the planning accomplished.

Separate Advanced Incident Planning

Advanced planning is also referred to as future planning. Advanced planning can include future planning for things we can anticipate will happen, and contingency planning for things that might happen (what if).

One of the functions of the Planning Section is to assess all available information and to provide periodic predictions on incident potential. The Planning Section is also responsible for developing any contingency plans that may be required.

To ensure that advanced planning occurs, the Planning Section Chief may:

- Assign a Deputy Planning Section Chief to manage advanced planning.
- Assign technical specialists to perform advanced planning.
- Establish a special unit within the Planning Section.

Advanced Incident Planning: Considerations

The goal of this advanced planning effort is to provide the Planning Section Chief and the Incident Commander or Unified Command with a range of alternatives related to management of the incident beyond the next operational period.

Advanced planning should project ahead beyond the next operational period. A common practice is to look forward 36 to 72 hours, but the incident may dictate other advanced planning timeframes:

- The probable course of the incident (is it getting bigger/ smaller, more/ less complex)
- Incident Overall goal and objectives
- Adequacy of previous and present plans
- Future resource requirements and availability
- Strategy assessment and alternatives
- Environmental factors
- Assessment of the effectiveness of the organizational structure and development of alternatives
- Political and economic issues
- Future demobilization timeline and plan
- Transition to Recovery needs

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Handout 3-4: Option 4: Add a Second Operations or Logistics Section

While not common, it is possible to establish a second Operations or Logistics Section within a single incident. This situation may arise when the incident is operating under Unified Command; however, Unified Command is not a requirement.

When To Add Operations or Logistics Sections

Operations Section. An additional Operations Section should be added in an incident in which the sheer volume of resources required means that the Operations Section cannot be further expanded without exceeding ICS span-of-control guidelines and it is not possible to establish separate incidents. This organizational option is designed to address issues of span of control and geography, not function.

I/I can include its own Investigative Operations Group, which can function somewhat like a second operations section, but it is not a second operations section within this definition because it is functional, not geographic and not related to span of control.

Examples of situations where two Operations Sections may be established include:

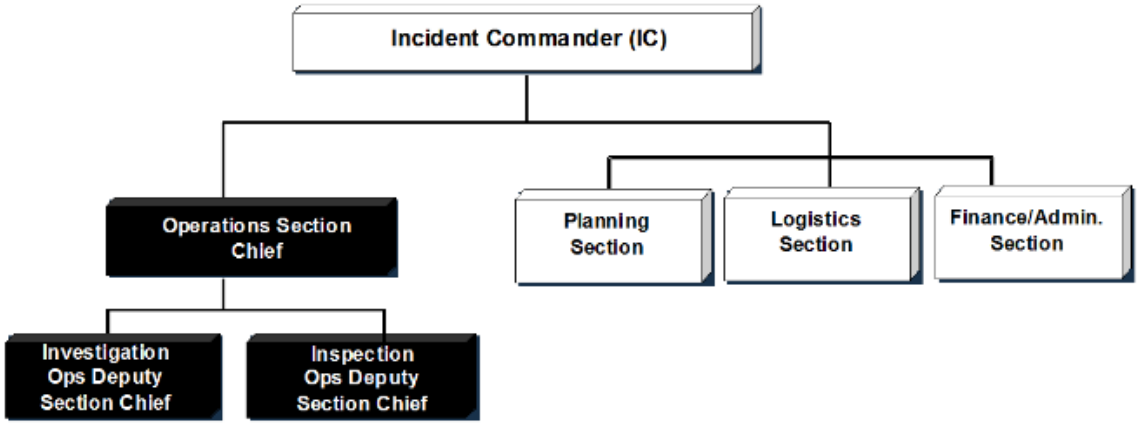
- Earthquake, hurricane, tornado, or flooding that covers several political jurisdictions
- A major wildland fire that continues to expand
- A major spill in a waterway
- Public health crisis/epidemic
- Domestic terrorist incident

Logistics Section. If an incident is so geographically dispersed that it is not feasible for the Incident Base to support the incident logistical needs, it may be necessary to establish another Logistics Section.

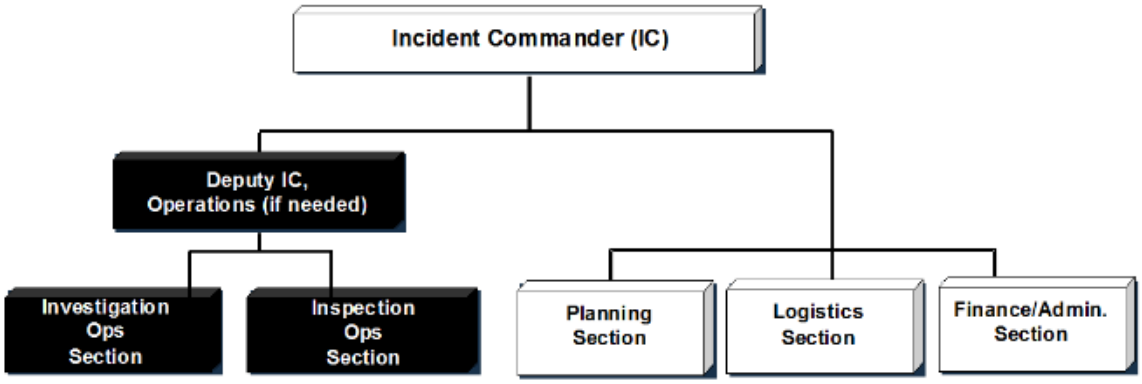
ICS Organizational Strategy

Operations Organization. If the organization grows so that it is not desirable to expand the Operations Section further, a second Operations Section may be established.

A more commonly used solution is to add Deputy Operations Section Chiefs under the Operations Section Chief to manage respective areas—for example, in a public health emergency an Operations Section could be responsible for a public health investigation and inspection of sites related to a food-borne disease outbreak. In this case the Operations section could establish separate Investigation and Inspection Deputy Operations Section Chiefs reporting to the Operations Section Chief as shown in the diagram below.



Another option would be to split the Operations Section into Investigation and Inspection Sections, if needed under a Deputy Incident Commander for Operations, as shown below.



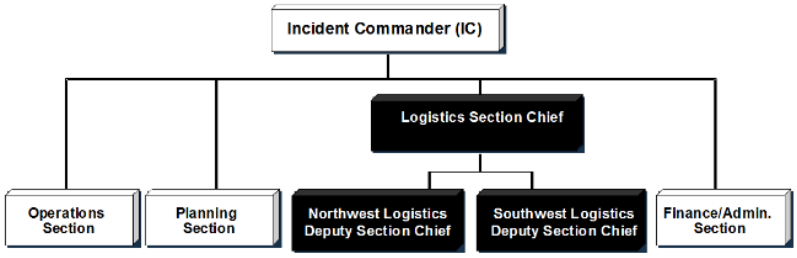
The Deputy Incident Commander for Operations or Deputy Operations Section Chiefs:

- Have the responsibility to ensure that all aspects of both the original and the additional Operations Sections are fully coordinated with each other and with other Sections
- Are normally co-located with the Incident Commander at the Incident Command Post

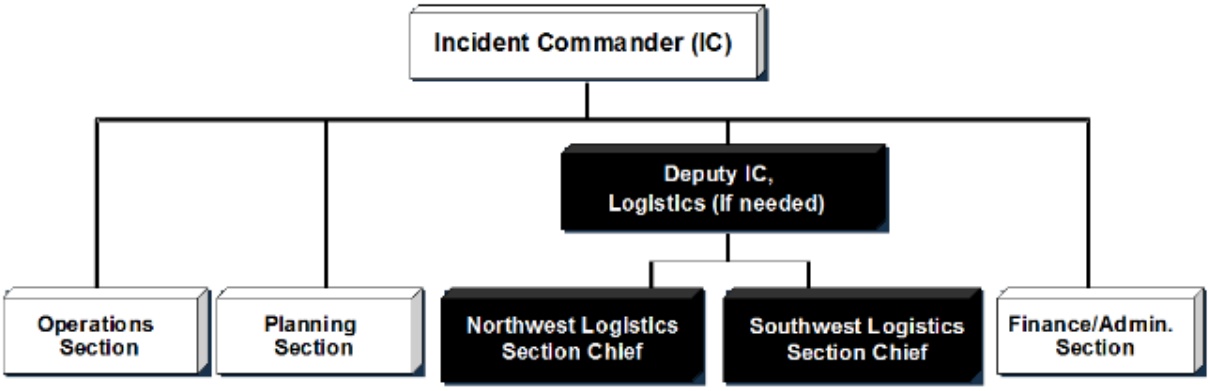
Separate Staging Areas are established to support each Operations Section.

Logistics Organization. A second Logistics Section may be added in a geographically dispersed incident.

In this diagram, Northwest and Southwest Logistics Sections report to the Logistics Section Chief.



In this diagram, Northwest and Southwest Logistics Section Chiefs report to the Deputy IC for Logistics.



- Similar to the example with the Operations Section, a Deputy Incident Commander for Logistics could be added to the command structure if necessary to ensure coordination of the two Logistics efforts.
- The Deputy Incident Commander for Logistics would normally function from the Incident Command Post, while the two Logistics Section Chiefs could operate from separate Incident Bases. The Deputy Incident Commander would ensure that all necessary coordination was taking place between the two Logistics Sections.
- An Incident Base for each Logistics Section could be established. Also, additional camps supported by each Incident Base could be established.

Considerations

The considerations for adding an Operations or Logistics Section include:

- Add a Deputy Incident Commander for Operations or Logistics, if necessary.
- Establish the second Operations or Logistics Section at the beginning of an operational period.
- Ensure that Command and General Staffs can support the expansion (enough personnel to support two separate Operations or Logistics Sections).

- Ensure that you have addressed how the two Operations or Logistics sections will participate in development of a common Incident Action Plan.
- Ensure adequate logistics support and deconflict resources between the two operations sections.
- Ensure that all incident supervisory personnel are aware of how they will interact with the separate Operations or Logistics Sections.

Handout 3-5: Option 5: Establish an Intelligence/Investigations Function

Establishing the Intelligence/Investigations (I/I) Function with ICS can address complex incidents by allowing an IC/UC to initiate intelligence/investigations activities while ensuring that life safety operations remain the primary incident objective. The I/I Function operates concurrently with, and in support of, life safety operations to protect evidence at crime and investigative scenes.

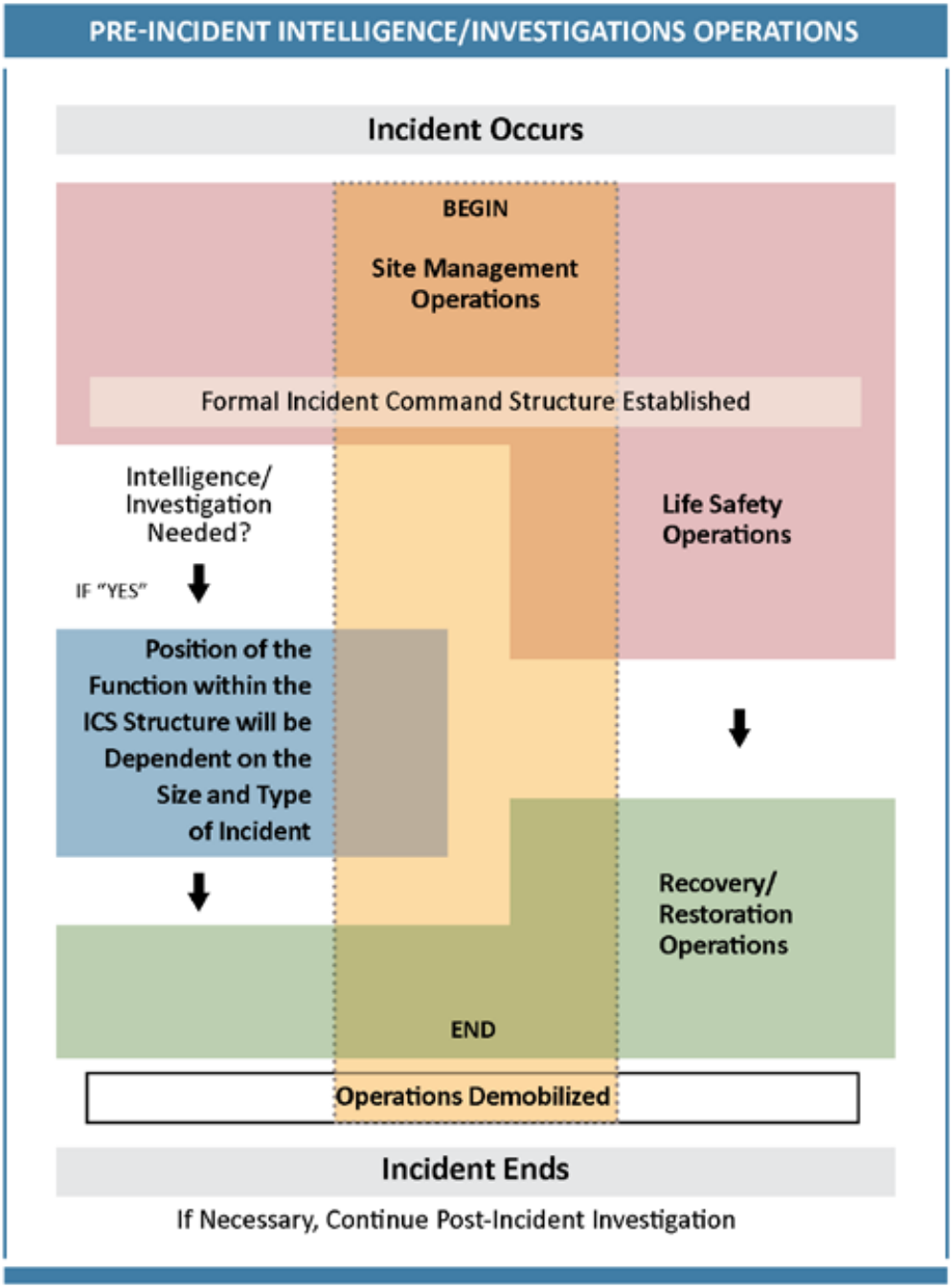
The purpose of the intelligence/investigations function within ICS is to:

- Determine the source or cause of the incident (e.g., disease outbreak, fire, complex coordinated attack, or cyber incident) to control its impact and/or help prevent the occurrence of similar incidents.
- Collect, analyze, and share information and intelligence.
- Inform incident operations to protect the lives and safety of response personnel as well as the public.
- Interfacing with counterparts outside the ICS organization to improve situational awareness.

When to Establish the I/I Function

Many domestic incidents, such as natural disasters or industrial accidents, have an obvious cause and origin. However, other domestic incidents, such as large-scale fires, public health emergencies, explosions, transportation incidents (e.g., train derailments, airplane crashes, bridge collapses), active shooters, terrorist attacks, or other incidents causing mass injuries or fatalities, require an intelligence or investigative component to determine the cause and origin of the incident and/or support incident/disaster operations. Although, in many cases, law enforcement departments/agencies fulfill intelligence/investigations duties, the I/I Function has aspects that cross disciplines and levels of government. “Nontraditional” forms of intelligence/investigations activities (i.e., non-law enforcement) might include:

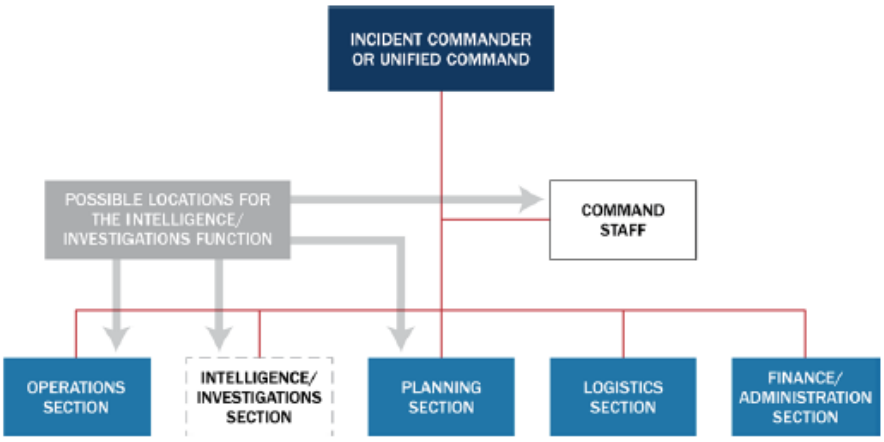
- Epidemiology
- Mass fatality management
- Fire, explosion, or arson cause and origin (regardless of likelihood of criminal activity)
- Real-time research and analysis intended to protect against, respond, and/or recover from a specific incident (e.g., critical infrastructure vulnerability and consequence analysis; hurricane forecast regarding strength and estimated point of landfall; post-earthquake technical clearinghouse; or post-alert volcanic monitoring)
- Transportation accidents


PRE-INCIDENT INTELLIGENCE/INVESTIGATIONS OPERATIONS
Incident Occurs
BEGIN
Site Management Operations
Formal Incident Command Structure Established
Intelligence/ Investigation Needed?
IF "YES"
Position of the Function within the ICS Structure will be Dependent on the Size and Type of Incident
Life Safety Operations
Recovery/ Restoration Operations
END
Operations Demobilized
Incident Ends
If Necessary, Continue Post-Incident Investigation

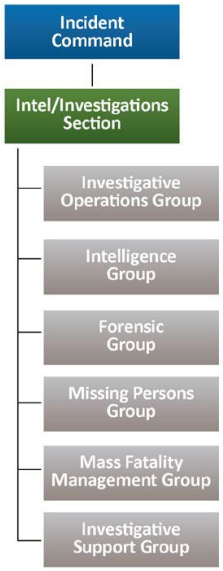
Options for Placement of the Intelligence/Investigations Function

The Intelligence/Investigations functions are typically performed by staff in the Operations and Planning Sections. However, for incidents that involve or may involve a significant level of intelligence/ investigative work, the Incident Commander or Unified Command may choose to consolidate the intelligence/investigations function in the ICS organization in a number of ways.

The intelligence/investigations function's location in the ICS structure depends on factors such as the nature of the incident, the level of intelligence/investigations activity involved or anticipated, and the relationship of the intelligence/investigations activities to the other incident activities. The intelligence/investigations function can be incorporated as an element of the Planning Section, in the Operations Section, within the Command Staff, as a separate General Staff section, or in some combination of these locations:



When I/I is established as a separate Section, the I/I Section Chief has the option of creating one or more Groups to oversee the activities of the Section:



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Activity 3.1: Create an Incident Complex Structure

Objective: Create an Incident Complex structure for a simulated incident.

Instructions:

1. Working in groups, review the scenario. As a group, answer the following questions:
   - How will the organization be structured? (Draw the ICS structure used down to Division/Group level.)
     - What organizational option was selected and what aspects of the incident led to this selection
     - Will an Incident Commander or a Unified Command be used and why?
     - Would splitting the Operations Function be an advantage? Explain why or why not.
     - Would splitting the Logistics Function be an advantage? Explain why or why not.
     - Would splitting the Planning Function be done? If so, how. If not, why?
     - Would establishing an Intelligence and Investigations function be effective in this incident? If yes, why and where would it be placed? If no explain why it is not needed?
   - What are the top three management challenges you would face and how would you address them?
2. Choose a spokesperson. Be prepared to present your recommendations and justifications to the class in 60 minutes.
3. Monitor the time. After 60 minutes, call time.

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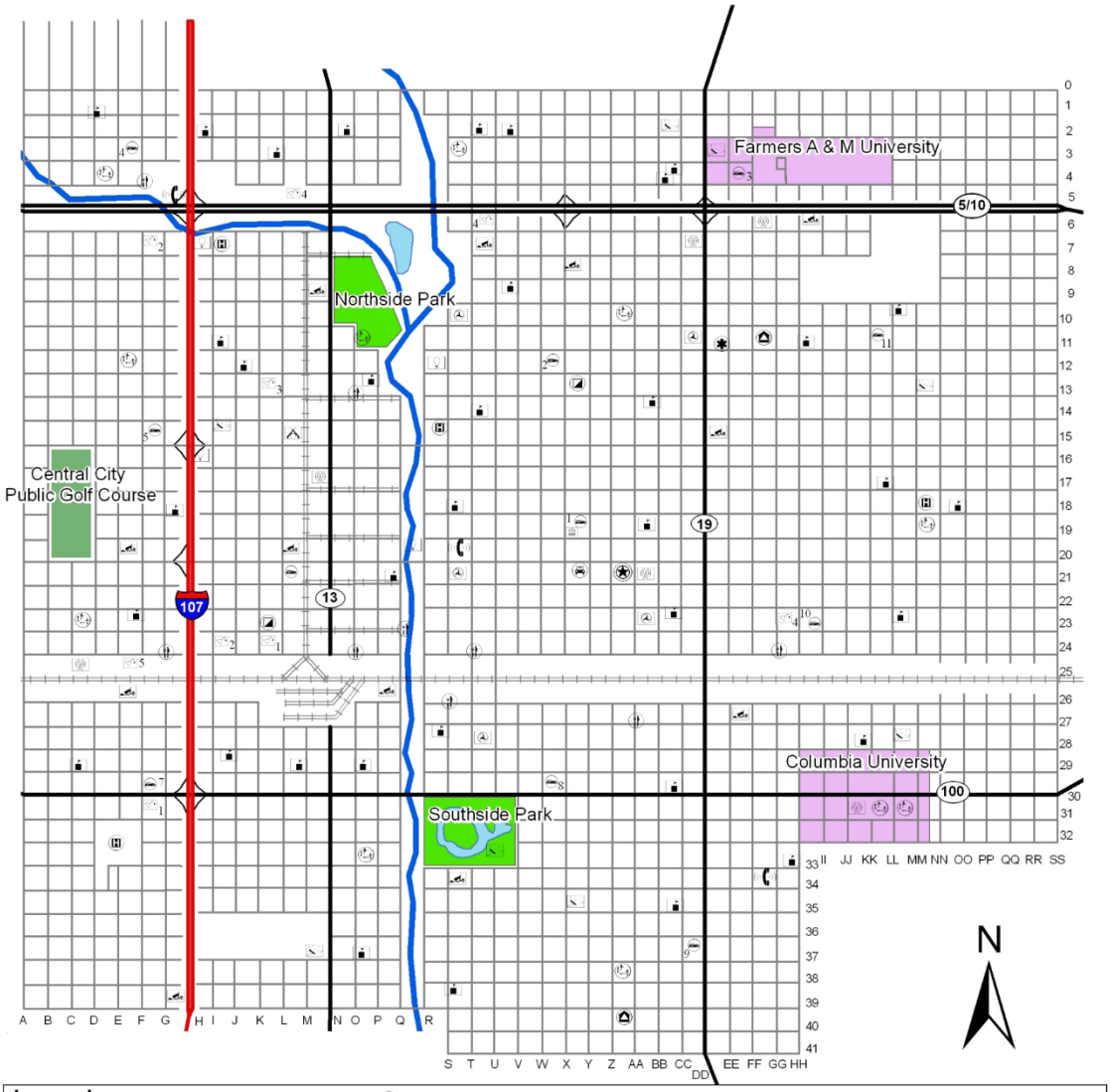
Scenario:

A major portion of Liberty County has been affected by sudden severe weather. During the severe weather incident, a passenger train derailed. Four incidents are currently reported within a 10-square mile area of the county that includes portions of Central City.

During the initial response these are being managed as individual incidents. The incidents are being reported on national-level news networks. The city and county possess limited resources for:

- Incident 1: Damage to a private hospital requiring evacuation, search and rescue, and relocation of 50 patients.
- Incident 2: Severe damage to a 50-unit mobile home park located outside the Central City limits, within Liberty County. Six residents are reported trapped inside two overturned mobile homes; other residents are unaccounted.
- Incident 3: Partial collapse of a roof in an open school within the city limits. An unknown number of people are trapped inside. Injuries are expected and fatalities are possible. Numerous volunteers are on scene and more are rushing to the scene to help.
- Incident 4: AMTRAK Passenger train derailment within the city limits. Forty people on board with multiple injuries and fatalities that are expected to exceed local hospital emergency room capacity. The derailed trail is impeding traffic on a major road. The cause of the derailment is unknown and must be investigated.


Farmers A & M University
5/10
Northside Park
Central City
Public Golf Course
19
107
13
Columbia University
100
Southside Park
N
A B C D E F G H I J K L M N O P Q R
S T U V W X Y Z AA BB CC DD EE FF GG HH
II JJ KK LL MM NN OO PP QQ RR SS
0 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41
Legend
Central City Police Station
Relocation Centers
National Guard Facilities
Hospitals
Food Storage Warehouses
County Courthouse
Nelson Center
Fire Stations (1-11)
City Equipment Yard
Heavy Equipment Areas
Fuel Storage Tanks (1-5)
City Transportation Centers
Emergency Management Center
City Hall
Schools
Telephone Switchboards
Electric Power Stations
Reservoirs
Radio & TV Stations
Park
Golf Course
University
Scale: 10.5 Blocks = 1 mile

Unit 4: Area Command

STUDENT MANUAL

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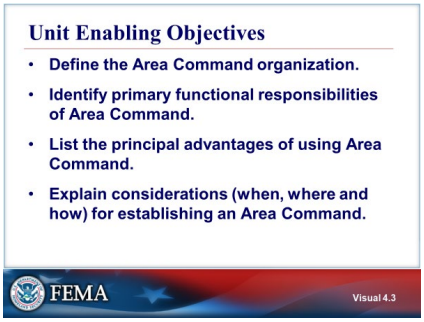
Visual 4.1

UNIT 4: AREA COMMAND

Visual 4.2

UNIT TERMINAL OBJECTIVE

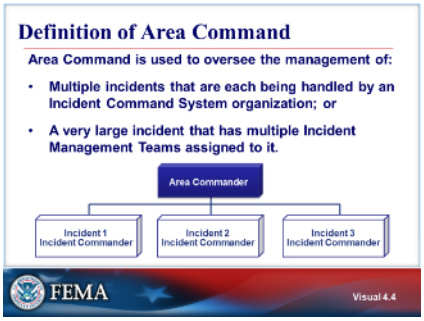
Given a scenario, develop an Area Command organization.



Visual 4.3

UNIT ENABLING OBJECTIVES

- Define the Area Command organization.
- Identify primary functional responsibilities of Area Command.
- List the principal advantages of using Area Command.
- Explain considerations (when, where and how) for establishing an Area Command.



Visual 4.4

DEFINITION OF AREA COMMAND

An Area Command is activated to address competition for resources among multiple ICPs based on the complexity of the incident and incident management span-of-control considerations.

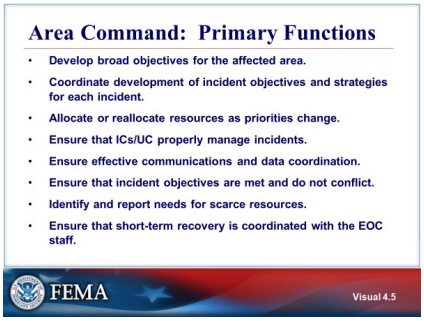
Examples include two or more hazardous materials spills, fires, etc. It is usually these kinds of incidents that may be vying for the same resources.

When an incident expands to a large geographic area, the agency officials may choose to divide the incident into smaller pieces each of which will be managed by an Incident Management Team (IMT).

When incidents are of different kinds and/or do not have similar resource demands, they would usually be handled as separate incidents.

If an Area Command is established, EOCs are usually activated to provide support.

Due to the scope of incidents involving Area Commands and the likelihood of cross-jurisdictional operations, Area Commands are frequently established as Unified Area Commands, working under the same principles as a Unified Command. **Unified Area Command** is a version of command established when incidents under an Area Command are multi-jurisdictional.



Visual 4.5

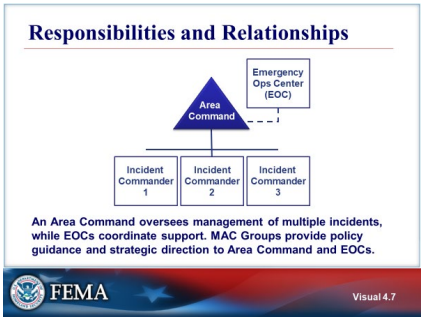
AREA COMMAND: PRIMARY FUNCTIONS

Area Command is designed to ensure the effective management of assigned incidents.

To do this, the Area Commander/Unified Area Command has the authority and responsibility to do the following for incidents within the Area Command:

- Develop broad objectives for the affected area.
- Coordinate development of incident objectives and strategies for each incident.
- Allocate or reallocate resources as priorities change.
- Ensure that Incident Commanders and/or Unified Commands properly manage incidents.
- Ensure effective communications and data coordination.
- Ensure that incident objectives are met and do not conflict with each other or with agency policies.
- Identify needs for scarce resources and reporting the needs to Agency Administrators directly or through a MAC Group or an EOC.
- For incidents that have a recovery dimension, ensuring that short-term recovery is coordinated with the EOC staff to assist in the transition to long-term recovery operations.

Area Command is established through a delegation of authority.



Visual 4.6

RESPONSIBILITIES AND RELATIONSHIPS

Area Command is particularly relevant to situations with several ICPs requesting similar scarce resources. Logistics management is a primary reason for establishing an Area Command.

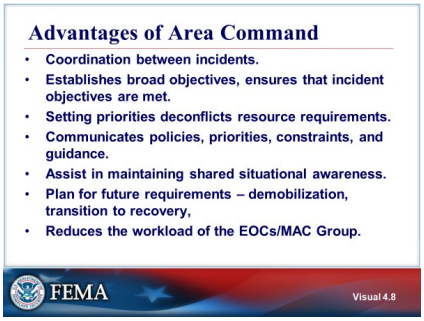
Incidents of different types or without similar resource needs are usually handled as separate incidents. Additional coordination structures, such as EOCs or MAC Groups, may assist with coordinating the resource needs of multiple incidents.

An Area Command oversees management of multiple incidents, while EOCs coordinate support. MAC Groups provide policy guidance and strategic direction to Area Command and EOCs.

Visual 4.7

UNIFIED COMMAND VS. AREA COMMAND

What is the difference between Unified Command and Area Command?

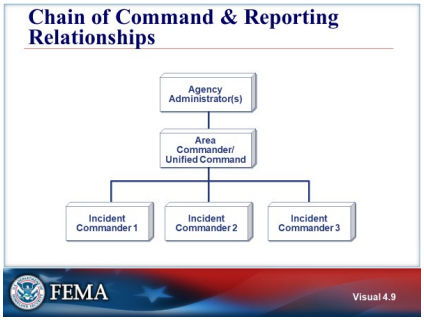


Visual 4.8

ADVANTAGES OF AREA COMMAND

Area Command is particularly relevant to situations with several ICPs requesting similar scarce resources. In situations where multiple incidents (e.g., earthquakes, floods, fires, major storms, disease outbreaks, etc.) are occurring, the use of an Area Command makes the jobs of Incident Commanders and agency officials easier for the following reasons:

- Much of the coordination between incidents that is typically performed by each Incident Commander is accomplished at the Area Command level. This allows the Incident Commanders to focus their attention on their incident objectives, strategies, and tactics.
- The Area Command develops broad objectives for the impacted area(s) and ensures that incident management objectives are met and do not conflict with each other or with agency policies.
- By setting priorities between incidents, Area Command deconflicts resource requirements. Critical resources are allocated by the overall priorities established by the agency officials.
- Area Command communicates agency policies, priorities, constraints, and guidance to the Incident Commanders for implementation across incidents.
- Area Command can assist in maintaining shared situational awareness between the various incidents, supporting EOCs and the MAC Group.
- Area Command can plan for future requirements such as demobilization and transition to recovery, allowing Incident Commands to focus on their incident.
- Area Command also reduces the workload of the EOCs and MAC Group officials, reducing the number of incident management organizations with whom they must coordinate.



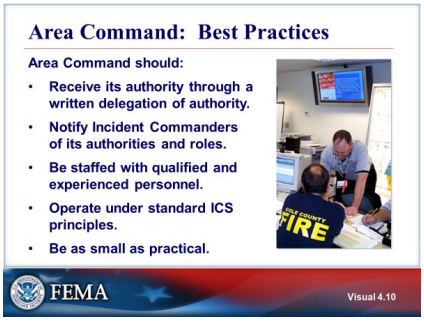
Visual 4.9

CHAIN OF COMMAND & REPORTING RELATIONSHIPS

When Area Command is established, Incident Commander(s) will report to the Area Commander/Unified Command. The Area Commander is accountable to the agency or jurisdictional executive or administrator(s).

If one or more of the incidents within the Area Command are multijurisdictional, a Unified Area Command should be established. Incident Commanders would report to the member of the Unified Area Command for their jurisdiction.

Incident Commanders under the designated Area Commander are responsible to, and should be considered part of, the overall Area Command organization. Incident Commanders must be provided adequate and clear delegation of authority.



Visual 4.10

AREA COMMAND: BEST PRACTICES

- Receive its authority through a written delegation of authority.

  When Area Command is activated, an Area Commander will be designated and given appropriate delegated authority. The authority given to the Area Commander should be written as a delegation of authority statement. A written delegation of authority helps to eliminate confusion and provides the Area Commander with authority to oversee the management of the incidents.

- Notify Incident Commanders of its authorities and roles.

  Incident Commanders covered by the Area Command must be notified that an Area Command is being established. Depending upon the agencies and incidents involved, the Area Command may issue delegation of authority or re-delegations to the respective Incident Commanders. This will help to ensure that agency direction is made clear to all parties.

- Be staffed with qualified and experienced personnel.

  The Area Command team should consist of the best qualified personnel with respect to their functional areas. The functions of Area Command require personnel that have experience in, and are qualified to oversee, complex incident situations. The concepts of Area Command should be part of planning, training, and exercises.

- Operate under ICS principles.

  Area Command operates as an expansion of the ICS organization.

- Be as small as practical.

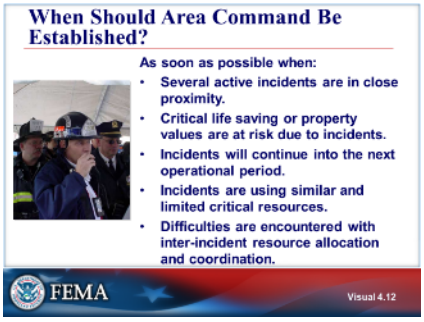
  The Area Command organization should always be kept as small as possible.

Visual 4.11

ACTIVITY 4.1: KATRINA AREA COMMAND SCENARIO

Questions:

- Why did the Coast Guard choose to use Area Command?
- How did the Coast Guard adapt the Area Command structure? Why?
- What are the lessons learned for your agency or jurisdiction?



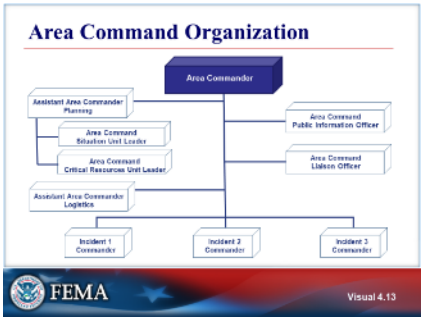
Visual 4.12

WHEN SHOULD AREA COMMAND BE ESTABLISHED?

It is best to be proactive when considering the use of Area Command.

- Several active incidents are in close proximity.
- Critical life saving or property values are at risk due to incidents.
- Incidents will continue into the next operational period.
- Incidents are using similar and limited critical resources.
- Difficulties are encountered with inter-incident resource allocation and coordination.

Refer to Handout 4-2: Location of Area Command.

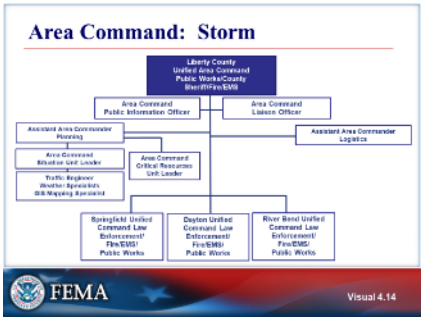


Visual 4.13

AREA COMMAND ORGANIZATION

Area Command does NOT in any way replace the incident-level ICS organizations or functions.

The positions illustrated in the visual are strictly related to Area Command operations. Specific duties and responsibilities will be established by the Area Commander.

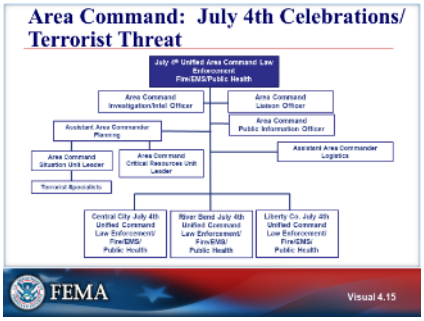


Visual 4.14

AREA COMMAND: STORM

The Area Command organization is established based on the following factors for an approaching storm:

- County government officials have been briefed by the local weather service, which is predicting a major snowfall of 3 feet within the next 36 hours.
- Officials are concerned about the large amount of snowfall in an area not used to receiving much snow. The current infrastructure will not be able to remove snow quickly enough.
- Officials will be shutting down businesses and all schools while maintaining operations of critical emergency response infrastructure.
- Three cities (Springfield, Dayton, and River Bend) will each have their own Incident Management Teams, with the Area Command being located in the county courthouse.

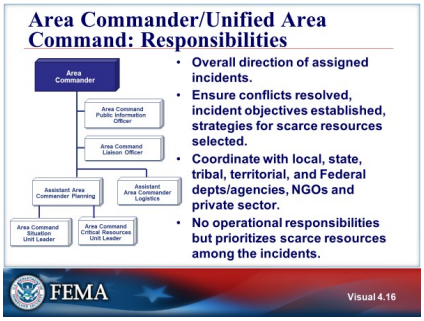


Visual 4.15

AREA COMMAND: JULY 4TH CELEBRATION/TERRORIST THREAT

The organization is designed based on the following factors for July 4th celebrations and potential terrorist threats:

- Two adjacent communities (Central City and River Bend) and the county (Liberty) are all planning large July 4th celebrations that will include parades, fairs, and evening fireworks.
- The organizers of the three celebrations are planning separate activities and are not coordinating with one another. Local government leaders are concerned about this lack of coordination and the need for tight security.
- Law enforcement has heard chatter indicating a high probability of civil unrest and potential WMD activity.
- This region of the State has limited vendor resources and has experienced severe health problems when using fair vendors from outside the area.
- Traffic problems associated with each separate celebration will impact the other venues as well.



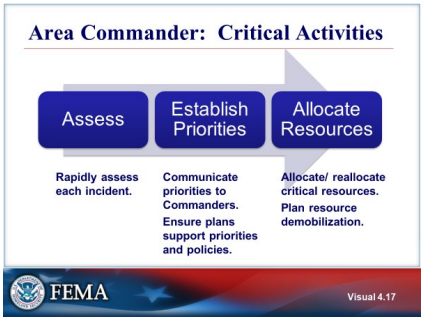
Visual 4.16

AREA COMMANDER/UNIFIED AREA COMMAND: RESPONSIBILITIES

Area Commander is responsible for:

- Overall direction of assigned incidents
- Ensuring that conflicts are resolved, incident objectives are established, and strategies are selected for the use of scarce resources
- Coordinating with local, state, tribal, territorial, and Federal departments and agencies, as well as NGOs and other private sector elements
- An Area Command does not have operational responsibilities, but prioritizes the use of scarce resources among the incidents

Refer to Handout 4-3: Area Commander: Checklist of Actions.

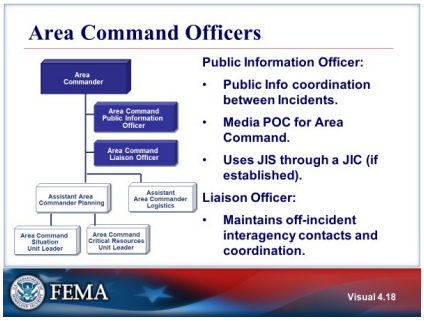


Visual 4.17

AREA COMMANDER: CRITICAL ACTIVITIES

The Area Commander establishes:

- Incident and agency/jurisdictional priorities
- Priorities for assignments of critical resources
- Schedules of meetings and briefings
- Information requirements to include Essential Elements of Information (EEI) which is Important and standard information items, which support timely and informed decisions
- Requirements for Situation Reports and Incident Action Plans
- Points of contact with agency officials
- Media relations and contact procedures
- Unusual situation or emergency procedures reporting
- Demobilization and transition to recovery procedures



Visual 4.18

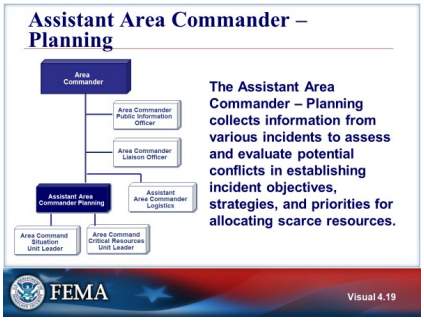
AREA COMMAND OFFICERS

The Area Command Public Information Officer:

- Provides coordination between incident locations.
- Serves as the point of contact for media requests to the Area Command.
- Uses the Joint Information System (JIS). This will be accomplished at the Joint Information Center (JIC), if established.

The Area Command Liaison Officer maintains off-incident interagency contacts and coordination.

Area Command officers do not replace the Public Information and Liaison Officers who are assigned to the individual incidents.



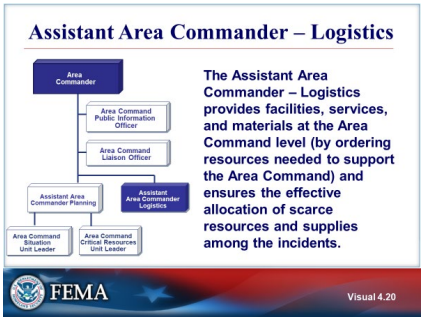
Visual 4.19

ASSISTANT AREA COMMANDER – PLANNING

The Assistant Area Commander – Planning collects information from various incidents to assess and evaluate potential conflicts in establishing incident objectives, strategies, and priorities for allocating scarce resources to include:

- Assembling information on individual incident objectives
- Recommending the priorities for resource allocation
- Maintaining status on critical resources
- Ensuring that advance planning is being accomplished
- Ensuring demobilization plans are coordinated
- Preparing Area Command briefings, as requested
- Reviewing Incident Action Plans and completed ICS Form 209 forms that are submitted from assigned incidents

The Area Command Situation Unit Leader may be assigned to support the Assistant Area Commander for Planning. The Area Command Situation Unit Leader monitors the status of objectives for each incident or Incident Management Team assigned to the Area Command.



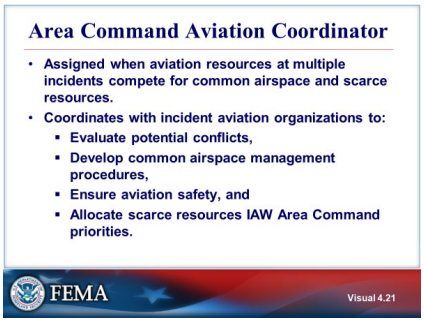
Visual 4.20

ASSISTANT AREA COMMANDER – LOGISTICS

The Assistant Area Commander – Logistics provides facilities, services, and materials at the Area Command level (by ordering resources needed to support the Area Command) and ensures the effective allocation of scarce resources and supplies among the incidents to include:

- Obtaining briefings from the Area Commander
- Providing facilities, services, and materials for the Area Command
- Designating and coordinating the ordering process
- Ensuring coordinated communications are in place
- Assisting in the development of Area Command decisions
- Ensuring that critical resources are used effectively on a continuous basis

The Area Command Critical Resources Unit Leader can be assigned to support the Assistant Area Commander for Logistics. The Area Command Critical Resources Unit Leader tracks and maintains the status and availability of critical resources assigned to each incident under the Area Command.



Visual 4.21

AREA COMMAND AVIATION COORDINATOR

Assigned when aviation resources at multiple incidents compete for common airspace and scarce resources.

This role works in coordination with incident aviation organizations to

- Evaluate potential conflicts
- Develop common airspace management procedures
- Ensure aviation safety
- Allocate scarce resources in accordance with Area Command priorities

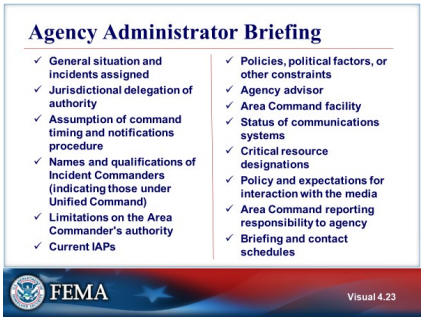
Visual 4.22

AREA COMMAND TECHNICAL SPECIALISTS

Examples of Technical Specialists

- Access and Functional Needs Advisor
- Agricultural Specialist
- Community Representative
- Decontamination Specialist
- Environmental Impact Specialist
- Epidemiologist
- Flood Control Specialist
- Health Physicist
- Industrial Hygienist
- Intelligence Specialist
- Legal Advisor
- Behavioral Health Specialist
- Meteorologist
- Science and Technology Advisor
- Pharmacist
- Veterinarian
- Toxicologist

Refer to Handout 4-4: Roles of Area Command Positions and Handout 4-5: Consolidating the Management of Multiple Incidents.



Visual 4.23

AGENCY ADMINISTRATOR BRIEFING

Upon assignment, the Area Commander should arrange a meeting with the agency/jurisdiction officials.

NIMS 2017 describes this briefing as follows: The Agency Administrator Briefing is a presentation to the personnel who will be managing or supporting the incident by the administrator or other senior official of the jurisdiction, agency, or organization affected by the incident. This briefing occurs when the Area Commander or Unified Area Command are assuming duties.

The briefing provides supporting details to the delegation of authority or other document that the jurisdiction, agency, or organization typically provides to the Area Command.

During the briefing, the agency administrator or a designee provides information, guidance, and direction—including priorities and constraints—necessary for the successful management of the incident.

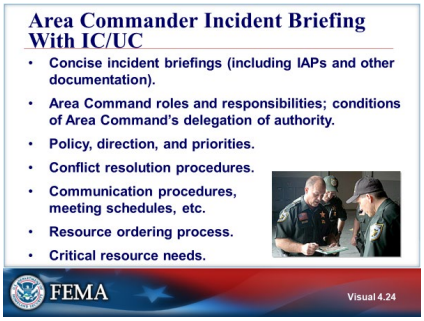
The briefing is intended to ensure a common understanding between the jurisdiction, agency, or organization and the incident personnel regarding such things as the environmental, social, political, economic, and cultural issues relevant to the incident and its location.

The Agency Administrator Briefing allows the Area Commander to determine:

- General situation
- Which incidents are assigned.
- Jurisdictional delegation of authority
- Assumption of command timing and notifications procedure
- Names and qualifications of assigned Incident Commanders
- Limitations on the Area Commander's authority over Incident Commanders (should be in the delegation of authority)

- Current IAPs
- Policies, political factors, or other constraints
- Agency advisor assigned
- Area Command facility designated
- Status of communications systems to incidents and agency/jurisdictional headquarters
- Critical resource designations
- Policy and expectations for interaction with the media
- Area Command's reporting responsibility to agency
- Schedules for required briefings and contacts

These issues are usually delineated on the Delegation of Authority document.



Visual 4.24

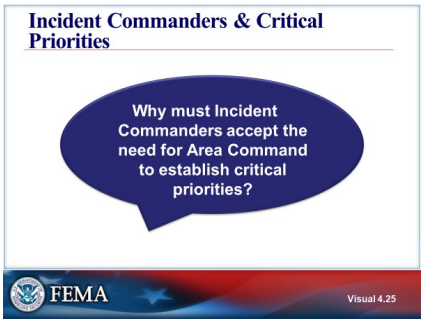
AREA COMMANDER INCIDENT BRIEFING WITH IC/UC

The Area Commander should have an initial joint meeting with the Incident Commanders/Unified Commands. During the meeting, the Area Commander should:

- Obtain concise individual incident briefings (including IAPs and other documentation).
- Explain the roles and responsibilities of the Area Command and the conditions of the Area Command's delegation of authority.
- Review policy, direction, and priorities received from the Agency Administrator.
- Describe procedures for resolving conflicts that arise.
- Coordinate communication procedures, meeting schedules, etc.
- Review resource ordering process.
- Discuss critical resource needs.

The Area Commander must ensure that all appropriate decisions and procedures are made clear to organizations involved in the Area Command.

Note that following this briefing any significant concerns or unresolved issues brought up at the meeting should be communicated to agency officials.

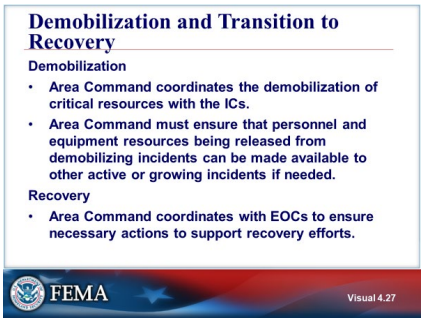


Visual 4.25

INCIDENT COMMANDERS & CRITICAL PRIORITIES

Why must Incident Commanders accept the need for Area Command to establish critical priorities?

Visual 4.26



Visual 4.27

AREA COMMAND MEETING AND BRIEFINGS

The Area Command will have to establish a cycle of meetings and briefings that is synchronized with the operational cycle of the various incidents and supporting EOCs.

DEMOBILIZATION AND TRANSITION TO RECOVERY

Area Command will be involved in the demobilization process. Area Command does not directly demobilize resources. Rather, the role of Area Command is to coordinate the demobilization of critical resources with the Incident Commanders. Demobilization planning should begin at the incident level based on priorities and procedures established with Area Command.

Area Command must ensure that personnel and equipment resources being released from demobilizing incidents can be made available to other active or growing incidents, if needed. This is particularly critical for scarce resources. Another purpose is to ensure that transportation resources and other services are not being duplicated. Resources from an agency or jurisdiction that may have been divided to support other incidents should be consolidated during demobilization, when feasible.

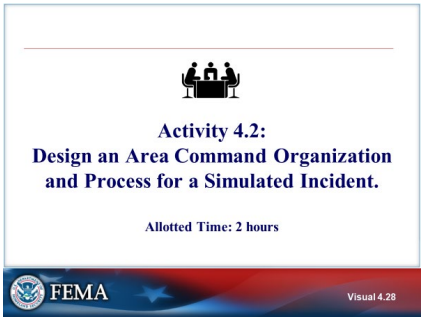
Written instructions should identify critical resources and provide instructions for clearing those resources with Area Command before demobilization.

Incident Commanders should provide copies of their demobilization schedules to the Area Command prior to actual demobilization, and then wait for approval.

Recovery

Response to complex incidents will almost always be followed by a recovery effort.

Area Command coordinates with EOCs to ensure necessary actions to support recovery efforts.

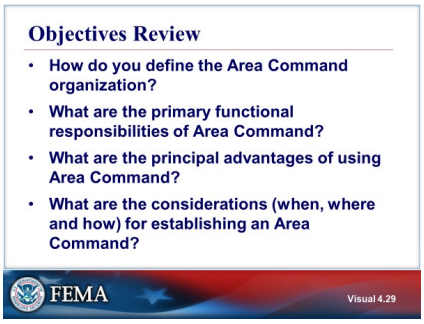


Visual 4.28

ACTIVITY 4.2: DESIGN AN AREA COMMAND ORGANIZATION AND PROCESS FOR A SIMULATED INCIDENT

The instructor will explain Activity 4.2.

You will a have one hour to complete the activity and one hour to hear feedback/debrief.



Visual 4.29

OBJECTIVES REVIEW

Unit Enabling Objectives

- Define the Area Command organization.
- Identify primary functional responsibilities of Area Command.
- List the principal advantages of using Area Command.
- Explain considerations (when, where and how) for establishing an Area Command.

Supplemental Materials

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Handout 4-1: Katrina Area Command Scenario

Source: U.S. Coast Guard Proceedings, Volume 63, No. 4, Winter 2006-07
https://uscgproceedings.epubxp.com/i/85793-win-2006-07

Unified Command and Control: Keeping "pollution catastrophe" off Katrina's resume' of tragic consequences.

by CDR Roger Laferriere, U.S. Coast Guard Deputy Sector Commander Honolulu, Hawaii, Mr. Tracy Long Security/Emergency Response Advisor, Chevron Pipe Line Company, and MR. Greg Guerriero, Incident Commander, Shell Oil Products U.S.

In the aftermath of the devastating winds and flooding from Hurricane Katrina, more than 8.1 million gallons of oil escaped from numerous damaged oil infrastructure sources.[1] The amount of oil released was second, in the U.S., only to the tragic grounding of the Exxon Valdez, which resulted in the largest oil spill in U.S. history (11 million gallons).[2]

This was a different situation entirely, as this was not the result of human error, but rather resulted from the most powerful natural forces experienced by our nation in the modern era. The logistical challenges from this hurricane were something never envisioned by contingency planners, nor encountered before by oil spill responders. The only way to overcome these immense challenges was for governments and industry organizations to mount an effective and efficient response with absolute unified command and control. Fortunately, they employed a process tried and true: the Incident Command System.

The Challenges

Hurricane Katrina ravaged the robust oil and gas infrastructure system in Southeastern Louisiana, causing oil to be discharged from more than 140 sources, 10 of which were high-volume oil pipelines, refineries, and storage facilities.[3] The marine facilities stretched more than 130 miles along the Mississippi River. Many were inland and around the sensitive Mississippi delta region. But the industry was as ready as it could be.

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[1] "NOAA's Office of Response and Restoration Responds to Hurricane Katrina," available at http://response.restoration.noaa.gov/index.php.
[2] "Prince William's Oily Mess: A Tale of Recovery," available at http://response.restoration.noaa.gov/index.php.
[3] "NOAA's Office of Response and Restoration Responds to Hurricane Katrina," available at http://response.restoration.noaa.gov/index.php.

Figure 1: Oil leaks from hurricane-damaged oil tanks. USCG photo

For example, Chevron Pipe Line (CPL), two days prior to Hurricane Katrina's landfall, activated its emergency response team and set up an incident command post in Houston, Texas. CPL has two major facilities in the region that were damaged, one near Empire, La. and a second at Fourchon, La. These terminals are where oil pipelines from the Gulf of Mexico come onshore and oil is stored and redirected to refineries and other petrochemical facilities along the gulf coast. All CPL's Southern Louisiana facilities were shut down, in anticipation of the storm. Other oil companies also took similar actions.

High winds and massive flooding caused damage to the oil infrastructure. Fortunately, these same forces helped to disperse and evaporate a large portion of the oil. The remaining oil settled into depressions—natural culverts and canals—or into dikes and containments already in place in the event of a catastrophic infrastructure release. However, the devastating Katrina moved a large volume of oil onto private property and into sensitive environments adjoining the oil facilities. In one neighborhood, oil contamination could be measured in square miles (Figure 1). This oil contaminated the exterior and interior areas and contents of private property, as it flowed through broken windows on vehicles, boats, sheds, and garages. Flood waters moved far inland and contaminated streets, play- grounds, businesses, and public service buildings.

On the environmental side, oil pollution removal was complicated by inaccessibility caused by massive quantities of obstructive debris. In one site, oil was pushed into highly sensitive forested wetlands and deposited into natural depressions. These forested wetlands were teeming with wildlife, including alligators and poisonous snakes. The vegetation in these wetlands was so dense, that vehicle access was not possible (Figure 2). Additionally, oil settled into miles of canals, culverts, and "cuts" on the backside of the Mississippi River levee that were only accessible by shallow water boats. At another location, oil migrated into a swamp grass region that was loaded with shellfish and shellfish spawning sites. Manual recovery was not an option here, due to

the likely intrusive damage from the use of mechanical equipment and tools.

Figure 2: Oil from damaged tanks was moved by hurricane forces into impassable forested wetlands. USCG photo.

The normal infrastructure that would support a major oil spill operation was destroyed or damaged beyond immediate repair. More than 85 percent of the navigational aids along the Mississippi and its tributaries were destroyed.[4] Sunken vessels and floating debris made water operations highly risky. Communications beyond line of sight for handheld radios was non-existent. Lodging, food, medical care, fuel, and transportation resources were not available.

Local oil spill responders and support workers were scattered by the storm, many having lost their homes and livelihood. The magnitude of impact is best summed up by oil company representatives who were there on the ground trying to assemble forces to combat the spill. For Chevron Pipe Line, for instance, many of their employees who lived in southern Louisiana returned to lost or damaged homes. This was CPL's and the other oil company's first priority: Locate and ensure the safety of employees and their families. Chevron Pipe Line designated an incident management team (IMT) whose sole function was to address this priority, in addition to having an IMT that dealt with the oil spill. A third IMT was used to conduct a complete operational and safety site assessment for all their facilities in the region. As Chevron Pipe Line moved to respond on all these fronts, it experienced massive difficulty in even contacting emergency response contractors. Marine traffic was at a standstill, due to hidden dangers, and roads were closed and impassable.

Emergency resources brought in for the disaster response were rightfully focused on the harrowing search and rescue effort throughout the southeast Louisiana region. It was clear that these resources could not be counted on by the oil spill responders. They

[4] "NOAA's Office of Response and Restoration Responds to Hurricane Katrina," available at http://response.restoration.noaa.gov/index.php.

were forced to scrounge what little resources that survived the storm and obtain resources from outside the region, hundreds of miles away.

The Coast Guard federal on-scene coordinator, CAPT Frank Paskewich, required a quick plan to attack the oil spills. He approved a plan proposed by his Coast Guard incident management team to implement an area command construct for the spill.

Area Command Construct

Historically, oil spill responses involved the formation of a unified command (UC) composed of the federal on-scene coordinator, state responders, and vessel/facility owners. During Katrina, most of the oil released was from six major oil spill companies.[5] Using a single unified command with six industry representatives as unified commanders was problematic for several reasons. First, the geography of the impacted area was vast and would remove many of the industry unified commanders far from their incidents. Second, each company had its own incident management teams and incident command posts, some established prior to the hurricane. Third, it would have been a challenge, to absorb all these teams and resources into a single efficient and effective UC. Finally, each senior spill response manager from each company was rightfully concerned for its individual oil response, and therefore would have competing priorities with other industry counterparts.

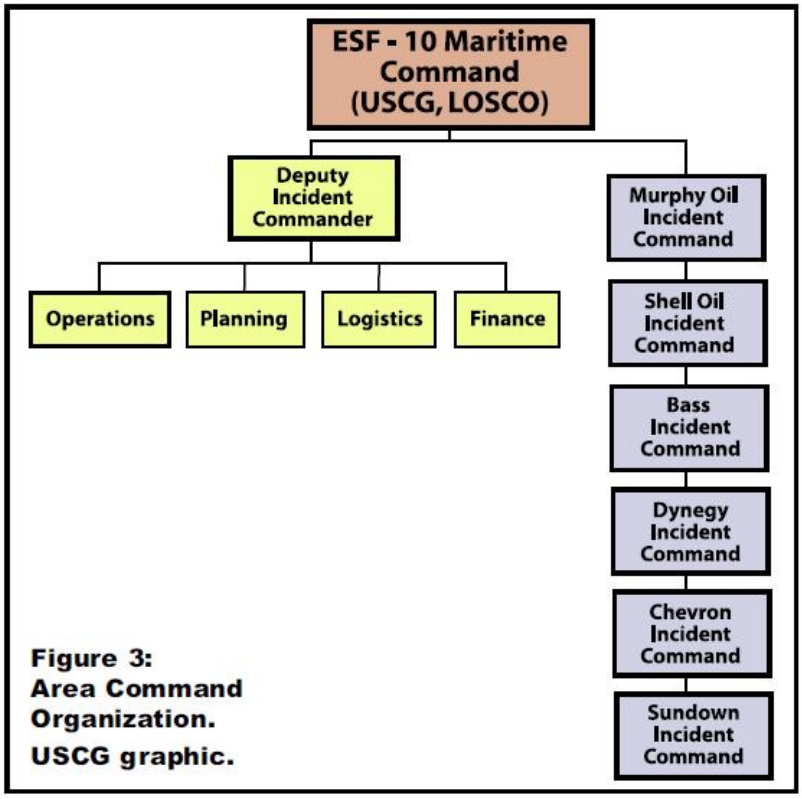

Figure 3: Area Command Organization. USCG graphic.

[5] "NOAA's Office of Response and Restoration Responds to Hurricane Katrina," available at http://response.restoration.noaa.gov/index.php.

Whenever there are multiple incidents having competing priorities, such as the Katrina oil spills, an Incident Command System area command is the model of choice. An area command is an organization above incident commanders that sets the priorities for all incidents and ensures that competing demands are resolved for the benefit of the entire response effort.

A quick meeting was held by government and industry oil spill responders to discuss CAPT Paskewich's proposed option. The collective industry, federal, and state representatives settled on the formation of a unified area command, staffed by U.S. Coast Guard and Louisiana Oil Spill Coordinator's Office (LOSCO) spill response managers. This unified area command would oversee the six major oil companies who would act as incident commanders for each of their own spills. The organization chart for the response is illustrated in figure 3.

The unified area command was called the "Emergency Support Function-10 Maritime Command" initially. ESF-10 is a term used in the National Response Plan for designating a response to an oil or hazardous materials incident. The word "area" was omitted from the title purposefully, to avoid confusion with other National Response Plan entities already in place. The word "maritime" was necessary to distinguish the operation from the Environmental Protection Agency's ESF-10 inland command. Since there was one Coast Guard incident command post in Alexandria, La. already, the ESF-10 maritime command's command post was termed forward operating base Baton Rouge.

The organization chart in figure 3 is consistent with the ICS area command concept, with one notable difference: There is an operations section and a deputy incident commander to lead operations, planning, logistics, and finance sections. This was to ensure that an organization existed among the regulators to verify that industry activities were monitored for compliance with state and federal environmental regulations. Additionally, the maritime command's operation section was tasked with managing the investigation and response to hundreds of smaller spills.

Incident Action Planning

It was important to develop a process for ensuring good communications and coordinated operations between the unified maritime command (MC) and the industry incident commanders (ICs). The MC used the operational planning cycle (Figure 4) for developing its own incident action plans and to communicate incident priorities and objectives to the industry ICs. These were shared with the industry ICs, who developed their own incident action plans for their specific incidents. These were forwarded to the maritime command for review and approval. The maritime command employed a second-shift incident management team, responsible for reviewing the industry incident action plans for consistency with maritime command priorities and objectives.

The timing in coordinating this process was critical. Figure 5 provides an illustration of the processes. It is very similar to figure 4, however a line is drawn in some of the blocks to show the segregated, but nearly parallel activities undertaken by the maritime

command and incident commanders. One caveat for figure 5: The industry planning cycle and MC planning cycle may not have matched up as perfectly as the figure suggests. The diagram has been simplified to pro- vide the reader with a user-friendly illustration to explain the process.

Starting at the left corner of figure 5, at the “Maritime Command Objectives Meeting” block, the maritime command would develop priorities and objectives for the entire operation and for their own unique activities. At the MC/incident commander brief, the priorities and objectives for the entire operation were discussed via teleconference. Any additional issues or concerns involving the entire group were also dis- cussed. After the briefing, the planning process splits, as the maritime command and industry incident commanders start developing their own incident action plans to execute the identified priorities and objectives. If necessary, the industry incident commanders could expand or supplement the priorities and objectives developed by the maritime command to address concerns unique to their operation.

As required by the Incident Command System, the ICS command and general staff members are briefed on priorities and objectives at the tactics meeting, and then develop strategies and tactics for the operation. The maritime command and IC entities do not all con- verge until after conferences between the MC and individual ICs. The one-on-one conversations enabled the industry incident commanders to address their unique concerns privately with the MC, without tying up the other industry incident commanders.

The planning meeting is where the IC or unified commanders all hear and approve/reject the proposed plan for the next operational period. Following the planning meeting, incident action plans were developed and forwarded on to the maritime command for review and approval. This was the responsibility of second shift in the maritime command forward operating base. Once all plans were approved, they were sent back to the respective ICs and MC operations sections for briefing and execution. The cycle begins again at the start of a new operational planning period.

To ensure close coordination between MC and IC planning efforts, the maritime command provided assistant liaison officers in the industry incident command posts. These assistants all worked for the maritime command main liaison officer. Their job was to ensure consistent planning efforts between the MC and ICs and to assist the incident commanders with other liaison officer duties as necessary. Later in the response, these assistant liaison officers were removed, due to lack of resources, and routine calls between the maritime command and incident commanders were reduced. A later, informal lessons-learned discussion between the MC and ICs revealed it was more prefer- able to maintain the daily MC/IC calls and keep the assistant liaison officers located within the industry incident command posts for a longer period.

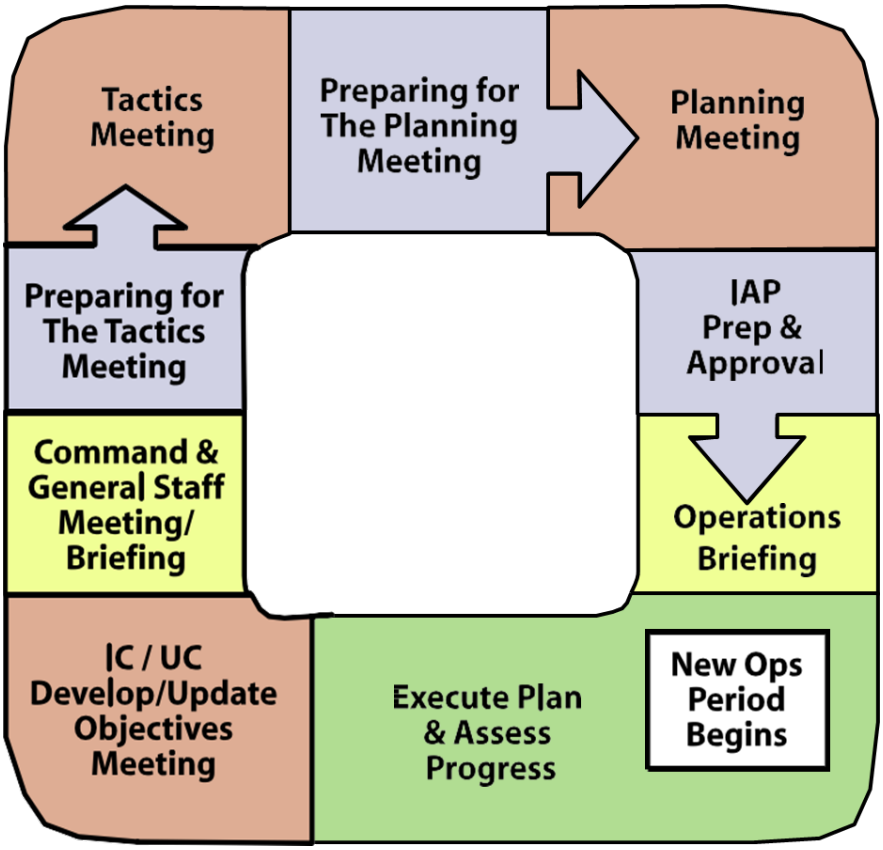

Figure 4: ICS operational planning cycle.

Chevron Pipe Line Facilities' Perspective

As Chevron Pipe Line Facilities began its response, CPL command staff implemented the Incident Command System (planning cycle), using the incident action plan software supported by the Response Group Inc. This helped frame the response objectives and primary/alternate strategies and tactics to be implemented in the field to accomplish objectives

Utilization of the Incident Command System, by industry and agencies, allowed seamless integration and information flow between the CPL command post and the maritime command. Clear expectations were identified early in the response by the incident specific federal on-scene coordinator regarding U.S. Coast Guard MC objectives (i.e. safe and aggressive removal of all loose gross oil)..

Meeting schedules were set in place to allow industry and maritime command to share information utilizing three key ICS forms—ICS 202 general response objectives, ICS 204 field assignment and ICS 209 incident status summary. To further assist CPL during the response, USCG placed a Coast Guard liaison in the Chevron Pipe Line facilities incident command post. This ensured open communication between federal and state agencies within the unified command, transferred key information for media releases, and worked through access issues involving restricted areas.

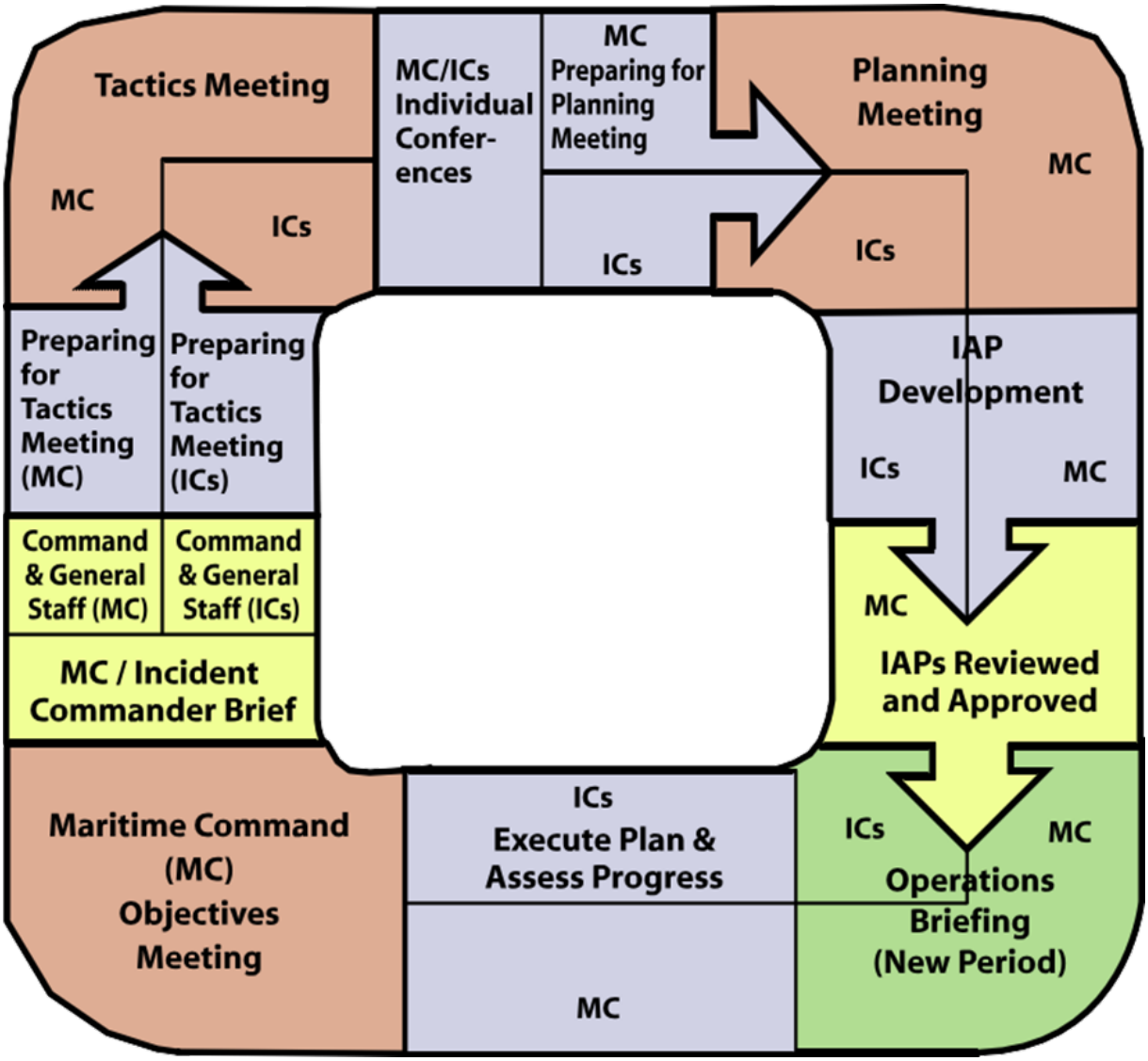

Figure 5: The industry planning cycle and maritime command planning cycle.

Coordinated Field Operations

The maritime command set up several monitoring teams within its operations section. These teams were responsible for ensuring cleanup operations were conducted consistent with regulations such as the National Contingency Plan (Title 40 Code of Federal Regulations, Part 300). The maritime command incident action plan provided detailed specifics on their work assignments.

The MC monitoring teams were dispatched by helicopter from forward operating base Baton Rouge to their respective industry cleanup sites initially on a daily basis. They carried the MC incident action plan for their specific assignment and a copy of the industry IAP for the site they were responsible for. This enabled them to ensure resources were committed and operations occurred at the site as outlined in the

industry IAPs, provided the night before. Additionally, the maritime command monitoring teams, while in the field, worked closely with industry field supervisors on developing strategies and tac- tics for the next operational period, which was fed back to the incident command posts for inclusion in the next day's incident action plans.

After sundown, the MC monitoring teams returned to the maritime command and assisted the second shift in reviewing the industry IAPs. Any discrepancies and last-minute changes were discussed and resolved in unison with industry counterparts. The result was the completion of high-quality and accurate incident action plans for the next operational period.

Command Support

"The Incident Command System worked as designed and CPL believes the results speak for themselves. We reached our objectives by safely responding and removing loose oil in a relatively short period of time." Mr. Tracy Long, Chevron Pipe Line.

The ESF-10 maritime command not only communicated direction to the industry incident commanders, it also provided support for their operations when- ever possible. For example, because no lodging was available for oil spill workers, maritime command was able to obtain berthing vessels from the Katrina joint field office. In one instance, when water and ice were in short supply, emergency airlift assets were deployed to remedy the shortage. Maritime command also established radio towers to improve communications in places where the infrastructure was destroyed. Maritime command coordinated wildlife surveys and rehabilitation services for all the industry partners and worked with concerned agencies and local governments to obtain permits to allow industry ICs to burn oil and oily debris (Figure 6).

Figure 6: Oil burning operations for the removal of oil from a forested wetland. USCG photo.

MC also responded to all other sources of oil pollution, including booming and deployment of oil absorbent material forward of the massive pumping stations used to remove water from New Orleans, to prevent pollution from entering sensitive waters in and around the Mississippi watershed. Perhaps the most important support provided by the maritime command to the field incident commanders was helping them ensure their operations were consistent with the overall objectives for an effective and efficient response.

The ICS/Area Command Advantage

In the midst of Katrina oil spill operations, Hurricane Rita loomed, and eventually impacted the cleanup area. The area command ICS approach was again highly useful, as maritime command and incident commanders began to design uniform hurricane evacuation and reconstitution IAPs. Critical resources were concentrated in priority areas to quickly remove all spilled oil before hurricane landfall, and work assignments drawn up to conduct a rapid assessment upon return to the cleanup area. This enabled the collective response organization to greatly minimize additional Rita environmental impact.

The use of the Incident Command System and area commands maximized information flow, enabling the collective ICs and MC to put together accurate and consistent spill response reports and statistics. This kept the Katrina/Rita response upper echelons such as the joint field office, area field offices and principal federal official fully apprised of the cleanup efforts. Additionally, a joint information center was created that ensured any press releases and interviews from the maritime command were vetted through all the incident commanders in the field. However, it also gave the individual incident commanders the autonomy to complete their own press interviews and press releases for their specific operations.

The operation was not without its glitches. Sometimes communication between monitoring teams and industry group supervisors in the field did not align with proposed incident action plans for the following days. However, the system had enough flexibility built in to ensure these issues were worked out either by teleconferencing or by personal visits to the forward operating base by industry incident commanders.

Another advantage of using ICS is that it works well with existing contingency plans developed by government and industry. It was clear that both had very strong contingency plans that enabled them to reconstitute quickly and marshal resources to begin cleanup operations. Contingency plans allow government and industry to get to the starting point of an incident. They cannot account for all of the variable types of situations, especially a Katrina/Rita complex incident. This is where incident action planning can be a great help; to account for these complex and numerous variables posed before the response organization.

In summary, when governments and industry are faced with the daunting challenge of responding to multiple major events as a result of a natural or human-made disaster, it is best they work from a common operational framework. It is imperative that all players—government, industry, and other non- governmental organizations—have extensive knowledge in and use the system mandated by presidential order for

emergencies: the Incident Command System.

It is a credit to both industry and government that this was indeed demonstrated superbly during the Hurricane Katrina/Rita oil spill response effort. ICS, however, cannot be credited for all the success of the response effort. The efforts of the oil industry incident commanders and their cleanup workforce is an untold story of heroism in itself. Like many residents impacted by the hurricanes, many of these people, from senior management to cleanup personnel were left homeless; had no place of work to go to; no means of transportation; and their lives completely turned upside-down. Yet, despite this incredible impact, they came together and provided the resources and effort needed to successfully combat the oil spills.

The Incident Command System provided the necessary framework to help focus this remarkable human effort. It enabled government and industry to exe- cute an effective and efficient unified command and control system, keeping “pollution catastrophe” off Katrina’s resume of tragic consequences.

“Traditionally the pre-incident infrastructure exists to support both the oil spill response as well as the responder. In this case, neither was available in the affected areas. This unique situation challenged Shell to develop and employ innovative strategies that proved demanding for the field responders, who did the real work to accomplish the daily tactical objectives. In the larger picture, working in conjunction with the agencies at the federal, state, and local parish levels; guided by the tenants of NIMS ICS; and anchored by the hard work and dedication of all the responders (internal/external to Shell) proved to be the right strategy to deal with this unprecedented situation.”

Mr. Gregg Guerreiro, Shell Oil Products U.S.

About the authors:

Mr. Tracy Long attended college at Western Texas College, earning a degree in Applied Science (Law Enforcement) in 1982. He began his career with Chevron Pipe Line Company in 1982 and worked in various operational and maintenance positions in West Texas before transferring to New Orleans as the construction representative for technical services. Mr. Long currently serves as the security/emergency response advisor for all CPL facilities located in the U.S. and Canada.

Mr. Greg Guerriero has been a responder for Shell for many years. He has participated in numerous exercises with the Coast Guard and the Environmental Protection Agency serving in a variety of ICS positions. He was one of several incident commanders for Shell during the Katrina oil spill response.

CDR Laferriere was designated the initial incident specific federal on-scene coordinator for the Hurricane Katrina oil spills. He has 18 years of service with the Coast Guard and at the time was commanding officer of the Atlantic Strike Team at Fort Dix, N.J. He currently serves as deputy sector commander Honolulu, Hawaii.

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Handout 4-2: Location of Area Command

The following are guidelines for locating an Area Command:

- Should be established as close to the incidents as needed to facilitate operations, to make it easier for the Area Commander and Incident Commanders or Unified Commands to meet and otherwise interact
- Should not be co-located with any individual ICP, to avoid confusion with the ICP activities
- Should allow for effective, efficient communications and coordination with subordinate incidents, as well as with EOCs and MAC Groups
- Should be housed in a facility large enough to accommodate a full Area Command staff. It should also be able to accommodate meetings among the Area Command staff, the Incident Commanders or Unified Commands, and agency administrators/executives as well as news media representatives

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Handout 4-3: Area Commander: Checklist of Actions

The following is an example of key actions conducted by the Area Commander/ Unified Area Command. It is provided as an example only (not as official FEMA guidance):

- ☐ Obtain briefing from agency officials on agency expectations, concerns, and constraints.
- ☐ Obtain and carry out delegation of authority from agency officials for overall management and direction of the incidents within the designated Area Command.
- ☐ If operating as a Unified Area Command, develop working agreement for how Area Commanders will function together.
- ☐ Delegate authority to Incident Commanders based on agency expectations, concerns, and constraints.
- ☐ Establish an Area Command schedule and timeline.
- ☐ Resolve conflicts between incident “realities” and agency officials “wants.”
- ☐ Establish appropriate location for the Area Command facilities.
- ☐ Determine and assign an appropriate Area Command organization. Keep it manageable.
- ☐ Determine need for and assign technical specialists to support Area Command.
- ☐ Obtain incident briefing and IAPs from Incident Commanders (as appropriate).
- ☐ Assess incident situations prior to Area Command strategy meetings.
- ☐ Review effective communications and data coordination (to include Essential Elements of Information).
- ☐ Conduct a joint meeting with all Incident Commanders/Unified Commands.
- ☐ Review objectives and strategies for each incident.
- ☐ Periodically review priorities and resource needs.
- ☐ Maintain close coordination with agency officials, cooperating and assisting agencies, and other entities, including EOCs.
- ☐ Establish priorities for critical resources.
- ☐ Review procedures for interaction with the Area Command.
- ☐ Approve Incident Commanders’ requests for release of resources.
- ☐ Coordinate and approve demobilization plans.
- ☐ Maintain log of major actions/decisions.

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Handout 4-4: Roles of Area Command Positions

The following is an example of key actions conducted by the Area Commander/ Unified Area Command. It is provided as an example only (not as official FEMA guidance):

- Area Commander (Unified Area Command): Responsible for the overall direction of assigned incidents. This responsibility includes ensuring that conflicts are resolved, incident objectives are established, and strategies are selected for the use of scarce resources. The Area Commander coordinates with local, state, tribal, territorial, and Federal departments and agencies, as well as NGOs and other private sector elements.
- Assistant Area Commander–Logistics: Provides facilities, services, and materials at the Area Command level (by ordering resources needed to support the Area Command) and ensures the effective allocation of scarce resources and supplies among the incidents.
- Assistant Area Commander–Planning: Collects information from various incidents to assess and evaluate potential conflicts in establishing incident objectives, strategies, and priorities for allocating scarce resources.
- Area Command Aviation Coordinator: Assigned when aviation resources at multiple incidents compete for common airspace and scarce resources. This role works in coordination with incident aviation organizations to evaluate potential conflicts, develop common airspace management procedures, ensure aviation safety, and allocate scarce sources in accordance with Area Command priorities.
- Technical Specialists: The Area Command may assign technical specialists as additional command advisors, depending on the nature, scope, complexity, and location(s) of the incident(s), or according to specific needs the Incident Commander or Unified Command establishes.
- Area Command Support Positions: Activated as necessary:
    - Area Command Resources Unit Leader- Tracks and maintains the status and availability of scarce resources assigned to each incident under the Assistant Area Commander–Planning.
    - Area Command Situation Unit Leader- Monitors the status of objectives for each incident assigned to the Area Command.
    - Area Command PIO- Provides coordination between incident locations and serves as the point of contact for media requests to the Area Command.
    - Area Command Liaison Officer- Helps maintain off-incident interagency contacts and coordination.

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Handout 4-5: Consolidating the Management of Multiple Incidents

Reference NIMS October 2017, ICS Tab 7 (pages 102-104)

Large disasters or multiple different disasters occurring quickly in the same area may result in the establishment of multiple incident command organizations operating more or less independently. ICS provides several options for consolidating the management of separate incidents. These options, which are described below, can enhance coordination and improve the efficient use of resources.

Incident Complex: Multiple Incidents Managed within a Single ICS Organization

An incident complex is an organizational structure that exists when two or more individual incidents located in the same general area are assigned to a single Incident Commander or Unified Command. When an incident complex is established over several individual incidents, the previously identified incidents become branches or divisions within the Operations Section of the incident complex. Each branch thus has the flexibility to establish divisions or groups. In addition, when divisions and groups have already been established at each of the incidents, the same basic structure can be propagated. If any of the incidents within an incident complex have the potential to become a large-scale incident, it is best to establish it as a separate incident with its own ICS organization.

The following are examples of when an incident complex may be appropriate:

- Disasters such as wildfires, earthquakes, tornadoes, floods, or other situations where many separate incidents occur in proximity
- Several similar incidents occurring in proximity to one another
- One incident underway with an Incident Management Team (IMT) assigned, with other smaller incidents occurring in the same area

The following are additional considerations for using an incident complex:

- A single Command and General Staff can adequately provide operations, planning, logistics, and finance/administration activities to the incidents that comprise the incident complex
- A combined management approach could achieve staff or logistical support economies

Area Command

An Area Command is established to oversee the management and support of multiple incidents or to oversee the management of a large or evolving incident with multiple ICS organizations.

Area Command Responsibilities

An Area Command does not have operational responsibilities but prioritizes the use of scarce resources among the incidents. Additionally, the Area Command:

- Develops broad objectives for the impacted area(s)
- Coordinates the development of individual incident objectives and strategies
- Allocates resources as the priorities change
- Ensures that incidents are properly managed
- Ensures effective communications
- Ensures that incident management objectives are met and do not conflict with each other or with agency policies
- Identifies critical resource needs and reports them to EOCs and/or MAC Groups
- For incidents that have a recovery dimension, ensures that short-term recovery is coordinated to assist in the transition to full-recovery operations

Area Command Organization

The Area Command organization operates under the same basic principles as ICS. Typically, an Area Command comprises the following key personnel:

- Area Commander (Unified Area Command): Responsible for the overall direction of assigned incidents. This responsibility includes ensuring that conflicts are resolved, incident objectives are established, and strategies are selected for the use of scarce resources. The Area Commander coordinates with local, state, tribal, territorial, and Federal departments and agencies, as well as NGOs and other private sector elements.
- Assistant Area Commander–Logistics: Provides facilities, services, and materials at the Area Command level (by ordering resources needed to support the Area Command) and ensures the effective allocation of scarce resources and supplies among the incidents.
- Assistant Area Commander–Planning: Collects information from various incidents to assess and evaluate potential conflicts in establishing incident objectives, strategies, and priorities for allocating scarce resources.

- Area Command Aviation Coordinator: Assigned when aviation resources at multiple incidents compete for common airspace and scarce resources. This role works in coordination with incident aviation organizations to evaluate potential conflicts, develop common airspace management procedures, ensure aviation safety, and allocate scarce resources in accordance with Area Command priorities.
- Area Command Support Positions: Activated as necessary:
  - Resources Unit Leader- Tracks and maintains the status and availability of scarce resources assigned to each incident under the Assistant Area Commander–Planning.
  - Situation Unit Leader- Monitors the status of objectives for each incident assigned to the Area Command.
  - PIO- Provides coordination between incident locations and serves as the point of contact for media requests to the Area Command.
  - Liaison Officer- Helps maintain off-incident interagency contacts and coordination.

Area Command Location

The following are guidelines for locating an Area Command:

- Established as close to the incidents as needed to facilitate operations, to make it easier for the Area Commander and Incident Commanders or Unified Commands to meet and otherwise interact
- Should not be co-located with any individual ICP, to avoid confusion with the ICP activities
- Should allow for effective, efficient communications and coordination with subordinate incidents, as well as with EOCs and MAC Groups
- Housed in a facility large enough to accommodate a full Area Command staff. It should also be able to accommodate meetings among the Area Command staff, the Incident Commanders or Unified Commands, and agency administrators/executives as well as news media representatives

Area Command Reporting Relationships

When an Area Command is involved in coordinating multiple incident management activities, the following reporting relationships apply:

- The Incident Commanders for the incidents under the Area Command report to the Area Commander
- The Area Commander is accountable to the agency or agencies or the jurisdictional executive(s) or administrator(s)
- If one or more incidents within the Area Command are multijurisdictional, a Unified Area Command is established

Activity 4.2: Design an Area Command Organization and Process for a Simulated Incident

Objective: Design an Area Command organization and process for a simulated incident.

Instructions:

1. Working as a group, review the scenario and map in your handouts.
2. Complete the following steps:
   - Develop an Area Command organizational chart and staffing requirements.
   - Describe Area Command facility and support needs.
   - Develop guidance and procedures to be given to Incident Commanders.
   - Analyze resource requirements, identify scarce resources, and establish resource priorities.
   - Develop a list of questions you would like to ask agency officials at the next briefing.
3. Select a spokesperson and be prepared to present your work in 60 minutes.

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Scenario:

The Murkey River flows south through the Granite Mountain foothills and then through Prosperous Valley. Severe weather followed by flooding caused the emergency release of water from a weakened upstream dam has created several major incidents along the east bank of the river in Jackson County. More rain and wind are expected during the next several days.

- The county jail and the adjoining juvenile detention facility have suffered extensive damage. All electrical power and water are out. Population is 450 adult males, 175 females, and 250 male juveniles. Relocation may be required. Only cold meals and limited water are available. A county sheriff's captain is the Incident Commander.
- A 10-block area of Baytown has had extensive flooding. Search and rescue and evacuations are underway. There is no electrical power and the water and sewer systems have been damaged. An incident complex has been established to cover several incidents in this area. The Baytown Police Department has designated an Incident Commander from the department.
- A southbound train was derailed over the Murkey River due to a section of track being undermined. Several cars are overturned. A tank car with an unknown chemical is on its side in the river and leaking. This incident is operating under a Unified Command consisting now of the county fire and sheriff.
- In Fryville, a gas line ruptured and ignited, causing a fire in a major grocery chain warehouse. Several people have been injured and there is a danger of fire spreading to adjacent buildings. Water pressure is low. The Fryville Volunteer Fire Department Chief is the Incident Commander.

There is currently a major problem with allocating scarce resources among these incidents. There is only two uncommitted IMTs available within the next 12 hours. Only 1 law enforcement supervisor and 40 law enforcement with patrol vehicles are uncommitted. Only 4 engine companies and 2 type I water tenders are available

Many volunteers have come forward, and the Incident Commanders and the County EOC are looking for ways to organize and use them effectively. Several news media representatives are on the scene at the various incidents.

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Outstanding Resource Orders

Baytown Complex:

20 law enforcement officers with patrol vehicles
5 Type III Basic Life Support (BLS) Ambulances
2 Truck companies (Type I trucks)
2 Type I Swiftwater/Flood Search and Dive Rescue Teams
Finance/Administration Section Chief (FSC)
- Cost Unit Leader (UL)
- Time UL

Jail/Juvenile Center:

20 law enforcement officers with patrol vehicles
Generator capable of providing backup for facility

Planning SC
- Resources UL
- Situation UL
- Intelligence UL
- Documentation UL

Logistics SC
- Supply UL
- Food UL
- Ground Support UL

Train Derailment:

1 Type I Hazmat Entry Team
4 Engine companies (Type I engines)
10 law enforcement officers with patrol vehicles
1 Supervisor for law enforcement

Finance/Administration SC
Planning SC
- Resources UL
- Situation UL

Logistics SC
- Supply UL
- Communications UL
- Ground Support UL

Fryville:

10 law enforcement officers with patrol vehicles
1 Supervisor for law enforcement
4 Engine companies (Type I engines)
4 Type I Water Tenders

Planning SC
- Resource UL
- Situation UL

Logistics SC
- Supply UL
- Communications UL
- Ground Support UL

Detailed resource type definitions can be found at https://rtlt.preptoolkit.fema.gov/Public

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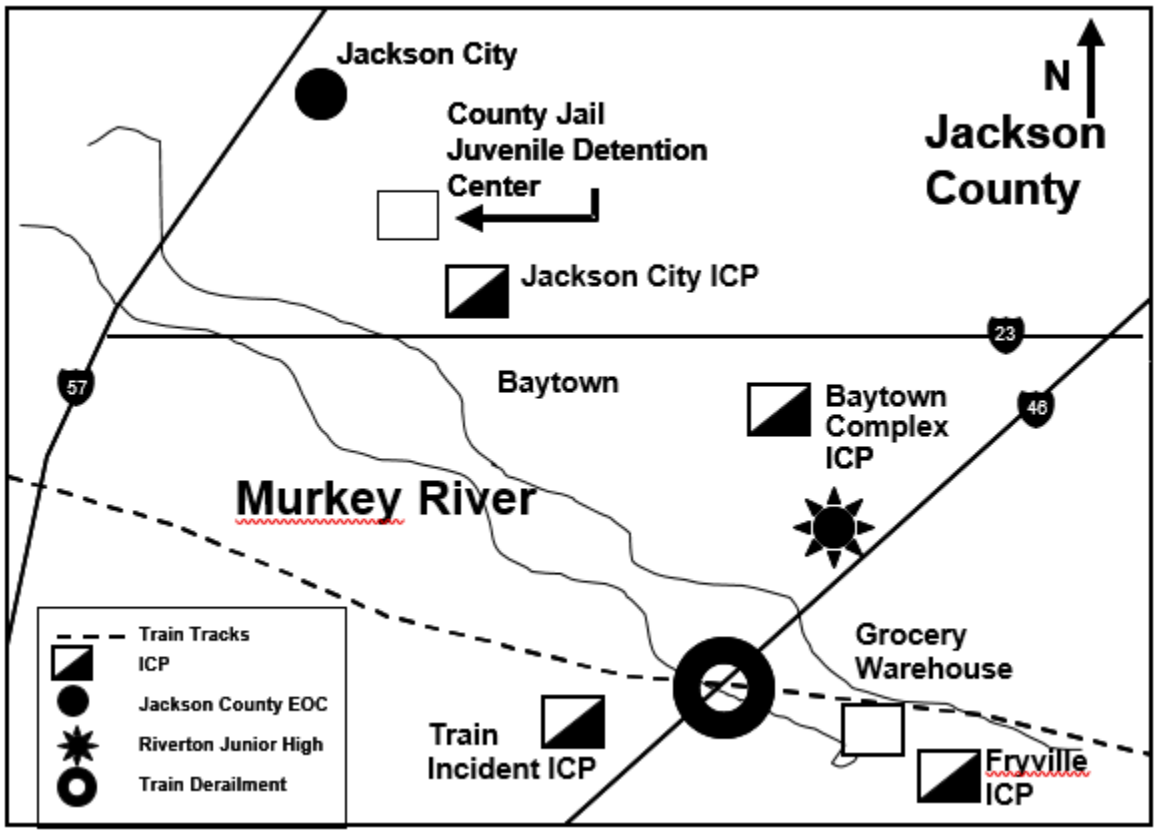
Scenario Map



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Unit 5: Interconnectivity of NIMS Command and Coordination Structures

STUDENT MANUAL

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Visual 5.1

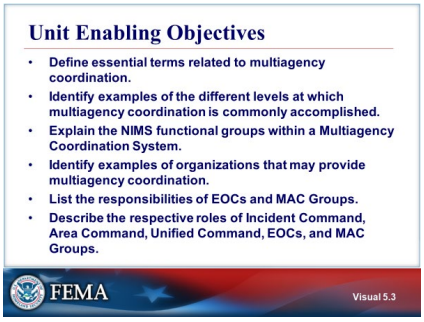
UNIT 5: INTERCONNECTIVITY OF NIMS COMMAND AND COORDINATION STRUCTURE

This unit discusses the importance of coordination with NIMS. NIMS coordination facilitates multiple agencies working together.

Visual 5.2

UNIT TERMINAL OBJECTIVE

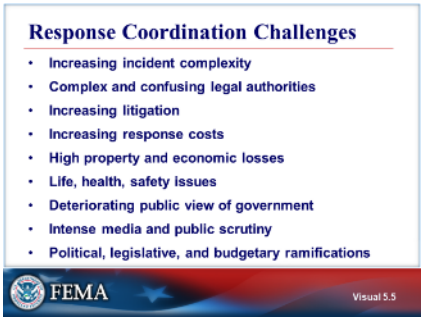
Identify the complex incident management issues that can result from a lack of multiagency coordination.



Visual 5.3

UNIT ENABLING OBJECTIVES

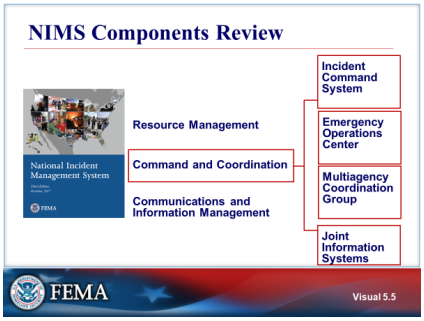
- Define essential terms related to multiagency coordination.
- Identify examples of the different levels at which multiagency coordination is commonly accomplished.
- Explain the NIMS functional groups within a Multiagency Coordination System.
- Identify examples of organizations that may provide multiagency coordination.
- List the responsibilities of EOCs and MAC Groups.
- Describe the respective roles of Incident Command, Area Command, Unified Command, EOCs, and MAC Groups.



Visual 5.4

RESPONSE COORDINATION CHALLENGES

The NIMS Command and Coordination component was developed to address interjurisdictional coordination problems and make cooperative multiagency decisions. Despite the gains made in the past, multiagency coordination during complex incidents continues to be a challenge.

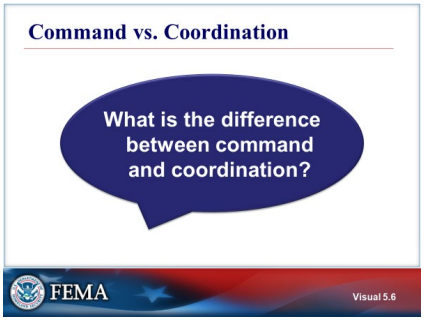


Visual 5.5

NIMS COMPONENTS REVIEW

NIMS is composed of three components: Resource Management, Command and Coordination, and Communications and Information Management.

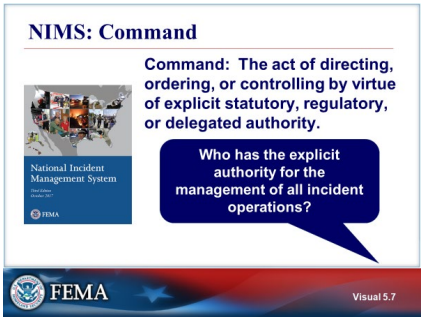
The Command and Coordination component of NIMS includes four NIMS Functional Groups: Incident Command System (ICS), Emergency Operations Centers (EOCs), Multiagency Coordination Groups (MAC Groups) and Joint Information Systems (JIS).



Visual 5.6

COMMAND VS. COORDINATION

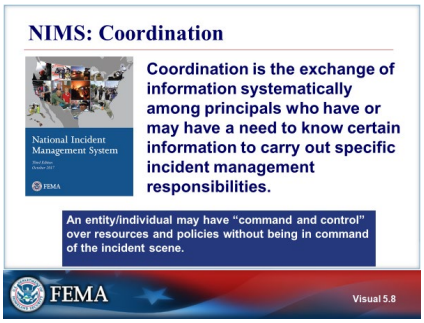
What is the difference between command and coordination?



Visual 5.7

NIMS COMMAND

'Command' is defined in NIMS as "the act of directing, ordering, or controlling by virtue of explicit statutory, regulatory, or delegated authority."



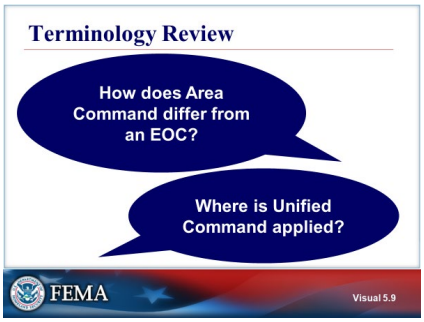
Visual 5.8

NIMS: COORDINATION

NIMS defines coordination as the exchange of information systematically among principals who have or may have a need to know certain information to carry out specific incident management responsibilities.

Multiagency coordination allows all levels of government and disciplines to work together more efficiently and effectively.

An organization/individual may have "command and control" over resources and policies without being in command of the incident scene. For example, technical specialists from a State or Federal agency may arrive at a scene to support the incident. Those specialists will be integrated into the on-scene incident command structure and operate under the direction of the incident command.

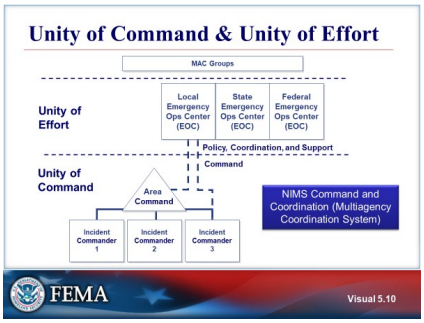


Visual 5.9

TERMINOLGY REVIEW

How does Area Command differ from an Emergency Operations Center?

Where is Unified Command applied?



Visual 5.10

UNITY OF COMMAND & UNITY OF EFFORT

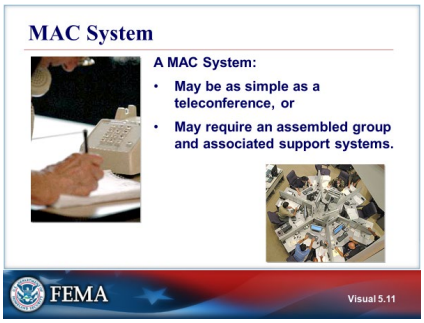
Key points:

- Area Command is an organization that oversees the management of multiple incidents or oversees the management of a very large or evolving situation with multiple ICS organizations.
- Unified Command is an ICS application used when more than one agency has incident jurisdiction or when incidents cross political jurisdictions. Unified Command may be at the Area Command or Incident Command level. One reason for establishing Unified Command is to improve interagency coordination.
- Unity of command is a NIMS guiding principle stating that each individual involved in incident management reports to and takes direction from only one person.
- Unity of effort is a NIMS guiding principle that provides coordination through cooperation and common interests and does not interfere with Federal department and agency supervisory, command, or statutory authorities.

NIMS provides a structure to enable agencies with different legal, jurisdictional, and functional responsibilities to coordinate, plan, and interact effectively on scene.

The NIMS standardized structures and tools enable a unified approach to be effective both on scene and at the Emergency Operations Centers.

A Multiagency Coordination System is not a physical location or facility alone. Rather, a Multiagency Coordination System includes all components (NIMS Functional Groups) involved in managing and supporting events or incidents: ICS, EOCs, MAC Groups, and the JIS.



Visual 5.11

Visual 5.12

MULTIAGENCY COORDINATION

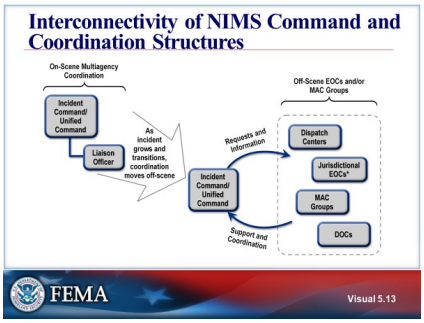
Multiagency Coordination:

- May be as simple as a teleconference
- May require an assembled group and associated support systems

COMMON COORDINATION ORGANIZATIONS

- Decision-making elements, such as:
  - Multiagency Coordination (MAC) Groups
  - Crisis action teams
  - Policy committees
  - Agency executives
- Facilities/Operations Support elements, such as:
  - Dispatch Centers
  - Emergency Operations Centers (EOCs)
  - Department Operations Centers (DOCs)
  - National Operations Center (NOC)

Refer to Handout 5-2: List of Common Multiagency Coordination Organizations.



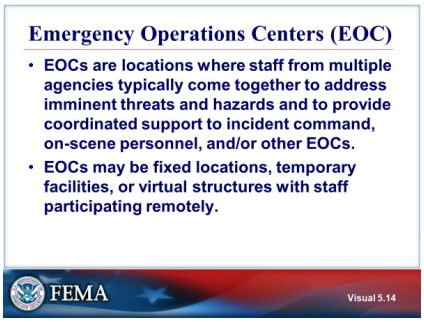
Visual 5.13

INTERCONNECTIVITY OF NIMS COMMAND AND COORDINATION STRUCTURES

This visual provides an overview of the relationships between different NIMS Command and Coordination functional groups over the course of an incident.

- When an incident occurs or threatens, local incident personnel respond, using NIMS principles and structures to frame their activities.
- If the incident is or becomes large or complex, EOCs activate
- EOC staff receive senior-level guidance from MAC Groups

Establishing a JIC helps ensure coordinated and accurate public messaging.



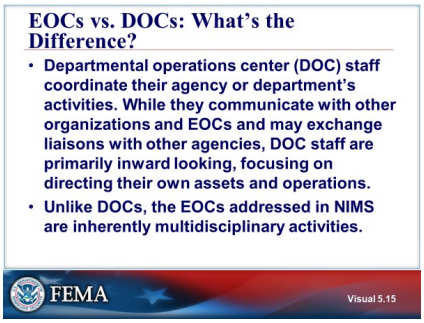
Visual 5.14

EMERGENCY OPERATIONS CENTERS (EOC)

Primary functions of staff in EOCs, whether virtual or physical, include:

- Collecting, analyzing, and sharing information
- Supporting resource needs and requests, including allocation and tracking
- Coordinating plans and determining current and future needs
- In some cases, providing coordination and policy direction

EOC teams receive oversight from elected and/or appointed officials such as governors, tribal leaders, mayors, and city managers. These individuals may be present in the EOC, but more often provide guidance from elsewhere, either as part of a formal policy group or individually.



Visual 5.15

EOCS VS DOCS: WHAT'S THE DIFFERENCE?

EOCs are locations where staff from multiple agencies typically come together to address imminent threats and hazards and to provide coordinated support to incident command, on-scene personnel, and/or other EOCs.

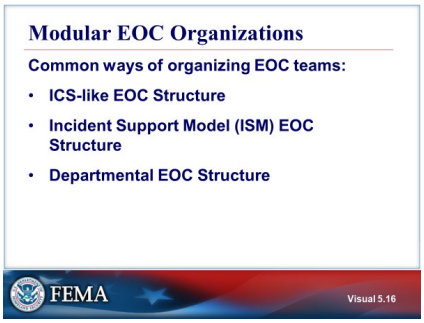
Agencies and departments also have operations centers.

These organization-specific operations centers differ from multidisciplinary EOCs.

Departmental operations center (DOC) staff coordinate their agency or department's activities. While they communicate with other organizations and EOCs and may exchange liaisons with other agencies, DOC staff are primarily inward looking, focusing on directing their own assets and operations.

Unlike DOCs, the EOCs addressed in NIMS are inherently multidisciplinary activities.

NIMS defines a DOC as an operations or coordination center dedicated to a single, specific department or agency. The focus of a DOC is on internal agency incident management and response. DOCs are often linked to and/or physically represented in a combined agency EOC by an authorized agent(s) for the department or agency.

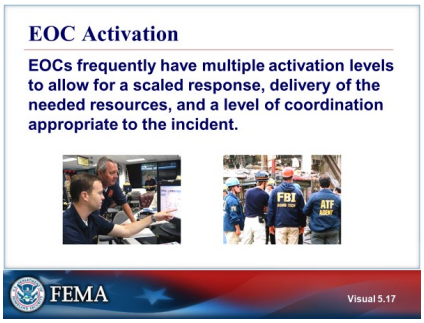


Visual 5.16

MODULAR EOC ORGANIZATIONS

There is no standard structure for an EOC. EOC teams vary widely. Deciding how to organize the staff in EOCs depends on factors such as the jurisdiction/organization's authorities, staffing, partner and stakeholder agencies represented, EOC physical facilities, communications capabilities, political considerations, and most importantly, the mission.

- ICS-like EOC Structure - Many jurisdictions/organizations configure their EOCs using the standard ICS organizational structure. The structure is familiar to many people, and it aligns with the on-scene incident organization. Some jurisdictions/organizations use the standard ICS organizational structure but modify certain titles to create an ICS-like organization that distinguishes EOC functions from their field counterparts.
- Incident Support Model (ISM) EOC Structure - Jurisdictions/organizations that focus their EOC team's efforts on information, planning, and resource support may choose to separate the situational awareness function from planning and combine Operations and Logistics Functions into an incident support structure. This organization puts the EOC director in direct contact with those doing situational awareness/information management and streamlines resource sourcing, ordering, and tracking.
- Departmental EOC Structure - Jurisdictions/organizations may opt instead to use their day-to-day departmental/agency structure and relationships in their EOC. By operating in the context of their normal relationships, department/agency representatives can function in the EOC with minimal preparation or startup time

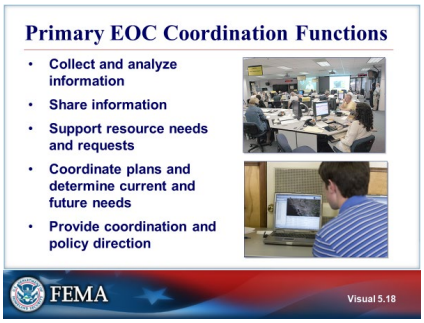


Visual 5.17

EOC ACTIVATION

Circumstances that might trigger EOC activation include:

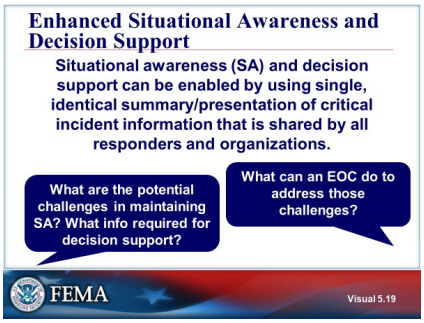
- More than one jurisdiction becomes involved in an incident and/or the incident involves multiple agencies
- The Incident Commander or Unified Command indicates an incident could expand rapidly, involve cascading effects, or require additional resources
- A similar incident in the past led to EOC activation
- The EOC director or an appointed or elected official directs that the EOC be activated
- An incident is imminent (e.g., hurricane warnings, slow river flooding, predictions of hazardous weather, elevated threat levels)
- Threshold events described in the emergency operations plan occur
- Significant impacts to the population are anticipated



Visual 5.18

PRIMARY EOC COORDINATION FUNCTIONS

- Collecting and analyzing information - Collection, processing, and display of all information needed including consolidating agency/jurisdiction situation reports, obtaining supplemental information, and preparing maps and status boards.
- Sharing information – Information must be shared with multiagency partners. This includes sharing information with elected officials and other EOCs. By serving as a centralized source for collecting and analyzing information, personnel implementing the multiagency coordination procedures may provide summary information on incidents within their area of responsibility, and provide agency/jurisdictional contacts for media and other interested agencies.
- Supporting resource needs and requests, including allocation and tracking - managing scarce resources, in line with incident priorities. Resource management includes identifying and acquiring needed resources in addition to allocating existing or known resources
- Coordinating plans and determining current and future needs
- In some cases, providing coordination and policy direction - Coordinating, supporting, and assisting with policy-level decisions and interagency activities relevant to incident management activities, policies, priorities, and strategies



Visual 5.19

ENHANCED SITUATIONAL AWARENESS AND DECISION SUPPORT

Situational awareness and decision support can be enabled by using single, identical summary/presentation of critical incident information that is shared by all responders and organizations.

Information management systems enhance resource status information flow by providing real-time data to jurisdictions, incident personnel, and their affiliated organizations. Information management systems used to support resource management include location-enabled situational awareness and decision support tools with resource tracking that links to the entity's resource inventory(s).

Visual 5.20

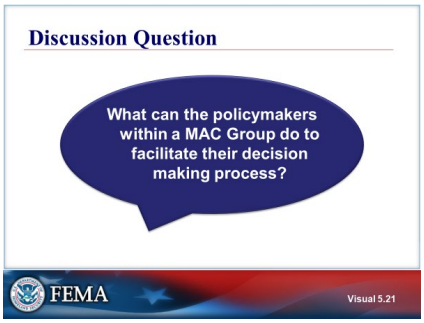
MULTIAGENCY COORDINATION GROUP (MAC GROUP)

MAC Groups act as policy-level bodies during incidents, supporting:

- Resource prioritization and allocation
- Enabling decision making among elected and appointed officials and those responsible for managing the incident (e.g., the Incident Commander).

Unlike Unified Command, MAC Groups do not perform incident command functions, nor do they replace the primary functions of operations, coordination, or dispatch organizations.

When competition for resources is significant, MAC Groups may relieve the coordination and dispatch organizations of some prioritization and allocation responsibilities.



Visual 5.21

DISCUSSION QUESTION

The primary function of the multiagency coordination group is to make policy-level decisions. Given that the group members are from different agencies and/or jurisdictions, it is important that they work together effectively.

Visual 5.22

PRIORITIZATION CONSIDERATIONS FOR MAC GROUPS

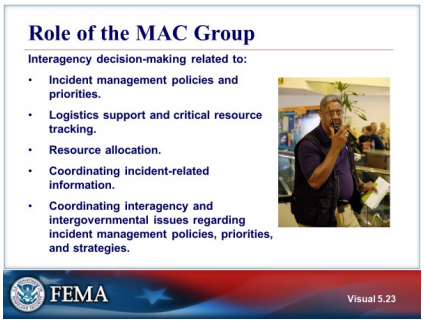
Prioritization and allocation decisions can be based on factors such as saving lives, protecting property and the environment, stabilizing the incident, and providing for basic human needs.

Policy level decisions will also have to consider other factors such as legality, funding, public and media concerns and other "political" issues.

MAC Groups are primarily responsible for resource prioritization and allocation.

When competition for resources is significant, MAC Groups may assume some resource prioritization and allocation responsibilities from EOCs.

Unlike Unified Command, they do not perform incident command functions, nor do they replace the primary functions of operations, coordination, or dispatch organizations.



Visual 5.23

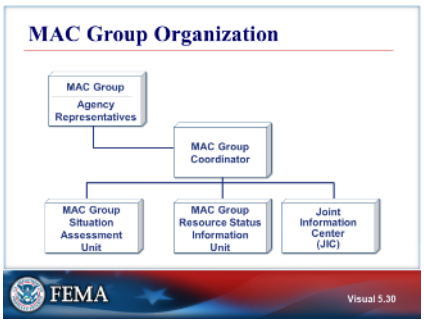
ROLE OF THE MAC GROUP

The role of the MAC Group is to provide a structure and process for interorganizational decision-making in these areas:

- Incident management policies and priorities.
- Logistics support and critical resource tracking.
- Resource allocation among multiple incidents.
- Coordinating incident-related information.
- Coordinating interagency and intergovernmental issues regarding incident management policies, priorities, and strategies.

More common MAC Group applications:

- A single jurisdiction may establish a MAC Group as part of its EOC function. In this application, it is important that the jurisdiction take care to define its role broadly enough to include all jurisdictions, agencies, and organizations that might be impacted.
- MAC Groups are frequently defined geographically, especially when an emergency crosses jurisdictional boundaries.
- A MAC Group may be organized functionally. For example, law enforcement agencies at local, State, and Federal levels may establish a MAC Group to assist in coordinating response to major civil unrest or terrorist activity.
- A MAC Group may be organized nationally. During wildfire season, a national MAC Group convenes at the National Interagency Fire Center in Boise, Idaho. This MAC Group includes representatives from the Federal wildland fire agencies, the States, FEMA, and the military.

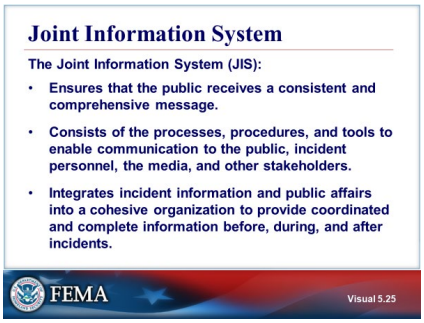


Visual 5.24

MAC GROUP ORGANIZATION

The visual contains an example of how one jurisdiction organized their MAC Group.

A MAC Group is made up of organization, agency, or jurisdiction representatives who are authorized to commit agency resources and funds.



Visual 5.25

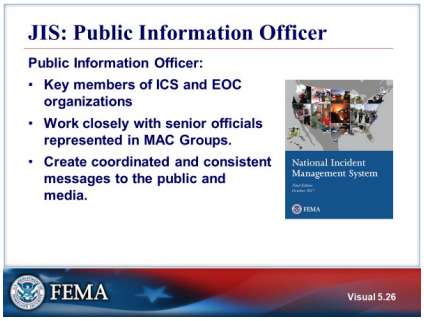
JOINT INFORMATION SYSTEM

The Joint Information System (JIS):

- Jurisdictions and organizations coordinate and integrate communication efforts to ensure that the public receives a consistent and comprehensive message.
- JISs consist of the processes, procedures, and tools to enable communication to the public, incident personnel, the media, and other stakeholders.
- JISs integrate incident information and public affairs into a cohesive organization to provide coordinated and complete information before, during, and after incidents. Includes the plans, protocols, procedures, and structures used to provide public information. Federal, State, tribal, territorial, regional, local, and private-sector Public Information Officers.
- Provides a structure and system for:
  - Developing and delivering coordinated interagency messages
  - Developing, recommending, and executing public information plans and strategies on behalf of the Incident Commander or Unified Command, EOC Manager, or MAC Group
  - Advising the Incident Commander or Unified Command, EOC Manager, or MAC Group concerning public affairs issues that could affect an incident management effort
  - Addressing and managing rumors and inaccurate information that could undermine public confidence

JISs cut across the three levels of incident management (on-scene/tactical, center/coordination, policy/strategic) and help ensure coordinated messaging among all incident personnel.

The JIS is not a single physical location, but rather is a coordination framework that incorporates the on-scene Public Information Officer (PIO) with other PIOs who may be located at the JIC, EOC, or other coordination center.



Visual 5.26

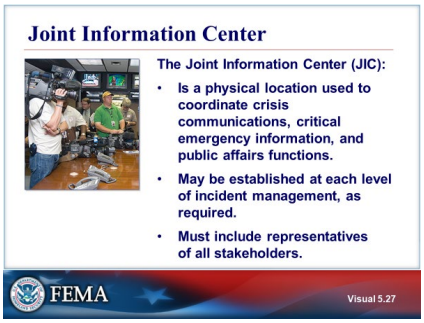
JIS: PUBLIC INFORMATION OFFICER

According to NIMS, Public Information Officers (PIOs) are key members of ICS and EOC organizations, and they frequently work closely with senior officials represented in MAC Groups.

If the PIO position is staffed at both the ICP and a supporting EOC, the PIOs maintain close contact through pre-established JIS protocols.

PIOs create coordinated and consistent messages by collaborating to:

- Identify key information to be communicated to the public
- Craft clear messages that all can understand, including individuals with Limited English Proficiency, those with disabilities, and others with access and functional needs
- Prioritize messages to ensure timely delivery of information without overwhelming the audience
- Verify accuracy of information
- Disseminate messages using the most effective means



Visual 5.27

JOINT INFORMATION CENTER

The Joint Information Center (JIC) is a facility that houses JIS operations, where personnel with public information responsibilities perform essential information and public affairs functions. JICs may be established as standalone coordination entities, at incident sites, or as components of EOCs.

The JIC is the central point of contact for all news media at the scene of the incident.

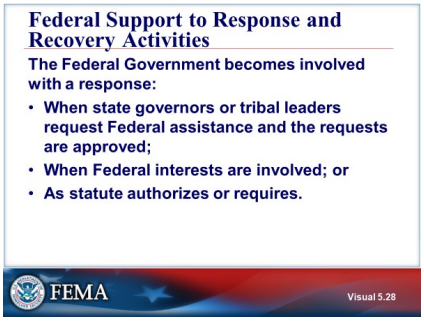
Depending on the needs of the incident, an incident-specific JIC may be established at an on-scene location in coordination with local, state, and Federal agencies, or at the national level if the situation warrants.

Public Information Officials from all participating agencies should collocate at, or virtually coordinate through, the JIC.

There are five types of JIC:

- Incident JIC
  - Optimal physical location for local and Incident Commander, Unified Command, or EOC director-assigned PIOs to co-locate
  - Easy media access (paramount to success)
  - May be located at an EOC
- Virtual JIC
  - Established when physical co-location is not feasible
  - Incorporates technology and communication protocols
- Satellite JIC
  - Smaller in scale than other JICs
  - Established to support the primary JIC
  - Operates under the primary JIC's control

- Area JIC
  - Supports wide-area, multiple-incident ICS structures
  - Could be established locally or statewide
  - Media access is paramount
- National JIC
  - Typically established for long-duration incidents
  - Established to support Federal incident management
  - Staffed by numerous Federal departments and/or agencies
  - Media access is paramount



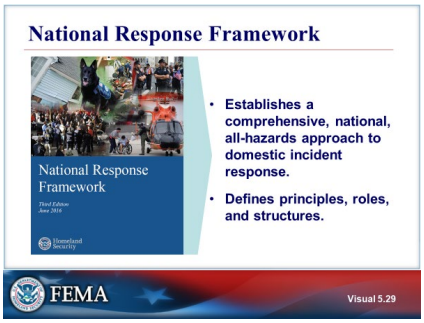
Visual 5.28

FEDERAL SUPPORT TO RESPONSE AND RECOVERY ACTIVITIES

Most incidents are resolved using state and local mechanisms; however, some major incidents may need assistance from the Federal Government.

The Federal Government maintains a wide range of capabilities and resources needed to address domestic incidents. NIMS coordinating structures enable Federal departments and agencies to cooperate with one another and with local, state, tribal, territorial, and insular area governments, community members, and the private sector.

Accordingly, in some instances, the Federal Government plays a supporting role to local, state, tribal, or territorial governments by providing Federal assistance to the affected jurisdictions. For example, the Federal Government provides assistance when the President declares an emergency or major disaster under the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act).

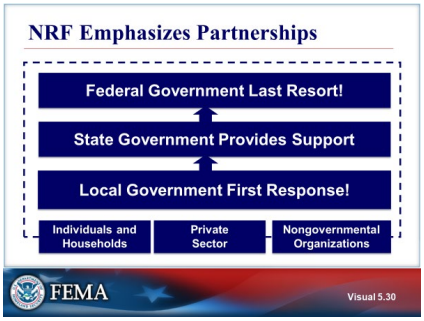


Visual 5.29

NATIONAL RESPONSE FRAMEWORK

The National Response Framework (NRF):

- Presents an overview of key response principles, roles, and structures that guide the national response.
- Describes how communities, States, the Federal Government, and private-sector and nongovernmental partnerships apply these principles for a coordinated, effective national response.
- Identifies the special circumstances where the Federal Government exercises a larger role, including incidents where Federal interests are involved and catastrophic incidents where a State would require significant support.

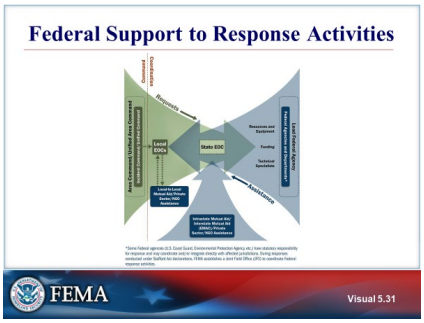


Visual 5.30

NRF EMPHASIZES PARTNERSHIPS

An effective, unified national response requires layered, mutually supporting capabilities.

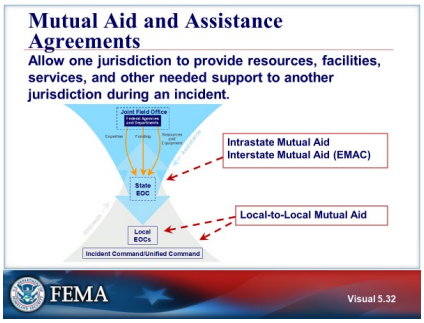
Response to an incident is a shared responsibility of governments at all levels and also involves the whole community: individuals, households, the private sector, and nongovernmental organizations.



Visual 5.31

FEDERAL SUPPORT TO RESPONSE ACTIVITIES

- FEMA leads and coordinates Federal response and assistance when the President declares a major disaster or emergency under the Stafford Act.
- The Department of Health and Human Services (HHS) leads Federal public health and medical response to public health emergencies and incidents.
- The location of a major hazardous material spill determines whether the Environmental Protection Agency or the United States Coast Guard serves as the lead Federal agency.
- The Attorney General and Director of the Federal Bureau of Investigation (FBI) execute their lead responsibility for the law enforcement response to, and criminal investigation of, terrorist threats or incidents.
- Lead Federal agencies are typically supported by other agencies that bring their relevant capabilities to bear.



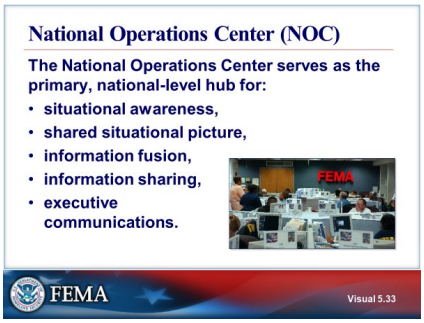
Visual 5.32

MUTUAL AID AND ASSISTANCE AGREEMENTS

Complex Incidents will frequently require assistance from outside the State.

- Mutual aid and assistance agreements provide a mechanism to quickly obtain emergency assistance in the form of personnel, equipment, materials, and other associated services.
- The Emergency Management Assistance Compact (EMAC) is a congressionally ratified mutual aid compact that defines a non-Federal, state-to-state system for sharing resources across state lines during an emergency or disaster. Through EMAC, a disaster-impacted State can request and receive assistance from other member States quickly and efficiently, resolving two key issues up front: liability and reimbursement.

  Signatories include all 50 states, the District of Columbia, Puerto Rico, Guam, and the U.S. Virgin Islands. EMAC's unique relationships with states, regions, territories, and Federal organizations, such as FEMA and the National Guard Bureau, enable it to move a wide variety of resources to meet the jurisdictions' needs.

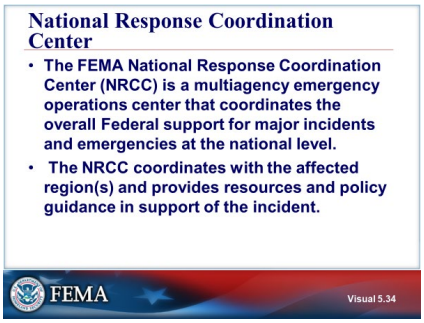


Visual 5.33

NATIONAL OPERATIONS CENTER (NOC)

The National Operations Center serves as the primary, national-level hub for situational awareness, a shared situational picture, information fusion, information sharing, and executive communications:

- Provides timely reporting and products derived from traditional and social media monitoring; DHS Component reporting; federal, state, local, tribal, territorial governments, and sector reports to support senior-leader decision-making
- Provides and maintain information dissemination tools such as a shared situational picture and the Homeland Security Information Network (HSIN) to facilitate information sharing with the federal, state, local, tribal, territorial governments, and private sector professionals
- Provides executive-level communications capabilities to link senior leaders to facilitate unity of effort and incident management efforts.



Visual 5.34

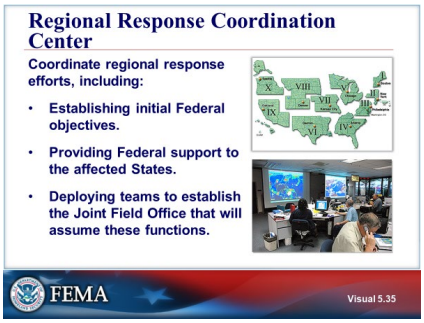
NATIONAL RESPONSE COORDINATION CENTER

The FEMA National Response Coordination Center (NRCC) is a multiagency emergency operations center that coordinates the overall Federal support for major incidents and emergencies at the national level.

The NRCC coordinates with the affected region(s) and provides resources and policy guidance in support of the incident:

- Monitor potential or developing incidents.
- Support the efforts of regional and field components, including coordinating the preparedness of national-level emergency response teams and resources.
- Initiate mission assignments or reimbursable agreements to activate other Federal departments and agencies (in coordination with Regional Response Coordination Centers).
- Activate and deploy national-level specialized teams.

Note that, in addition, the NRCC resolves Federal resource support conflicts and other implementation issues forwarded from the field.



Visual 5.35

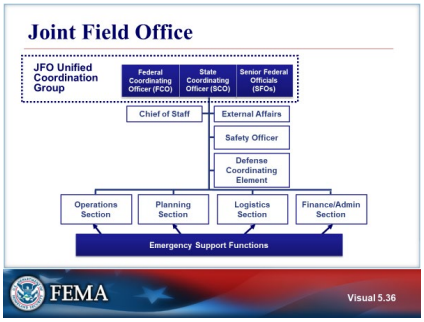
REGIONAL RESPONSE COORDINATION CENTER

The FEMA Regional Response Coordination Center (RRCC) is a standing facility that:

- Establishes initial Federal objectives.
- Provides Federal support to the affected States.
- Deploys teams to establish the Joint Field Office that will assume these functions.

The RRCC establishes communications with the affected State emergency management agency and the NRCC, coordinates deployment of an advanced team to field locations, assesses damage information, develops situation reports, and issues initial mission assignments.

The FEMA Regional Director activates the RRCC based on the level of response required. The RRCC is led by an RRCC Director and includes FEMA staff and regional Emergency Support Function (ESF) representatives.



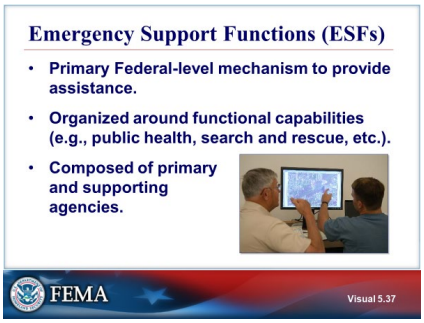
Visual 5.36

JOINT FIELD OFFICE

The JFO is a temporary facility that provides a central location for the coordination of Federal, State, tribal, and local governments and private-sector businesses and NGOs with primary responsibility for response and short-term recovery. The JFO structure is led by the JFO Unified Coordination Group.

Personnel from Federal and State departments and agencies, other jurisdictional entities, and private-sector businesses and nongovernmental organizations may be requested to staff various levels of the JFO. There will normally be one JFO established for each disaster declaration (a single disaster can result in multiple separate state disaster declarations).

For additional information on staffing and procedures, see the JFO Standard Operating Procedure.



Visual 5.37

EMERGENCY SUPPORT FUNCTIONS

Emergency Support Functions (ESFs) may be selectively activated for both Stafford Act and non-Stafford Act incidents. Not all incidents requiring Federal support result in the activation of ESFs. For Stafford Act incidents, the National Response Coordination Center (NRCC) or Regional Response Coordination Center (RRCC) may activate specific ESFs or other Federal agencies (OFAs) by directing appropriate departments and agencies to initiate the actions delineated in the ESF Annexes.

Resources coordinated though ESFs are assigned where needed within the response structure. For example, if a State requests assistance with a mass evacuation, resources from several different ESFs may be integrated into a single Branch or Group within the Operations Section. During the response, these resources would report to a supervisor within the assigned Branch or Group.

Regardless of where ESFs may be assigned, they coordinate closely with one another to accomplish their missions.

Many states have more then 15 designated ESFs. ESFs are organized at the local, state, and Federal level.

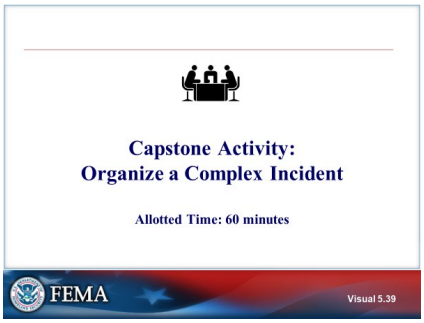
Refer to Handout 5-3: Emergency Support Function Teams and ESF Coordinators.

Visual 5.38

RECOVERY SUPPORT FUNCTIONS

The Recovery Support Functions (RSFs) comprise the coordinating structure for key functional areas of assistance in the National Disaster Recovery Framework (NDRF).

Their purpose is to support local governments by facilitating problem solving, improving access to resources and by fostering coordination among State and Federal agencies, nongovernmental partners and stakeholders.



Visual 5.39

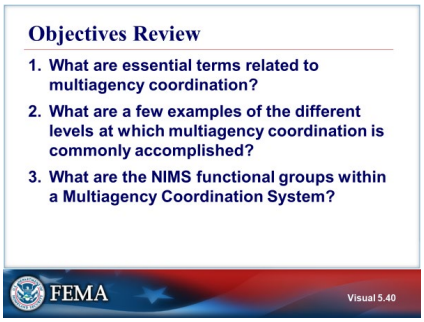
CAPSTONE ACTIVITY: ORGANIZE A COMPLEX INCIDENT

The Capstone Activity directs you to use the full range of NIMS command and coordination functional groups to organize a disaster.

The instructor will explain the Capstone Activity.

You will have 60 minutes to complete and hear feedback/debrief.

Important Note for Students: Some of your strategies will depend on the input or actions of other groups. You should plan to contact the other groups in the appropriate fashion to negotiate a strategy.

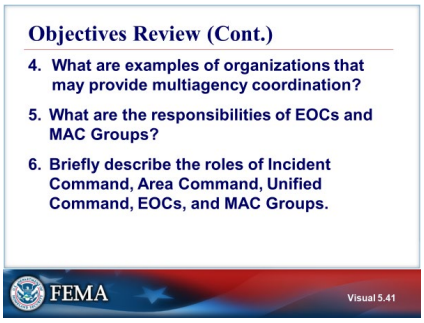


Visual 5.40

OBJECTIVES REVIEW

Unit Enabling Objectives

- Define essential terms related to multiagency coordination.
- Identify examples of the different levels at which multiagency coordination is commonly accomplished.
- Explain the NIMS functional groups within a Multiagency Coordination System.



Visual 5.41

OBJECTIVES REVIEW (CONT.)

- Identify examples of organizations that may provide multiagency coordination.
- List the responsibilities of EOCs and MAC Groups.
- Describe the respective roles of Incident Command, Area Command, Unified Command, and EOCs and MAC Groups.

Supplemental Materials

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Handout 5-1: List of Common Multiagency Coordination Organizations

Multiagency Coordination Groups	
MAC Group	A group, typically consisting of agency administrators or executives from organizations, or their designees, that provides policy guidance to incident personnel, supports resource prioritization and allocation, and enables decision making among elected and appointed officials and senior executives in other organizations, as well as those directly responsible for incident management.
JFO Unified Coordination Group	**The JFO is led by the Unified Coordination Group, which is comprised of specified senior leaders representing State and Federal interests**, and in certain circumstances tribal governments, local jurisdictions, the private sector, or NGOs. The Unified Coordination Group typically consists of the Principal Federal Official (if designated), Federal Coordinating Officer (FCO), State Coordinating Officer, and senior officials from other entities with primary statutory or jurisdictional responsibility and significant operational responsibility for an aspect of an incident (e.g., the Senior Health Official, Department of Defense representative, or Senior Federal Law Enforcement Official if assigned). Within the Unified Coordination Group, the FCO is the primary Federal official responsible for coordinating, integrating, and synchronizing Federal response activities. **The composition of the Unified Coordination Group will vary, depending upon the scope and nature of the incident and the assets deployed in support of the affected jurisdiction.** The JFO structure normally includes a Unified Coordination Staff. The Unified Coordination Group determines the extent of staffing based on the type and magnitude of the incident.
Emergency Operations Center (EOC)	The physical location where the coordination of information and resources to support incident management (on-scene operations) activities normally takes place. An EOC may be a temporary facility or located in a more central or permanently established facility, perhaps at a higher level of organization within a jurisdiction.
Joint Field Office (JFO)	The primary Federal incident management field structure. The JFO is a temporary Federal facility that provides a central location for the coordination of local, state, territorial, tribal, and Federal governments and private sector and NGOs with primary responsibility for response and recovery.

Joint Information Center (JIC)	A facility in which personnel coordinate incident-related public information activities. The JIC serves as the central point of contact for all news media. Public information officials from all participating agencies co-locate at, or virtually coordinate through, the JIC.
Regional Response Coordination Center (RRCC)	The RRCC establishes communications with the affected State emergency management agency and the NRCC, coordinates deployment of an advanced team to field locations, assesses damage information, develops situation reports, and issues initial mission assignments. The FEMA Regional Director activates the RRCC based on the level of response required. The RRCC is led by an RRCC Director and includes FEMA staff and regional Emergency Support Function (ESF) representatives.
National Response Coordination Center (NRCC)	National Response Coordination Center (NRCC) is a multiagency emergency operations center that coordinates the overall Federal support for major incidents and emergencies at the national level.
National Operations Center (NOC)	The National Operations Center serves as the primary, national-level hub for situational awareness, a shared situational picture, information fusion, information sharing, and executive communications.

Handout 5-2: Federal Emergency Support Functions and Recovery Support Functions

Emergency Support Functions
ESF #1 – Transportation **ESF Coordinator: Department of Transportation**
Key Response Core Capability: Critical Transportation Coordinates the support of management of transportation systems and infrastructure, the regulation of transportation, management of the Nation's airspace, and ensuring the safety and security of the national transportation system. Functions include but are not limited to: • Transportation modes management and control • Transportation safety • Stabilization and reestablishment of transportation infrastructure • Movement restrictions • Damage and impact assessment
ESF #2 – Communications **ESF Coordinator: DHS/Cybersecurity and Communications**
Key Response Core Capability: Operational Communications, Infrastructure Systems Coordinates government and industry efforts for the reestablishment and provision of critical communications infrastructure, facilitates the stabilization of systems and applications from malicious cyber activity, and coordinates communications support to response efforts. Functions include but are not limited to: • Coordination with telecommunications and information technology industries • Coordination of the reestablishment and provision of critical communications infrastructure • Protection, reestablishment, and sustainment of national cyber and information technology resources • Oversight of communications within the Federal response structures • Facilitation of the stabilization of systems and applications from cyber events
ESF #3 – Public Works and Engineering **ESF Coordinator: DOD/U.S. Army Corps of Engineers**

Emergency Support Functions

Key Response Core Capabilities: Infrastructure Systems, Critical Transportation, Logistics and Supply Chain Management, Environmental Response/Health and Safety, Fatality Management, Mass Care Services, Mass Search and Rescue Operations

Coordinates the capabilities and resources to facilitate the delivery of services, technical assistance, engineering expertise, construction management, and other support to prepare for, respond to, and/or recover from a disaster or an incident. Functions include but are not limited to:

- Infrastructure protection and emergency repair
- Critical infrastructure reestablishment
- Engineering services and construction management
- Emergency contracting support for lifesaving and life-sustaining services

ESF #4 – Firefighting
ESF Coordinator: USDA/U.S. Forest Service and DHS/FEMA/U.S. Fire Administration

Key Response Core Capabilities: Operational Communications Logistics and Supply Chain Management, Infrastructure Systems On-Scene Security, Protection, and Law Enforcement Public Health, Healthcare, and Emergency Medical Services, Fire Management and Suppression, Situational Assessment

Coordinates the support for the detection and suppression of fires. Functions include but are not limited to:

- Support to wildland, rural, and urban firefighting operations

ESF #5 – Information and Planning
ESF Coordinator: DHS/FEMA

Key Response Core Capabilities: Situational Assessment, Planning, Public Information and Warning

Supports and facilitates multiagency planning and coordination for operations involving incidents requiring Federal coordination. Functions include but are not limited to:

- Incident action planning
- Information collection, analysis, and dissemination

ESF #6 – Mass Care, Emergency Assistance, Housing and Human Services
ESF Coordinator: DHS/FEMA

Emergency Support Functions

Key Response Core Capabilities: Mass Care Services, Logistics and Supply Chain Management, Public Health, Healthcare, and Emergency Medical Services, Critical Transportation, Fatality Management Services

Coordinates the delivery of mass care and emergency assistance. Functions include but are not limited to:

- Mass care
- Emergency assistance
- Temporary housing
- Human services

ESF #7 – Logistics
ESF Coordinator: General Services Administration and DHS/FEMA

Key Response Core Capabilities: Logistics and Supply Chain Management, Mass Care Services, Critical Transportation, Infrastructure Systems, Operational Communications

Coordinates comprehensive incident resource planning, management, and sustainment capability to meet the needs of disaster survivors and responders. Functions include but are not limited to:

- Comprehensive, national incident logistics planning, management, and sustainment capability
- Resource support (e.g., facility space, office equipment and supplies, contracting services)

ESF #8 – Public Health and Medical Services
ESF Coordinator: Department of Health and Human Services

Key Response Core Capabilities: Public Health, Healthcare, and Emergency Medical Services, Fatality Management Services, Mass Care Services, Critical Transportation, Public Information and Warning, Environmental Response/Health and Safety, Logistics and Supply Chain Management

Coordinates the mechanisms for assistance in response to an actual or potential public health and medical disaster or incident. Functions include but are not limited to:

- Public health
- Medical surge support including patient movement
- Behavioral health services
- Mass fatality management

ESF #9 – Search and Rescue
ESF Coordinator: DHS/FEMA

Emergency Support Functions

Key Response Core Capability: Mass Search and Rescue Operations

Coordinates the rapid deployment of search and rescue resources to provide specialized lifesaving assistance. Functions include but are not limited to:

- Structural collapse (urban) search and rescue
- Maritime/coastal/waterborne search and rescue
- Land search and rescue.

ESF #10 – Oil and Hazardous Materials Response
ESF Coordinator: Environmental Protection Agency

Key Response Core Capabilities: Environmental Response/Health and Safety, Critical Transportation, Infrastructure Systems, Public Information and Warning

Coordinates support in response to an actual or potential discharge and/or release of oil or hazardous materials. Functions include but are not limited to:

- Environmental assessment of the nature and extent of oil and hazardous materials contamination
- Environmental decontamination and cleanup, including buildings/structures and management of contaminated waste.

ESF #11 – Agriculture and Natural Resources
ESF Coordinator: Department of Agriculture

Key Response Core Capabilities: Mass Care Services, Critical Transportation, Logistics and Supply Chain Management

Coordinates a variety of functions designed to protect the Nation's food supply, respond to plant and animal pest and disease outbreaks, and protect natural and cultural resources. Functions include but are not limited to:

- Nutrition assistance
- Animal and agricultural health issue response
- Technical expertise, coordination, and support of animal and agricultural emergency management
- Meat, poultry, and processed egg products safety and defense
- Natural and cultural resources and historic properties protection.

ESF #12 – Energy
ESF Coordinator: Department of Energy

Emergency Support Functions

Key Response Core Capabilities: Infrastructure Systems, Logistics and Supply Chain Management, Situational Assessment

Facilitates the reestablishment of damaged energy systems and components and provides technical expertise during an incident involving radiological/nuclear materials. Functions include but are not limited to:

- Energy infrastructure assessment, repair, and reestablishment
- Energy industry utilities coordination
- Energy forecast.

ESF #13 – Public Safety and Security
ESF Coordinator: Department of Justice/Bureau of Alcohol, Tobacco, Firearms, and Explosives

Key Response Core Capability: On-Scene Security, Protection, and Law Enforcement

Coordinates the integration of public safety and security capabilities and resources to support the full range of incident management activities. Functions include but are not limited to:

- Facility and resource security
- Security planning and technical resource assistance
- Public safety and security support
- Support to access, traffic, and crowd control

ESF #14 – Superseded by the National Disaster Recovery Framework (NDRF)

ESF #15 – External Affairs
ESF Coordinator: DHS

Key Response Core Capability: Public Information and Warning

Coordinates the release of accurate, coordinated, timely, and accessible public information to affected audiences, including the government, media, NGOs, and the private sector. Works closely with state and local officials to ensure outreach to the whole community. Functions include, but are not limited to:

- Public affairs and the Joint Information Center
- Intergovernmental (local, state, tribal, and territorial) affairs
- Congressional affairs
- Private sector outreach
- All Hazards Emergency Response Operations Tribal

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Recovery Support Functions

Community Planning and Capacity Building

The Community Planning and Capacity Building RSF unifies and coordinates expertise and assistance programs from across the Federal Government as well as nongovernment partners to aid local and tribal governments in building their local capabilities to effectively plan for and manage recovery and engage the whole community in the recovery planning process.

Coordinating Agency: Department of Homeland Security/FEMA

Economic Recovery

Economic Recovery is the ability to return economic and business activities (including agricultural) to a state of health and develop new economic opportunities that result in a sustainable and economically viable community. The Economic Recovery RSF integrates the expertise of the Federal Government to help local, regional/metropolitan, state, tribal, territorial, and insular area governments and the private sector sustain and/or rebuild businesses and employment and develop economic opportunities that result in sustainable and economically resilient communities after an incident.

Coordinating Agency: Department of Commerce

Health and Social Services

Healthcare is an economic driver in many communities, which if damaged make this sector critical to most communities' disaster recovery. Social Services have a major impact on the ability of a community to recover. The support of social services programs for at-risk and vulnerable children, individuals, and families affected by a disaster can promote a more effective and rapid recovery. The Health and Social Services RSF outlines the Federal framework to support locally led recovery efforts to address public health, health care facilities and coalitions, and essential social service needs. Displaced individuals in need of housing will also need health and social services support.

Coordinating Agency: Department of Health and Human Services

Housing

Recovery Support Functions
The Housing RSF coordinates and facilitates the delivery of Federal resources to implement housing solutions that effectively support the needs of the whole community and contribute to its sustainability and resilience. Housing is a critical and often challenging component of disaster recovery, but must be adequate, affordable, and accessible to make a difference for the whole community. **Coordinating Agency**: Department of Housing and Urban Development
Infrastructure Systems
The Infrastructure Systems RSF works to efficiently facilitate the restoration of infrastructure systems and services to support a viable, sustainable community and improves resilience to and protection from future hazards. **Coordinating Agency**: U.S. Army Corps of Engineers
Natural and Cultural Resources
The NCR RSF facilitates the integration of capabilities of the Federal Government to support the protection of natural and cultural resources and historic properties through appropriate response and recovery actions to preserve, conserve, rehabilitate, and restore them consistent with post-disaster community priorities and in compliance with applicable environmental and historical preservation laws and Executive orders. **Coordinating Agency**: Department of the Interior

Capstone Activity

Objective: Use the full range of NIMS command and coordination functional groups to organize a disaster.

Instructions:

- You will be assigned to one of the following four groups:
  - Group #1: Central City Incident Complex
  - Group #2: Turtle River Area Command
  - Group #3: Liberty County EOC
  - Group #4: Columbia State EOC
- Review the scenario on the following page.
- Review your group's problem statement (handout).
- Develop strategies for dealing with each problem statement.
- Use the ICS Form 213, General Message, to communicate among organizational elements.
- Select a spokesperson and be prepared to present your strategies in 1 hour.

Important Note: Some of your strategies will depend on the input or actions of other groups. You should plan to contact the other groups in the appropriate fashion to negotiate a strategy.

Scenario:

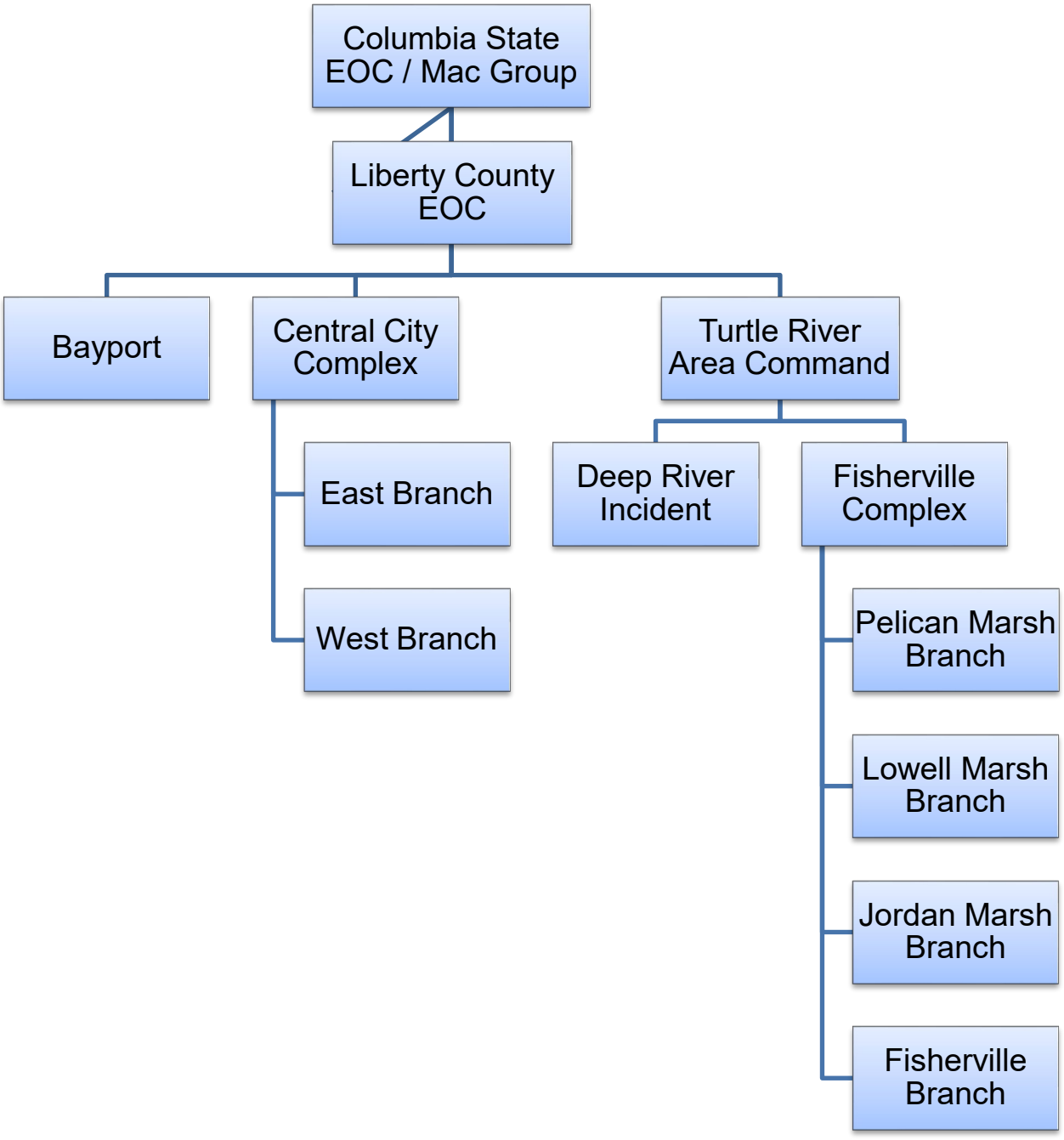
On October 17, the State of Columbia was struck by Hurricane Gordon, a category 2 hurricane. Seven counties were hard hit (Stramford, Granite, Redstone, Liberty, Green, Mineral, and Kane Counties), with the most damage occurring in Liberty County.

Hurricane Gordon came ashore between the islands of Masland and Gish, and the eye tracked over Bayport, Fisherville, Deep River, and Central City. The hurricane track then took a slight turn to the east roughly following Highway 19 to Brooksville before losing strength and being downgraded to a tropical storm. Forty-eight (48) hours have passed, and basic services are beginning to be restored in Liberty County. Some of the areas in the county now have basic water and power, and attention is turning to long-term damage assessment, debris removal, and other efforts to restore the local economy.

Liberty County: Liberty County suffered a direct hit from Gordon, as the hurricane passed between Masland and Gish Islands. The communities of Bayport, Fisherville, and Deep River suffered severe wind damage and flooding. Coastal and upstream flooding was caused by the 8- to 12-foot storm surge and torrential rains. Central City received severe wind damage and river flooding due to 14 inches of rain within a 36-hour period.

Many roads within Liberty County have been washed out or are currently impassable due to downed trees and power lines. The Kingston Airport experienced severe damage to its main terminal and support facilities. The Columbia Bay Bridge between Bayport and Fisherville has been closed. Rail transportation within Liberty County has been suspended until inspections can be completed. The Central City Hospital is operating on its backup generator.

State of Columbia: The State Emergency Operations Center (EOC) has been activated to address county EOC needs between Stramford, Granite, Redstone, Liberty, Green, Mineral, and Kane Counties.


Columbia State EOC / Mac Group
Liberty County EOC
Bayport
Central City Complex
East Branch
West Branch
Turtle River Area Command
Deep River Incident
Fisherville Complex
Pelican Marsh Branch
Lowell Marsh Branch
Jordan Marsh Branch
Fisherville Branch

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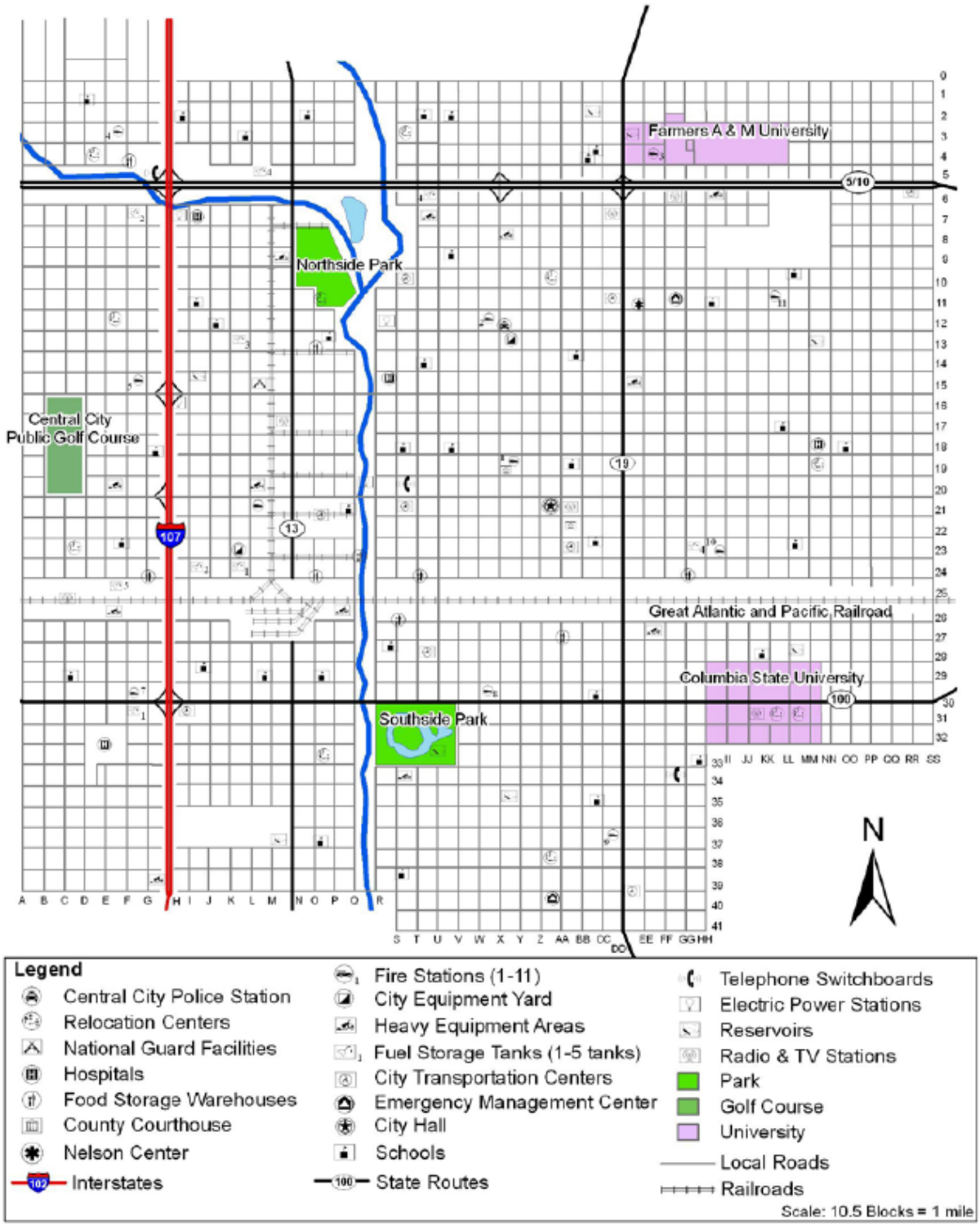

Figure Z.6. Central City Map

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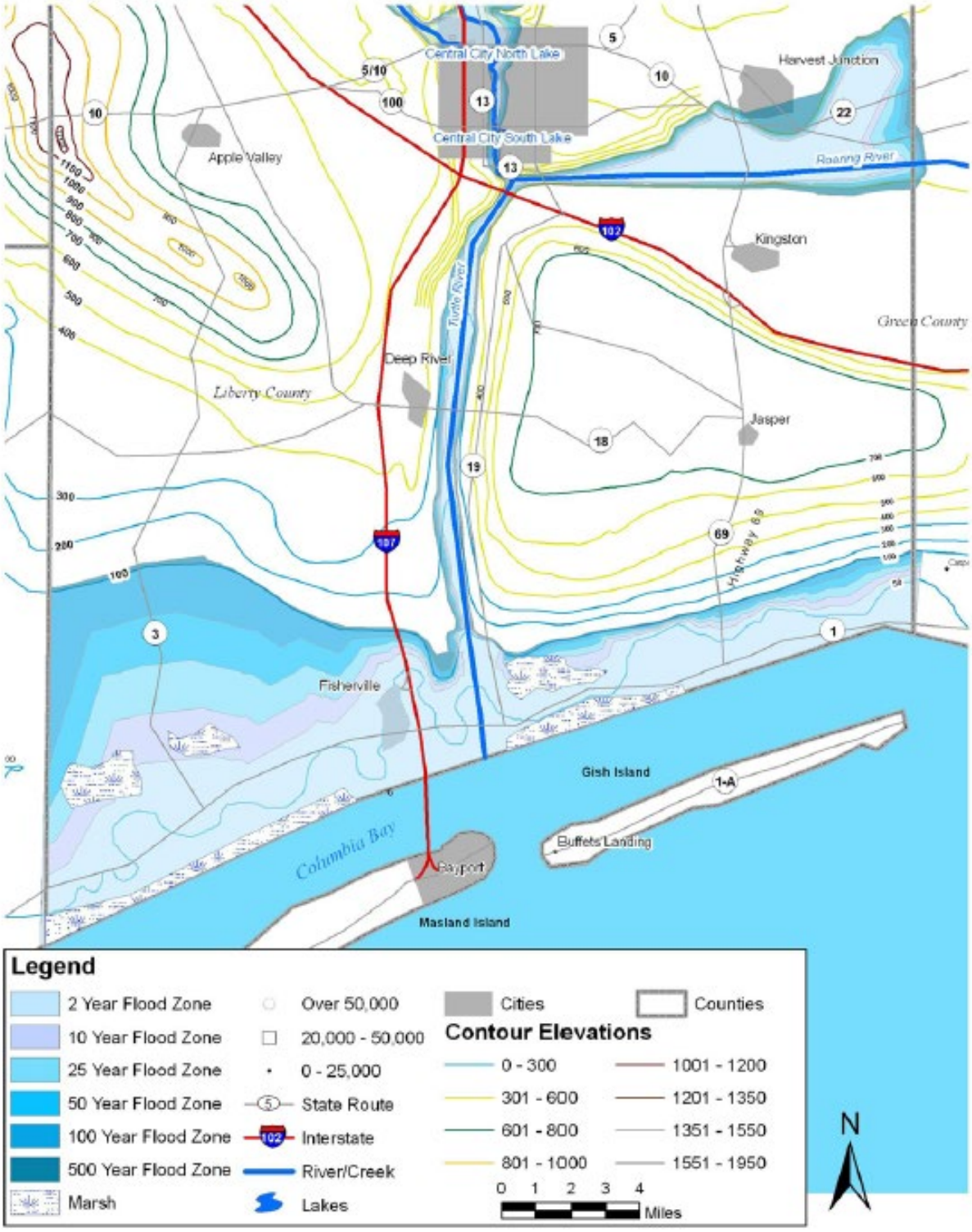

Figure 3.4. South Liberty County Flood Map

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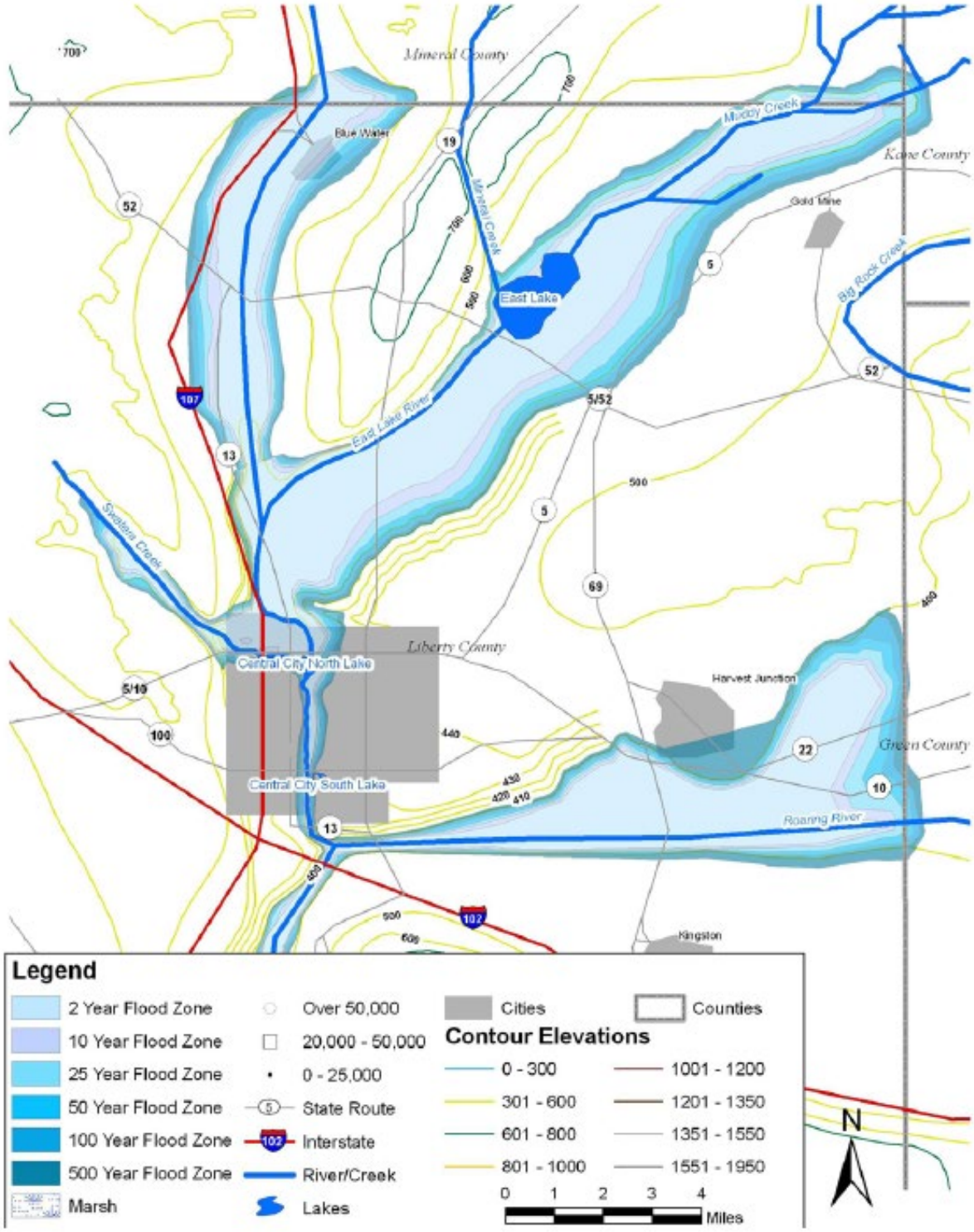

Figure 3.3. North Liberty County Flood Map

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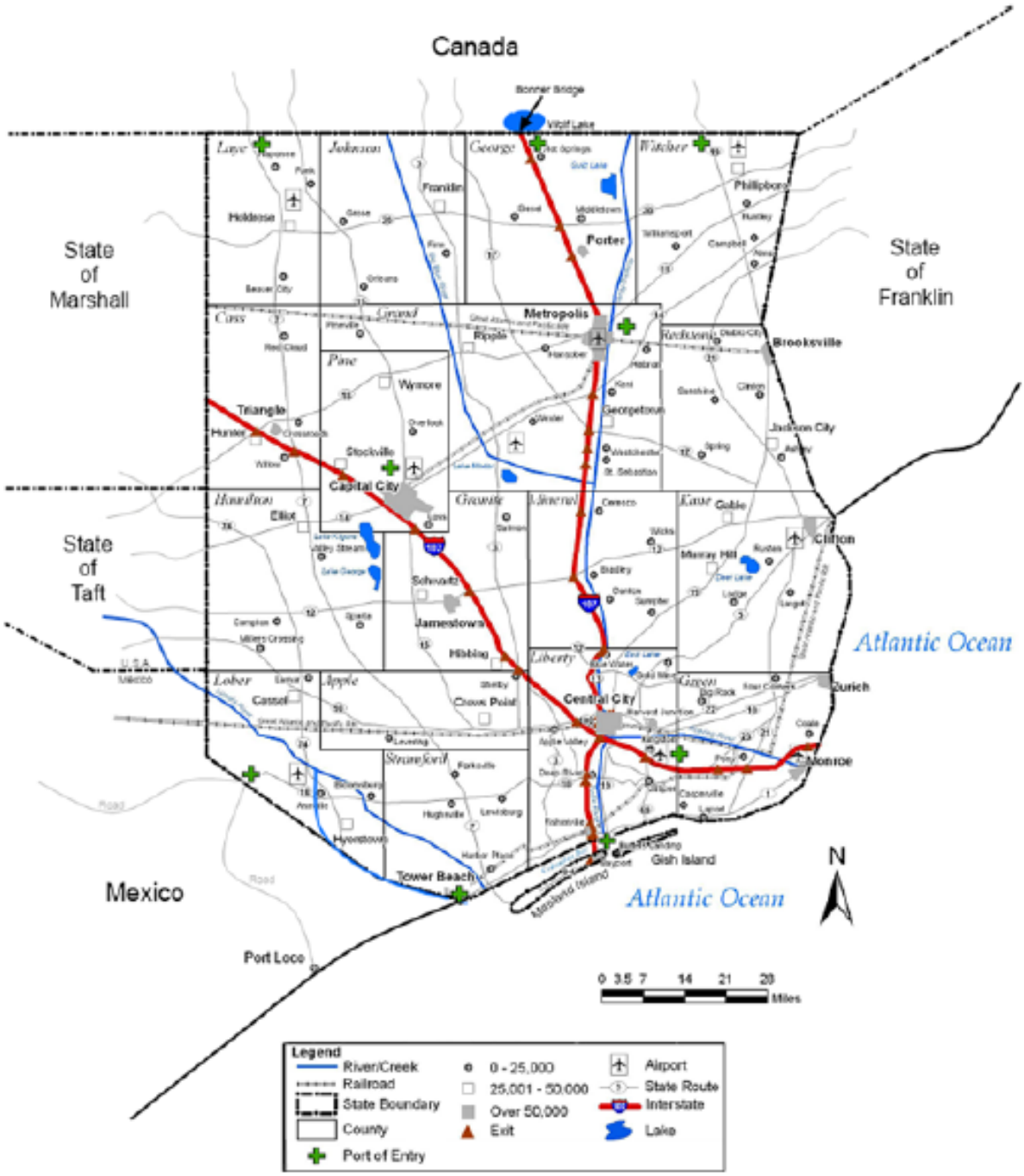

Figure Z.1. State of Columbia Map

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Unit 6: Course Summary

STUDENT MANUAL

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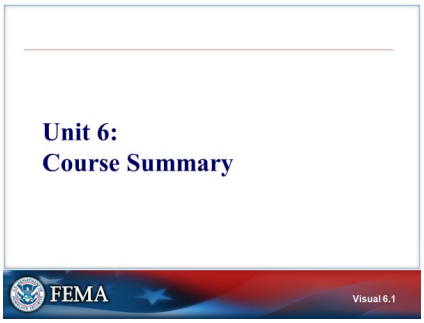


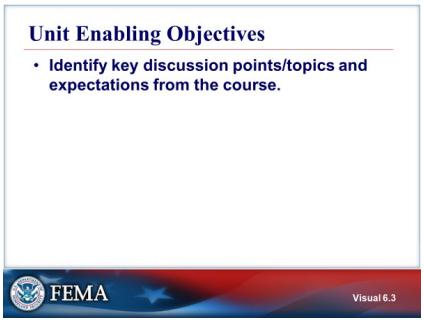
Visual 6.1

UNIT 6: COURSE SUMMARY

Visual 6.2

UNIT TERMINAL OBJECTIVE

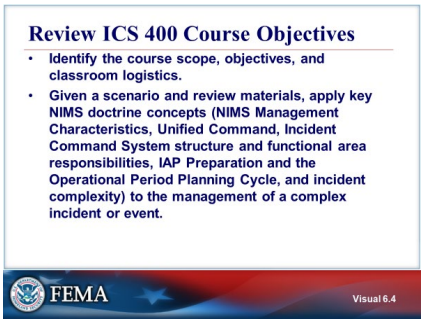
Summarize the course objectives.



Visual 6.3

UNIT ENABLING OBJECTIVES

- Identify key discussion points/topics and expectations from the course.



Visual 6.4

REVIEW ICS 400 COURSE OBJECTIVES

Review the course objectives with the class. Ask the students if they are now be able to:

- Identify the course scope, objectives, and classroom logistics.
- Given a scenario and review materials, apply key NIMS doctrine concepts (NIMS Management Characteristics, Unified Command, Incident Command System structure and functional area responsibilities, IAP Preparation and the Operational Period Planning Cycle, and incident complexity) to the management of a complex incident or event.

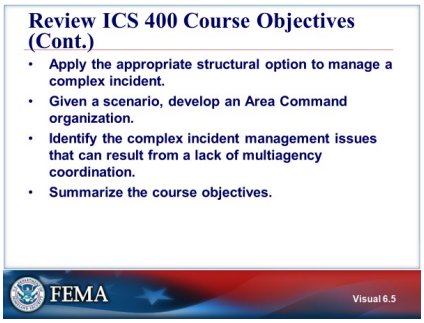
Encourage the students to take a few moments to review their Student Manual and identify any questions.

Instructor Note: It is important that you allow the students enough time to review the course materials prior to taking the Final Exam.

If time permits, you can facilitate a structured review of the materials using the following techniques:

- Assign each team a unit and have them summarize and present the key points to remember.
- Select five to seven of the most critical points from each unit. Present a brief review of these points. Ask questions to ensure that the students remember the most important information.

Answer any questions prior to beginning the Final Exam.



Visual 6.5

REVIEW ICS 400 COURSE OBJECTIVES (CONT.)

Review the rest of the course objectives with the class. Ask the students if they are now be able to:

- Apply the appropriate structural option to manage a complex incident.
- Given a scenario, develop an Area Command organization.
- Identify the complex incident management issues that can result from a lack of multiagency coordination.
- Summarize the course objectives.

Encourage the students to take a few moments to review their Student Manual and identify any questions.

Instructor Note: It is important that you allow the students enough time to review the course materials prior to taking the Final Exam.

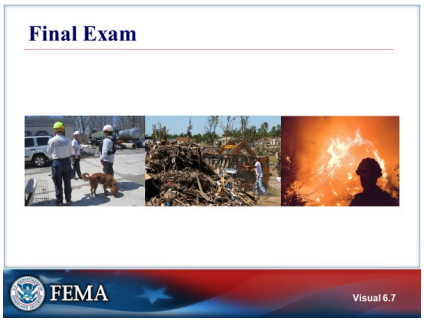
If time permits, you can facilitate a structured review of the materials using the following techniques:

- Assign each team a unit and have them summarize and present the key points to remember.
- Select five to seven of the most critical points from each unit. Present a brief review of these points. Ask questions to ensure that the students remember the most important information.

Answer any questions prior to beginning the Final Exam.

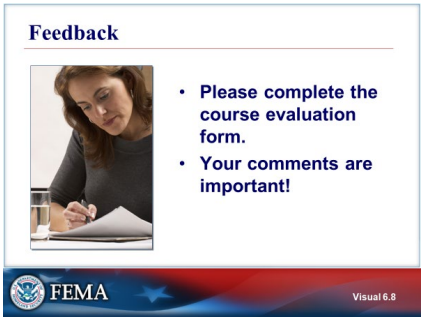
Visual 6.6

REVIEW COURSE EXPECTATIONS



Visual 6.7

FINAL EXAM



Visual 6.8

FEEDBACK

END OF COURSE